

# MANAGING CULTURAL WORLD HERITAGE



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## About the World Heritage Resource Manual Series

Since the World Heritage Convention was adopted in 1972, the World Heritage List has continually evolved and is growing steadily. With this growth, a critical need has emerged for guidance for States Parties on the implementation of the Convention. Various expert meetings and results of Periodic Reporting have identified the need for more focused training and capacity development in specific areas where States Parties and World Heritage site managers require greater support. The development of a series of World Heritage Resource Manuals is a response to this need.

The publication of the series is a joint undertaking by the three Advisory Bodies of the World Heritage Convention (ICCRROM, ICOMOS and IUCN) and the UNESCO World Heritage Centre as the Secretariat of the Convention. The World Heritage Committee at its 30th session (Vilnius, Lithuania, July 2006) supported this initiative and requested that the Advisory Bodies and the World Heritage Centre proceed with the preparation and publication of a number of thematic Resource Manuals. The 31st (2007) and 32nd (2008) sessions of the Committee adopted the publication plan and determined a prioritized list of titles.

An Editorial Board consisting of members of all three Advisory Bodies and the World Heritage Centre meets regularly to decide on different aspects of their preparation and publication. For each manual, depending on the theme, one of the Advisory Bodies or the World Heritage Centre functions as the lead agency responsible for coordination, while the final production is ensured by the World Heritage Centre.

The Resource Manuals are intended to provide focused guidance on the implementation of the Convention to States Parties, heritage protection authorities, local governments, site managers and local communities linked to World Heritage sites, as well as other stakeholders in the identification and preservation process. They aim to provide knowledge and assistance in ensuring a representative and credible World Heritage List consisting of well-protected and effectively managed properties.

The manuals are being developed as user-friendly tools for capacity-building and awareness-raising on the World Heritage Convention. They can be used independently for self-guided learning as well as material at training workshops, and should complement the basic provisions for understanding the text of the Convention itself and the *Operational Guidelines* for implementation.

The titles in this series are produced as PDF online documents which can be freely downloaded.

### List of titles:

- Managing Disaster Risks for World Heritage* (June 2010)
- Preparing World Heritage Nominations* (Second edition, November 2011)
- Managing Natural World Heritage* (June 2012)
- Managing Cultural World Heritage* (November 2013)

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# Foreword

by Kishore Rao, *Director, UNESCO World Heritage Centre*

The celebrations of the 40th anniversary of the World Heritage Convention, which were held throughout 2012, provided an opportunity to reflect on some of the pressing issues facing the properties included on the World Heritage List. The official theme of the anniversary year, 'World Heritage and sustainable development: the role of local communities', acknowledged, and placed emphasis on, what is perhaps the most significant challenge for World Heritage in our times: maintaining its values to society while accommodating the changes imposed on it by major global phenomena such as rising inequalities, globalization, climate change and massive urbanization.

The community of heritage practitioners has long recognized the need for new approaches to conservation, which would reflect the increased complexity of their work and facilitate a positive interaction with the larger environment in which their properties exist, with particular attention paid to local communities. This is especially important for cultural heritage properties, whose very meaning is often the subject of contention among multiple stakeholders, in the face of rapid socio-cultural mutations.

I am therefore happy to introduce this new Resource Manual on *Managing Cultural World Heritage*, developed under the leadership of ICCROM in consultation with ICOMOS, IUCN and the World Heritage Centre, which builds on and complements a first Resource Manual on the management of natural World Heritage (issued in June 2012).<sup>1</sup> As was the case for its companion, this new manual does not intend to replace the vast literature on this subject, but simply to provide guidance on the specificity of managing cultural World Heritage properties while providing useful references to existing approaches and examples.

The manual also introduces an innovative conceptual framework for understanding management systems of cultural heritage, the result of a research project undertaken by ICCROM since 2009, which hopefully will not only assist heritage practitioners, but also policy-makers and communities, in better defining issues and identifying possible solutions to the problems they face at their properties. This framework represents the 'minimum common denominator' among the very wide range of possible management systems that exist throughout the world for cultural heritage properties as diverse as historic cities, cultural landscapes, individual monuments or archaeological sites.

We hope that readers will find this manual relevant to their needs and look forward to receiving comments and suggestions to improve and enrich it, particularly with specific examples and case studies that would demonstrate best practice or provide lessons learned.

**Kishore Rao**

1. Accessible online at: <http://whc.unesco.org/uploads/activities/documents/activity-703-1.pdf>

# Foreword

by Stefano De Caro, *Director-General, ICCROM*

This Resource Manual aims to further the achievements of the 1972 Convention concerning the Protection of the World Cultural and Natural Heritage by helping all those involved in managing cultural World Heritage properties to protect cultural values, and where possible, harness wider heritage benefits. It complements existing guidance – in particular the *Operational Guidelines for the Implementation of the World Heritage Convention* (2012) and the companion manual *Managing Natural World Heritage*.

Inscription of a heritage property on the World Heritage List signifies that the World Heritage Committee has deemed that the property has cultural or natural values that can be considered of Outstanding Universal Value. This imposes additional management demands on the State Party to secure high standards of protection, and to comply with the requirements of the World Heritage processes.

The 1972 Convention identifies cultural heritage as falling into three broad groups – monuments, sites and group of buildings. During the forty years of the Convention, the List has grown to include increasingly complex types of property with correspondingly more demanding management requirements. The prestige of World Heritage status can attract greater public interest in a heritage property and States Parties tend to use them as flagship sites to improve the management of cultural heritage in general. The World Heritage system identifies the State Party as holding primary responsibility for a property, and management success depends on the political, social, institutional and economic context of the specific property. Indeed, the shift in the heritage sector from simple physical protection to a more layered approach to management that takes into account social, economic and environmental concerns provides a basis for giving the heritage a function in the life of the community, as embodied in Article 5 of the Convention. This more holistic approach has made the management of World Heritage properties all the more demanding.

It is in response to these demands that this manual pays particular attention to understanding heritage management systems. It acknowledges their complexity and diversity but also draws out characteristics common to all management systems. It recommends reviewing existing heritage management systems in the light of the demands that the World Heritage system and modern-day needs place upon them, while also stressing the need for participatory approaches.

The World Heritage system requires States Parties to engage in the management of cultural properties in two different and significant stages which form a continuum.

- 1) A State Party must first demonstrate, as part of the inscription process, how it will manage the Outstanding Universal Value of the property by responding to issues raised in the nomination format and by demonstrating the existence of a management plan, or other management system, that is adequate for protecting the property.
- 2) After inscription, a State Party must respect its commitment to safeguarding the Outstanding Universal Value of the property through effective long-term management, and through a series of World Heritage procedures which allow this protection to be verified.

# Foreword

by Stefano De Caro, *Director-General, ICCROM*

This Resource Manual aims to help States Parties fulfil these obligations by providing a framework to review the existing heritage management system for a property, and guidance to take necessary measures to ensure that the system is effective and responds to the additional challenges imposed on it by being part of the World Heritage system.

The main focus is World Heritage, but much of the guidance constitutes a reference that can be used for capacity-building by anyone working for heritage conservation. This manual draws upon ICCROM's experience of capacity-building to help protect World Heritage properties that began with the publication of the *Management Guidelines for World Cultural Heritage Sites* in 1993 and has continued with specific World Heritage international training and policy development activities.

The manual is an outcome of the collective effort by the Advisory Bodies (ICCROM, ICOMOS, IUCN) and the UNESCO World Heritage Centre to help all those involved to better manage and protect their World Heritage properties. It joins the other titles listed in the bibliography which have had the same aim.

It constitutes a comprehensive analysis of management systems, something which is rare in the heritage literature, but we hope that in the next few years we will see it complemented and further refined.

Developing this manual was a stimulating but lengthy process, and ICCROM wishes to express its gratitude to the lead authors, the reviewers, and those at the World Heritage Centre and Advisory Bodies who supported the work. ICCROM wishes to express deep appreciation to Nicholas Stanley-Price who edited the final version of the manual.

**Stefano De Caro**

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# 1 Introduction

Part 1 outlines the purpose and aims of the manual and describes how it is organized (Part 1.1). It also lists the fundamental UNESCO documents concerning the World Heritage Convention and publications of the World Heritage Centre that this manual complements (Part 1.2).

## 1.1 Introduction to the Resource Manual

### The aim of this Resource Manual

The concept of 'management' emerged comparatively late in the forty-year history of the World Heritage Convention. But the requirement to achieve the outputs and outcomes of successful management – identification, protection, conservation, presentation and transmission to future generations of heritage of Outstanding Universal Value – has been there from the outset. Over the years, achieving these ends has become more complex because of the increasing pressures of the modern world and also because of the widening range of what can be inscribed on the World Heritage List, for example, rural cultural landscapes.

These new challenges, along with other factors, have led to some pressing needs, including:

- establishing common ground for defining, assessing and improving management systems and, in turn, favouring exchange of good practice and the evolution of improved approaches to management;
- delivering practical guidance and tools for everyday management practice that recognize the increased number of parties involved and objectives to be achieved;
- increasing awareness of the diversity of the management problems faced by States Parties but also their common ground, so promoting wider cooperation to overcome them.

It is in this light that the Resource Manual for *Managing Cultural World Heritage* has been produced to help States Parties to manage and conserve their heritage effectively and protect values, in particular the Outstanding Universal Value (hereafter 'OUV') of their World Heritage cultural properties. In this regard, the *Operational Guidelines for the Implementation of the World Heritage Convention* (hereafter 'OG') declare that each World Heritage property 'must have an adequate protection and management system to ensure its safeguarding' (OG para 78). The OG go on to say that 'The purpose of a management system is to ensure the effective protection of the nominated property for present and future generations' and that 'an effective management system depends on the type, characteristics and needs of the nominated property and its cultural and natural context' (OG paras 109, 110). This manual places particular emphasis on understanding management systems and on ways to improve them for effectively managing cultural properties.

The manual provides guidance for States Parties and all those involved in the care of World Heritage cultural properties on how to comply with the requirements of the Convention. It also aims to help States Parties to ensure that heritage has a dynamic role in society and harnesses, but also delivers to others, the mutual benefits that such a role can create.

This Manual deals only with the management of cultural heritage sites. Natural World Heritage properties have many similar issues but they also have different problems. IUCN has produced a companion Resource Manual on the management of natural properties.

### Who is the Resource Manual for?

This manual is intended as a tool for capacity-building for the effective management of heritage, and for World Heritage properties in particular. It is designed to help all practitioners:

- to strengthen the knowledge, abilities, skills and behaviour of people with direct responsibilities for heritage conservation and management;
- to improve institutional structures and processes through empowering decision-makers and policy-makers; and
- to introduce a dynamic relationship between heritage and its context that will lead to greater reciprocal benefits through an inclusive approach, such that outputs and outcomes follow on a sustainable basis.

The manual is designed to benefit all those individuals involved in decision-making for the care and management of World Heritage cultural sites on behalf of States Parties, those to whom they are responsible (policy-makers and administrators), and those with whom they are or might be working in future.

These individuals represent the three broad areas where management capacities reside, as defined by the World Heritage Strategy for Capacity Building:<sup>2</sup>

- Practitioners (including individuals and groups who directly intervene in the conservation and management of heritage properties).
- Institutions (including State Party heritage organizations at both federal and national levels, NGOs, the World Heritage Committee, Advisory Bodies and others institutions which have a responsibility for enabling improved management and conservation).
- Communities and networks (including local communities owning or living on or near properties as well as larger networks with an interest in improving the management of cultural heritage).<sup>3</sup>

Whether through self-guided learning or as part of structured capacity-building initiatives, the manual is intended to:

- provide strategic and day-to-day guidance, and
- build on existing capacities or create new strengths – whether of practitioners, institutions or communities and networks,

In both cases it is through people that positive changes to managing heritage can be achieved (see Part 3.8).

The circumstances in which each management system operates vary extensively and the relative isolation of many heritage practitioners prevents them from accessing the experience of others to inform their own actions. We hope the manual will help to overcome these difficulties.

### How is the Resource Manual organized?

The main text of the Resource Manual explains what is involved in management for World Heritage, its context, its philosophies and its mechanisms. A set of appendices then offers guidance on how to put them into practice.

The main text is divided into four parts:

This section, **Part 1**, provides an **introduction** to the manual and a list of references to publications and documents that are relevant to managing World Heritage.

2. Capacity is defined as the 'the ability of individuals, organizations and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner' ([http://www.undp.org/cpr/iasc/content/docs/UNDP\\_Capacity\\_Development.pdf](http://www.undp.org/cpr/iasc/content/docs/UNDP_Capacity_Development.pdf) UNDP Capacity Development Practice Note, April 2006, p.3)

3. The World Heritage Strategy for Capacity Building, June 2011, whc11-35com-9Be (<http://whc.unesco.org/archive/2011/whc11-35com-9Be.pdf>)

**Part 2** provides the **context** in which the management of cultural heritage is practised. It summarizes the currently evolving thinking about conservation and management of sites, placing emphasis on an integrated approach. It stresses the need to place heritage concerns in a broad framework, to link heritage and sustainable development and to consider a values-led approach as a useful tool for World Heritage management.

**Part 3** describes the particular context for managing World Heritage properties and highlights how World Heritage resources and processes can reinforce management approaches. There are frequent references to the UNESCO *Operational Guidelines for the Implementation of the World Heritage Convention* which aim to facilitate the implementation of the Convention. These are revised periodically; references in this manual are to the 2012 edition. Part 3 also outlines the importance of capacity-building for managing change to management systems and to properties.

**Part 4** is the core of the manual and provides a **common framework** for understanding, documenting and reviewing heritage management systems. This should prove helpful when complying with the requirements of the World Heritage system, or for a general assessment of how effective a given management system is for a cultural property, perhaps when developing or updating a management plan. The concluding section (4.5) proposes a framework for documenting and assessing a management system – this can be usefully linked to section 5 of the World Heritage property nomination format (OG Annex 5).

The ‘how-to’ guidance is delivered in the following appendices:

**Appendix A** uses **management planning** as a framework for property-based management practice. Management planning is perhaps the only tool that addresses the whole management system. Its practical application therefore offers guidance which will be of interest even to those involved in properties where management planning is not being used.

**Appendix B** introduces the *Enhancing our Heritage Toolkit* developed by IUCN.

## 1.2 Essential guidance

### World Heritage

There is available extensive guidance material that explains the World Heritage system, much of it directly relevant to management issues. The manual refers to this material where applicable; but we strongly recommend consulting the resource pages of the World Heritage Centre website, and this should be part of routine heritage management practice. This website (<http://whc.unesco.org>) is an excellent reference source on many aspects of the implementation of the World Heritage Convention. It is regularly updated with new material. In addition to relevant general material, it has much referring to individual properties, including decisions about them made by the World Heritage Committee. It is also worth regularly checking the websites of the three Advisory Bodies (ICCROM, ICOMOS, IUCN) for helpful advice.

The following documents are referred to in this manual, which is essentially a supplement to them.

- The World Heritage Convention and *Operational Guidelines* for its implementation:
  - UNESCO. 1972. *Convention concerning the Protection of the World Cultural and Natural Heritage*. (World Heritage Convention).  
<http://whc.unesco.org/en/conventiontext> (English web page)

- UNESCO World Heritage Centre. 2012. *Operational Guidelines for the Implementation of the World Heritage Convention*.  
<http://whc.unesco.org/en/guidelines/> (English web page)
- UNESCO World Heritage Resource Manuals:
  - UNESCO, ICCROM, ICOMOS and IUCN. 2010. *Managing Disaster Risks for World Heritage*. Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual.)  
<http://whc.unesco.org/uploads/activities/documents/activity-630-1.pdf>  
(English web page)
  - UNESCO, ICCROM, ICOMOS and IUCN. 2011. *Preparing World Heritage Nominations*. (Second edition). Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual.) <http://whc.unesco.org/en/activities/643/> (English web page)
  - UNESCO, ICCROM, ICOMOS and IUCN. 2012. *Managing Natural World Heritage*. Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual.)  
<http://whc.unesco.org/uploads/activities/documents/activity-703-1.pdf>  
(English web page)
- Relevant UNESCO World Heritage Papers:
  - Stovel, H. (ed). 2004. *Monitoring World Heritage*, Paris, UNESCO World Heritage Centre. (World Heritage Papers 10.) <http://whc.unesco.org/en/series/10/>
  - UNESCO World Heritage Centre. 2007. *Climate Change and World Heritage*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 22.)  
<http://whc.unesco.org/en/series/22/>
  - Hockings, M., James, R., Stolton, S., Dudley, N., Mathur, V., Makombo, J., Courrau, J. and Parrish, J. 2008. *Enhancing our Heritage Toolkit. Assessing management effectiveness of Natural World Heritage sites*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 23.) <http://whc.unesco.org/en/series/23/>
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<http://whc.unesco.org/en/series/> (English web page)
  - Mitchell, N., Rössler, M. and Tricaud, P-M. (authors/eds). 2009. *World Heritage Cultural Landscapes: A handbook for conservation and management*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 26.) <http://whc.unesco.org/en/series/26/>
  - van Oers, R. and Haraguchi, S. 2010. *Managing Historic Cities*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 27.) <http://whc.unesco.org/en/series/27/>
- Relevant decisions of the UNESCO World Heritage Committee:
  - UNESCO World Heritage Centre. 2007. *Strategy for Reducing Risks from Disasters at World Heritage properties*. Paris, UNESCO World Heritage Centre. (Doc WHC-07/31.COM/7.2)  
<http://whc.unesco.org/archive/2007/whc07-31com-72e.pdf>
  - UNESCO World Heritage Centre. 2010. *Reflection on the Trends of the State of Conservation*. Paris, UNESCO World Heritage Centre. (Doc WHC-10/34.COM/7C)  
<http://whc.unesco.org/archive/2010/whc10-34com-7Ce.pdf>

- UNESCO World Heritage Centre. 2010. *World Heritage Convention and Sustainable Development*. Paris, UNESCO World Heritage Centre. (Doc WHC-10/34.COM/5D) <http://whc.unesco.org/archive/2010/whc10-34com-5de.pdf>
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### Further reading

There are many publications that address heritage management processes and tools to improve management approaches, in particular management planning. Feilden and Jokilehto's *Management Guidelines for World Cultural Heritage Sites* (1993)<sup>4</sup> is an early example and others are included in the bibliography (see Appendices). In contrast, there is relatively little literature which addresses heritage management systems and how they function. The bibliography lists titles that are useful for World Heritage management.

There are also various resources and learning opportunities on themes related to the management of World Heritage properties provided through the World Heritage Advisory Bodies (ICCROM, ICOMOS and IUCN) and through Category 2 Centres and universities with dedicated research and courses. Readers are encouraged to refer to relevant web sites and web-based resources.

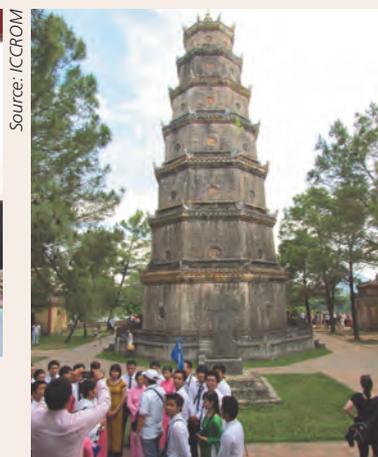
### CASE STUDY

#### **Use of World Heritage Resource Manuals**

The UNESCO Office in Hanoi initiated a project to develop Disaster Risk management plans for three World Heritage properties in Viet Nam in April 2013. The *World Heritage Resource Manuals on Managing Disaster Risks for World Heritage* was used as the basis for the initiative.



Complex of Huế Monuments (Viet Nam)



Source: ICCROM

4. Feilden, B.M. and Jokilehto, J. 1993. *Management Guidelines for World Cultural Heritage Sites*. (First edition). Rome, ICCROM.

# 2 Context: managing cultural heritage

Part 2 defines heritage and the need to manage it. It attempts to set heritage management in a broader context (Part 2.2), looking particularly at its relationship to sustainable development (Part 2.3). It then considers the nature of heritage management systems, and describes what are the two most common approaches to the conservation and management of heritage: what is termed here the 'conventional' approach and an alternative, values-led approach (Part 2.5).

## 2.1 What is heritage? Why manage it?

### Broadening definitions of heritage

Heritage is of increasing significance to each society. Why this is so is not entirely clear but probably it has to do with the increasing speed of modernization and the scale of change in society. In such circumstances, evidence of past societies can provide a sense of belonging and security to modern societies and be an anchor in a rapidly changing world. In many societies, too, heritage can be an important definer of identity. Understanding the past can also be of great help for managing the problems of the present and the future.

The range of what is regarded as heritage has broadened significantly over the last half-century. Heritage properties tended to be individual monuments and buildings such as places of worship or fortifications and were often regarded as standalone, with no particular relationship to their surrounding landscape. Today, there is general recognition that the whole environment has been affected by its interaction with humanity and is therefore capable of being recognized as heritage. It becomes even more necessary to make judgements about what has significance and what does not.

Inevitably, this expansion of the concept of heritage has meant in turn an enormous expansion in the range of types of structures and places treated as heritage. The World Heritage Convention recognizes that heritage can be defined as 'monuments, groups of buildings and sites'. In practice, a broad set of typologies has developed that includes: urban centres, archaeological sites, industrial heritage, cultural landscapes and heritage routes. This greatly increases the range of places and landscapes that has to be managed by heritage managers and thus widens the range of skills required. It also greatly increases the type and number of threats that can have an adverse impact on heritage places. Apart from direct threats to the fabric or components of the heritage place itself, it is much more common for places to be threatened by adverse developments in their surroundings. In these circumstances, decisions taken for wider economic or social benefits must be compatible with the well-being of the heritage place.

The recognition that heritage places are not isolated has led to their surroundings being addressed both as a physical setting and as a series of social, economic and environmental threats and opportunities (see Part 2.4). What happens in those surroundings can have an impact on the heritage place and its significance. This means that a heritage management system and all those involved in it must have the capacity for influencing decisions about what takes place there (see Part 2.5). Change in the surroundings is probably inevitable but it should not damage the values (in the case of a World Heritage property, the OUV) of the heritage place. It can in fact be a catalyst that unlocks new forms of support, in turn affecting significance.

### Defining physical boundaries – the property and the setting

Protecting and sharing heritage require management strategies that define and monitor property boundaries but also address the setting in which the property is located. For World Heritage properties, this could be a precisely identified and regulated buffer zone (OG paras103-107) or it might extend to include a larger 'area of influence' (OG para104).<sup>5</sup>

The values of the property, and above all the OUV, are the primary parameters for defining the physical area(s) that management strategies need to address and for defining the varying levels of control necessary across those areas. Distant views from the property (for example, the view of the volcano Vesuvius from Pompeii in Italy) or views of the property from certain arrival routes (e.g. the Taj Mahal in India) could be important to maintaining values.

However, other parameters will influence the definition of the physical area(s), including:

- the type of threats and their relative timeframes (e.g. the impact of vandalism, uncontrolled development of the built environment, climate change);
- the extent to which the management strategy involves local communities and other stakeholders (a successful participatory approach can permit reduced levels of control);
- the extent to which the management system embraces sustainable management practice (see Part 2.3).

This recognition that physical boundaries are no longer where the property boundary falls but are in fact a series of layers undoubtedly favours protection, but it creates new management challenges. It is also an acknowledgement that heritage places depend on their setting (and vice versa).

## 2.2 Placing heritage concerns in a broader framework

The expanding concept of heritage and the increased importance given to how heritage places relate to their surroundings mark an important shift in thinking. Heritage places cannot be protected in isolation or as museum pieces, isolated from natural and man-made disasters or from land-use planning considerations. Nor can they be separated from development activities, isolated from social changes that are occurring, or separated from the concerns of the communities.

Indeed, only fairly recently has the international community begun to appreciate the importance of conserving cultural heritage as places where social and cultural factors have been and continue to be important in shaping them, rather than as a series of monuments offering physical evidence of the past. As a result, international 'good' practice, often led by Western management practice, has at times provided insufficient guidance and has risked eroding rather than reinforcing good traditional heritage management systems, particularly those in place for historic centres or other cultural sites which host ongoing multiple land and property uses.

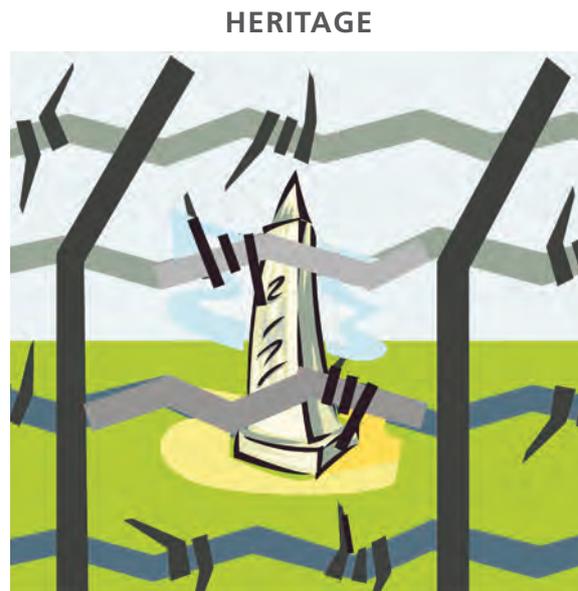
The wider scope of heritage nowadays has led to many more players or stakeholders being involved in its management. When heritage places were primarily monuments or buildings under public control, the property manager could have a relatively free hand within the site's boundaries. This is no longer the case. Even if a heritage place is publicly owned and managed, the site manager will still need to work with the stakeholders and authorities involved

5. Martin, O. and Piatti, G. (eds). 2009. *World Heritage and Buffer Zones, International Expert Meeting on World Heritage and Buffer Zones, Davos, Switzerland*, 11–14 March 2008. Paris, UNESCO World Heritage Centre. (World Heritage Papers 25).

## 2 Context: managing cultural heritage

in the area around the site. For more diffuse heritage properties, ownership will be much more widely spread. In a heritage city, for example, the bulk of the historic buildings will be privately owned and many will be used for non-heritage purposes. Areas of large rural sites will also be privately owned and may be farmed for crops or livestock. Local communities may depend for their livelihood on such beneficial uses of heritage places. Heritage practitioners will need to deal with a wide range of public authorities over issues such as spatial planning and economic development policy.

This means that heritage practitioners cannot act independently and without reference to other stakeholders. It is essential that the heritage bodies work with other stakeholders as far as possible to develop and implement an agreed vision and policies for managing each heritage place within its broader physical and social context. This places a high premium on collaborative working and the full and transparent involvement of stakeholders that is recommended in the OG. Any management system, including the development and implementation of a management plan, needs to provide for this.



**Diagram 1:** The result of heritage management if viewed solely as a question of custodianship and guardianship

### **The wider obligations of heritage management**

Multiple objectives now characterize the management of most cultural properties. This means that a wide array of institutional and organizational frameworks (and obstacles), social outlooks, forms of knowledge, values (both for present and future generations, often conflicting) and other factors need to be evaluated. These factors often work in a complex mesh and establishing and maintaining suitable management approaches is all the more difficult. Overcoming this challenge is vital for the future of the cultural property being managed.

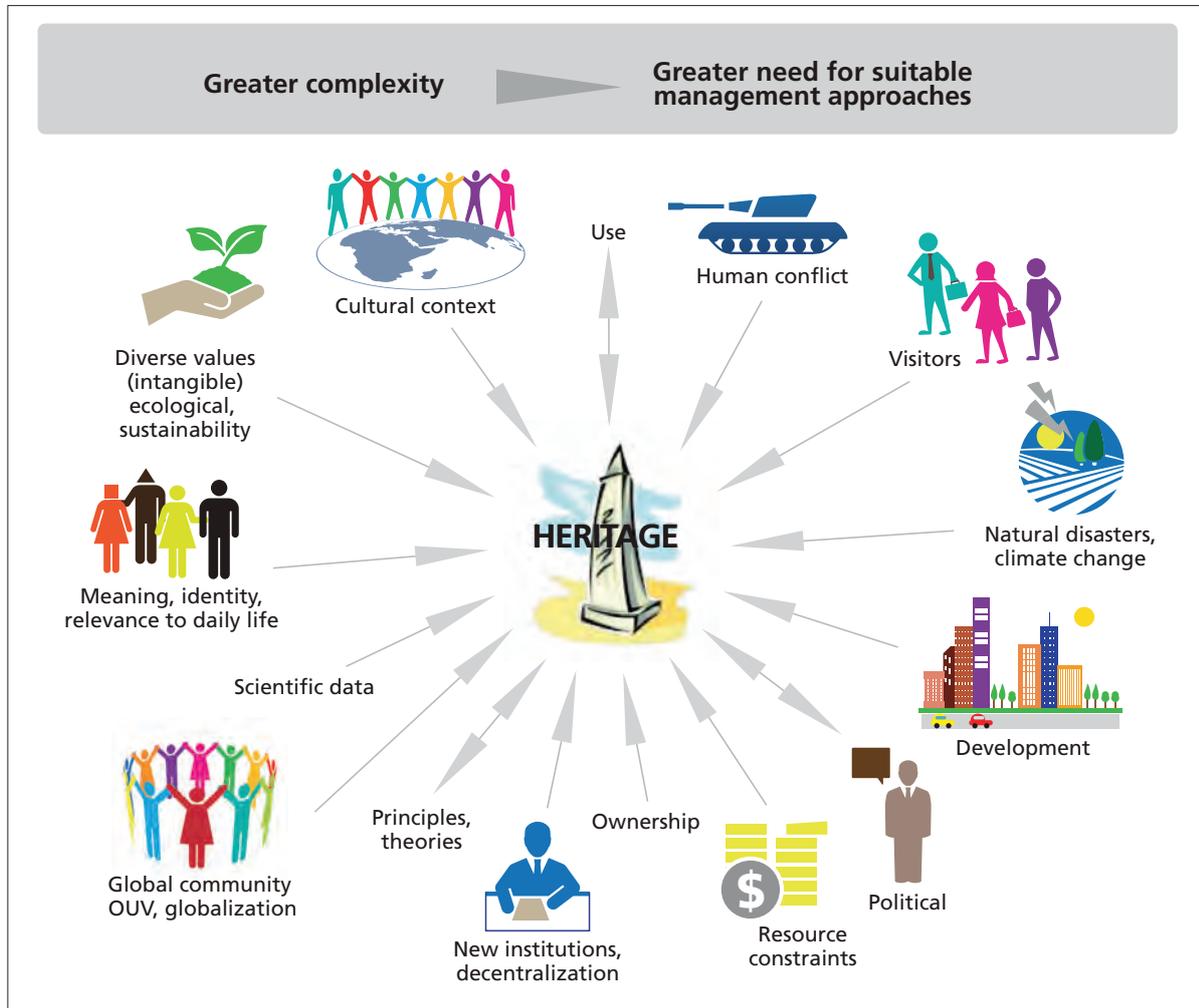


Diagram 2: Some examples of old and new issues in heritage management

### An inclusive approach

Increased participation is necessary to address such multiple objectives: greater complexity requires advances in management practice. It should not, however, be assumed that a top-down approach is the only way to handle multiple issues. The term 'management' has been used in a very broad way in the heritage sector: as issues become more complex, there is a need to be more precise. Management approaches must accommodate the shift (which has only emerged very recently in many parts of the world) to a wider, more inclusive approach to heritage management and to a greater emphasis on community engagement.

Though prepared for natural sites, the 'new paradigm for protected areas' developed by Adrian Phillips and re-presented in the IUCN *Guidelines for Management Planning of Protected Areas*<sup>6</sup> in 2003 highlights very effectively the increased importance placed in recent years on a wider, more inclusive approach to heritage management and on community engagement. (In some parts of the world this was already happening.) Much of this guidance applies to cultural sites too.

6. Thomas, L. and Middleton, J. 2003. *Guidelines for Management Planning of Protected Areas*. Gland, Switzerland, IUCN and Cambridge, UK. <http://data.iucn.org/dbtw-wpd/edocs/PAG-010.pdf> (English web page).

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**Table 1. A new paradigm for protected areas (A. Phillips)<sup>7</sup>**

Topic	As it was: protected areas were...	As it is becoming: protected areas are...
Objectives	<ul style="list-style-type: none"> <li>• Set aside for conservation</li> <li>• Established mainly for spectacular wildlife and scenic protection</li> <li>• Managed mainly for visitors and tourists</li> <li>• Valued as wilderness</li> <li>• About protection</li> </ul>	<ul style="list-style-type: none"> <li>• Run also with social and economic objectives</li> <li>• Often set up for scientific, economic and cultural reasons</li> <li>• Managed with local people more in mind</li> <li>• Valued for the cultural importance of so-called 'wilderness'</li> </ul>
Governance	<ul style="list-style-type: none"> <li>• Run by central government</li> </ul>	Run by partners and involve an array of stakeholders
Local people	<ul style="list-style-type: none"> <li>• Planned and managed against people</li> <li>• Managed without regard to local opinions</li> </ul>	<ul style="list-style-type: none"> <li>• Run with, for, and in some cases by local people</li> <li>• Managed to meet the needs of local people</li> </ul>
Wider context	<ul style="list-style-type: none"> <li>• Developed separately</li> <li>• Managed as 'islands'</li> </ul>	<ul style="list-style-type: none"> <li>• Planned as part of national, regional and international systems</li> <li>• Developed as 'networks' (strictly protected areas, buffered and linked by green corridors)</li> </ul>
Perceptions	<ul style="list-style-type: none"> <li>• Viewed primarily as a national asset</li> <li>• Viewed only as a national concern</li> </ul>	<ul style="list-style-type: none"> <li>• Viewed also as a community asset</li> <li>• Viewed also as an international concern</li> </ul>
Management techniques	<ul style="list-style-type: none"> <li>• Managed reactively within a short timescale</li> <li>• Managed in a technocratic way</li> </ul>	<ul style="list-style-type: none"> <li>• Managed adaptively in a long-term perspective</li> <li>• Managed with political considerations</li> </ul>
Finance	<ul style="list-style-type: none"> <li>• Paid for by taxpayer</li> </ul>	Paid for from many sources
Management skills	<ul style="list-style-type: none"> <li>• Managed by scientists and natural resource experts</li> <li>• Expert led</li> </ul>	<ul style="list-style-type: none"> <li>• Managed by multi-skilled individuals</li> <li>• Drawing on local knowledge</li> </ul>

### Implications of an integrated approach to heritage management

The following overview of the implications of an integrated approach to management of natural heritage comes from Australian research but is also relevant to cultural heritage management.<sup>8</sup> In their analysis they interpret the integrated approach in three different ways: as a philosophy, as a process and as a product.

7. Phillips, A. 2003. 'Turning ideas on their head: the new paradigm for protected areas', in: *The George Wright Forum* 20, No. 2. 2003, pp.8-32. <http://www.uvm.edu/conservationlectures/vermont.pdf>

8. Wijesuriya, G. 2008. 'An Integrated Approach to Conservation and Management of Heritage', in: *ICCROM Newsletter* 34, 2008, p.8. Rome, ICCROM.

Table 2. *Integrated approach*

Placing heritage & protection concerns in a broader framework: an integrated approach to heritage management <sup>9</sup>		
1. Principles <i>Pooling resources</i>	2. As a process <i>Flexibility in institutional frameworks</i>	3. As a product <i>Legislative innovation</i>
<ul style="list-style-type: none"> <li>• Cooperative approach requiring shifts in organization, cultures and participants attitudes</li> <li>• Integration across information and resources               <ul style="list-style-type: none"> <li>- Best use of all information sources</li> <li>- Across disciplines and sectors</li> <li>- Identify major issues</li> <li>- Documentation quality</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Facilitate coordination between agencies, local governments, community groups</li> <li>• Integration across agencies               <ul style="list-style-type: none"> <li>- Regard for other plans</li> <li>- Relationship with other plans explained</li> <li>- Consultation</li> <li>- Consultation with public</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Facilitate the development of complementary regulatory instruments</li> <li>• Integration across legislation               <ul style="list-style-type: none"> <li>- Legislative requirements for integration</li> <li>- Rationale for integration</li> <li>- Relationship with other legislation explained</li> <li>- Monitoring requirements</li> </ul> </li> </ul>

The research showed that changes were needed in different areas to permit an integrated approach. They grouped them into three key management areas – legislative aspects, institutional frameworks and the deployment of resources (see text highlighted in red) – which will be explored further in Part 4 (see 4.2).

### Achieving broad participation: how to make all stakeholders visible and engaged

A participatory approach to management is being promoted in various sectors but particularly in the heritage sector, given the perception of heritage as the shared property of communities and a factor in ensuring the sustainability of those communities. The ownership of a heritage property may be widely diverse, particularly in urban areas or cultural landscapes. This is even more important for World Heritage properties where the identification of OUV implies even broader obligations and ownership, with heritage perceived as the collective property of mankind as a whole, involving an international element in management.

Helpful references on these topics are the World Heritage Papers no. 13, entitled *Linking Universal and Local Values: Managing a Sustainable Future for World Heritage*;<sup>10</sup> No. 26, entitled *World Heritage Cultural Landscapes: A handbook for conservation and management*;<sup>11</sup> and No. 31 entitled *Community Development through World Heritage*.<sup>12</sup> They bring together interesting papers, a series of recommendations (some of which have influenced revisions of the OG for World Heritage), and an overview of how much thinking has changed in recent years.

- Mitchell, B. and Hollick, M. 1993. 'Integrated Catchment Management in Western Australia: The Transition from Concept to Implementation', in: *Environmental Management*, Vol. 17 Iss: 6, 1993. pp. 735-43. Springer-Verlag.
- de Merode, E., Smeets, R. and Westrik, C. (eds). 2004. *Linking Universal and Local Values : Managing a Sustainable Future for World Heritage*. Paris, UNESCO World Heritage Centre. (World Heritage Paper 13) <http://whc.unesco.org/en/series/13/>
- Mitchell, N., Rössler, M. and Tricaud, P-M. (authors/eds). 2009. *World Heritage Cultural Landscapes: A handbook for conservation and management*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 26). <http://whc.unesco.org/en/series/26/>
- Albert, M.-T., Richon, M., Viñals, M.J. and Witcomb, A. (eds). 2012. *Community Development through World Heritage*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 31). <http://whc.unesco.org/en/series/31/>

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Information from the field shows that, in practice, heritage management systems are often failing to involve local counterparts. Even when community involvement does take place, the level of participation in decision-making and the capacity of local stakeholders actually to engage and make contributions are often limited.

However, there are many factors that can hinder a participatory approach and render ineffective attempts at local community involvement at heritage properties: the management system itself, a power imbalance between stakeholders or political and socio-economic factors in the wider environment (poverty and civil unrest, or even deep-seated cultural values), are some examples.

Furthermore, a participatory approach that fails to engage all interest groups, particularly those who are often marginalized – women, youth and indigenous peoples are common examples – can actually do more damage than good. It can lead to flawed projects because heritage specialists may have failed to be properly informed about important aspects, or because of misunderstandings that then delay or block projects. The World Heritage Manual dedicated to Managing Tourism<sup>13</sup> has a useful chapter on 'Involving stakeholders: the benefits and challenges of public participation'.

An effective participatory approach that delivers reciprocal benefits to the cultural property and to society depends on understanding:

- Who participates in decision-making, assessment, planning, implementation and evaluation processes, and how,
- Who contributes with experience, knowledge and skills, and how,
- Who benefits economically, socio-culturally and psychologically, and how.

In complex cases, this may call for in-depth studies of the political, socio-economic, legal and institutional context. Indeed, each interest group may need to be broken down into its component parts (or socio-cultural groups) because these include factors (gender, ages, class, language, origin, schooling, religion, etc.) which determine the nature of their contributions, and can thereby facilitate engagement in cultural heritage issues.

Similarly, it is important to understand who already has access to decision-making, information, education, etc. and who has not. If it is not clear what barriers are hindering access, an evaluation process should lead to corrective measures. This evaluation should be undertaken within the excluded interest group as much as within the heritage sector. Thus different social components will become visible so activities can be targeted in such a way that the contribution, ownership and participation of as many stakeholders as possible can be guaranteed. If it emerges that women, for example, are being excluded, it may be necessary to integrate gender equality as a formal consideration in all planning, implementation and monitoring processes in order to make this particular group visible and to harness their potential contributions, skills and needs while overcoming their difficulties.

Participatory processes often demand a readiness to accept difficult compromises and negotiate trade-offs. The neutrality and leverage of wider collaborations and cooperation in support of the cultural heritage property can facilitate this often difficult process.

Initiatives aimed at creating new forms of participation in heritage or reinforcing existing ones by working with stakeholders and wider interest groups are often known as a 'participatory approach'. These issues are explored further in Part 4 and Appendix A.

13. Pedersen, A. 2002. *Managing Tourism at World Heritage Sites: a Practical Manual for World Heritage Site Managers*. Paris, UNESCO World Heritage Centre. (World Heritage Manual 1.) <http://whc.unesco.org/en/series/1/> (English web page).

### 2.3 Heritage conservation and sustainable development<sup>14</sup>

The previous sections (2.1 and 2.2) considered how heritage places depend on their surroundings and how, ultimately, this is a form of mutual dependence. Local communities will often depend on their heritage – whether for social identity or for their entire livelihood – but they can also deliver benefits to the heritage, its cultural values and its management. The role of cultural heritage in sustainable development can be considered the culmination of such issues and is one of the most pressing concerns of heritage management in the modern world.

To understand the contribution that World Heritage properties can make to society and to local and national economies is all the more urgent as greater importance is given to sustainable use and benefit-sharing for heritage. In recent years, as a result of major phenomena such as globalization, demographic growth and development pressure, the cultural heritage sector has started to reflect on the relationship between conservation and sustainable development. This was triggered by the realization that, in the face of these new challenges, heritage could no longer be ‘confined to the role of passive conservation of the past’, but should instead ‘provide the tools and framework to help shape, delineate and drive the development of tomorrow’s societies’.<sup>15</sup> It reflected, as well, a tendency to consider ‘living’ sites as part of the heritage, rather than only monuments. These living heritage sites are considered important not only for what they tell us about the past, but also as a testimony to the continuity of old traditions in present-day culture and for providing implicit evidence of their sustainability.

The link between heritage and sustainable development is interpreted in different ways, depending on the specific perspectives of the various players, and a certain degree of ambiguity exists. Should property management contribute to sustainable development or simply guarantee sustainable practices? Will heritage management systems also be evaluated in future on the basis of how they contribute<sup>16</sup> to targets such as the United Nations Millennium Development Goals.<sup>17</sup>

#### The concept of sustainable development

As one of the most important paradigms of our time, sustainable development refers to a pattern of resource use that balances the fulfillment of basic human needs with the wise use of finite resources so that they can be passed on to future generations for their use and development. Since the Rio Earth Summit in 1992, the paradigm of sustainable development has been broadened to include three constituent but mutually supportive elements; environmental protection, economic growth and social equity. The importance of an effective system of governance has also been stressed, including a participatory, multi-stakeholder approach to policy and implementation.

Sustainable development is today the universally agreed and ubiquitous goal of nearly all development policies at local, national and global levels. New approaches, stemming from recent research, are introducing innovative ways of expressing the concept of social

14. Boccardi, G. 2012. *Introduction to Heritage and Sustainable Development*. Paper presented at Special Module on Sustainable Development during ICCROM’s course on Conservation of Built Heritage.

15. ICOMOS. 2011. *17th General Assembly and Scientific Symposium, ‘Heritage, Driver of Development’ 27 November – 2 December 2011*. in: *ICOMOS News*, Vol. 18, No.1, p.9. Paris, ICOMOS.

16. In 2011, a number of additions were made to the *Operational Guidelines* which refer to sustainable development, notably in paragraphs 6, 112, 119, 132, as well as in Annex 5, points 4.b and 5.e. These amendments are aimed on one hand at ensuring that any use of World Heritage properties be sustainable with respect to the imperative of maintaining their OUV (thus, a narrow definition of sustainability), and on the other hand to affirm, as a principle, the idea that management systems of WH properties should ‘integrate sustainable development principles’.

17. United Nations Millennium Goals to be met by 2015, <http://www.un.org/millenniumgoals/bkgd.shtml>

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sustainability, and terms such as ‘well-being’, ‘good-life’ or even ‘happiness’, are finding their way into governmental policies and statistics, focusing on subjective and qualitative indicators, rather than on purely quantitative ones.<sup>18</sup> This fundamental principle was recognized in paragraphs 30, 58 and 134 of the outcome document of Rio+20, ‘The Future We Want’.<sup>19</sup>

### The relationship between cultural heritage conservation and sustainable development

In relation to cultural heritage, the issue of sustainable development can be understood in two ways:

1. As a concern for sustaining the heritage, considered as an end in itself, and part of the environmental/cultural resources that should be protected and transmitted to future generations to guarantee their development (intrinsic).
2. As the possible contribution that heritage and heritage conservation can make to the environmental, social and economic dimensions of sustainable development (instrumental).

The first approach rests on the assumption that cultural heritage and the ability to understand the past through its material remains, as attributes of cultural diversity, play a fundamental role in fostering strong communities, supporting the physical and spiritual well-being of individuals and promoting mutual understanding and peace. According to this perspective, protecting and promoting cultural heritage would be, in terms of its contribution to society, a legitimate goal per se.

The second approach stems from the realization that the heritage sector, as an important player within the broader social arena and as an element of a larger system of mutually interdependent components, should accept its share of responsibility with respect to the global challenge of sustainability. In the current context of mounting pressure from human activities, reduced financial and environmental resources and climate change, the contribution of heritage protection to sustainability and sustainable development could no longer be taken for granted, but should be demonstrated on a case-by-case basis through each of the three ‘pillars’: the social, the economic and the environmental dimensions.<sup>20</sup>



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**‘World Heritage is a building block for peace and sustainable development. It is a source of identity and dignity for local communities, a wellspring of knowledge and strength to be shared.’**

*Irina Bokova – Director-General of UNESCO.  
18th General Assembly of States Parties  
to the World Heritage Convention.*

18. An example is the the Royal Government of Bhutan’s Commission for Gross National Happiness, <http://www.gnhc.gov.bt/mandate/>

19. Accessible online at: <http://www.uncsd2012.org/content/documents/727The%20Future%20We%20Want%2019%20June%201230pm.pdf>

20. Boccardi, G. 2007. *World Heritage and Sustainability; Concern for social, economic and environmental aspects within the policies and processes of the World Heritage Convention*. London, M.Sc. dissertation, UCL Bartlett School of the Built Environment.

The potential of heritage to contribute to environmental protection, social capital and economic growth is being increasingly recognized. The artificial isolation of heritage concerns from other sectors would be simply unfeasible, since external factors would 'continue to penalize heritage practice just as isolated heritage management decision-making would penalize the relationship of heritage to its context'.<sup>21</sup>

This is evident in the factors that have affected the state of conservation of World Heritage properties over the past few years (see Part 3.7). The statistics indicate that, in the great majority of cases, the problems responsible for the deterioration of these properties came from 'beyond the confines of the site, and the manager in place, however good, (had) limited capacity for change'.<sup>22</sup> Contributing to sustainable development, within this perspective, would be not only an ethical obligation for the heritage sector, but in the long term a matter of survival, especially in the present financial crisis, where public expenditure for conservation is increasingly difficult to justify.

Emphasis on the first argument (cultural heritage as a legitimate end in itself), when not corroborated by evidence of the contribution of heritage to the other basic constituents of human well-being such as employment creation or other material benefits, has often placed heritage conservation in a sort of 'special reserve' of under-funded good intentions. The assumption that heritage places, including of course the 'sustainable land-use' mentioned in the *Operational Guidelines* for cultural landscapes, represent models of development that are inherently sustainable remains to be demonstrated, particularly when priority is given to 'protection' and acceptable limits for change are not determined. This has led to a concern that, unless its contributions to the other three pillars are clearly articulated and recognized, heritage risks remaining a marginal field in the wider framework of sustainable development.

Some have suggested, on the other hand, that too much attention is already being paid to socio-economic 'development', and that it is crucial to save as much as possible of the heritage that has survived until now, irrespective of the immediate benefits that it may yield to local communities, since this is a fundamental asset of the capital that will guarantee the development of future generations. They advocate a strong stance in favour of conservation as a legitimate goal in itself, particularly for some outstanding places such as those included in the World Heritage List. Socio-economic benefits deriving from heritage properties, in this perspective, would be of course desirable, but not strictly necessary to justify their conservation. The implications of taking the second approach (i.e. heritage to contribute to the three pillars of sustainable development) are significant for the sector, involving a shift in many parts of the world in the very philosophical and ethical standpoint of conservation.

There would be also important consequences for the theory and practice of the discipline. Heritage practitioners must understand the multiple linkages between heritage and the wider economic, social and environmental dimensions that clarify the processes of their mutual interaction and act accordingly. They have to engage with a wide range of people with different backgrounds and expertise, and a broader group of stakeholders must be considered. Decisions about heritage conservation would no longer be left in the hands of heritage experts, but discussed among many counterparts, based on solid arguments and shared goals, to reach compromises.

What is probably required is a combination of the two approaches, which are not mutually exclusive; on one hand, reaffirming the cultural value of heritage by rendering more explicit

21. Boccardi, G. 2012. *Introduction to Heritage and Sustainable Development*. Paper presented at Special Module on Sustainable Development during the ICCROM's course on Conservation Built Heritage.

22. Ibid.

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its contribution to society in terms of well-being and happiness;<sup>23</sup> and on the other hand, exploring the conditions that would make heritage a powerful contributor to environmental, social and economic sustainability, with its rightful place as a priority in global and national development agendas.

Embracing initiatives that deliver mutual benefits to the property and its surroundings may not seem essential to the protection of the OUV, but may prove important in the long term because they tie the property into its context in a positive and enduring way, thus favouring its long-term survival. For example, the mutual benefits of promoting local skills to conserve the property, rather than training new talent from elsewhere, may only emerge in a long timeframe.

### ***Integrating sustainability: an example***

*The National Trust of England, Wales and Northern Ireland is a not-for-profit heritage organization with a remit for cultural, natural and mixed sites. It has decided to integrate sustainability concerns into its operations and decision-making processes. The tool that it has developed addresses sustainable development concerns, comprehensively integrating its use into the heritage management system for managing change (planning) and for monitoring operations. The evaluation of the impact of decisions and approaches from three perspectives – people, finance and environment – has become an important check criterion for its heritage management processes. The tool, known as the Triple Bottom Line Tool, is modelled on the idea that there needs to be a balance between economic benefit, societal gain and the environment for an organization and the heritage in its care to be sustainable in the long term and for heritage benefits to be harnessed.<sup>24</sup>*



© Valerio Li Vigni

*Studley Royal Park including the Ruins of Fountains Abbey (United Kingdom)*

### **2.4 The need for heritage to be managed**

The increasing involvement of society as a whole with heritage means that it is no longer, if indeed it ever was, the preserve of academics and antiquarians. Nowadays, communities are increasingly involved in their heritage. Cultural properties have important social and economic functions and some continue to maintain strong links with communities with added tangible and intangible expressions of value. Cultural heritage often remains in use for its original purpose. Places of worship, residential properties, cultural landscapes or institutions of various types are some examples. Many other heritage places have been adapted for new uses, providing them with a function that guarantees their continuing maintenance and relevance to society.

23. The increasing emphasis on quality of life and well-being as the ultimate goals of development in global and national development agendas suggests that aspects such as creativity, spiritual fulfilment, knowledge and beauty might find their way into official statistics on social sustainability by making 'culture' and heritage legitimate and significant constituents of sustainable development.

24. Lithgow, K. 2011. 'Sustainable decision-making: change in National Trust collections conservation', in: *Journal of the Institute of Conservation*, Vol. 34, No. 1, 2011, pp. 128-142. London, ICON.

There is increasing emphasis too on the contribution that heritage can make to sustainable development and to social cohesion. This is coupled with the increasingly wide scope of what can be regarded as heritage, including, for example, entire landscapes, urban centres, former industrial and military establishments as well as what has traditionally been regarded as heritage, such as archaeological sites, ruins and great buildings.

The complexity surrounding heritage should therefore compel society to engage in its holistic management rather than to conserve only specific structures, as happened in the past. With the greatly widened scope of what is regarded as heritage, the increasing complexity of the problems facing it, and the need to use it sustainably, whether for tourism or for other purposes, care of the heritage inevitably involves making decisions about what change is, or is not, acceptable. The need to make choices between different alternatives has meant that approaches to the management of heritage areas are changing. Increasingly, it is necessary to identify the particular values (see Part 2.5) of a heritage property in order to decide how it can be changed without having an adverse impact on its values. Managing heritage is increasingly demanding and, at the same time, the outputs and outcomes expected from the management processes are ever greater.

**Table 3. Overview: the greater demands of and on the management of heritage**

**The multiple objectives that characterize the growing role of cultural heritage:**

Conserving our common past through conventional approaches, i.e. the things we need to do for the property.

Cultural properties maintaining important social and economic functions.

Cultural properties maintaining strong links with communities and contributing to society.

Conserving the added tangible and intangible expressions which result.

**The wider obligations of heritage management which result:**

Promoting cultural diversity.

Protecting the natural environment (particular ecosystems in and around sites).

Protecting less tangible assets within properties (communities, cultures and knowledge).

Providing vitality to communities.

Permitting continuing compatible land uses or economic activity.

More and more importance is being given to the overall framework that defines the management system and the management culture (see Part 4).

### What we mean by a 'management system' for cultural heritage

'Management' is about processes – the 'judicious use of means to accomplish an end',<sup>25</sup> a meaning compounded by the etymology of the word.<sup>26</sup>

The term 'management system' can be explained as a series of processes which together deliver a set of results, some of which feed back into the system to create an upward spiral of continuous improvement of the system, its actions and its achievements. Some form of

25. Definition provided by [www.merriam-webster.com/dictionary/management](http://www.merriam-webster.com/dictionary/management)

26. 'The verb manage is thought to come from the Italian *maneggiare* – to handle, manage, touch, treat – which in turn derives from the Latin *manus* (hand). The Old French word *mesagement* (later *ménagement*) – the handling or training of horses – influenced the development in meaning of the English word management in the 17th and 18th centuries.' [en.wikipedia.org/wiki/Management](http://en.wikipedia.org/wiki/Management) – Oxford English Dictionary.

T. F. Hoad. 'manage.' *The Concise Oxford Dictionary of English Etymology*. 1996. Encyclopedia.com. (February 20, 2012). <http://www.encyclopedia.com/doc/1O27-manage.html>

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cultural heritage management system(s) exist(s) in every country. These management systems are diverse; some have existed unchanged for centuries whilst others have evolved a great deal in recent times. Some operate at a national level, others at provincial, local and property levels. There are informal, conservation decision-making mechanisms for heritage in some parts of the world that might not correspond with the mainstream heritage sector view of a management system but they are systems all the same.

A **'management system for cultural heritage'** helps to conserve and manage a given property or group of properties in a way that protects heritage values, in particular the OUV if it is a World Heritage property, and, where possible, enhances wider social, economic and environmental benefits beyond the confines of each property. This wider engagement deters practices detrimental to the cultural heritage but also facilitates the identification and promotion of a property's heritage values. Moreover, it delivers a constructive role for cultural heritage in enhancing human development which in the long-term will bring a return, augmenting the sustainability of the cultural heritage itself (see Part 2.3).

The future success of heritage management systems, in particular for World Heritage, depends greatly on their ability, amongst other things, to:

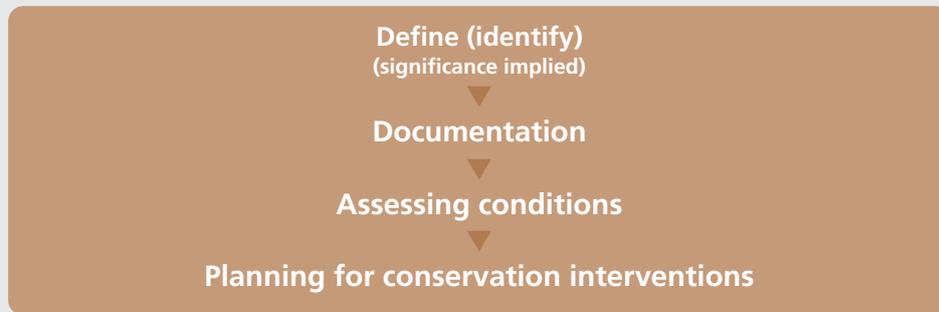
- employ a values-led approach (see Part 2.5),
- deliver approaches that anticipate and manage change,
- invest in the relationship between heritage and society, constantly examining why and how cultural heritage should be conserved and for whom and with whom.

### 2.5 Approaches to heritage conservation and management

Whatever management system, be it informal or well documented, is in use or developed, it is necessary to have an agreed basis for managing heritage. In recent decades there have been two main approaches: one is what we call here the 'conventional' approach, and the other the 'values-led' approach, which is increasingly predominant, being, perhaps, the more adaptable. The two approaches are not mutually exclusive. Many management systems contain elements of both approaches. Here we compare and contrast the two approaches and attempt to explain why the values-led approach is the more appropriate one for conserving and managing World Heritage properties.

#### The 'conventional' approach

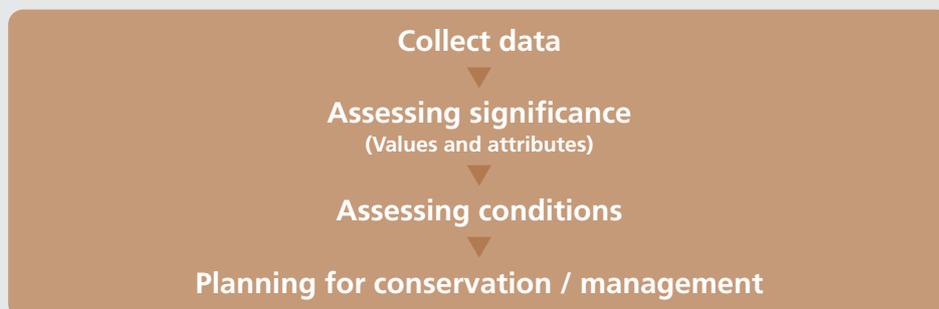
The 'conventional' approach refers to the methodology adopted by the conservation professionals with the birth of the modern conservation movement in the Western world. The main focus was placed on the conservation of the materials or the fabric of the past, which was identified as monuments and sites to be preserved for the sake of future generations. Conservation experts themselves began to identify and define what needed to be protected (which was later supported by legislation established for the purpose by individual countries). Examining the existing condition of the fabric led to various interventions for prolonging the life of the materials. In the middle of the 20th century, this approach received global recognition through doctrines such as the Venice Charter and the work of organizations such as ICOMOS.

**Table 4.** *Conventional approach to planning*

This approach has been widely adopted worldwide and has had both beneficial and disadvantageous aspects. The recently developed values-led approach seems to be gaining popularity for its ability to address some of the complexities surrounding heritage and in particular its applicability to World Heritage.

### The values-led approach

The values-led approach is, in many ways, a response to the recognition of the increasing complexity of heritage. It evolved in various parts of the world, for instance in Canada and the USA, and became better known through the Burra Charter, first developed by ICOMOS Australia in 1979 and subsequently updated. The Charter promoted the assessment of the significance of a place – based on the values attributed by all stakeholders (not only by the experts) and the use of a Statement of Significance – as a basis for developing conservation and management strategies. This concept was developed further by the work on Conservation Plans of James Kerr (1982). He brought a systematic approach to developing conservation and management plans based on values and, more importantly, on the cultural significance of a heritage place to society. This approach adopts the premise that people in society ascribe various values to heritage.

**Table 5.** *The values-led approach to planning*

This approach has been further developed elsewhere, for example by English Heritage in its Guidance on Conservation Plans:

### English Heritage Guidance on Conservation Plans (1998)

#### SHEFFIELD TEMPLATE FOR A MODEL CONSERVATION PLAN

This is simply a suggested list of headings for a Conservation Plan. You may need to adapt it to your own requirements and the needs of your own particular site or benefit from finding other approaches.

- 1. Summary.** A brief single page statement summarising the main conclusions of the plan.
  - 2. Introduction.** Circumstances of plan; Scope of plan (including boundary of study); Limitations of study; Authorship; Relationship with any other relevant plans, Who has been consulted on plan; When and by whom plan adopted.
  - 3. Understanding the site.** An analysis of the site which draws together documents and physical evidence (archaeology, architecture, landscape etc.) as well as ecological; information in a way which is relevant to management. Illustrated with images, maps, and phase plans. Brief history of site. Main historical building or land use phases (supported by maps or plans). Description of important features: Topographical and landscape setting. Main features of site (e.g. buildings, principal rooms or spaces, character areas, landscape features, planting, habitats, collections, machinery) Other relevant information (e.g. geology, ecology) Documentation, (sources & archives).
  - 4. Assessment of Significance.** Assesses the significance of the site both general and in detail for each of the main components of the site, making specific value judgements about the degree of historical, ecological, geological, cultural, aesthetic, archaeological, technological, social and other types of significance.  
Overall summary of significance (1 side A4) Statutory status of all or parts Significance by cultural/land use phase Significance by component/area/ compartment (may be table or descriptive) other values or way site is significant (e.g. community)
  - 5. Issues/Vulnerability.** Defines those issues which affect the significance of the site or have the potential to do so in the future, including physical condition, owners objectives, present use, boundaries, available resources, external factors, existing knowledge of site, past damage, public and community expectations, access, statutory controls and potential conflicts. Background to site (legal ownership, occupancy, access, designation) Setting; Landscape; Buried archaeology; Built Structures; Interiors; Collections; Nature Conservation; Role in Community.
  - 6. Conservation Policy.** Puts forward policies or 'vision' for the conservation of site which show how you will identify appropriate uses, satisfy statutory requirements, work with resources, priorities repair, resolve conflicts, define a conservation philosophy, enhance public appreciation, maintain and manage site and control intervention so as to retain significance. Policies may also relate to the provision of new services, new uses or the philosophy of new design. Be imaginative!  
Statutory controls, relevant planning and other policies Relevant non-statutory guidance Conservation Policies; Setting; Landscape; Buried archaeology; Built structures; Interiors- Collections; Ecology; Presentation, interpretation and education; Visitor management (including disabled access, use, facilities); Role in the community; Future research.
  - 7. Implementation and review.** Identifies next steps, including strategy for implementing Conservation Plan (e.g. development of a scheme- Explains how and by whom plan will be reviewed).
- Strategy.** The Conservation Plan may be followed by various strategy documents including options appraisal for a new scheme, restoration proposals and costings, management proposals or an impact assessment of an existing scheme, measured against the Conservation Plan.

••• **Sources.**

**Appendices.** include copies of relevant maps, designation documents, extracts from policy documents, site survey, technical information, drawings and other information not readily available. Use the appendices to keep the main body of the text brief.

*(from Kate Clark, Institute of Historic Building Conservation Context 57 – March 1998)*

More and more countries are turning towards a values-led approach to heritage conservation. In this approach, the significance of a heritage property is first established in a participatory process involving all those who have an interest in it. Having defined the significance (statement of significance), this becomes the framework for developing conservation policy and strategy where the condition of the property, rules and regulations, the needs of the communities, etc. are taken into account.

The World Heritage Convention is in fact an early example of a values-led approach since, from the outset, its implementation has focused on the identification and protection of OUV which is the significance that makes a place of importance to all humanity. The aim of managing World Heritage properties is therefore to guarantee the protection or the long-term maintenance of the OUV of a given property.

This values-led approach is therefore very suitable for the conservation and management of World Heritage sites; Part 3 explores this in more detail. A values-led approach has the benefit of not concentrating on fabric alone but on a broader set of values that are important not only to a group of heritage experts but to a variety of legitimate stakeholders. However, management approaches need to be responsive since these heritage values, the driving forces behind decision-making, are not static. They depend on the social groups that participate in ascribing them and they can change over time, aligning themselves with (or reacting to) shifts in wider social, cultural, environmental and use values. There will sometimes be conflict between the different heritage values attributed to a property and it will be necessary to decide their relative priorities.

The key to the values-led approach is preparing a 'Statement of Significance' and using it as the basis for determining conservation and management strategies. This concept entered the World Heritage discourse in 1995 and was included in 1997 in the OG which stated that 'the Statement of Significance should make clear what are the values embodied by the site...'. In 2000, a meeting dedicated to revising the OG (Canterbury, UK, April 2000) introduced the 'Statement of World Heritage Values'. At the 25th session of the World Heritage Committee (Helsinki, 2001) this was replaced by the more precise term 'Statement of Outstanding Universal Value', abbreviated to 'SOUV'. Finally, a definition of SOUV was included in the current OG in 2005. While paragraph 155 provides a working definition, paragraph 51 clearly states that: 'at the time of inscription of a property on the World Heritage List, the Committee adopts a Statement of Outstanding Universal Value which will be the key reference for the future effective protection and management of the property'.

In 2007 the Committee started to adopt a SOUV when inscribing the properties. But there were many inconsistencies in the style of the SOUVs, there being no agreed format for writing one until September 2008. Following research conducted by ICCROM, a workshop and a series of discussions, the World Heritage Centre and its Advisory Bodies agreed a format that is now being integrated into the *Operational Guidelines* and discussed in the *Nomination Manual*. States Parties, the Advisory Bodies and the Committee are nearing the end of a process for agreeing retrospective Statements of Outstanding Universal Value for properties

## 2 Context: managing cultural heritage

inscribed before 2007. These statements are based on the original Committee decision on inscription and on the documentation considered by it at that time.

A values-led approach is recommended as a planning tool for managing World Heritage properties in conjunction with the framework for management systems discussed in chapter 4. This is further discussed in Appendix A.

**Table 6.** *The values-led approach for World Heritage Management planning*



### **Managing a changing historic environment**

Recognizing the inclusive nature of the historic environment and its significance as a whole has considerable implications for the manager of a cultural property. With this shift, the whole concept of site management has changed over the last half-century.

The historic environment has always changed and will continue to change in response to human needs and to other factors, sometimes catastrophic. The property manager has to recognize that any part of the historic environment may have multiple and changing values (as mentioned above) which may be in conflict if not carefully managed. Change may also be necessary to allow a place to continue its original function. This is true of much religious heritage and of places such as national parliamentary buildings, whose fabric has been adapted to allow them to continue to act as the legislature. Change may also lead to keeping a heritage place in beneficial use, which is generally the best way of ensuring its future maintenance and upkeep.

The management of the historic environment is therefore the management of change. This is as true of World Heritage properties as of any other form of heritage. The manager's aim must be the continuing sustainable use of the landscape, whether urban or rural, while keeping and, if possible, reusing what is important from the past, while protecting the OUV of the property. As a consequence, management must also change to accommodate the views of others and the interests of those who live and work in an area.

The range of values and of interests can be very large, including national, regional and local government, a variety of statutory agencies and non-governmental agencies and local communities, those who own and occupy the places in question, and a wide range of users of that particular piece of the historic environment.

Management planning has proved to be one of the most important tools for managing change in cultural properties (see Appendix A for a review of management planning, and Appendix B for other tools, some of them widely in use for heritage, some still under development).

# 3 Understanding management in the World Heritage context

Part 3 describes the World Heritage Convention. It describes what the Convention requires its States Parties to do; what it says about the management of World Heritage properties, and the role of the *Operational Guidelines* (Parts 3.1 - 3.3). It explains crucial concepts such as Outstanding Universal Value, authenticity and integrity, and procedures such as Periodic Reporting and Danger Listing (Part 3.4).

It then reviews measures that continue to be taken by the World Heritage Committee to improve the operation of the Convention. These take the form of decisions cast in the form of 'Strategic Guidance' to States Parties and revisions made to the *Operational Guidelines* as a result of accumulating experience in implementing the Convention (Parts 3.5 - 3.7). A final section describes the strategy for capacity-building in World Heritage work (Part 3.8).

## 3.1 What is World Heritage, the World Heritage system and its requirements?

The concept of World Heritage of Outstanding Universal Value was crystallized in 1972 when UNESCO adopted the *Convention concerning the Protection of the World Cultural and Natural Heritage*, more often known simply as the World Heritage Convention. This introduced into international legislation the idea that some heritage in the world was of such importance that it was of value to all humanity, and that responsibility for its management was of more than national significance, even if the primary responsibility remained with individual nations. This concept was so attractive that 190 States Parties have now ratified the Convention and nearly one thousand properties have been inscribed on the World Heritage List.

Forty years later, the original concept thrives but its application has changed almost beyond recognition because of changes in the context in which the Convention is applied. These are due to the sheer number of World Heritage properties and the evolution of World Heritage processes; but especially to the development of the concept of heritage, particularly cultural heritage, over the last forty years. The need for appropriate management of World Heritage properties has been increasingly recognized over that period.

Most of the cultural sites that were the first to be inscribed on the World Heritage List in 1978 were monumental, archaeological or urban in character, although there were already some that were industrial or associative in value. Since then, the concept of cultural heritage has widened almost beyond recognition in acknowledging that humanity has had an impact on the whole of the globe. Evidence of this impact can be regarded as heritage, even if most of it would not be deemed to be of Outstanding Universal Value.

Similarly, the application of the Convention has expanded to include not only the great buildings and urban centres of the ruling classes through the ages, but also the equally significant, if more fragile, evidence of the basic processes by which humanity has developed society and its economic basis. As a result the nature of the properties inscribed on the World Heritage List has expanded to include evidence of science and technology, industry and agriculture, and to embrace the concept of cultural landscapes. This process has meant that the management problems facing World Heritage properties are very much more complex than they were in 1972.

### 3 Understanding management in the World Heritage context

#### 3.2 The 1972 World Heritage Convention: why and how to manage properties, and the need to comply

The basic framework for the World Heritage system is still that laid down by the Convention concerning the **Protection of the World Cultural and Natural Heritage**, unaltered since its adoption by UNESCO in 1972. The changing application of the Convention can be traced through successive editions of the UNESCO *Operational Guidelines for the Implementation of the World Heritage Convention* from the first edition in 1977 to the most recent in 2012. These have been the main vehicle for the translation of the general principles of the World Heritage Convention into more detailed guidance for its practical application.

The World Heritage system involves a number of players. The governing body of the Convention is the UNESCO World Heritage Committee (hereafter referred to as 'the Committee'). This consists of twenty one members elected by the Member States at the biennial General Assembly. In recent years, the General Assembly of States Parties has taken a more active role in developing general policies for the implementation of the Convention.

States Parties normally serve on the Committee for four years. The Committee is responsible for the implementation of the Convention. Its principal functions, as described in the *Operational Guidelines*, include:

- Keeping the context under review (purpose of the Convention, institutional framework, definition of OUV and standards for protection and management) (Sections I and II),
- Nominating properties (Section III),
- Monitoring properties (Sections IV and V),
- Support and International Assistance (Sections VI and VII).<sup>27</sup>

##### Role of the Committee is to:

- a) identify, on the basis of Tentative Lists and nominations submitted by States Parties, cultural and natural properties of Outstanding Universal Value which are to be protected under the Convention and to inscribe those properties on the World Heritage List;
- b) examine the state of conservation of properties inscribed on the World Heritage List through processes of Reactive Monitoring and Periodic Reporting;
- c) decide which properties inscribed on the World Heritage List are to be inscribed on, or removed from the List of World Heritage in Danger;
- d) decide whether a property should be deleted from the World Heritage List;
- e) define the procedure by which requests for International Assistance are to be considered and carry out studies and consultations as necessary before coming to a decision;
- f) determine how the resources of the World Heritage Fund can be used most advantageously to assist States Parties in the protection of their properties of Outstanding Universal Value;
- g) seek ways to increase the World Heritage Fund;
- h) submit a report on its activities every two years to the General Assembly of States Parties and to the UNESCO General Conference;
- i) review and evaluate periodically the implementation of the Convention;
- j) revise and adopt the *Operational Guidelines*.

The Committee meets annually in June / July and can also hold extraordinary meetings at other times of year. The Committee receives professional advice from three bodies named in the Convention. The principal role of these three bodies is to provide professional advice and support to the Committee and to the Secretariat (the World Heritage Centre). These are:

- International Centre for the Study of the Preservation and Restoration of Cultural Property (Rome Centre) (ICCROM), whose principal concern is training,

27. <http://whc.unesco.org/archive/opguide11-en.pdf>

- International Council of Monuments and Sites (ICOMOS), whose principal functions are to evaluate the nominations of cultural sites, and to report on the state of conservation of cultural properties on the List,
- International Union for Conservation of Nature (IUCN), whose principal functions are to evaluate the nominations of natural sites, and to report on the state of conservation of natural properties on the List.

**The roles of the Advisory Bodies are to:**

- a) advise on the implementation of the World Heritage Convention in the field of their expertise;
- b) assist the Secretariat, in the preparation of the Committee's documentation, the agenda of its meetings and the implementation of the Committee's decisions;
- c) assist with the development and implementation of the Global Strategy for a Representative, Balanced and Credible World Heritage List, the Global Training Strategy [since 2011 substituted by the 'World Heritage Strategy for Capacity Building'], Periodic Reporting, and the strengthening of the effective use of the World Heritage Fund;
- d) monitor the state of conservation of World Heritage properties and review requests for International Assistance;
- e) in the case of ICOMOS and IUCN evaluate properties nominated for inscription on the World Heritage List and present evaluation reports to the Committee; and
- f) attend meetings of the World Heritage Committee and the Bureau in an advisory capacity. (OG para 31)

The Secretariat of the Committee is provided by UNESCO's World Heritage Centre. The Centre's main role is to service the World Heritage Committee, implement its decisions and manage the major processes of the Convention.

**The main tasks of the World Heritage Centre are:**

- a) the organization of the meetings of the General Assembly and the Committee;
- b) the implementation of decisions of the World Heritage Committee and resolutions of the General Assembly and reporting to them on their execution;
- c) the receipt, registration, checking the completeness, archiving and transmission to the relevant Advisory Bodies of nominations to the World Heritage List;
- d) the coordination of studies and activities as part of the Global Strategy for a Representative, Balanced and Credible World Heritage List;
- e) the organization of Periodic Reporting and coordination of Reactive Monitoring;
- f) the coordination of International Assistance;
- g) the mobilization of extra-budgetary resources for the conservation and management of World Heritage properties;
- h) the assistance to States Parties in the implementation of the Committee's programmes and projects; and
- i) the promotion of World Heritage and the Convention through the dissemination of information to States Parties, the Advisory Bodies and the general public. (OG para 28)

### Responsibilities of States Parties

Management per se is not mentioned in the World Heritage Convention. The Convention, however, makes clear both that the Outstanding Universal Value of World Heritage properties should be protected to a particular level (Article 4), and that States Parties to the Convention should have in place a general system for protecting both natural and cultural heritage (Article 5). Article 4 sets out clearly the objectives of the Convention for World Heritage properties, and these should be the guiding star for managing them, while Article 5 could be said to

### 3 Understanding management in the World Heritage context

outline an idealized management system at the national level. Article 29 suggests that from the outset some kind of monitoring of the implementation of the Convention was intended.

The Convention makes clear that primary responsibility for management of sites rests with individual States Parties. But in addition its Article 6.1 states that such [i.e World] Heritage constitutes a World Heritage for whose protection it is the duty of the international community as a whole to cooperate, and sets out the means by which this is to happen through the working of the World Heritage Committee, and the institution of a World Heritage Fund and International Assistance. Article 29 of the Convention sets out the duty of States Parties to report on their application of the Convention (now carried out through the process of Periodic Reporting; see Part 3.5).

The Convention also sets out in Article 11.4 the procedure that the Committee should follow if a World Heritage property is at risk and in Article 13 the ways in which the Committee can provide assistance to States Parties.

#### Reference to 'management' in the 1972 World Heritage Convention

The bold portions of the following extracts of the 1972 World Heritage Convention are the closest that the document comes to referring to issues concerning the 'management' of cultural heritage. Article 4 deals primarily with World Heritage properties while Article 5, perhaps the most direct reference to management approaches, deals with a State Party's general responsibilities towards cultural and natural heritage:

#### References to 'management' in the 1972 World Heritage Convention

##### Article 4

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 [i.e. World Heritage] 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.

##### Article 5

To ensure that **effective and active measures are taken for the protection, conservation and presentation** of the cultural and natural heritage situated on its territory, each State Party to this Convention shall endeavour, in so far as possible, and as appropriate for each country:

1. to adopt a general **policy** which aims to give the cultural and natural heritage a function in the life of the community and **to integrate the protection of that heritage into comprehensive planning programmes**;
2. to set up within its territories, where such services do not exist, one or more **services for the protection, conservation and presentation** of the cultural and natural heritage with an **appropriate staff** and **possessing the means to discharge their functions**;
3. to develop scientific and technical studies and research and to work out such **operating methods** as will make the State capable of counteracting the dangers that threaten its cultural or natural heritage;
4. to take the **appropriate legal, scientific, technical, administrative and financial measures** necessary for the identification, protection, conservation, presentation and rehabilitation of this heritage; and;
5. to foster the establishment or development of national or regional centres for training in the protection, conservation and presentation of the cultural and natural heritage and to encourage scientific research in this field.



#### Article 29

The States Parties to this Convention shall, in the reports which they submit to the General Conference of the United Nations Educational, Scientific and Cultural Organization on dates and in a manner to be determined by it, give information on the **legislative and administrative provisions** which they have adopted and **other action** which they have taken for the application of this Convention, together with details of the experience acquired in this field.

These reports shall be brought to the attention of the World Heritage Committee.

The Committee shall submit a report on its activities at each of the ordinary sessions of the General Conference of the United Nations Educational, Scientific and Cultural Organization.

Apart from the Convention itself, the Committee has developed *Operational Guidelines* (OG) to provide more practical advice on the application and implementation of the Convention. The OG have been revised from time to time, most recently in 2012 (see Part 3.3). The Committee also adopts other guidance which may be found in its decisions (available through the World Heritage Centre website and other publications) (see Part 3.4).

### 3.3 The *Operational Guidelines*: managing in order to protect Outstanding Universal Value

As noted above, the OG provide detailed guidance on the application of the Convention. Since 2005, the OG have contained guidance on the management of World Heritage properties. Inevitably, this is fairly general since the guidance has to be applicable to management in all parts of the world. Nonetheless, there is a definition both of the objectives of a management system and of what it should contain. Paragraph 78 says that each World Heritage property must have an adequate protection and management system in order to be deemed of Outstanding Universal Value. The references to management in the World Heritage *Operational Guidelines* (2012 edition) are provided below.

#### References to management in the World Heritage *Operational Guidelines* (2012 edition)

**OG108:** Each nominated property should have an appropriate management plan or other documented management system which must specify how the Outstanding Universal Value of a property should be preserved, preferably through participatory means.

**OG109:** The purpose of a management system is to ensure the effective protection of the nominated property for present and future generations.

**OG110:** An effective management system depends on the type, characteristics and needs of the nominated property and its cultural and natural context. Management systems may vary according to different cultural perspectives, the resources available and other factors. They may incorporate traditional practices, existing urban or regional planning instruments, and other planning control mechanisms, both formal and informal. Impact assessments for proposed interventions are essential for all World Heritage properties.

**OG111:** In recognizing the diversity mentioned above, common elements of an effective management system could include:

- a. A thorough shared understanding of the property by all stakeholders;
- b. A cycle of planning, implementation, monitoring, evaluation and feedback;



### 3 Understanding management in the World Heritage context

- c. The monitoring and assessment of the impacts of trends, changes, and of proposed interventions;
- d. The involvement of partners and stakeholders;
- e. The allocation of necessary resources;
- f. Capacity-building; and
- g. An accountable, transparent description of how the management system functions.

**OG112:** Effective management involves a cycle of short-, medium- and long-term actions to protect, conserve and present the nominated property. An integrated approach to planning and management is essential to guide the evolution of properties over time and to ensure maintenance of all aspects of their Outstanding Universal Value. This approach goes beyond the property to include any buffer zone(s), as well as the broader setting.

While there is reference to a 'management plan', no specific reference is made to its nature. Guidance on management, however, is not restricted to this section of the *Operational Guidelines*. It is important to read right through the text in order to understand the emphasis now placed on the protection of Outstanding Universal Value and the importance of the Statement of Outstanding Universal Value as the baseline for managing and monitoring the property (see Part 3.4).

The OG identify other factors, such as disaster preparedness and the potential impact of climate change, which need to be covered in any management system. They also require the use of impact assessment for assessing the effect of development proposals on the Outstanding Universal Value of a property, and point out that World Heritage properties have a role in sustainable development, provided that this does not adversely affect the property (OG para 119).

Elsewhere, the OG describe the necessity of reporting changes or proposals for major developments affecting a World Heritage property to the World Heritage Committee before final decisions on them are taken (see Part 3.5).

There is also detailed guidance on the nomination format in paragraph 132 and Annex 5 of the OG. Sections 4, 5 and 6 of the nomination format must describe the threats, protective measures and monitoring for the site and provide a detailed analysis of the way in which this protection actually operates. The nomination format also says that an appropriate management plan or other management system is essential and should be provided in the nomination dossier. Assurances of the effective implementation of the management plan or other management system are also expected, along with a detailed analysis or explanation of the management plan or documented management system (OG para 132, item 5 Management).

In Part 4 and in particular Part 4.5, guidance is provided for filling out sections 4, 5 and 6 of the nomination format.

#### **3.4 Outstanding Universal Value, authenticity and integrity in the context of World Heritage property management**

##### **The concept of Outstanding Universal Value**

The key to the Convention is the concept of the need to identify, protect, present and transmit to future generations places of Outstanding Universal Value to all humanity. However, this concept is not actually defined in the Convention. Article 11.1 says that the World Heritage Committee shall establish 'a list of properties ... which it considers has having Outstanding Universal Value in terms of such criteria as it shall have established'. The first actual definition

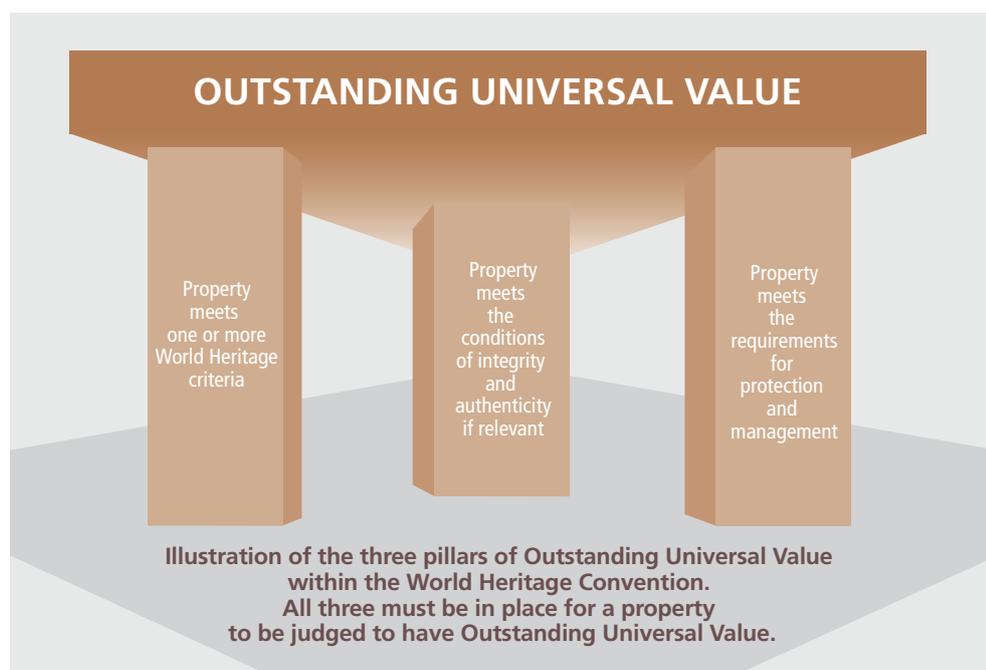
of Outstanding Universal Value was contained in the 2005 *Operational Guidelines* and is repeated in subsequent revisions including the 2012 edition:

*'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'* (OG para 49).

However, OUV has a broader dimension that needs to be understood when justifying it for nominations and that in turn will form the foundation for managing the property. The OG state with regard to OUV:

*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.* (OG paras 77-79)

A property needs to meet these three requirements of Outstanding Universal Value to be included on the World Heritage List (see diagram below):



**Diagram 3:** The three pillars of Outstanding Universal Value. *Source: IUCN (2007).*

### Managing OUV

Section 3 (OG Annex 5) of the nomination format provides for the elaboration of OUV. Guidance to complete this section is provided in the Resource Manual *Preparing World Heritage Nominations* (see under the headings of criteria, authenticity, integrity and management and its relationship to the Statement of Outstanding Universal Value (SOUV) which will form the basis for future management of the property in order to protect OUV).

### Criteria

Criteria for assessing Outstanding Universal Value were established much earlier. Modified on various occasions, the ten criteria currently used by the Committee for both cultural and natural heritage are:

### 3 Understanding management in the World Heritage context

#### Extract from the *Operational Guidelines*

77 The Committee considers a property as having Outstanding Universal Value (see paragraphs 49-53) if the property meets one or more of the following criteria. Nominated properties shall therefore :

- (i) represent a masterpiece of human creative genius;
- (ii) 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;
- (iii) bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared;
- (iv) be an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history;
- (v) 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;
- (vi) be directly or tangibly 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) ;
- (vii) contain superlative natural phenomena or areas of exceptional natural beauty and aesthetic importance;
- (viii) be outstanding examples representing major stages of earth's history, including the record of life, significant on-going geological processes in the development of landforms, or significant geomorphic or physiographic features;
- (ix) be outstanding examples representing significant ongoing ecological and biological processes in the evolution and development of terrestrial, fresh water, coastal and marine ecosystems and communities of plants and animals;
- (x) 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.

#### GOOD TIPS

Section 3.1 b of the nomination format (OG Annex 5) provides space to describe in detail the applicable criteria for a given property. It can be a lengthy description but it is important to describe the values that are of outstanding nature (i.e. OUV), based on one or more of the above criteria, and to identify the attributes that carry those values. Identification of attributes, both tangible and intangible, that convey the OUV is important for the management of the property. Helpful guidance to understand and describe attributes is provided in the *Nomination Manual*. Further guidance on writing criteria can be found there.

#### GOOD TIPS

##### Understanding attributes: extract from the Resource Manual *Preparing World Heritage Nominations*

Attributes are aspects of a property which are associated with or express the Outstanding Universal Value. Attributes can be tangible or intangible. The *Operational Guidelines* indicate a range of types of attribute which might convey Outstanding Universal Value, including:

- form and design;
- materials and substance;
- use and function;
- traditions, techniques and management systems;

- location and setting;
- language, and other forms of intangible heritage; and
- spirit and feeling (Paragraph 82).

This list is for guidance. It is essential that the attributes identified for a property should flow from the Statement of Outstanding Universal Value and the justification for the criteria. Attributes must be identified as they are vital to understanding authenticity and integrity, and are the focus of protection, conservation and management.

### Identifying attributes and features

World Heritage properties are places that convey their Outstanding Universal Value. Cultural value may relate to intangible qualities such as social structure, economic needs and political context, in space as well as time. It may relate to famous events, persons or works of art, literature, science or music. However, the World Heritage Convention is a property based convention – properties themselves are inscribed on the List, not ideas or people as such, however great their global influence. Listed properties are required to demonstrate Outstanding Universal Value through their attributes.

Having considered what the potential Outstanding Universal Value of a natural or cultural property might be, it is essential to consider the attributes, more commonly called features for natural properties, which convey that value and allow an understanding of it.

These attributes will be the focus of protection and management actions, and institutional arrangements, and their disposition will inform the boundary of the property.

Attributes might be physical qualities or fabric but can also be processes associated with a property that impact on physical qualities, such as natural or agricultural processes, social arrangements or cultural practices that have shaped distinctive landscapes. For natural properties they can be specific landscape features, areas of habitat, aspects relating to environmental quality (such as intactness, high / pristine environmental quality), scale and naturalness of habitats, and size and viability of wildlife populations.

A useful technique for complex properties, and in particular cultural properties, with a complex layering of attributes is to map the important attributes and the values they convey. This mapping can assist with understanding the relationship between attributes, but it can also highlight conflicts or management issues, and it is essential for the delineation of boundaries.

*(World Heritage Resource Manual Preparing World Heritage Nominations – 2010)*

### Integrity

Another condition that must be met and that has implications for management is integrity. Integrity is about the completeness of the site and is primarily concerned with (OG para 88):

- boundaries – does the property contain all the attributes to sustain the property's Outstanding Universal Value?
- completeness – is the property of adequate size to ensure the complete presentation of the processes and features that convey its significance?
- state of conservation – are the attributes conveying Outstanding Universal Value at risk from neglect or decay?

### 3 Understanding management in the World Heritage context

#### GOOD TIPS

Section 3.1 c of the nomination format (OG Annex 5) provides the space to write the Statement of Integrity. Further guidance on assessing integrity can be found in the *Operational Guidelines* and the *Nomination Manual*, as can specific guidance on writing the Statement of Integrity for the property.

#### Authenticity

Authenticity is the other key concept that has implications for management. It refers to the truthfulness or the credibility of attributes that reflect the OUV. For this reason, the OG mention that the properties nominated under criteria (i) to (vi) must meet the conditions of authenticity. OG paragraphs 79-86 and Annex 4, which includes the text of the Nara Document on Authenticity, provide a practical basis for examining the authenticity of properties. The *Preparing World Heritage Nominations* Resource Manual also offers guidance.

#### GOOD TIPS

##### Extracts from World Heritage documents regarding authenticity

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.

(OG para 82)

For each property the attributes that have been identified as conveying the potential Outstanding Universal Value should be considered for the way they might be said to 'truthfully' convey or express that value. For example, for an urban area it might be appropriate to consider structures, spatial plans, as well as traditions and socio-economic-environmental structures of the living communities that populate the property, and which allow it to express its value.

Authenticity is therefore a measure of how well attributes convey potential Outstanding Universal Value. Authenticity can be compromised if the attributes are weak – communities cease to thrive, buildings collapse, traditions disappear, and so on.

In the case of archaeological sites, authenticity is judged according to the ability of the archaeological remains to truthfully convey their meaning. In many cases, conjectural reconstruction might hinder this process and compromise authenticity. Similarly, while reconstruction of incomplete buildings and structures can be justified in some circumstances, this can also impact on their ability to truthfully convey meaning.

(*World Heritage Resource Manual* Preparing World Heritage Nominations – 2010)

#### GOOD TIPS

Section 3.1 d of the nomination format (OG Annex 5) provides a space for writing the Statement of Authenticity. Specific guidance on writing the Statement of Authenticity for the property can also be found in the *Nomination Manual*.

### Protection and management requirements

Attributes, authenticity and integrity are affected by various factors that produce both positive and negative impacts. Sections 4, 5 and 6 of the nomination format (OG Annex 5) are designed to address these issues and to demonstrate how the State Party is going to protect the OUV. Section 3.1e (OG Annex 5) provides the opportunity to write the Statement of Management.

Responding to sections 4, 5 and 6 of the nomination format (OG Annex 5) requires substantial guidance and is the main focus of the last two chapters of this manual (Part 4 and Appendix A).

### Statement of Outstanding Universal Value

For the purpose of management, States Parties prepare a Statement of Outstanding Universal Value which captures all the above components (3.1 b, c, d and e of the nomination format, OG Annex 5) and which the World Heritage Committee adopts at the time of inscription. According to the OG, 'the Statement of Outstanding Universal Value shall be the basis for the future protection and management of the property'. Statements of OUV aim to provide a clear, shared, understanding of the reasons for World Heritage inscription and of what needs managing in order to sustain OUV for the long term.

While OUV is described broadly in the World Heritage Convention and the OG, it is defined very specifically for each property by the World Heritage Committee at the time of inscription, using the draft SOUV prepared by the State Party, amended as necessary. The purpose of the Statement is to set out clearly this definition. Once so defined, the Statement is the baseline for future management of the property.

It is essential that the SOUV should as far as possible identify the attributes that carry the OUV to be managed. These will articulate the OUV in a way that is manageable and are also the basis for assessing authenticity and integrity. Clear identification of attributes is an essential step towards effective values-based management targeted at the maintenance of a property's OUV.

Not all Statements can deal fully in the space available with the specific attributes of OUV for a particular property. It may be necessary to develop the detailed attributes within the documentation of the management system. The following guidance will be useful in this respect.

The main sections of a SOUV should be (1) brief synthesis; (2) justification for criteria; (3) statement of integrity (for all properties); (4) statement of authenticity (for properties nominated under criteria i to vi) and (5) requirements for protection and management (guidance is provided in paragraph 155 and in Annex 10 of the OG and also in the *Nomination Manual*).

## GOOD TIPS

**A Statement of Outstanding Universal Value should respect the following format (two A4 pages maximum):**

- Brief synthesis:
  - Summary of factual information (what the property consists of, and the geographical and historical context, 150 words maximum);
  - Summary of qualities (values, attributes, 150 words maximum);
- Justification for criteria (values and attributes which manifest them, and why the property justifies each proposed criterion, 200 words maximum for each criterion);



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- • •
- Statement of integrity (all properties) at the date of drafting / inscription (the way the attributes or features of the property that convey potential Outstanding Universal Value may be said to be all in place and within the boundaries of the property, 200 words maximum);
- Statement of authenticity (the statement is only needed for properties nominated under criteria i-vi) at the date of drafting / inscription (whether the attributes that carry potential Outstanding Universal Value truthfully reflect the value, 200 words maximum);
- Requirements for protection and management necessary to maintain potential Outstanding Universal Value (how the protection and management arrangements, both systems and plans, are robust enough to carry forward the protection and management of the property in a way that sustains potential Outstanding Universal Value) (protection and management are discussed on pages 82–91):
  - Overall framework (200 words maximum);
  - Specific long-term expectations – the key issues that require long-term attention (for example protection from key threats, maintenance of capacity and finance, maintenance of community support, 150 words maximum).

*(World Heritage Resource Manual Preparing World Heritage Nominations – Second edition 2011)*

Application of the SOUV in the management planning process is described in Appendix A of this manual.

#### 3.5 World Heritage documentation and procedures to reinforce management

States Parties, the World Heritage Committee, the Advisory Bodies and the World Heritage Centre are involved in the management of World Heritage properties in a number of ways. A State Party prepares the documentation relevant to site management as part of the nomination, including a proposed definition of the Outstanding Universal Value of the property. It is the Committee, on the advice of the Advisory Bodies, which defines the Outstanding Universal Value of each World Heritage property. It will also be involved in the regular Periodic Reports on World Heritage properties as well as in any reactive monitoring arising out of specific problems affecting individual properties. Processes such as these should involve the site manager as well as the State Party and the international bodies in the World Heritage system.

Those who intend to manage World Heritage sites need to be aware of these resources and processes, since they will affect what they can achieve and will influence their objectives, and also affect the character of the management system. It is sensible to monitor the websites of the World Heritage Centre and the relevant Advisory Bodies on a regular basis to keep abreast of developments. Much of the documentation held by the Centre on individual properties is available on their website under the entry for that property on the World Heritage List. All heritage practitioners dealing with a particular property should be familiar with what is posted on the World Heritage Centre website.

##### Documentation: the nomination file

The format of the nomination dossier has changed many times since the first properties were inscribed in 1978. Broadly, though, for cultural properties the nomination dossier has covered the identification and location of the property, its description and history, the justification of its Outstanding Universal Value, authenticity and (since 2005) integrity, factors affecting the property, protection and management requirements, and key indicators for monitoring the property. The nomination dossier should therefore demonstrate that the property meets the requirements for World Heritage inscription set out in the OG. The Centre should hold the

original nomination dossier, including any management plan, along with the Advisory Body evaluation of the property, and, where it exists, the Statement of Outstanding Universal Value agreed by the Committee. Of these, the dossier should be the foundation source for information for managing the property. However, better guidance as to the Committee's intentions and concerns at the time of inscription will be provided by the Statement of Outstanding Universal Value, initially prepared by the State Party but often modified by the Advisory Bodies before approval by the Committee. Once approved by the Committee, the Statement will take precedence over what is in the dossier. Similarly, the Advisory Bodies may recommend changes to the criteria to the Committee; once approved by the Committee, they will take precedence over what is in the dossier. All other information, such as the delineation of boundaries and buffer zones, will remain unaltered unless changed by a decision of the Committee following the procedure given in the OG, either at the time of inscription or subsequently.

Also very useful, particularly for more recent inscriptions, is the evaluation of the nomination dossier carried out by the relevant Advisory Body. This will be ICOMOS in the case of cultural properties although IUCN will also have been involved if a property is either mixed or a cultural landscape. The evaluation normally provides a valuable and useful analysis of the property and the issues affecting it. This analysis should be used in the development and implementation of the management system, particularly in the early years after inscription.

#### Documentation – a management plan

In most cases, a separate management plan is now submitted with the nomination dossier. Among its tasks is a description of the property's management system of which the management plan should be an integral part. Together these form the basis for the future management of the property. However, it should be understood that the criteria and SOUV may have been modified or changed by the Committee, sometimes on their own initiative or following the recommendations of the Advisory Bodies. Recommendations are also made by the Committee in its final decisions which will have repercussions on management. The first task of the State Party should be to revise the management plan to incorporate these changes and to use this new version for managing the property and making any necessary changes in the management system.

#### Periodic Reporting

Periodic Reporting is a formal requirement of the World Heritage system that requires States Parties to submit a report every six years on the application of the World Heritage Convention in their territories. Periodic Reports are submitted to the UNESCO General Conference through the World Heritage Committee. They report on the legislative and administrative provisions that States Parties have adopted and other action that they have taken, including reports on the state of conservation of their World Heritage properties (OG para 199). It is an important process for the effective long-term conservation of inscribed properties while also strengthening the credibility of the implementation of the Convention (OG para 202). It must therefore have the full participation of States Parties, relevant institutions and regional expertise. As well as being useful for the Committee and others, Periodic Reporting is a valuable tool for site managers and national authorities because it should provide a periodic review of the effectiveness of their management system.

Periodic Reporting serves four main purposes:

- a) to provide an assessment of the application of the World Heritage Convention by the State Party;
- b) to provide an assessment as to whether the Outstanding Universal Value of the properties inscribed on the World Heritage List is being maintained over time;
- c) to provide up-dated information about the World Heritage properties to record the changing circumstances and state of conservation of the properties;

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d) to provide a mechanism for regional cooperation and exchange of information and experiences between States Parties concerning the implementation of the Convention and World Heritage conservation.

(OG para 201).

Periodic Reporting is carried out on a regional basis in order to promote regional collaboration and in order for the Committee to be able to respond to the specific characteristics of each region. This is particularly useful for promoting coordination in the case of transboundary properties. After the first six-year cycle of Periodic Reports, each region is now being assessed again in the same order (OG paras 203–205).

Management issues identified through the process should be addressed by the States Parties. Over time, successive reports will build up a valuable record of the progress of the site. Regular monitoring is an essential part of a World Heritage management system and Periodic Reporting should be integrated into this (see Parts 4.4 and 4.5).

#### Results of Periodic Reporting exercise

*Six-yearly Periodic Reporting cycle provides a unique opportunity for the countries in the regions to reflect the status of conservation of their properties, share them with others and to collectively identify and prioritize the needs for effective implementation of the Convention. Asia and the Pacific region, which carried out the second Periodic Reporting Cycle during 2010-2011, developed two separate action plans: one for Asia and the other for the Pacific. It involved 41 States Parties and 198 properties. For instance, the action plan developed for Asia in Suwon (Republic of Korea) identified the following priority areas for implementation: development / review management plans/systems; disaster risk preparedness; regional cooperation; greater involvement of communities.*



Periodic Reporting Asia and the Pacific

© Korean National Commission for UNESCO  
Source: DRK NatCom Jihon

#### State of Conservation Reports

The World Heritage Committee wishes to be kept informed of major events or interventions affecting World Heritage properties so that they may consider such proposals and offer technical cooperation in order to avoid the possibility of deletion of properties from the World Heritage List (OG para 170). Reactive Monitoring is the process of reporting to the Committee on the state of conservation of specific World Heritage properties which are under threat (OG para 169).

States Parties are invited to submit, by 1 February each year, specific reports on each occasion that exceptional circumstances occur or work is undertaken which may have an effect on

the state of conservation of the property (OG para 169). Para 172 of the OG *invites states parties to inform the Committee ... of their intention to undertake or to authorize in an area protected under the Convention major restorations or new constructions which may affect the Outstanding Universal Value of the property*. Notice should be given as soon as possible so that the Committee has the opportunity to comment before making any decisions that would be difficult to reverse. The World Heritage Centre or Advisory Bodies may also receive reports from third parties on emerging or sudden threats to the property which can affect its OUV, integrity and authenticity.

It is open to States Parties to request technical or advisory missions and International Assistance for such purposes. This can be done at any time and is not necessarily dependent on a Committee decision. In some circumstances, this may be a useful contribution to reaching a decision on a proposed course of action or intervention at a property.

In all cases, the Centre will take steps to verify the reports that they have received, and then request information from the State Party on the nature and seriousness of this threat, if the report did not originate with the State Party. Based on the reply, the Centre can decide to submit a 'State of Conservation' report to the World Heritage Committee, including a draft decision which can suggest or request from the State Party suitable management responses to address particular problems. This process is described below.

#### State of Conservation (SOC) reports process (IUCN):<sup>28</sup>

- **Drafting decisions:** Following receipt of the information from the State Party, the World Heritage Centre and the Advisory Bodies jointly develop a State of Conservation report with a draft decision with recommendations for action in advance of the World Heritage Committee meeting. The draft decision documents need to meet standards set out in the *Operational Guidelines* (para 23).
- **Adopting decisions:** The decisions are then reviewed and, if necessary discussed and revised, at the World Heritage Committee meeting. The process for the approval of decisions at the Committee meeting is laid out in the Committee Rules of Procedure.
- **Information on Committee decisions:** After the Committee meeting, the World Heritage Centre forwards a report of all the Committee decisions to States Parties within a month of the meeting (para 168). However information on Committee decisions may not necessarily filter down to all those working at the individual World Heritage site. It is therefore useful to look at either the World Heritage site page on the UNESCO website or the World Heritage decisions database to check the status of decisions in relation to a specific site. All decisions are numbered in relation to the agenda of the meeting at which they were discussed. Generally decision numbers related to SOC are COM 7: A, B, C
- **Implementing the decision:** The State of Conservation reports specifically require States Parties to report on actions taken to follow up on previous decisions of the World Heritage Committee on the state of conservation of the property. The site manager should be involved in this process, and there are frequently follow-up missions to review the implementation of actions highlighted in decisions.

It is essential that both the national and local site management authorities pay attention to these decisions. At this stage, the State Party may have to revisit the management plan or actions that are ongoing and see if it can comply with them or develop new actions to address

28. UNESCO, ICCROM, ICOMOS and IUCN. 2012. *Managing Natural World Heritage*. Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual.) <http://whc.unesco.org/uploads/activities/documents/activity-703-1.pdf> (English web page).

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them. This may have consequences for planned actions and resources which may then have to be reassessed. Ways will have to be found to address the concerns of the Committee and report on them to it within a year or two years and then on a regular basis, until such time that the Committee is satisfied with the outcome.

**Committee decisions can recommend a number of courses of action. These can include:**

- a) [The Committee] may decide that the property has not seriously deteriorated and that no further action should be taken;
- b) when the Committee considers that the property has seriously deteriorated, but not to the extent that its restoration is impossible, it may decide that the property be maintained on the List, provided that the State Party takes the necessary measures to restore the property within a reasonable period of time. The Committee may also decide that technical cooperation be provided under the World Heritage Fund for work connected with the restoration of the property, proposing to the State Party to request such assistance, if it has not already been done;
- c) when the requirements and criteria set out in paragraphs 177–182 are met, the Committee may decide to inscribe the property on the List of World Heritage in Danger according to the procedures set out in paragraphs 183–189;
- d) when there is evidence that the property has deteriorated to the point where it has irretrievably lost those characteristics which determined its inscription on the List, the Committee may decide to delete the property from the List. Before any such action is taken, the Secretariat will inform the State Party concerned. Any comments which the State Party may make will be brought to the attention of the Committee;

(OG para 176)

Except in the most urgent circumstances, it is likely that the Committee will recommend that a UNESCO / Advisory Body mission be sent to investigate the circumstances before deciding to consider Danger listing or other serious action. The Committee may also decide to send a mission if there has been little recent involvement with a property, in order to ascertain the facts.

The mission will examine whether there is any indication of threats or, conversely, significant improvements in the conservation of the property since the last report to the World Heritage Committee. It will also examine whether there has been any follow-up to previous decisions of the Committee on the state of conservation of the property, and will provide information on any potential or ascertained threat or damage to or loss of OUV, including integrity and authenticity (OG para 173).

This information is received by the World Heritage Centre which, after consulting the State Party concerned and the Advisory Bodies, submits a State of Conservation report to the World Heritage Committee. In exceptional cases, this process may lead to consider inscribing the property on the List of World Heritage in Danger.

**State of Conservation (SOC) decisions**

*The World Heritage Committee makes requests like the one below with a view to improve management systems for very complex properties: 'Establish an operational and efficient management system to coordinate the decision-making process and enhance cooperation regarding the conservation and management of the property through the definition of a legal framework, the creation of a central management structure for the World Heritage property, the clarification of roles and responsibilities of the involved administrative authorities and the allocation of necessary resources for its adequate operation at the local, regional and national levels.'*

<http://whc.unesco.org/en/decisions/4758>



Brasília (Brazil)

**Danger Listing**

Based on the State of Conservation report and on the advice of the Advisory Bodies and in consultation with the States Parties, the Committee may include properties on the List of World Heritage in Danger. The Danger List was established under Article 11.4 of the World Heritage Convention for World Heritage properties threatened by serious and specific danger, whose protection requires 'major operations and for which assistance has been requested' (UNESCO 1972). Chapter IV.B of the *Operational Guidelines* (UNESCO 2012) provides guidelines for the inscription of properties on the Danger List (OG para 177) as well as the criteria used in inscribing properties on the Danger List in either the 'ascertained' or 'potential' categories (OG paras 178–180). When the condition of the property is found to correspond to at least one of the criteria in either case, the Committee can inscribe it on the Danger List.

'Ascertained danger' refers to specific and proven imminent danger, and in the case of cultural properties, the criteria include the serious deterioration of materials, structures, or coherence of architectural, town or rural planning as well as the loss of historical authenticity or cultural significance. 'Potential danger' refers to threats which may have negative effects on a property's World Heritage values. In the case of cultural properties, such threats can include any changes in the legal or administrative context in which a property is found which diminishes the degree of its protection: a lack of conservation policy; the threatening effects of regional or town planning; the outbreak or threat of armed conflict; and gradual changes due to geological, climatic or other environmental factors (OG para 179). The threats do not necessarily have to be within the property itself since actions taken in the buffer zone or wider setting of a property can also endanger its Outstanding Universal Value.

Each property is considered on a case-by-case basis by the World Heritage Committee before it makes its decision whether or not to inscribe a property on the Danger List. Particularly in the case of ascertained danger, the physical or cultural deterioration to which a property has been subjected should be judged according to the intensity of its effects, while in the case of potential danger, the threat is evaluated according to the social and economic framework in which the property is situated. It should be appreciated that it is often impossible to determine how much of an impact threats in the 'potential' category, such as the threat of armed conflict, will have on the cultural heritage (OG para 182).

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When inscribing a property on the Danger List, the Advisory Bodies in consultation with the State Party will prepare a Desired State of Conservation (DSOC) for the property and a set of corrective measures to achieve the Desired State. These will be approved by the Committee and progress will be reported to the Committee annually. The Desired State of Conservation for a World Heritage property is a statement outlining the state of conservation which needs to be achieved in order to remove it from the Danger List. It addresses the specific dangers that a property faces, outlines the necessary improvements required to address these dangers and defines the thresholds for removing the property from the Danger List once the Desired State has been reached.

In order to develop corrective measures, the World Heritage Centre ascertains, in cooperation with the State Party, the present condition of the property, the dangers to the property and the feasibility of undertaking corrective measures. This may require a mission from the Advisory Bodies or other organizations to evaluate the nature and extent of the threats and to propose the measures to be taken. There are still no formal guidelines on how to draft Desired State of Conservation statements or on the process to follow to finalize them before their adoption by the Committee.

In such situations, the State Party needs to revisit the management actions that are ongoing in order to give priority to addressing the concerns of the Committee. Priorities and resources may be changed at this stage. Here too, the States Parties will be able to request Technical/advisory missions and International Assistance. States Parties may also request assistance from donors for which the Committee will extend its cooperation in negotiations where necessary. The Committee, the Centre and the Director-General of UNESCO may be involved at various stages if the issues to be dealt with are of a political nature.

The Committee reviews all properties on the World Heritage in Danger List annually. Once the Desired State of Conservation is achieved, the Committee will remove *the property from the Danger List*. Conversely if deterioration continues, the Committee may decide that *the property has deteriorated to the extent that it has lost those characteristics which determined its inscription on the World Heritage List* (OG para 191 (c)). At that point, the Committee can decide to delete the property from the World Heritage List because its Outstanding Universal Value has been irretrievably damaged or lost.

#### **3.6 Strategic guidance adopted by the World Heritage Committee that may affect management of properties**

The Committee has also adopted strategic guidance over the years. In 2002, it adopted four Strategic Objectives to which was added a fifth in 2007. Known as the five 'C's, the current five Strategic Objectives are:

1. *Strengthen the Credibility of the World Heritage List;*
2. *Ensure the effective Conservation of World Heritage Properties;*
3. *Promote the development of effective Capacity-building in States Parties;*
4. *Increase public awareness, involvement and support for World Heritage through Communication.*
5. *Enhance the role of Communities in the implementation of the World Heritage Convention.* (OG para 26)

The 2011 18th General Assembly of States Parties to the World Heritage Convention has now agreed a Strategic Action Plan until 2022. The Vision of the new plan is that by 2022:

International cooperation and shared responsibility through the World Heritage Convention ensures effective conservation of our common cultural and natural heritage, nurtures respect and understanding among the world's communities and cultures, and contributes to their sustainable development.

The Committee seeks through cooperation:

- A sustainable environment in which States Parties are encouraged, supported and assisted by the international community to fully meet their obligations and enjoy their rights under the World Heritage Convention
- Local, national and international communities, both now and in the future, which feel a connection to, engage with and benefit from the world's natural and cultural heritage
- A World Heritage List that is a credible, relevant and representative selection of the world's most outstanding heritage sites
- A World Heritage system which remains transparent, equitable, accountable and efficient in an ever-changing world

The agreed goals until 2022 are:

**Goal 1:** The Outstanding Universal Value of World Heritage sites is maintained

**Goal 2:** The World Heritage List is a credible selection of the world's most outstanding cultural and natural heritage

**Goal 3:** Heritage protection and conservation considers present and future environmental, societal and economic needs

**Goal 4:** World Heritage maintains or enhances its brand quality

**Goal 5:** The Committee can address policy and strategic issues

**Goal 6:** Decisions of statutory meetings are informed and effectively implemented

The five Cs and the objectives of the Action Plan need to be taken into account in the development of management systems for World Heritage properties, alongside such other guidance as the Committee may issue from time to time, such as the emphasis on linking World Heritage properties with local communities and sustainable development during the celebration of the 40th anniversary of the Convention. They should either feed directly into the management of a World Heritage property, for example Conservation and Communication, or can affect the way in which a property is managed, for instance when establishing the credibility of the Convention relating to the identification, protection, conservation, presentation and transmission to future generations of places of Outstanding Universal Value.

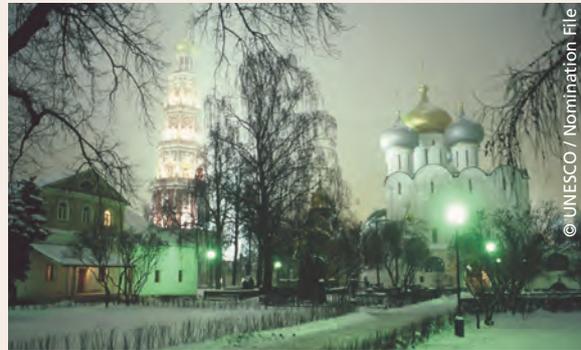
### 3.7 Evolving knowledge and policies

The knowledge associated with World Heritage is evolving. This includes knowledge related to processes as well as to management of the properties. The Committee, its Advisory Bodies and the World Heritage Centre all work together to try to convey as speedily as possible to States Parties the knowledge that is being developed. This is generated through Committee decisions, for example on capacity-building or climate change. In addition, it is generated through revisions to the *Operational Guidelines*, and through producing resource manuals such as this one, thematic studies, and research published through various means, the main one being the series of World Heritage Papers (see bibliography). Site management authorities are therefore urged to check regularly the websites of the Centre and Advisory Bodies (relevant sections on World Heritage) for updated information.

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#### ***New knowledge being generated***

*Considering the complexity of managing religious properties on the World Heritage List, the World Heritage Centre together with ICCROM and ICOMOS, organized a seminar for the religious representatives involved in the management and use of the World Heritage properties of religious interests in the Russian Federation in May 2013 at the Novodevichy Convent. This was part of the 'Initiative on Heritage of Religious Interest' programme (<http://whc.unesco.org/en/religious-sacred-heritage/>) adopted by the Committee.*



*Ensemble of the Novodevichy Convent  
(Russian Federation)*

One example has been the development since 2005 of guidance on the identification and use of attributes of Outstanding Universal Value. Particularly useful references are the Guidance on Retrospective Statements of Outstanding Universal Value, the Resource Manual on Nominations and World Heritage Paper No. 26 *World Heritage Cultural Landscapes: A Handbook for Conservation and Management*.

A further example is the additions made to the OG in 2011 that refer to sustainable development, notably in paragraphs 112, 119, 132, as well as in Annex 5, points 4.b and 5.e. These amendments are aimed, on the one hand, at ensuring that any use of World Heritage properties should be sustainable with respect to the imperative of maintaining their OUV (thus, a narrow definition of sustainability) and, on the other hand, to affirm, as a principle, the idea that management systems of World Heritage properties should 'integrate sustainable development principles' (see Part 2.2, 'Placing heritage concerns in a broader framework' and Part 4.5).

While the OG, the principal guidance to the implementation of the Convention, do not set out a clear concept for management systems, they do specify the need for a management system and mention some requirements as to what it should include. It is also clear that the primary purpose of the management system is to protect and sustain OUV. In various places, as noted above, the OG also contain a considerable amount of information on what needs to be included in a management system and its documentation. These requirements are an important factor in the development of this guidance.

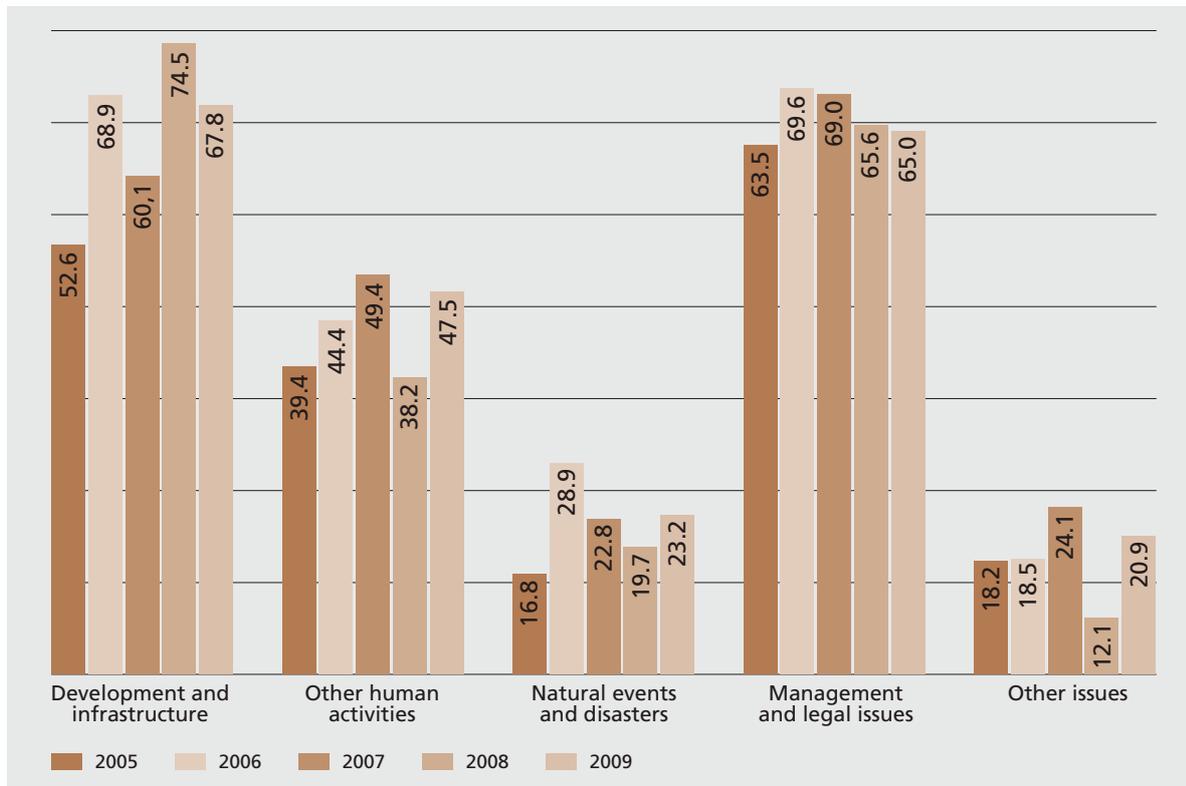
World Heritage processes are also creating a body of knowledge of importance to the entire heritage sector. One example is the analysis carried out on the results of the 766 State of Conservation reports prepared in the 2005-2009 five-year period for over 200 properties. They paint an interesting picture of factors affecting the OUV of World Heritage properties and link types of threat to types of property, region by region.

Inevitably sites are affected by multiple factors and problems emerge from a combination of pressures but, as the graph on the following page illustrates, two primary groups of threats emerge as a collective problem, irrespective of property type and region:

- Development and infrastructure, including: buildings and development; transportation infrastructure; utilities or service infrastructure; pollution; physical resource extraction.
- Management, legal issues and institutional factors.

Of interest is also the substantial number of properties (one in every five) subject to 'Other issues' which has a fairly narrow definition – 'risk of or collapse or deterioration due to age of building, problem of stability of the structures, etc.' – and suggests that legal and management issues are probably exacerbating more immediate threats of this kind.

The 2010 World Heritage report *Reflection on the Trends of the State of Conservation* notes in its conclusions that: 'Inadequate management activities are also increasingly affecting the conditions of authenticity of properties since 2005.'<sup>29</sup>



**Diagram 4:** Percentage of World Heritage properties affected by each primary group of threats (years progressing from 2005 to 2009, from left to right)<sup>30</sup>

With management, institutional, legal and development and infrastructure factors threatening heritage values worldwide, the benefits of identifying common ground within the diversity of those heritage management systems that exist are increasingly evident. This is the aim of Part 4.

### 3.8 The World Heritage Capacity Building Strategy

#### Introduction

As pressures and demands on cultural heritage and their governance augment (Part 2), increasingly the view across heritage institutions is that doing an activity is not enough – a difference has to be achieved. The benefits of training heritage practitioners to increase operational efficiency and the effectiveness of heritage conservation and management practice have long been established. However, the expanding concept of heritage and

29. UNESCO World Heritage Centre. 2010. *Reflection on the Trends of the State of Conservation*. Paris, UNESCO World Heritage Centre. (Doc WHC-10/34.COM/7C) p.21. <http://whc.unesco.org/archive/2010/whc10-34com-7Ce.pdf>

30. *Ibid.*, p.5, Chart 2.

### 3 Understanding management in the World Heritage context

increasing recognition of the interdependency of heritage places and society (see Part 2) have led to conventional training no longer being sufficient. The gradual adoption of a capacity-building<sup>31</sup> approach acknowledges that, to make a difference and improve prospects for heritage places, a wide, diverse and growing audience needs to be targeted. Creating and strengthening capacities of institutions and networks that link the heritage sector to wider communities is as much a priority as the training of individual practitioners. If successful, the results are stronger organizational frameworks and interfaces between heritage and the wider environment, enabling individuals, including those outside heritage-related professions, to take more effective actions. This shift in thinking was acknowledged by the World Heritage Committee when it adopted in 2011 the World Heritage Strategy for Capacity-Building<sup>32</sup> (hereafter 'Strategy').

#### Defining capacity-building

The Strategy has clarified the meaning of capacity-building (which was often being used as a synonym for training) in relation to World Heritage initiatives which have traditionally been dominated by training programmes for mid-career heritage practitioners. The Strategy identifies not only the heritage practitioners but a wide variety of target audiences which are essential to address if heritage places are to be managed effectively and in a sustainable manner.

If capacity is 'the ability of individuals, organizations and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner',<sup>33</sup> then capacity-building for the effective management of World Heritage properties will:

- strengthen the knowledge, abilities, skills and behaviour of people with direct responsibilities for heritage conservation and management,
  - improve institutional structures and processes through empowering decision-makers and policy-makers, and
  - introduce a more dynamic relationship between heritage and its context and, in turn, greater reciprocal benefits by a more inclusive approach,
- such that the OUV of the properties will be protected effectively and in a sustainable way.

Capacity-building – whether of practitioners, institutions or communities and networks – is seen as a form of people-centred change that entails working with groups of individuals to achieve improvements in approaches to managing cultural heritage.

Considering the popularity of the World Heritage Convention and its ongoing political support, attempts should be made to use the World Heritage Strategy for Capacity Building for the benefit of broader heritage conservation and management needs. Indeed, the Strategy is explicit that capacity-building messages for World Heritage properties should promote good conservation and management practice in the field without drawing distinctions between World Heritage sites and other sites.<sup>34</sup> Most importantly, capacity-building should be understood as the most cost-effective means by which the World Heritage Committee can protect the OUV and other values of World Heritage properties and ensure a mutually beneficial dynamic between heritage and society. Enhancing existing capacities or creating new ones is the first step towards addressing shortcomings that have emerged from an assessment of a heritage management system (see Part 4.5). Substantial changes to the management system should be embarked upon only when it is clear that opportunities for 'people-centred change' have been exhausted.

31. One of the five strategic directions of the World Heritage Committee.

32. UNESCO World Heritage Centre. 2011. *Presentation and adoption of the World Heritage strategy for capacity building*. Paris, UNESCO World Heritage Centre. (Doc WHC-11/35.COM/9B)  
<http://whc.unesco.org/archive/2011/whc11-35com-9Be.pdf>

33. [http://www.undp.org/cpr/iasc/content/docs/UNDP\\_Capacity\\_Development.pdf](http://www.undp.org/cpr/iasc/content/docs/UNDP_Capacity_Development.pdf)  
UNDP Capacity Development Practice Note, April 2006, p.3.

34. This is important because many practitioners, institutions and networks work in environments that cannot draw distinctions between these categories.

The definition of capacity-building identifies three broad areas where capacities reside – practitioners, institutions, and communities and networks – and this is the basis for identifying audiences to target for capacity-building initiatives. This is an approach which brings World Heritage in line with other sectors, for example, the UNDP and the health and food aid sector non-governmental organizations. The following table connects the three target audiences to learning areas and needs; but there is inevitably substantial overlap.

**Table 7. Different audiences and learning areas in the heritage sector**

Where capacities reside: target audiences for capacity-building	Principal learning areas
<p><b>Practitioners</b> (including individuals and groups who directly intervene in the conservation and management of World Heritage properties)</p>	<ul style="list-style-type: none"> <li>• Implementation of the Convention (Tentative Lists, nomination, etc.)</li> <li>• Conservation and management issues: planning, implementation and monitoring</li> <li>• Technical and scientific issues</li> <li>• Resource utilization and management</li> </ul>
<p><b>Institutions</b> (including State Party heritage organizations, NGOs, the World Heritage Committee, Advisory Bodies and other institutions that have a responsibility for the enabling environment for management and conservation)</p>	<ul style="list-style-type: none"> <li>• Policy-making for learning areas mentioned above</li> <li>• Legislative issues</li> <li>• Institutional frameworks / issues (governance, decentralization)</li> <li>• Financial issues</li> <li>• Human resources</li> <li>• Knowledge</li> </ul>
<p><b>Communities and Networks</b> (including local communities living on or near properties as well as the larger networks that nurture them)</p>	<ul style="list-style-type: none"> <li>• Reciprocal benefits and linking with sustainable development and communities</li> <li>• Stewardship</li> <li>• Communication / Interpretation</li> </ul>

‘Without the understanding and support of the public at large, without the respect and daily care of the local communities, which are the true custodians of World Heritage, no amount of funds or army of experts will suffice in protecting the sites.’

*Mr Koichiro Matsuura – former Director-General of UNESCO*



© UNESCO

<http://whc.unesco.org/archive/2007/whc07-31com-13be.pdf>

### 3 Understanding management in the World Heritage context

#### Developing national level capacity-building strategies

Among its various recommendations, the Strategy advises each State Party to develop a national capacity-building strategy (if it has not already done so), to complement the strategies being developed at a World Heritage regional level, often by the UNESCO Category 2 Centres.

#### Extract from World Heritage Strategy for Capacity Building

##### 11. NATIONAL CAPACITY BUILDING STRATEGIES

It would also be useful for interested States Parties to develop national capacity building strategies. These strategies can use a similar methodology as the one at the regional level, and can also be carried out at the time of the preparation and analysis of the Periodic Reporting questionnaires. This exercise will allow an individual State Party to better understand specific national and property based capacity building needs. The State Party should also investigate what national, regional, and international capacity building institutions exist that can assist in the development of national and local capacities. These national capacity building strategies could be very useful for States Parties to be able to analyse the exact human resource needs at national institutions (not just for heritage organizations, but also related institutions dealing with tourism, planning, development, etc.). These national strategies would also be best placed to ensure that there is capacity building for other relevant stakeholders at the level of World Heritage properties and in particular at the level of local communities. In certain instances, it may be useful for more than one country to work on a joint strategy.

*World Heritage Strategy for Capacity Building, p.20 (WHC-11/35.COM/9B)*

The questionnaires to be compiled as part of World Heritage Periodic Reporting along with the assessments of the management system in place (see Part 4.5) will be a springboard for identifying and coordinating capacity-building initiatives designed to strengthen or create those capacities that are lacking or missing.

#### CASE STUDY

#### **Capacity-building activities as a follow up to Periodic Reporting**

*The Periodic Reporting exercise in Africa identified Disaster Risk Management as one of the key issues to address within the region. As a follow-up action, the Centre for Heritage Development in Africa (CHDA) and the Africa World Heritage Fund (AWHF) organized a training workshop on risk preparedness for heritage held from 6 to 18 May 2013 at Great Zimbabwe National Monument World Heritage site in Zimbabwe. Nineteen participants from eighteen countries of the region participated.*



*Periodic Reporting Africa (Zimbabwe)*

*Source: ICCROM*

# 4 Defining, assessing and improving heritage management systems

Part 4 starts by reviewing heritage management systems in general, and their role in the World Heritage context. It then explores them in terms of their component parts. It provides some general considerations, followed by good tips and checklists of questions for assessing management systems. Finally it offers guidance on how to document and assess a heritage management system (Part 4.5).

## 4.1 Heritage management systems in general and in World Heritage

This part of the manual examines heritage management systems. It identifies nine basic characteristics (or 'lowest common denominators') that are common to all heritage management systems (i.e. those critical components that are to be found in all examples). It then groups the nine characteristics into three elements (legal framework, institutional framework and resources); three processes (planning, implementation and monitoring); and three results (outcomes, outputs and improvements).<sup>35</sup>

**Table 8.** A common framework for defining heritage management systems

3 categories	9 components
<b>3 elements:</b>	Legal framework, institutional framework and resources
<b>3 processes:</b>	Planning, implementation and monitoring
<b>3 results:</b>	Outcomes, outputs and improvements to the management system

These nine components often operate at a macro level, for example in a national context, since many management systems address more than one property or a large geographical area. In other cases, they may operate on a regional basis or at a single property that has a management system tailored to it. A hybrid is the most frequent situation, in which some components operate at a national level (e.g. the legal framework) and others at a site or regional level (e.g. the heritage processes).

The heritage management framework proposed in Part 4 is intended to help managers of cultural properties in two principal ways:

- how to assess heritage management systems that aim to protect heritage values, including the OUV;
- how to view each heritage issue in a broader framework and promote an integrated approach to heritage management.

In the specific case of World Heritage properties, it offers a basis for responding to the questions in sections 3.1 e, 4.5 and 6 of the nomination format (OG Annex 5).

Accordingly, this section of the manual first examines heritage management systems in general, and then in the World Heritage context. It then reviews each of the nine system components in detail under separate headings (Parts 4.2–4.4).<sup>36</sup> Each section highlights

35. This analysis was developed as part of an ICCROM research project undertaken with the World Heritage Centre and the other Advisory Bodies on 'Better Defining Appropriate Management Systems for World Heritage Sites' (2009).

36. Similar themes recur among the different sections but this is deliberate for the benefit of readers who consult specific sections and not the whole manual.

## 4 Defining, assessing and improving heritage management systems

important considerations, good tips and criteria for assessing and, if necessary, improving a management system, always with the aim of ensuring that it is effective in conserving and managing cultural heritage and, in the case of World Heritage, that it promotes compliance with the requirements of the Convention and the OG. Part 4 further develops many of the crosscutting themes already introduced in Part 2, including heritage values, participatory approaches and sustainability.

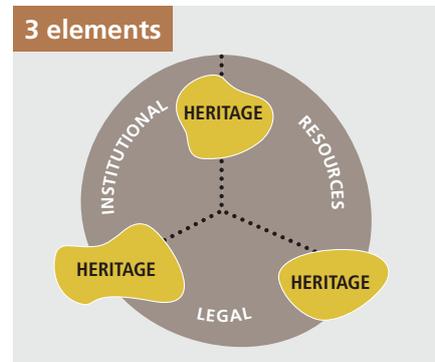
The assessment process will always benefit from documenting properly the heritage management system that is already in place: in Part 4.5, we propose a standard template for this purpose. In the case of World Heritage, the documentation process should be an obligatory step in the nomination process for the property or the group of properties under consideration (OG para 132.5 and Annex 5).<sup>37</sup> It should also make it easier to undertake monitoring procedures such as Periodic Reporting.

The purpose of periodically assessing a management system (for example, as in World Heritage Periodic Reporting) is to check that the system continues to perform efficiently and effectively. If changes are required – either to improve the management system or to ensure that it responds to new needs – the assessment will itself influence how any changes will be introduced. How to improve management systems is a constant theme of Part 4, giving particular attention to the roles of management tools and capacity-building (see also Part 3.8, and Appendices A and B).

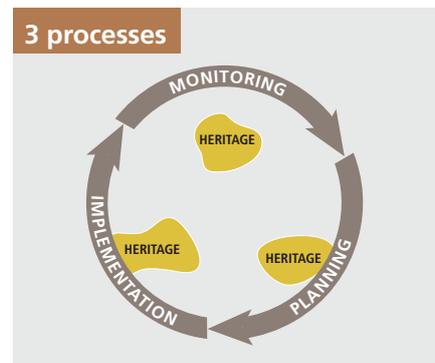
### HERITAGE MANAGEMENT SYSTEMS IN GENERAL

#### Premise

A heritage management system is a framework, often permanent, made up of three important elements: a **legal framework** which defines the reasons for its existence, an **institution** which gives form to its organizational needs and decision-making, and **resources** (human, financial and intellectual) which are used to make it operative.

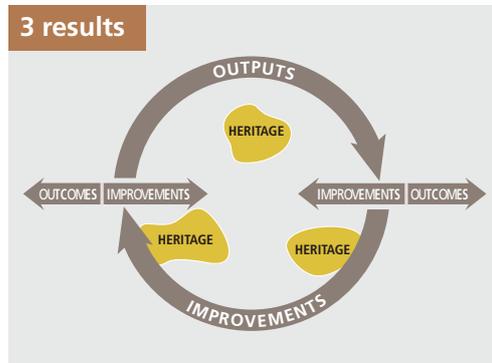


Together they facilitate the **planning, implementation** and **monitoring** of actions, usually for a single cultural property or a group of properties or an area, to deliver results which guarantee the conservation and management of the properties and their associated values in a sustainable way.



37. An overview of a management system may be independent or form part of a management plan. See Appendix A.

Achieving the specific **outcomes** sought for the property and its stakeholders is the ultimate result of the heritage management system. Reaching these objectives efficiently depends on heritage processes delivering a series of outputs, but also on making **improvements to the management system** in response to gaps being identified in it or in response to new needs.<sup>38</sup>



The 'Premise' is also applicable to 'traditional' systems. Some heritage management systems are based on time-honoured practices that have never been written down or on practices that have evolved, perhaps as a by-product of religious codes. All the same, the nine components identified in the framework will still be distinguishable. For instance, the three elements (legal and institutional framework and resources) might be reflected in the distribution of responsibilities and the social hierarchy within the community. Traditional management systems have so far received little attention within heritage discussions but are now recognized to be an important aspect of managing heritage.

CASE STUDY

**Traditional management systems in practice today**

*The cultural landscape of Bali consists of five rice terraces and their water temples that cover 19,500 ha. The temples are the focus of a cooperative water management system of canals and weirs, known as subak, that dates back to the 9th century... The subak reflects the philosophical concept of Tri Hita Karana, which brings together the realms of the spirit, the human world and nature.*

*Most subaks possess written legal codes, called awig-awig, which detail the rights and responsibilities of subak membership. Awig-awig, or traditional customary laws and regulations, including subak management and the traditional protection and conservation of cultural properties are covered by regulations of Bali Province Number 5 (2005) Section 19, that clarify zoning for protected sacred sites such as temples, based on local awig-awig.*

(Ref: <http://whc.unesco.org/en/list/1194>)



Cultural Landscape of Bali Province: the Subak System as a Manifestation of the Tri Hita Karana Philosophy (Indonesia)

**The diversity of management systems**

Heritage management systems vary extensively but every country has one or more in place (we can call these 'primary management systems'). Many of them are national or regional systems for managing heritage in a particular geographical area. Some treat separately specific types of cultural heritage: a few of them (New Zealand's is an example) integrate the management of both cultural and natural heritage. Other management systems are concerned

38. This definition of a heritage management system emerged from research for the ICCROM paper 'Defining appropriate management systems for World Heritage sites', 2009, Chapter 4.5.2 p.53.

## 4 Defining, assessing and improving heritage management systems

with a particular heritage property or group of properties. Yet others may be temporary, for instance the result of a limited-term partnership for delivering a specific project.

The scope of a heritage management system at national or regional level will extend mainly to broad policy-making, and the definition, identification (in inventories) and protection of properties. Its purpose is to maintain the cultural values for which the identified properties are being protected.

Rarely will this primary management system at national or regional level be adequate for effective management, for instance for historic urban centres or cultural landscapes. In those cases management might require working with public authorities, private owners and other stakeholders, drawing upon a variety of legal instruments and combinations of institutions and resources. Planning controls may depend on quite different legal systems, for example municipal authority regulations that embody planning constraints and development strategies for entire regions, possibly combined with tax incentives or grants for private owners and tenants.

This is particularly true of World Heritage properties. The buffer zone of a property, for example, will usually be subject to legislation from non-heritage sectors and is likely to be the responsibility of multiple public and private organizations and owners. As another example, a cultural property which has been the object of traditional management practices for generations may have to meet new management requirements resulting from its World Heritage inscription or when exposed to the adverse effects of economic development. Similar scenarios can arise in the case of cultural landscapes where land use practices have never been formalized.

The focus of this section (Part 4) is on the primary management systems for cultural heritage that are referred to at the start; but the need to integrate them with other systems, or components of them, is emphasized throughout.

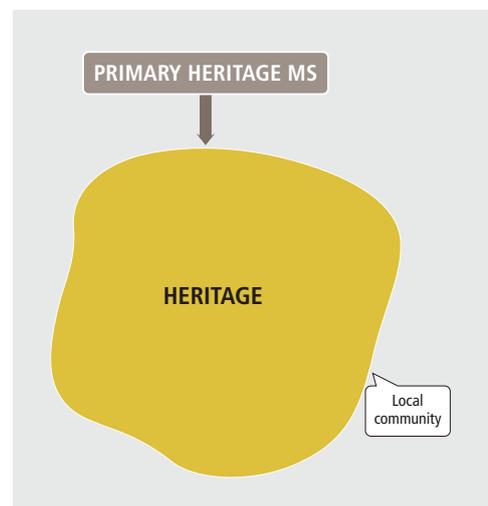
The need for integration has important repercussions for decision-making processes. As the follow diagrams (5-7) below illustrate, the primary management system for heritage often has to change its decision-making processes in order to integrate contributions from other systems (or their components) effectively. This is explored further in Part 3 and is particularly true of institutional frameworks (Part 4.2).

### Different management scenarios

#### *Management scenario example one*

Some properties are owned and managed exclusively by the primary management system (protected under national law, taken care of by the main institution in charge of heritage with its own resources). This will often be reflected by property boundaries being well defined. Planning for conservation, implementation and monitoring are by the same institution. Outcomes and outputs are established by the institution. This is changing but there are still many examples.

All decisions are made by the primary management system. Other stakeholders may want to contribute but not be able to.



**Diagram 5:** Illustrates management scenario example one

CASE STUDY

**Management under a single system**

Both the property and the buffer zone are managed under the provisions of the Department of National Museums and Monuments of Zimbabwe. However, a programme has already been launched aimed at engaging local communities.



© Graciela Gonzalez Brigas

Great Zimbabwe National Monument (Zimbabwe)

**Management scenario example two**

There are some heritage properties with multiple owners, occupancy and ongoing uses. Historic centres and cultural landscapes are examples. Some of the monuments or areas may be under direct control of the primary management systems but some may belong to private owners. Ownership or responsibility for their care may be under a local heritage authority or a local civic authority, particularly in the case of non-listed buildings and infrastructure.

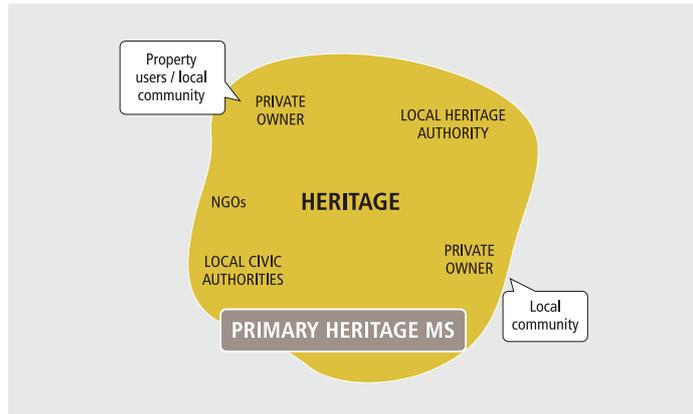


Diagram 6: Illustrates management scenario example two

In these cases, the decision-making process will be different, involving, amongst others, governing and managing bodies, owners and users. While some decisions may be taken by individual entities, there should be a new mechanism to take joint or collective decisions.

**Management scenario example three**

In the case of World Heritage and depending on the type of property, there may be a variety of entities involved in management of the property as well as the buffer zone. This may also be the case for properties outside the World Heritage system that have planning restrictions for areas of 'respect' beyond the property boundaries.

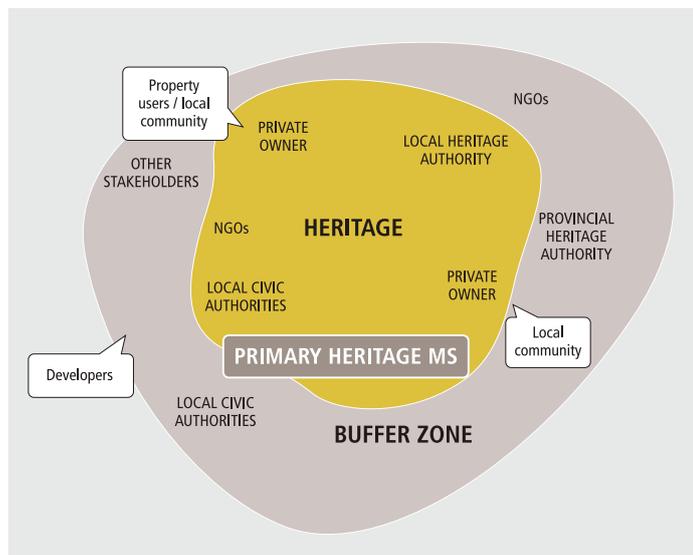


Diagram 7: Illustrates management scenario example three

Decision-making process in this scenario becomes even more complex and a new decision-making platform is a prerequisite.

## 4 Defining, assessing and improving heritage management systems

These can be illustrated from many examples within the World Heritage properties. Presented below is the decision-making process developed for the World Heritage property of Cultural Landscape of Bali Province: the *Subak* System as a Manifestation of the *Tri Hita Karana* Philosophy linking all stakeholders.

### CASE STUDY

#### **Illustration of the decision-making process of a World Heritage property**

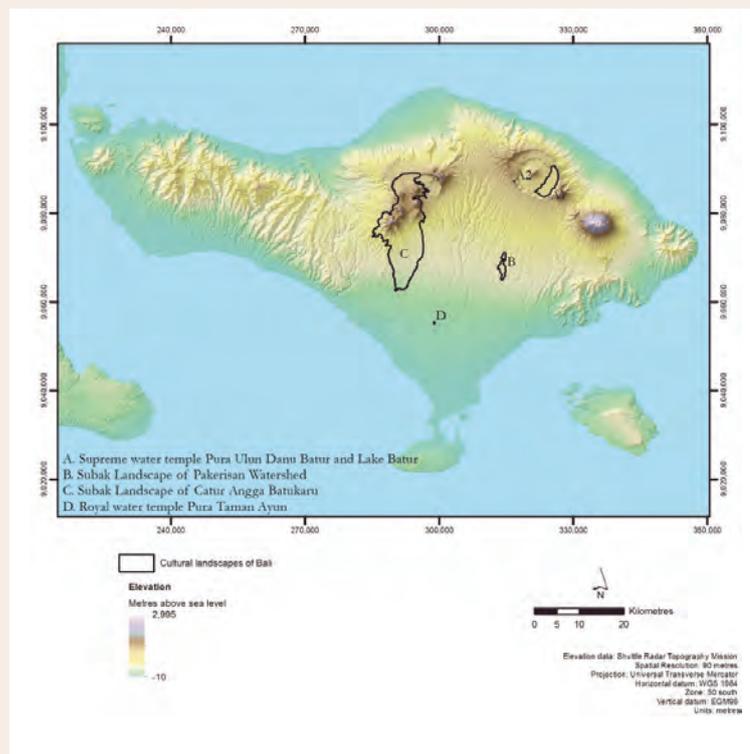
*The cultural landscape of Bali consists of five rice terraces and their water temples that cover 19,500 ha. These consists of agricultural lands owned and managed under traditional systems by private owners and temples owned by the religious community, some governed by the national heritage authorities and some by the provincial authorities.*

*A new decision-making process has been established in order to bring all relevant stakeholders traditional management systems as well as modern heritage management systems for more effective management of the property.*

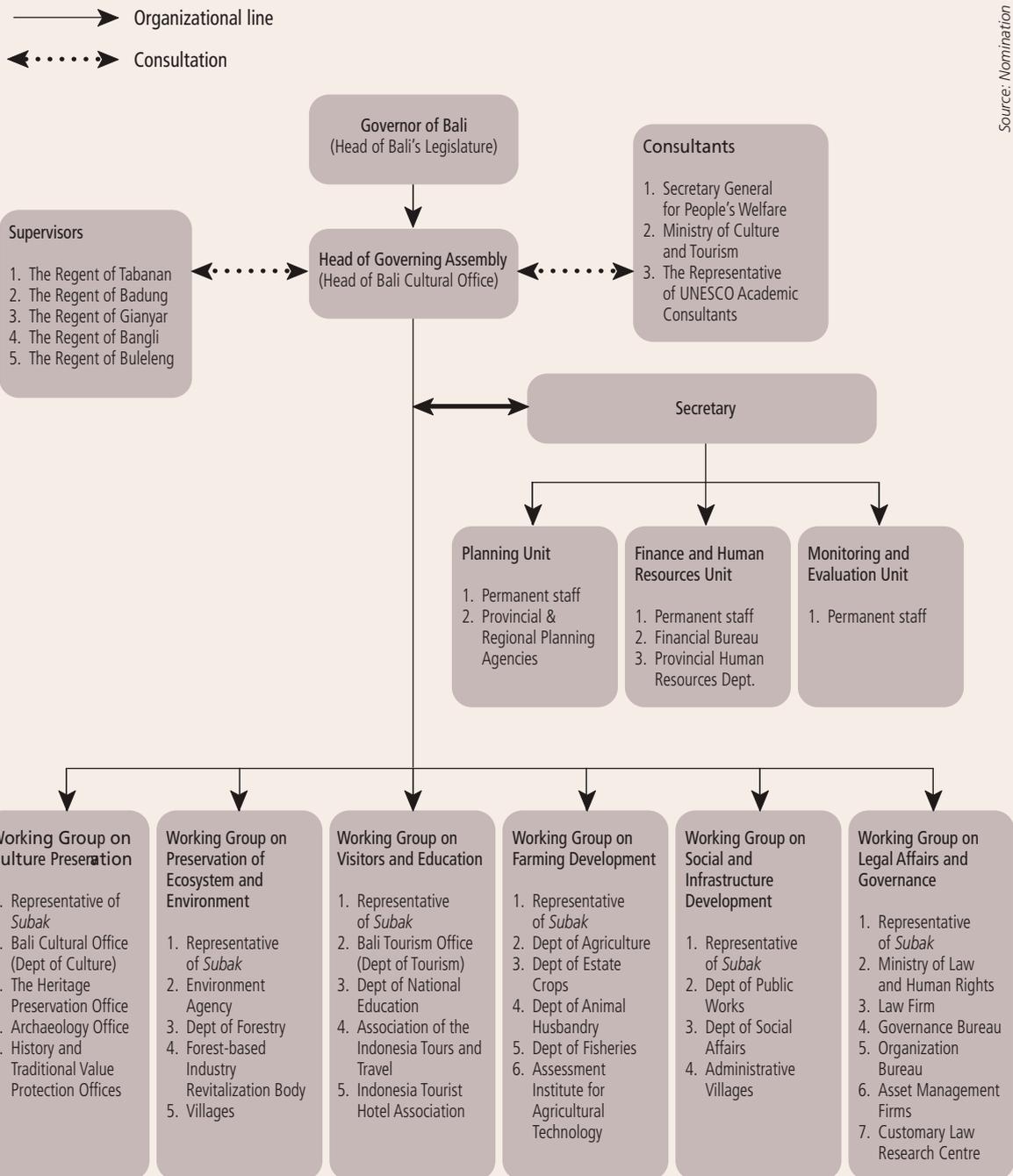
*A Management Plan has been adopted by the Provincial Government of Bali. This plan puts in place a management system that aims to sustain traditional practices and deflect inappropriate development. It uses established management principles of 'adaptive co-management by diverse stakeholders' and modifies these to suit the Balinese context. It connects individuals, organizations, agencies and institutions at multiple organizational levels by means of a democratic Governing Assembly.*

(Ref: <http://whc.unesco.org/en/list/1194>)

#### **Index Map of the Cultural Landscape of Bali**



### Organizational structure of the Governing Assembly (Bali)



Source: Nomination file

## 4 Defining, assessing and improving heritage management systems

### What management systems are for

A management system exists to achieve outcomes for the properties in its care and for their stakeholders. In the case of cultural heritage, the principal outcomes are the effective protection of the heritage values of a cultural property or group of properties for present and future generations and the delivery of wider benefits to society.

The management system includes cycles of planning, implementation and monitoring in order to deliver activities addressed to conservation, interpretation and access which often have a broader agenda in mind, such as sustainable use and benefit-sharing. The World Heritage OG highlight specific purposes of management systems relevant to World Heritage properties which are explored further below.

### Key considerations for management systems

A management system will be shaped by varying cultural perspectives, by the resources available and by other factors. These may change and may not be aligned with the real needs of the property and its stakeholders. A management system needs to be regularly reviewed and updated to respond to changes to the properties and their setting and to inadequacies and adverse developments within the management system itself.

The following considerations help to explain why a heritage management system needs to be responsive if it is to be effective:

- *Embracing diversity:* Each heritage management system will be, to some extent, unique because of being shaped by the specific needs of the heritage in its care, the cultural context and wider social, economic and environmental factors. In the case of World Heritage, see the *Operational Guidelines* (OG para 110, Part 3.3 of this document).
- *Clarity and coordination:* A management system is cyclical, evaluating its process and achievements so as to adjust its ongoing activities and to inform the next cycle. Interacting with other management systems or their components, it provides a coordinated and effective management outcome with regard to the values of the heritage and, in the case of World Heritage, the OUV.<sup>39, 40</sup>
- *Risk preparedness:* A management system needs to be sufficiently flexible to deal with unforeseeable events, such as natural disasters or fluctuations in the financial or human resources available to it.
- *A participatory approach:* A shared understanding of the property and its significance by all stakeholders and their involvement in management processes can radically change how the functions of a management system are discharged. It makes heritage processes more responsive and delivers outputs and outcomes that are better aligned with the actual needs of the property and its stakeholders. It also promotes a constructive role for heritage to contribute to society and to sustainable development (see Part 2.3).
- *The role of heritage in sustainable development:* Establishing an active role for heritage in sustainable development delivers numerous reciprocal benefits, enabling the management system to balance different and competing needs more effectively, and to locate new forms of support which are likely to reinforce the heritage values (see Part 2.3).

A responsive management system is more likely to respond to and manage change effectively. It is therefore important to understand how the management system operates (see Parts 4.2 - 4.4), and how it can be clearly described (see Part 4.5). It provides the basis for identifying

39. UNESCO, ICCROM, ICOMOS and IUCN. 2011. *Preparing World Heritage Nominations*. (Second edition). Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual) p.89. <http://whc.unesco.org/en/activities/643/> (English web page).

40. Management planning (see Appendix A) can be a useful tool when a multilateral approach is required so long as the plan has priority or is integrated with other types of plans (e.g. visitor management plans, urban development plans) being used by the organizations involved. Above all, the management plan must be properly integrated into the heritage management system.

gaps in existing capacities, and then monitoring and developing them through targeting the appropriate audiences (see Parts 3.8 and 4.5).

## CASE STUDY

**Primary management system at property level**

Overall management of the Mahabodhi Temple Complex at Bodh Gaya, World Heritage property is done by the Bodhgaya Temple Management Committee (BTMC) which is empowered by a legislative act. The Bodh Gaya Temple Act (Bihar XVII of 1949) passed on June 19, 1949, makes provision for the State Government to establish the BTMC for the better management of the temple and the properties appertaining to it. The Committee works under the supervision, direction and control of the State Government of Bihar. BTMC was constituted and has been playing this role since 1953. However, all matters related to the conservation of the fabric are done by the Archaeological Survey of India (ASI) – an institution running the national level primary management system.

Mahabodhi Temple Complex  
at Bodh Gaya (India)



© Jan Fritz

## MANAGEMENT SYSTEMS AND WORLD HERITAGE

### Key considerations

A responsive, effective and complete heritage management system should be able to meet most of the additional requirements that the World Heritage system imposes on it. These feature throughout the manual but some of them are listed here:

#### *Additional obligations of the World Heritage process:*

- The preparation of Tentative Lists (1972 Convention<sup>41</sup> and OG paras 62-76) They differ from standard heritage inventories in listing properties with the potential to be included in the World Heritage List.
- The preparation of nomination dossiers (OG paras 120-133 and Annex 5) which requires input and coordination at national and international level.
- A values-led approach to conservation and management of heritage. Even in those countries that have adopted one, it is a demanding process to assess those values embodied in cultural settings and intangible qualities of the site, over and above those of the physical fabric of the property.
- A participatory approach to management, which is not common in many countries.
- Compliance with the reporting processes and decisions of the World Heritage Committee.
- The development of new mechanisms for the nomination and management of serial, trans-boundary properties and for adapting existing management systems for this purpose.
- A constantly updated risk mitigation strategy that insures the management system against major disasters or foreseeable operational failings.<sup>42</sup>

41. UNESCO. 1972. *Convention concerning the Protection of the World Cultural and Natural Heritage*. (World Heritage Convention). Article 11.

42. For more information on risk preparedness: UNESCO, ICCROM, ICOMOS and IUCN. 2010. *Managing Disaster Risks for World Heritage*. Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual). <http://whc.unesco.org/uploads/activities/documents/activity-630-1.pdf> (English web page).

## 4 Defining, assessing and improving heritage management systems

### *Additional considerations:*

- The need to develop a shared and realistic vision for the medium- to long-term future of the property that could be shared with the international community.
- The need to address the management changes and challenges that could arise from inscription on the World Heritage List. For example, the implications of a possible increase in visitor numbers due to listing need to be understood and planned for, as must the greater commitment to site interpretation and visitor facilities.<sup>43</sup>
- The need for new or improved tools for greater management effectiveness and improved results when countries opt to use existing institutions and resources to implement new management actions associated with World Heritage listing of a cultural property.
- The need to integrate new management strategies for World Heritage properties sometimes leads to new management structures being introduced. These might form a separate unit within existing institutions and/or be a project-based implementation team or a site-specific institution with its own mandate and resources.
- The expanded definitions of World Heritage categories. Most properties fall into either cultural heritage or natural heritage categories, with each category having its own sub-sections.<sup>44</sup> But the categories of 'mixed properties' and subcategories such as 'historic urban centres' and 'cultural landscapes' have introduced new definitions that need to be understood.<sup>45</sup>
- The opposition by some groups and communities to World Heritage status, and the need to respond with preventive advocacy work.

### Serial or transboundary properties <sup>46</sup>

In the case of serial or transboundary / transnational nominations, a priority should be to ensure that adequate protection and management for each component is in place and working effectively. There should also be a management system at the level of the whole property that should ensure communication and coordination between all component parts, in particular in relation to:

- The harmonization of management of all the component parts to meet a set of shared objectives of conserving potential Outstanding Universal Value;
- The identification of and response to threats to the property; and
- The coordination of monitoring and reporting, in particular in relation to the requirements of the World Heritage Convention.

The management system for a serial or serial or transboundary property should regularly review and reinforce where feasible the coordinating mechanisms to increase the cohesion and effectiveness of its management as a World Heritage property, and respond to changes that affect its component parts.

It must be clear how coordinated management is to be achieved for the separate components, especially where different managers and management systems may apply. Coordinated management must be effective.

43. Visitor numbers do not always increase with World Heritage listing. See examples in James Rebank's study in *World Heritage Global Analysis – the Economic Gain*. <http://www.lakeswhs.co.uk/>

44. UNESCO, ICCROM, ICOMOS and IUCN. 2011. *Preparing World Heritage Nominations*. (Second edition). Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual) Chapter 1.3, p.19.

45. Mitchell, N., Rössler, M. and Tricaud, P-M. (authors/eds). 2009. *World Heritage Cultural Landscapes: A handbook for conservation and management*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 26). <http://whc.unesco.org/en/series/26/>

46. UNESCO, ICCROM, ICOMOS and IUCN. 2011. *Preparing World Heritage Nominations*. (Second edition). Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual) pp.50 and 90.

- It is not necessary to create a specific management authority for the property if the existing management plans or systems are working well and provided that there is an overarching approach to management. However, where existing mechanisms are inadequate, new specific mechanisms may be needed but they must be effective.<sup>47</sup>

Serial nominations may also be used for transboundary properties, such as the Jesuit Missions of the Guaranis (Argentina and Brazil, 1984), the Struve Geodetic Arc which unites ten countries (2005) and Frontiers of the Roman Empire (Germany and United Kingdom, 1987, 2006, 2008): Other examples discussed include the ambitious transnational heritage corridors for the Silk Roads and the Viking Age serial nomination comprising land-, sea- and townscapes stretching from the North Atlantic to the Baltic Sea.

### Benefits of World Heritage status for good management practice

Adapting a heritage management system to respond to World Heritage requirements can lead to improvements in its regular operation while also giving access to the comprehensive World Heritage support system. Some of the opportunities are as follows:

- Changes in World Heritage procedures and requirements (for example revisions to the *Operational Guidelines*) will require periodic adjustments to the management system for World Heritage properties. This process can be combined with parallel reviews and updating in response to changes at the local and national scale and, together, they can ensure the management system remains responsive to all types of change and hence genuinely effective.
- A variety of resources are available on the World Heritage Centre website to help States Parties and all those involved in managing World Heritage properties. Examples are the series of Resource Manuals of which this volume is a part, the 'World Heritage Capacity Building Strategy' and the World Heritage Papers. In helping to explain compliance with the demands of the World Heritage system, these publications discuss issues common to all cultural heritage and are useful to those managing cultural heritage outside the World Heritage system.
- Access to the World Heritage community helps to identify case studies from which to draw inspiration and capacity-building programmes that heritage practitioners could attend to improve their own and their institutions' capacities.
- International cooperation is one of the founding principles and an inherent priority of the entire World Heritage community. Article 7 of the 1972 Convention states this explicitly: '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.'<sup>48</sup>

47. See for further guidance: UNESCO World Heritage Centre. 2011. *Presentation and adoption of the World Heritage strategy for capacity building*. Paris, UNESCO World Heritage Centre. (Doc WHC-11/35.COM/9B) <http://whc.unesco.org/archive/2011/whc11-35com-9Be.pdf>

48. UNESCO. 1972. *Convention concerning the Protection of the World Cultural and Natural Heritage*. (World Heritage Convention).

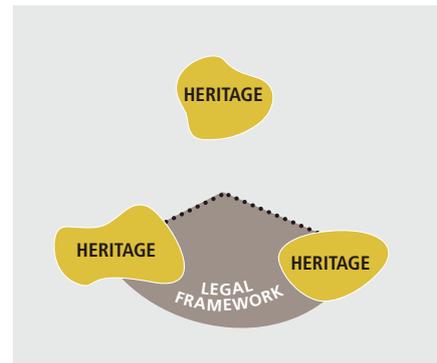
## 4 Defining, assessing and improving heritage management systems

### 4.2 The three elements of a heritage management system

**Defining the three elements:** There are three essential elements that are interdependent in any primary heritage management system. This is true whether the system is a national heritage management system or one that is concerned only with a group of properties or even a single property:

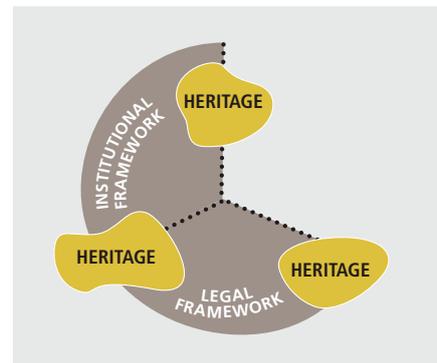
#### 1. LEGAL FRAMEWORK

The mandate that empowers people and organizations to act. It defines what constitutes heritage and criteria for its conservation and management, usually by means of legislation.



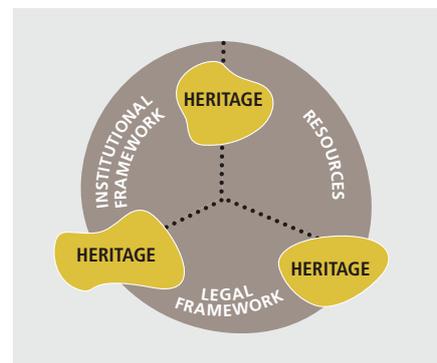
#### 2. INSTITUTIONAL FRAMEWORK

The organizational set-up that sets out the operational structure and working methods that allow actions to be taken.



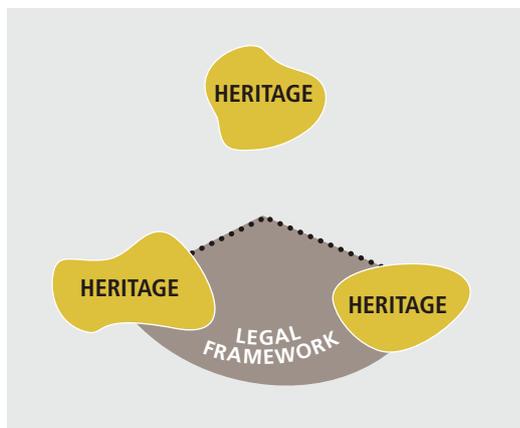
#### 3. RESOURCES

The human, financial and intellectual inputs that create operational capacity and facilitate processes.



**Element 1: LEGAL FRAMEWORK****Overview**

In every country there exists some form of mandate to define, identify, protect and conserve cultural heritage and to make it accessible. Its form ranges from a formal body of law to unwritten traditions passed down from generation to generation. It may be a fusion of the requirements of international conventions and charters and national legislation, regional regulations, local by-laws and spatial planning frameworks. Whatever its form, it constitutes a legal framework which defines the existence of a management system and empowers those within it to act.



**Diagram 8:** A legal framework to identify, define, protect and conserve heritage

**LEGAL FRAMEWORKS IN GENERAL****They vary extensively**

Heritage legislation, like any other legislation, can have many purposes: to regulate, to authorize, to proscribe, to provide (funds), to sanction, to grant, to declare or to restrict.<sup>49</sup>

Legal frameworks for managing cultural heritage might be formalized in legislation specifically drawn up for heritage or they may be a by-product of general legislation that is being used for heritage purposes (and so are less easily defined). Some legal frameworks might have retained an informal, unwritten status, either wholly or in part. They might result from recent expressions of a community-led consensus or be a survival of word-of-mouth practices passed on from generation to generation.

Legal frameworks tend to be permanent, but occasionally a temporary one can be designed to serve in exceptional circumstances or for the purposes of a specific partnership agreement. Many legal frameworks have a variety of origins and operate at different levels of a management system (e.g. the state constitution, national laws, local by-laws, property-specific agreements and compliance with cultural heritage conventions and charters).

**What legal frameworks are for**

A legal framework, whether formalized or not, should provide sufficient legal and regulatory tools for the protection of cultural heritage. It governs all aspects of the management system for a property. It is through the legal framework that a state will often define the cultural heritage that needs protection, using criteria that may depend on age or provenance, a mix of both, or indeed other factors.

49. <http://en.wikipedia.org/wiki/Legislation>

## 4 Defining, assessing and improving heritage management systems

Two common types of legislation are (a) specific designation of heritage places as being of special importance to the state and therefore subject to specific controls; and (b) an overall regulation of spatial development which can include specific policies for protection of heritage places or landscapes. Such forms of regulation are usually an essential part of a management system for a World Heritage property. It is essential that they are applied equitably and transparently so that all parties are fully aware of what is and is not legally possible.

### Sources of 'legislation' for cultural heritage

The following are some common types of legislation for cultural heritage:

- Constitutional decrees: stipulations that derive from a country's constitution.
- National, regional or local legislation specifically made for cultural heritage conservation and management.
- Traditional customs and established practice.

Supplementary legislation from other sources might be:

- Other legislation which has an impact on cultural heritage conservation and management: urban planning laws, environmental laws, land laws and export control laws are examples.
- International law, for example, international conventions such as the UNESCO 1972 World Heritage Convention whose stipulations have to be incorporated into national legislation and policy.

There are codes and other regulatory frameworks which do not constitute primary legislation but can influence heritage management policy and practice. These include regulations and standing orders created by specific institutions.

## LEGAL FRAMEWORKS FOR HERITAGE IN GENERAL

### Key considerations

An effective legal framework for heritage will probably have the following characteristics:

- Clear provisions for inventories, protection, site demarcation and intervention policies.
- A clear directive to 'work with others', to enable broad consultation and wide participation.
- Provisions to integrate sustainable local development concerns into all areas of the heritage management system. It is through 'sharing' the benefits of cultural resources that society will rise to the challenge and in return share responsibility for heritage.
- An ability to make good use of other types of national and regional legislation (e.g. planning law) for the benefit of cultural heritage. New Zealand's Conservation Act of 1987 is an example: it brought twenty-five previous acts under a single law for the conservation of natural and historic resources.<sup>50</sup>
- The possibility of decentralization of power in order to bring decision-making closer to the heritage properties and the problems to be solved.
- Provisions to use different management tools and to monitor their impact, and also to adopt new tools for more effectively managing changes to the cultural property and its management system.

50. <http://www.legislation.govt.nz/act/public/1987/0065/latest/DLM103610.html>

## LEGAL FRAMEWORKS FOR HERITAGE IN GENERAL

## GOOD TIPS

- ▶ If shortcomings in the legal framework are compromising the effectiveness of the management system for a property, heritage managers can try to reform the law. If unrealistic at a high level, reform at a local level may be feasible by using, for example, regional law, development by-laws, local policy, partnerships between institutions and capacity-building.<sup>51</sup> For instance, in order to regulate the buffer zone, many countries use the legislation of regional or local councils. Successful 'local' solutions can provide the leverage in the long term for making reforms to national heritage legislation. Thus site managers can exert influence upwards through the management system.
- ▶ The challenges posed by cultural heritage with multiple private ownership and/or intensive land use within or around the property (e.g. historic urban centres, cultural landscapes) are similar to those often encountered in the management of large natural properties. Much can be learned from the natural heritage sector: for example, mechanisms (e.g. policies, monitoring, use agreements etc.) used to ensure that the resource use that is permitted in and around cultural properties is compatible and sustainable and that, wherever possible, benefit-sharing is embraced.<sup>52</sup>
- ▶ Legislation is not static but evolves. It may be necessary to change mindsets periodically in response to changes in heritage legislation or to other legislation that has an impact on heritage management.
- ▶ For guidance on how to improve legislation, refer to the Recommendation Concerning the Protection, at National Level, of the Cultural and Natural Heritage,<sup>53</sup> a document adopted by UNESCO at the same time as the UNESCO World Heritage Convention (1972) but much less familiar to heritage practitioners.

## USEFUL QUESTIONS TO ASK

- ▶ Does your national constitution mention cultural heritage? To whom is responsibility for it allocated? Even among federal systems, Canada, for example, maintains many responsibilities at national level whereas Germany devolves more to the provincial level. In other countries (e.g. Italy), cultural heritage protection and its enhancement may be overseen by different authorities.
- ▶ Does your national constitution/legislation give importance only to protection or also to public access, working with others, etc.? Is there a dedicated ministry for culture or is the culture portfolio paired with another such as education, research, the environment or even sport? How high does heritage rank in your country compared with other national priorities? And is the level of commitment to cultural heritage matched by a capacity for action?
- ▶ What is the weight of legislation dealing with cultural heritage relative to other legislation? Does your legal framework ensure that cultural heritage legislation and plans take priority over other legislation and plans (e.g. over development plans, tourism plans)? It is important to check that measures for heritage are not undermined by other government measures.
- ▶ Is the legislation in place actually being used? Is it effective? Are policies implemented? Could capacity-building<sup>54</sup> help staff to implement legislation and regulations? Sometimes legislation exists but is not enforced, to the detriment of the cultural properties concerned.

51. See: UNESCO World Heritage Centre. 2011. *Presentation and adoption of the World Heritage strategy for capacity building*. Paris, UNESCO World Heritage Centre. (Doc WHC-11/35.COM/9B) <http://whc.unesco.org/archive/2011/whc11-35com-9Be.pdf>

52. UNESCO, ICCROM, ICOMOS and IUCN. 2012. *Managing Natural World Heritage*. Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual) pp. 57-61.

53. UNESCO World Heritage Centre. 2011. *Recommendation on the Historic Urban Landscape*. [http://portal.unesco.org/en/ev.php-URL\\_ID=13087&URL\\_DO=DO\\_TOPIC&URL\\_SECTION=201.html](http://portal.unesco.org/en/ev.php-URL_ID=13087&URL_DO=DO_TOPIC&URL_SECTION=201.html)

54. See: UNESCO World Heritage Centre. 2011. *Presentation and adoption of the World Heritage strategy for capacity building*. Paris, UNESCO World Heritage Centre. (Doc WHC-11/35.COM/9B) <http://whc.unesco.org/archive/2011/whc11-35com-9Be.pdf>

## 4 Defining, assessing and improving heritage management systems

- ▶ Stakeholders who influence (both positively and negatively) the property's cultural values may be dependent on the property's resources: have you checked whether their dependence on the site demands some updating of the legal framework? The current legislation may be hindering their involvement. There may be other forms of legal framework that can offer alternative approaches. See 'Tool 3: Relationships with Stakeholders' in *Enhancing our Heritage Toolkit* which is useful for identifying stakeholders and their relationship with the site in a systematic way.<sup>55</sup>

### **New legal framework developed to facilitate the management of World Heritage properties**

*The South African Government has adopted new legislation to facilitate the management of World Heritage properties.*

*The purpose of the law is to provide for the incorporation of the World Heritage Convention into South African law; the enforcement and implementation of the World Heritage Convention in South Africa; the recognition and establishment of World Heritage sites; the establishment of Authorities and the granting of additional powers to existing organs of state; the powers and duties of such Authorities, especially those safeguarding the integrity of World Heritage sites; where appropriate, the establishment of Boards and Executive Staff Components of the Authorities; integrated management plans over World Heritage sites; land matters in relation to World Heritage sites; financial, auditing and reporting controls over the Authorities; and to provide for incidental matters.*

*No. 49 of 1999: World Heritage Convention Act, 1999  
<http://www.info.gov.za/view/DownloadFileAction?id=70616>*



© UNESCO / F. Bandairin

Robben Island (South Africa)

## LEGAL FRAMEWORKS FOR WORLD HERITAGE

### Key considerations

Article 4 of the World Heritage Convention considers the identification, protection, conservation, presentation and transmission to future generations of the cultural and natural heritage (as referred to in Articles 1 and 2) to be an obligation of each State Party. Creating new legislation or better linking it with legislation from other management systems may be necessary to meet World Heritage requirements for properties already listed or about to be inscribed. The following list identifies some current priorities (remember that World Heritage requirements continue to change and must be monitored).

*Possible additional legislative measures required by World Heritage listing (if existing or supplementary legislation is not sufficient):*

- Legislative and regulatory measures at national and local levels must guarantee the protection of OUV and prevent changes that negatively impact OUV, e.g. making impact assessments legally required.

55. Hockings, M., James, R., Stolton, S., Dudley, N., Mathur, V., Makombo, J., Courrau, J. and Parrish, J. 2008. *Enhancing our Heritage Toolkit. Assessing management effectiveness of Natural World Heritage Sites*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 23). Tool 3: Relationships with Stakeholders, p.28.  
<http://whc.unesco.org/en/series/23/>

- Legal frameworks need to offer protection and impose restrictions at varying levels of intensity for the World Heritage property itself, its buffer zone and its wider setting (also known as its 'area of influence') (OG paras 103-107).
- Mechanisms (possibly new legislation) are needed that will integrate the existing body of legislation affecting World Heritage properties, particularly those with multiple ownership, different levels of governance (provincial, national, etc.) and ongoing land use / commercial activity.
- In the case of properties which are 'serial' and/or 'transboundary', specific mechanisms (possibly new legislation) may need to be developed which respect the relevant legislation of the States Parties involved .

### LEGAL FRAMEWORKS FOR WORLD HERITAGE

#### GOOD TIPS

- ▶ For an effective management system it is important to establish the degree to which legislation is helping to maintain Outstanding Universal Value and the degree to which national and local government is supportive of the property (and cultural heritage in general). This can be a delicate exercise since identifying inadequacies could be interpreted as criticism of those high up in the management system. Pursuing a systematic assessment such as that proposed as 'Tool 4 – Review of National Context' in the *Enhancing our Heritage Toolkit*<sup>56</sup> could be one way for site managers to make the process and the results impartial and far-reaching. This tool, if employed in a participatory way, could help people to understand how national and international policies, legislation and government actions affect the World Heritage site.
- ▶ Policy-makers in central government must be fully aware of routine management issues. If not, weak links may exist between ministry-level law-making and property-level operations.
- ▶ Legal controls can take a variety of forms depending on the overall character of the legal system of each State Party. For example, legal systems based on Roman law or the Code Napoléon differ from those developed within the Anglo-Saxon tradition of Common Law (based on precedent rather than codified law). International cooperation (for World Heritage regional capacity-building, for transboundary properties, etc.) will benefit from an awareness of such differences.

#### USEFUL QUESTIONS TO ASK

- ▶ Since the property was inscribed as World Heritage, has the need to protect the OUV been introduced somewhere in the formal legal framework?
- ▶ Has there been new legislation (whether national decrees or local bylaws) to regulate buffer zones and larger settings?
- ▶ Is there an attempt anywhere in legislation to specify how the OUV will be sustained through protection and conservation?
- ▶ Could more explicit acknowledgement of this obligation help?
- ▶ Are any formal acknowledgements made of international conservation conventions and treaties in national or local legislation for cultural heritage?<sup>57</sup>

56. Hockings, M., James, R., Stolton, S., Dudley, N., Mathur, V., Makombo, J., Courrau, J. and Parrish, J. 2008. *Enhancing our Heritage Toolkit. Assessing management effectiveness of Natural World Heritage Sites*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 23). Tool 4: Review of National Context, p.32. <http://whc.unesco.org/en/series/23/>

57. A useful overview of UNESCO and Council of Europe cultural heritage conventions appeared in an article in ASCHB proceedings in 2012: [www.aschb.org.uk/index.asp](http://www.aschb.org.uk/index.asp)

## 4 Defining, assessing and improving heritage management systems

CASE STUDY

### Strong legislative backing for regulating the buffer zone

This is a case where establishing and regulating a buffer zone has received the highest attention. The Cultural Reserve buffer zone and its territory (2455.2 ha) were approved by resolution of the Seimas (Parliament) of the Republic of Lithuania. The buffer zone was established in order to shield the cultural values of the Cultural Reserve territory from the negative impact of any physical, visual or social developments and assure an overall ecological equilibrium.



Source: ICCROM

Kernavė Archaeological Site  
(Cultural Reserve of Kernavė) (Lithuania)

## Element 2: INSTITUTIONAL FRAMEWORK

### Overview

The organizational needs and decision-making that are necessary for managing cultural heritage has often led to the creation of institutional frameworks. They host the planning and implementation of actions and the continual review and improvement of work methods.

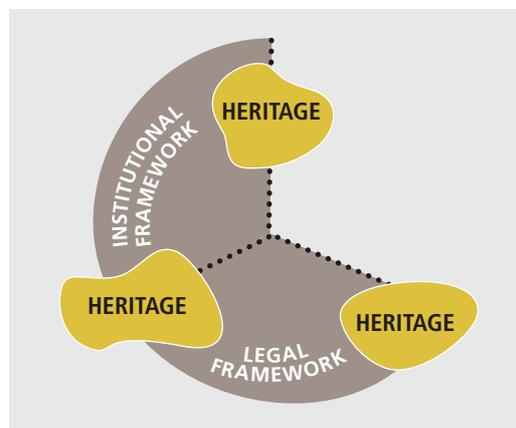


Diagram 9: An institutional framework gives form to organizational needs

## INSTITUTIONAL FRAMEWORKS IN GENERAL

### They vary extensively

Institutional frameworks are empowered by formal legislation or by practices established over time, or a mix of the two. The framework might be provided by a single organization or by multiple organizations each contributing towards it. The latter is likely in the case of large geographical areas, properties with multiple ownership (such as city centres or landscapes) or World Heritage properties.

Institutional frameworks generally bring together permanent organizational structures but occasionally resort to temporary arrangements to address specific situations. They can be divided into (a) those with the primary responsibility for heritage management as part of the primary management system, and (b) those with more limited scope, as summarized in the following table.

**Table 9. Institutional frameworks: two broad categories based on responsibilities**

Organizations with varying involvement in institutional frameworks	
<b>NATIONAL</b>	
<p><b>Main responsibility for management</b> (part of the primary management systems)</p> <ul style="list-style-type: none"> <li>• Central government (ministries, departments)</li> <li>• Semi-governmental (centrally controlled)</li> <li>• Local and provincial level</li> <li>• Empowered by law (sub-function)</li> <li>• Private trusts</li> <li>• Hybrid-new institutions (integrated), joint management</li> <li>• Site-specific including private owners</li> <li>• Organized community groups</li> <li>• Traditional owner community groups</li> </ul>	<p><b>Common sources of secondary support</b> (often resources related)</p> <ul style="list-style-type: none"> <li>• Public authorities outside of the heritage sector</li> <li>• Implementing agencies</li> <li>• Training institutions / universities</li> <li>• Research institutions</li> <li>• Professional organizations</li> <li>• Funding agencies</li> <li>• Traditional owners</li> <li>• Community groups</li> <li>• Consultancy services</li> </ul>
<b>INTERNATIONAL</b>	
<p><b>Main responsibility for management</b> (planning and implementation)</p> <ul style="list-style-type: none"> <li>• UNESCO (World Heritage Committee / Centre)</li> </ul>	<p><b>Partial responsibility for management</b> (mostly resources-related)</p> <ul style="list-style-type: none"> <li>• Capacity-building / research institution (e.g. ICCROM, SPAFA)</li> <li>• Professional organizations (e.g. ICOMOS, WAC)</li> <li>• Funding agencies (e.g. WMF, Getty)</li> <li>• Consultancy services</li> </ul>

Many types of institutional frameworks exist today, for example:

- Single all-powerful institutions
- Hybrid institutions with joint management which share responsibility more widely
- New institutions within existing organizations
- Property-specific initiatives (often inspired by World Heritage inscription)
- Reorganization to favour (for example) decentralization
- Frameworks with 'private' involvement, particularly in the case of public authorities over-seeing publicly owned and managed cultural heritage.

As the contribution from the private sector and other organizations grows, so the institutional framework takes on different forms and targets different capacities. It might depend on reinforcement from sponsorship (the commercial sector), from charitable sources (NGOs, community groups, heritage trusts, etc.) or from large-scale outsourcing of professional expertise, services and works.

### What institutional frameworks are for

The institutional framework should provide for efficient decision-making and facilitate all processes of the management system (see Part 4.3). It achieves this by balancing the need for continuity with the organizational flexibility necessary to respond to change.

### Key considerations for institutional frameworks

The following considerations all contribute to creating and maintaining an effective institutional framework for heritage:

- Sufficiently defined in relation to the wider governance context (including legislation, institutional arrangements and democratic processes, see p.74 on governance).

## 4 Defining, assessing and improving heritage management systems

- Responsive and flexible to cope with emerging concepts, trends and requirements.
- Organizational decentralization, when appropriate, to bring decision-making closer to the problems of the property, favouring community participation and the promotion of sustainable approaches.
- Giving due attention to the increasing number of institutional frameworks consisting of multiple organizations – which has two major implications:
  - The need for new skills to address the consequent management challenges;
  - The risk of overlap (wasteful repetition), poor accountability and reduced transparency as complexity increases.
- An open organizational structure and sufficient operational capacity to promote an integrated approach, i.e. working with others. Adequate stakeholder involvement is inseparable from issues of sustainability and the contributions that heritage can make to (and benefit from) sustainable development (see Part 2.3).
- A set of guiding principles for the institutional framework. These should promote the concepts of empowerment, participation and inclusion if positive change is to be generated, while highlighting the grave consequences of opposing tendencies (marginalization, discrimination, disempowerment, exclusion and ignoring the voiceless). There should not be any passive recipients when a management system is applied, so far as possible.

### INSTITUTIONAL FRAMEWORKS FOR HERITAGE IN GENERAL

#### GOOD TIPS

- ▶ An institutional framework which distributes power and responsibility for decision-making throughout the organization whilst maintaining clear roles and answerability can be effective.
- ▶ An institutional framework which invests in the intellectual development of its teams (e.g. training of staff, research initiatives) and contributes to general conservation debate will find this investment repaid in improved efficiency and in new forms of support for the cultural properties in its care.
- ▶ If there are shortcomings in the institutional framework and if restructuring is not possible, then partnership can act as a form of ‘institutional’ capacity-building to increase the scope and flexibility of the organizational structure (see Part 3.8).
- ▶ Similarly, heritage management planning (Appendix A) can help to overcome shortcomings in the primary institutional framework with the help of contributions from other management systems, with positive repercussions for decision-making mechanisms. It has become the principal tool in use for World Heritage properties.
- ▶ Accruing and maintaining knowledge of a specific property and past actions taken there is important to inform future actions. The institutional framework and its staff (see Part 4.3; Resources) play an important role in guaranteeing continuity of knowledge. Any reorganization should be a staged process so there is no loss of expertise. Similarly, using more external contractors and specialists should be matched by rigorous documentation requirements and sufficient in-house supervision.
- ▶ A systematic assessment similar to that proposed in the *Enhancing our Heritage Toolkit* – ‘Tool 3: Relationships with Stakeholders’ – could deliver the information needed to refine an institutional framework to this end.<sup>58</sup>
- ▶ Hybrid institutional frameworks that unite public heritage authority organizations with new entities can serve to address World Heritage obligations. They can be fairly permanent or of a finite term, bringing in outside partners to achieve specific objectives that leave a positive legacy for the long-term management of the property (see, for example, the Herculaneum (Italy) case study, p. 111).
- ▶ If the institutional framework is traditional/established practice, it is all the more important that its light organizational form is grounded in a broad community consensus.

58. Hockings, M., James, R., Stolton, S., Dudley, N., Mathur, V., Makombo, J., Courrau, J. and Parrish, J. 2008. *Enhancing our Heritage Toolkit. Assessing management effectiveness of Natural World Heritage Sites*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 23). Tool 3: Relationships with Stakeholders, p.28. <http://whc.unesco.org/en/series/23/>

## USEFUL QUESTIONS TO ASK

- ▶ Is the institutional framework clearly documented, transparent and accessible? This is vital to favour accountability and staff motivation and to facilitate participatory approaches, amongst other things.
- ▶ Having identified values in a participatory way (see Appendix A), is the adequacy of the institutional framework to protect them also reviewed?
- ▶ Is the capacity (autonomy, size, efficiency, responsiveness, etc.) of the institutional framework adequate for the needs of the specific cultural properties for which it is responsible? Also for their wider setting (the buffer zone and beyond), and the social, economic and environmental implications?
- ▶ Has the ability of the institution(s) to attract resources, not only financial, from a diversity of sources been assessed?
- ▶ Is there the organizational capacity in the institutional framework to be accountable to funders, superior governing bodies, staff and target groups (and future generations)?
- ▶ Check the 'authority' of the institution in charge. It should have the authority to ensure that the World Heritage Convention commitment is maintained for the property, and cannot be sidelined by lesser commitments. This is critical.
- ▶ Is there the internal capacity to improve institutions using new and innovative tools?

## INSTITUTIONAL FRAMEWORKS FOR WORLD HERITAGE

### Key considerations

The 1972 Convention refers to the need for administrative provisions but does not define specific requirements or characteristics of the institutional framework (perhaps because they vary so much from country to country).

A State Party must identify a single institution to act as the nodal point for all World Heritage matters and for communication with the World Heritage Centre. For Periodic Reporting, in particular, a 'focal point' is appointed from an institution with a primary management role for all the World Heritage of a particular State Party (see Part 3.5).

In reality, in all World Heritage processes institutions play a primary role, from the preparation of a Tentative List through to the day-to-day management of a World Heritage property. Indeed, effective management of World Heritage properties depends on the extent to which the institutions embrace the Convention and *Operational Guidelines* at every level of management.

Effective management of World Heritage also depends on institutions being flexible enough to:

- work with a range of institutions linked to a particular property, from the time of preparing the nomination to management after inscription
- respect requirements (e.g. monitoring responsibilities, following up 'State of Conservation' requests, facilitating missions, Periodic Reporting, OG requirements and the need to protect OUV as the baseline for management), and
- accommodate new and emerging concepts in the World Heritage system (e.g. improving approaches to capacity-building, risk management and sustainable development and the impact of climate change).

## 4 Defining, assessing and improving heritage management systems

### Governance in the cultural heritage sector

'Governance' has become a mainstream concern in the heritage sector as public heritage authorities and heritage NGOs examine their own policies and practices in an attempt to prevent the calamities that have plagued the private sector, in which the collapse of several important corporations has been attributed to poor governance.

Good governance refers to the relationship between governing bodies, citizens and democratic processes, and the ability to deliver effective, functioning forms of government.

Research<sup>59</sup> suggests that principles identified by the OECD for democratic public institutions are applicable to non-governmental and public sector governance for the cultural heritage sector and particularly for citizens who live on or near heritage properties):

- respect for the rule of law;
- openness, transparency and accountability of democratic institutions;
- fairness and equity in dealings with citizens, including mechanisms for consultation and participation;
- efficient, effective services;
- clear, transparent and applicable laws and regulations;
- consistency and coherence in policy formation; and
- high standards of ethical behaviour.<sup>60</sup>

Priority areas that the OECD identified are also important for the heritage sector: e-government, regulatory reform, public sector budgeting and management, citizen participation in policy-making, and fighting corruption.

For the UNDP, good or democratic governance entails 'meaningful and inclusive political participation – basically people having more of a say in all of the decisions which shape their lives.'<sup>61</sup> Enhancing governance will always depend on local input and commitment. International guidance is subject to country-specific circumstances and institutional features, so that global findings cannot be applied directly. Only local data can make a convincing case for change and it is only through local capacity that relevant issues can be identified and political opportunities for legal and regulatory reform seized.

Drawing on a definition from the corporate sector,<sup>62</sup> we could propose a definition for governance in the cultural heritage sector as follows:

*In its broadest sense, governance is concerned with holding the balance between economic and social goals and between individual and communal goals. The governance framework is there to encourage the efficient use of resources and equally to require accountability for the stewardship of those resources. The aim is to align as nearly as possible the interests of individuals, of cultural heritage, and of society.*

59. Principles of good governance from several international heritage-related agencies, trusts and organizations are used to develop a set of principles for the cultural heritage sector in: Shipley, R. and Kovacs, J.F. 'Good governance principles for the cultural heritage sector: lessons from international experience', in: *Corporate Governance*, Vol. 8 Iss: 2, 2008, pp. 214–228. Emerald Group Publishing Limited.

60. [http://www.oecd.org/about/0,3347,en\\_2649\\_37405\\_1\\_1\\_1\\_1\\_37405,00.html](http://www.oecd.org/about/0,3347,en_2649_37405_1_1_1_1_37405,00.html)

61. <http://www.undp.org/content/undp/en/home/ourperspective/ourperspectivearticles/2011/05/20/why-good-governance-makes-for-better-development.html>

62. Claessens, S. 2003. *Corporate Governance and Development*. *Global Corporate Governance Forum, Focus I*. Washington, DC, International Bank for Reconstruction and Development/Bank.

**Element 3: RESOURCES**

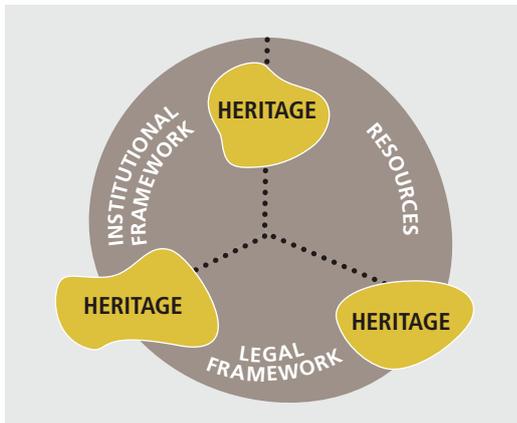
**Overview**

Resources are the basis for operational capacity and come in three main forms: human, financial and intellectual. They enable the institutional framework to carry out the mandate defined by the legal framework. They are more likely to be subject to frequent changes than the institutional or legal frameworks.

Many definitions of ‘management’ make people and resources the central issues:

*‘Management is the activity of getting things done with the aid of people and other resources’*

*‘Management is a general human activity which occurs whenever people take responsibility for an activity and consciously try to shape its progress and outcome’<sup>63</sup>*



**Diagram 10:** Resources – human, financial and intellectual – are the basis for operational capacity

**RESOURCES IN GENERAL**

**Their availability and utilization vary extensively**

*Human resources*

It is usually the institutions themselves that provide the human resources for cultural heritage that is under public management. However, the shift in many countries to outsourcing expertise and works (often associated with downsizing of public organizations and/or the desire to reduce direct risks assumed by the public bodies) has led to opportunities for a wider range of professionals and works contractors to engage in heritage conservation.

In the case of cultural landscapes or urban sites, it is often those for whom the heritage property is a home or a livelihood (e.g. private owners, residents, local communities, and those working the land) who contribute substantial additional human resources to its care, often as volunteers.

The World Heritage Capacity Building Strategy (drawing also upon the experience of other sectors) establishes that building the capacity of a heritage management system is based on forms of people-centred learning, reflecting the importance of human resources. It identifies three primary areas where heritage capacities reside – among practitioners (operating inside and outside the institutional framework), within institutional frameworks, and among communities and networks – and their respective key target audiences through which capacities can be built: these are essentially practitioners, policy-makers and representatives of other stakeholders (see Part 3.8).

63. Boddy, D. 2008. *Management: An Introduction*. (Fourth edition). Harlow, UK, Financial Times/Prentice Hall.

## 4 Defining, assessing and improving heritage management systems

### *Financial resources*

Financial resources will be either fixed (in terms of source, scope and timing) or variable with different sources (e.g. local, international or traditional sources, or from loans, private funding, international cooperation, specific support for World Heritage properties, sustainable financing, etc.), or a mix of the two.

It has usually been government budgets that provide the financial resources for cultural heritage under public ownership and management, but, as public funding has declined, so funding is being sought from other sources. Thus properties in public ownership take on some of the characteristics of cultural heritage in private ownership – for example, urban sites and cultural landscapes – which seek funding where they can.

Financial resources generated directly from cultural properties are also becoming important in the pursuit of economic sustainability.

### *Intellectual resources*

A wealth of intellectual resources in the form of principles of conservation emerged in the Western world at the end of the 19th century. Resources have continued to evolve as new knowledge from around the world is contributed. The success of conservation or management programmes depends on knowledge being generated, maintained, updated and exchanged, both for day-to-day actions and for improving the management systems and for communicating to existing and new audiences

This needs to be done at numerous levels within the management system through capacity-building (see ‘human resources’ above and Part 3.8), often in the form of research and staff development. Human resources and intellectual resources overlap extensively. Human resources within a management system are important but are not the only generator and host of intellectual resources. Intellectual resources must also be reinforced through internal monitoring and review (see Part 4.3 – Monitoring) and also through external sources drawing upon information management, outsourcing (see Appendix B) and advocacy. Indeed, local experience and know-how can be as precious intellectual resources as the output of national research bodies or international charters (see Part 4.4 – Improvements to management systems). Intellectual resources, like human and financial resources, are often in short supply.

### **What resources are for**

The deployment and manipulation of resources constitutes ‘resourcing’. Resources, as discussed above, fall into three broad categories – human, financial and intellectual – although they can be categorized differently (e.g. as material, technological, equipment, natural or intangible resources).

Sometimes known as ‘inputs’, resources are the ‘fuel’ that make a management system operate to conserve and manage cultural heritage. Their quantity and quality, along with other factors, define the operational capacity of the specific institutional framework. Since resources for cultural heritage are generally scarce, it is all the more critical that they are used effectively (see Part 4.3).

### **Key considerations for the effective deployment of resources**

The following considerations all contribute to the effective deployment of resources for heritage:

- Transparency (regular audits, standard review procedures, quality financial reporting, an open-book approach, where possible, etc.) and accountability (clear distribution of responsibility and communication channels).
- Investing in natural, human and social capital, mirroring the principles of sustainability (see Part 2.3). This depends on a participatory approach with in-house and/or external specialists

judging which issues can be resolved only by experts and which require broader consultation. In the absence of broader consultation, even greater accountability and transparency are necessary.

- A balance between the use of internal (within the institutions) and external resources in all three areas, human, financial and intellectual (see Part 4.3 – Implementation). In particular, care should be taken to avoid institutional memory loss when fixed in-house expertise is reduced in favour of periodic outsourcing.
- Cultural heritage not being a renewable resource, managers must have the information they need to manage effectively. Research can provide baseline information on the property and also enhance management by improving strategies, actions and methodology.
- Fostering positive learning environments associated with specific properties and with the cultural heritage sector in general can lead to improved performance of the individuals being addressed and of the organizations, communities and networks in which they are involved (see Part 3.8 – Capacity Building), with positive repercussions for the heritage. Increased efficiency through capacity-building can counter the trend towards reduced resources at more and more cultural properties. Seeking new partners who bring intellectual resources (rather than financial) can often be the key to delivering good capacity-building initiatives for an organization.

#### DEPLOYMENT OF RESOURCES FOR HERITAGE IN GENERAL

#### GOOD TIPS

- ▶ Approaches to finding and deploying resources can benefit from basic principles used in many other sectors:
  - Being clear and unambiguous,
  - Looking to the future,
  - Learning from the past,
  - Making memorable and engaging processes,
  - Aspirations that are realistic, i.e. planning realistically given the resources available,
  - Good alignment with the values and culture of the organization(s),
  - Being driven by 'user' needs (e.g. visitors to the property, the local community within or around the property, future generations).
- ▶ Joining forces with others and promoting partnerships can increase resources (enhancing publicity and consolidating fundraising initiatives) and improving their deployment to deal with the particular challenges of cultural heritage. Partnership can also act as a catalyst to attract new sources of support and increase flexibility and response-time in the case of shortages (see the Herculaneum case study, p.111).
- ▶ In-house selection procedures and management must be particularly rigorous when sourcing and commissioning external expertise, other services or conservation works (see Part 4.3, Implementation).
- ▶ Monitoring management effectiveness will entail, amongst other things, carefully measuring fluctuations in the sourcing and use of resources and how this is made part of planning and implementation processes (see Part 4.3).
- ▶ Management tools can help review and mitigate the impact of fluctuating resources and ensure that shortages are anticipated and well managed.
- ▶ Quantifying and defining resource needs and availability helps to identify any shortfalls in staff, funds and equipment and the measures needed to deliver the planned management activities, for example resorting to external appointments. Tool 7 'Assessment of Management Needs and Inputs' proposed, *Enhancing our Heritage Toolkit*, is useful here<sup>64</sup> (see Appendix B).

64. Hockings, M., James, R., Stolton, S., Dudley, N., Mathur, V., Makombo, J., Courrau, J. and Parrish, J. 2008. *Enhancing our Heritage Toolkit. Assessing management effectiveness of Natural World Heritage Sites*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 23). Tool 7: Assessment of Management Needs and Inputs, p.44. <http://whc.unesco.org/en/series/23/>

## 4 Defining, assessing and improving heritage management systems

- ▶ For properties which have or want to attract multiple research initiatives, developing a Code of Conduct for Researchers in line with IUCN recommendations<sup>65</sup> could have positive repercussions.
- ▶ Able and committed leadership will usually combine solid skills derived from both grassroots experience and formal educational qualifications. Good leadership will allow forward-thinking management and reduce reliance on organizational crisis management.
- ▶ Objective estimates of needs can strengthen proposals for funding from government, donors and other sources of support.
- ▶ Much advice is available from the international aid sector on managing donors, such as the benefits of favouring donors who:
  - Are known organizations or consolidated partnerships;
  - Are committed to capacity-building, skills development and conflict resolution;
  - Avoid internal organizational politics and adopt non-interventionist methods;
  - Gauge the institutional framework's ability to absorb and manage resources and tailor financial and other support to meet this.

### USEFUL QUESTIONS TO ASK

- ▶ The heritage sector demands contributions from a range of professionals. Have the services of all relevant disciplines within or outside the institutional framework been obtained? Are mechanisms in place to ensure that they work effectively together to guarantee good decision-making?
- ▶ Approaches to human resources have been tried and tested in numerous sectors, for example job descriptions, staff appraisals, grievance procedures, promotion plans and insurance. Are they being employed to help ensure that internal staff are suitable and have the means to discharge their functions? Do they avoid the over-dilution of the duties of technical staff, usually caused by excessive administrative obligations?
- ▶ Do you regularly assess the resources that are required for effective management of the site, and measure these against the resources available? Is this assessment rooted in a thorough understanding of site management requirements?
- ▶ Do you collect information on these resources so as to monitor changes in staff and resource availability over time?

### RESOURCES UTILIZATION FOR WORLD HERITAGE

#### Additional resources for States Parties with World Heritage in their care

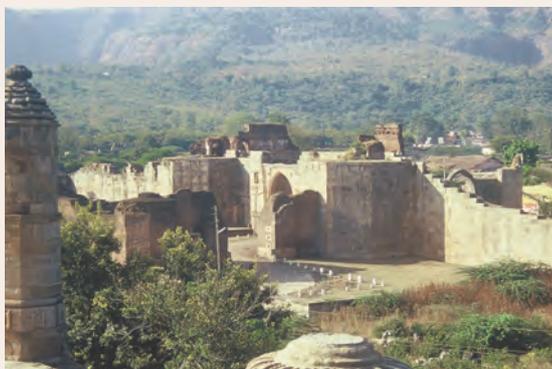
The World Heritage Convention expects States Parties to provide resources, to the best of their ability, for sustaining the OUV of an inscribed property. Since international cooperation is one of the founding principles of the Convention, the Committee also seeks support from international donors to help States Parties. In addition, in some circumstances, it provides international assistance to States Parties for the preparation of Tentative Lists, nominations, training and the conservation of properties, by means of the World Heritage Fund established by the Convention. The Fund can also allocate money in emergency situations. Also aimed at helping States Parties are the research and capacity-building initiatives (including an important body of learning resources) developed by the Advisory Bodies and the World Heritage Centre, sometimes in conjunction with other partners.

65. UNESCO, ICCROM, ICOMOS and IUCN. 2012. *Managing Natural World Heritage*. Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual) pp.75-77.  
<http://whc.unesco.org/uploads/activities/documents/activity-703-1.pdf> (English web page).

**Example of resources being brought by NGOs to strengthen the primary management system**

There are interesting case studies where non-government organizations play a key role in the nomination and management of a World Heritage property. Champaner-Pavagadh Archaeological Park in India is an example. The Heritage Trust Baroda helped the Archaeological Survey of India, the legal custodian of heritage in the country and the nodal agency for World Heritage in the preparation of the nomination dossier for the property, which was

inscribed in 2002 followed by the development of the management plan. One of their landmark achievements was the promotion of the legislation to establish the Champaner Pavagadh Archaeological Park Management Authority which included all the stakeholders with the prime aim to protect the OUV and control the developments in the World Heritage property.



Champaner-Pavagadh Archaeological Park (India)

© UNESCO / Nomination File

**Key considerations for resources deployment for World Heritage**

The additional obligations created by World Heritage inscription, the system and its processes have implications for resourcing levels (finance, staff time, new expertise) which the State Party must resolve.

States Parties must guarantee through the nomination process that resources are available and adequate to maintain the OUV of the inscribed property. The management system needs to be adequate and adequately resourced both at present and in the future (OG paras 108-118). In the case of World Heritage, it is particularly important that management processes such as planning, implementation and monitoring are resourced sufficiently to enable good communication to third parties.

Capacity-building of practitioners, institutional frameworks, networks and communities for World Heritage properties (OG para 212) can help to overcome resourcing difficulties. States Parties must have mechanisms in place to monitor, and then act on, any weak, underused or missing capacities that compromise efficiency and effectiveness. This will help to reduce the extra demand on resources created by World Heritage compliance.

Capacity-building can require an initial allocation of additional financial resources (OG paras 225-232) but, in the long term, can increase the effective use of existing resources. In this regard, States Parties can benefit from the World Heritage Strategy for Capacity Building<sup>66</sup> (see Part 3.8) and its dedicated learning environments and research activities.

Capacity-building should, amongst other things, update staff and externally outsourced practitioners on emerging knowledge for heritage management practice, including changes to World Heritage processes that are reflected in the periodic revision of the *Operational Guidelines*. All those involved in the management of a World Heritage property must have

66. UNESCO World Heritage Centre. 2011. *Presentation and adoption of the World Heritage strategy for capacity building*. Paris, UNESCO World Heritage Centre. (Doc WHC-11/35.COM/9B) <http://whc.unesco.org/archive/2011/whc11-35com-9Be.pdf>

## 4 Defining, assessing and improving heritage management systems

an adequate knowledge of the values of the property to support all management processes, particularly those to ensure the OUV of a cultural property is maintained.

Active use of World Heritage resources and the World Heritage network can deliver new forms of support to managers of properties, help maintain understanding of the OUV of the property, and advance a common vision for its management.

### RESOURCES UTILIZATION FOR WORLD HERITAGE

#### GOOD PRACTICES

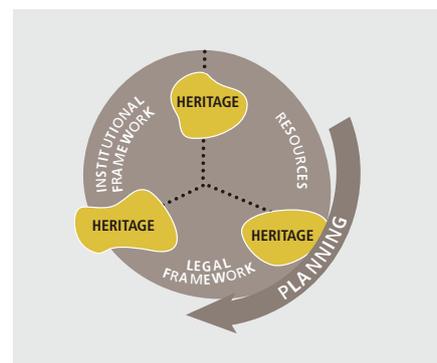
- ▶ Sometimes central ministries/institutions pursue World Heritage status for a property without sufficiently involving local heritage authorities and even property-level staff, who then find themselves having to guarantee compliance. Heritage practitioners directly involved in site management should be proactive on being involved in preparing the nomination dossier, on the basis that their exclusion would be counter-productive for future management if the property were to be inscribed.
- ▶ The success of World Heritage is such that the inscription of a property is a form of branding that will increase the interest of the international community and the local community and networks in the property. This is an opportunity which all levels of the management system should seize to attract new resources for the property.
- ▶ The additional management pressures on resources that World Heritage inscription creates can be relieved through using management tools to improve the deployment and manipulation of resources.
- ▶ Too often those involved in day-to-day site management are unaware of the opportunities offered by the World Heritage system, such as International Assistance available through the World Heritage Fund and access to new knowledge and resources.
- ▶ New knowledge is constantly being generated and individual heritage practitioners can benefit from and contribute through regularly accessing the websites of the World Heritage Centre and the Advisory Bodies. Some offer regular e-newsletters and contributions via social media (e.g. ICCROM), and these provide information about capacity-building opportunities that are open to all.

### 4.3 The three processes of a heritage management system

**Defining the three processes:** The three elements outlined in Part 4.2 come together to make a management system function and to deliver results. Some processes that are common to heritage management systems are:

#### 1. PLANNING

Understanding the 'who' of decision-making, deciding what objectives to reach, what actions to take and what the timeframe will be, and recording these proposals so as to communicate them to others and to review progress at every stage.



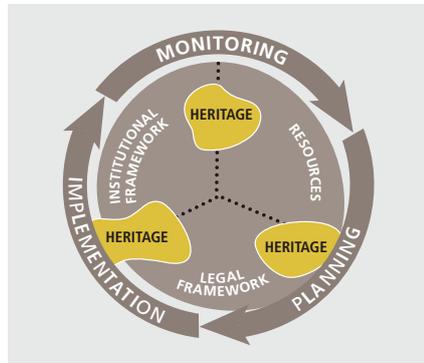
**2. IMPLEMENTATION**

Taking the planned actions, checking that they deliver the outputs of each stage and the broader objectives defined at the outset. In the event of disparities emerging, making changes mid-way to the actions and how they are taken, as and when necessary.



**3. MONITORING**

Collecting and analysing data to check that the management system is operating effectively and delivering the right results, and to identify remedial measures in the event of shortcomings or new opportunities.



These three processes vary greatly in different heritage management systems. They operate in multiple, overlapping cycles and often act in unison so as to be hard to distinguish. The three heritage processes are explored in this section.

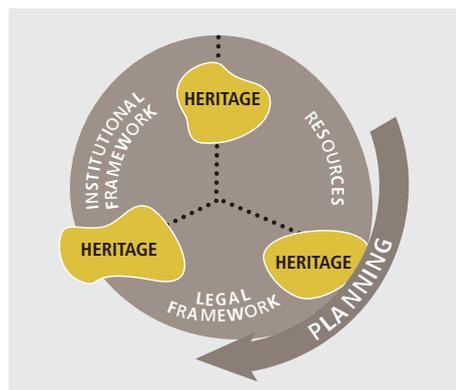
The relationship between processes and general management effectiveness led the IUCN World Commission on Protected Areas to develop a toolkit for managers of natural heritage. Initial trials of its application to cultural heritage suggest that it is relevant and useful; a summary is provided in Appendix B.

**Process 1: PLANNING**

**Overview**

The mechanisms for preparing and revising plans vary among and within management systems. Some institutions have employed the same procedure since they started but there are many relatively new planning approaches now being adopted.

Planning, implementation and monitoring are all important processes that often overlap in forming a continuous cycle that allows the management system to deliver results. The success of implementation and the effectiveness of monitoring strategies depend heavily on the investment made at the planning stage. At the same time, it is feedback from monitoring processes that can be the bedrock of good planning and leads to improvements in the management system and future practice.



**Diagram 11:** The first of the three main processes of a management system: planning

## 4 Defining, assessing and improving heritage management systems

### PLANNING IN GENERAL

#### Approaches and challenges vary extensively

Planning in the heritage sector, as in other sectors, is characterized by multiple approaches, including those whose decision-making processes are not formalized at all.

Planning is required at both national and property levels. At national levels, primary planning activities might consist of identifying and gaining consensus for cultural heritage as part of the process of creating inventories (including Tentative Lists) and measures for legal protection, and developing appropriate conservation and long-term management measures. For some kinds of heritage, some of the planning process will already be expressed in legislative provisions such as outline strategies of land use and development plans involving private owners.

Several overlapping plans may coexist as a result of there being diverse partners (planning authorities, communities, the international community, etc.), contrasting pressures from the context (the buffer zone and the wider area of influence), and the need to plan both routine and one-off actions.

With regard to planning for specific properties, management systems will mix some active planning (anticipating problems and opportunities) with reactive planning (responding to problems as they arise) for properties; ideally, the former will predominate.

Integrated approaches to planning at a property level have become common but the levels of genuine participation vary greatly. Indeed, some systems deliver plans but fail to implement and revise them, because of insufficient resources or insufficient consensus.

Other systems embrace management tools to improve their approaches to planning whilst others stay loyal to established practice despite its shortcomings. In many countries, strategic planning (see management planning, Appendix A) might be the primary approach at national level and the values-led approach (see Part 2.5) might only be truly embraced at site level.

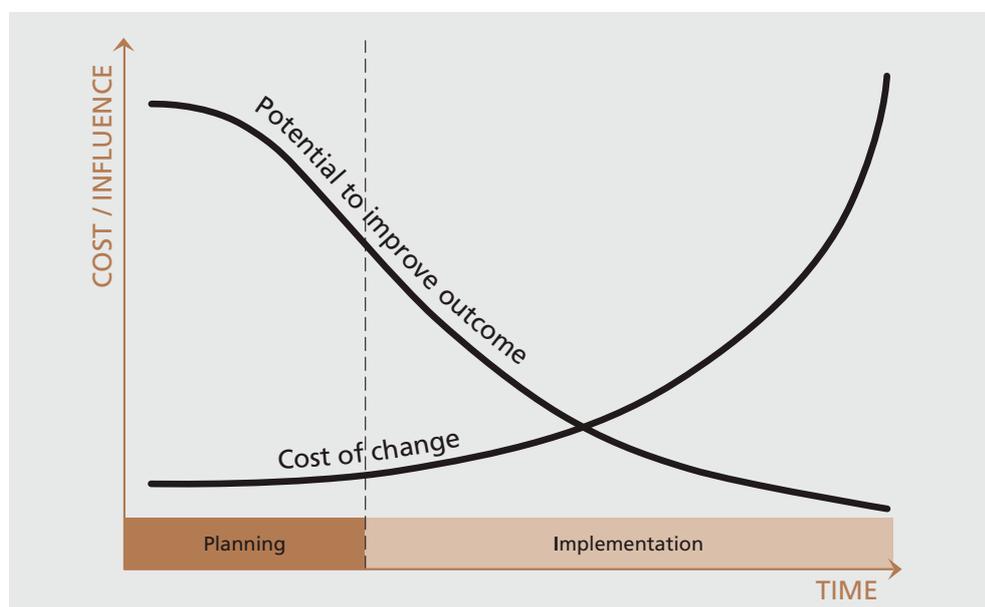
#### What planning involves

The planning process entails identifying desired outcomes for the property and its stakeholders (in other words setting the objectives of the management system); and determining the specific outputs to be delivered that will come together to achieve these outcomes. As preparatory steps planning defines the heritage processes and required outputs in terms of scope, quality, cost and timeframe, in such a way as to facilitate communication with others and to review progress at every stage.

Planning itself is a cycle that should include the following stages that often overlap: participation, consultation, drafting, review and updating. For cultural heritage these can be defined in more detail, for example (again, steps often overlapping): identifying the stakeholders and collecting information, identifying and characterizing the heritage and analysing the current situation; setting visions, objectives and actions; drafting the plan(s); implementing; review and updating.

If planning is done badly, the cost of taking remedial measures once implementation has begun increases. It is the planning stage that offers the potential to improve actions of the management system with minimum cost, as the following diagram<sup>67</sup> shows.

67. Burke, R. 2003. *Project Management Planning and Control Techniques*. John Wiley & Sons, Chichester, UK, p.24.



**Diagram 12:** Reduced costs through earlier action: the 'Influence / Cost of change' curve during the life cycle of a project. *Source: Burke (2003).*

### Key considerations for planning processes

Planning processes need to respond and adapt to the many interdependent factors at work on heritage properties. Planning at a macro level (e.g. national) should create a framework for systematic and holistic decision-making which leads to micro-level planning (e.g. for a property or group of properties) and then actions. Indeed, it is important to work with other authorities and agencies to identify planning processes that could have an impact on the plans for the property and its setting (the buffer zone and wider area of influence) and then adjust them accordingly.

The following considerations apply in making planning processes for heritage effective:

#### *Stakeholder consensus and values*

Management objectives at a property level must be rooted in an understanding of the values of the property. The values of cultural properties and conservation options should be assessed with all possible stakeholders participating to ensure a shared understanding of the property and their direct involvement. An adequate range of professionals needs to contribute to all phases of the planning process. Only an interdisciplinary approach to planning will ensure that needs are anticipated and met effectively as they arise.

An inclusive approach, when successful, leads to plans embraced by all parties in reconciling the needs and expectations of those linked to the property with the need to sustain its heritage values (see Part 2 and Appendix A).

Plans are effective only if they have gained a consensus at the right level(s) that is officially recognized. Recognition may take the form of approvals and the first step is through local community consultation mechanisms. Thereafter approvals must be sought at a senior level within the relevant organization(s) or even parliamentary approval that makes the plan itself a legal instrument. Approval could take the form of links between the plan and other significant national or regional plans that influence management of the property.

Broad stakeholder approval (the local community in particular) of a plan is important and can be difficult to achieve.

## 4 Defining, assessing and improving heritage management systems

### **A participatory approach to management**

*The Rock Paintings of the Sierra de San Francisco, Baja California (Mexico) are located in a very remote area illustrates the introduction of a participatory approach.*

*Moving away from conventional practices, the staff of INAH launched a participatory approach by bringing together local communities and other relevant stakeholders for the development of a management plan and its implementation. This exercise has proved that participatory management can be a sustainable way to manage sites, including those located in remote regions and over large areas such as those in the Sierra de San Francisco, but strong foundations for legal protection (and its enforcement) and for institutional support are required.*



Rock Paintings of the Sierra de San Francisco (Mexico)

### **Realistic planning**

Plans are also of value only if the means for implementation exist or can be obtained. Planning must delineate the actions to be taken, using a variety of parameters of which the following are common to most actions:

- Defining scope (how much will we do),
- Defining performance (how do we expect the finished result to perform),
- Defining quality (what specific standards need to be met),
- Defining cost,
- Defining timeframes for each action.

When setting targets for the above parameters, it is necessary to make preventive management assessments, decide the relative importance of the five parameters, and then deploy resources, implement and monitor accordingly. Unforeseeable factors mean it is rarely possible to reach set targets for all five parameters. These preventive assessments are also important to signal which strategies and actions to pursue if circumstances change during implementation (e.g. programming or resourcing difficulties) and what compromises need to be made. How the actions will be carried out and with whom also needs to be defined (including related procedures, roles and responsibilities, risk distribution and other management strategies), as will the process of monitoring, review and adjustment.

The desired outcomes and the outputs that will achieve them (and to which the action contributes, see Part 4.4, Results) will help guide re-planning when new issues arise during the implementation of the plan. Outputs will vary from specific operations (such as conservation works) to new organizational functions (perhaps online booking for school visits) to services (possibly new audio-guide facilities) and 'products' (site documentation, the plans themselves or feedback into them from participatory initiatives to encourage local community links, etc.).

### **Achieving balance in planning**

A well-judged balance of long-term as well as short-term actions should emerge from an effective planning process. Regular work plans (i.e. annual work plan, tourism plan, business plans) should be complemented by longer-term strategic plans. Planning must also set aside resources as contingencies specifically to anticipate the need (staff time and cost) for continuous revision of plans during their lifetime.

Good planning, reinforced by feedback from within and outside the management system (see Part 4.4, Improvements to management systems), will reduce the amount of reactive planning that has to take place since more and more needs will be anticipated. This is desirable to optimize the use of resources. Even so, a capacity for reactive planning is necessary in order to deal with unforeseeable events.

## PLANNING PROCESSES FOR HERITAGE IN GENERAL

### GOOD TIPS

- ▶ Planning (as with monitoring) is too often seen as an end in itself, an 'end product', rather than as one stage in a cycle of processes (OG para 111) which ensure that management systems deliver results efficiently and effectively.
- ▶ The term 'plan' suggests a lifeless, definitive document but a plan often needs to be a living document that evolves as its proposed actions are implemented and then monitored. Initial proposals for a series of actions can turn into useful working documents to negotiate changes and compromise during implementation, and then again become a set of proceedings that recounts the various events and decisions made, thus forming the basis for future monitoring. Viewed in this way, a plan does not necessarily fail if finalized only after some of its actions have already been implemented. The process can be more important than the document itself.
- ▶ Where possible and appropriate, legislative and institutional capacities from outside the cultural heritage sector can be used to reinforce heritage planning processes.
- ▶ Many tools are available to improve planning approaches and other heritage processes (see Appendices A and B). Heritage authorities and NGOs use business plans, for example: the National Trust of England, Wales and Northern Ireland has adopted the Triple Bottom Line plan to incorporate sustainable development concerns into management decision-making (see the Fountains Abbey and Studley Royal Park (UK) case study, p.22) and the benefits of such plans are being evaluated.
- ▶ Rigorous assessments should form the foundation of any planning process. Although developed for natural World Heritage application, some of the assessments proposed in the *Enhancing our Heritage Toolkit*<sup>68</sup> for the pre-planning and planning stages (see Appendix B) are worth examining.
- ▶ Within planning, it can be worth differentiating between the internal workings of the institutional framework and the external operations with partners, stakeholders and interest groups. Stakeholder analysis can be a useful technique in this process. In the event of organizational problems, this can facilitate quick resolution and limit damage to third parties.
- ▶ Planning should also identify opportunities that can harness reciprocal benefits for society and the property alike.

### USEFUL QUESTIONS TO ASK

- ▶ Are the values of the property, including its OUV, sufficiently understood?
- ▶ Are other parties from within and outside the management system involved and, if so, at what stage?
- ▶ Is there an adequate understanding of the environment within which the organization(s) operates?
- ▶ Do management policy and the plans already produced or to be produced have institutional commitment?
- ▶ Is planning defined by the values of the site and by the needs of the end-users (visitors, future generations, etc.), wider stakeholders and also the institutional framework itself?
- ▶ Are the identification of critical objectives of the management systems considered in the planning process?
- ▶ Are the following being considered? Identification of those projects that work towards achieving the objectives of the management system by delivering specific actions (e.g. conservation works), new organizational functions (e.g. online booking for school visits) or services (e.g. new audio-guide facilities) or 'products' (e.g. site documentation, plans themselves or feedback into plans from participatory initiatives encouraging local community links).
- ▶ Are establishing priorities and setting targets for the scope of these projects, defining related procedures, roles and responsibilities, resources, timeframes, risk and other management strategies etc., are being done?

68. Hockings, M., James, R., Stolton, S., Dudley, N., Mathur, V., Makombo, J., Courrau, J. and Parrish, J. 2008. *Enhancing our Heritage Toolkit. Assessing management effectiveness of Natural World Heritage sites*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 23). Tool 1: Identifying Site Values and Management Objectives p.20, Tool 2: Identifying Threats p.25, Tool 3: Relationships with Stakeholders p.29, Tool 6: Design Assessment p.40.

## 4 Defining, assessing and improving heritage management systems

### PLANNING FOR WORLD HERITAGE

#### Key considerations

Given the uniqueness of each World Heritage property and setting, new planning approaches should be introduced only after careful consideration of the strengths and weaknesses of the existing situation, including traditional practices, existing urban or regional planning instruments and other planning control mechanisms, both formal and informal.

The SOUV is the basis for planning for the management of World Heritage properties (see Part 2.5 and Appendix A). Consequently, attributes that embody OUV and reflect the correlation between value and decision-making must be clearly identified and respected, as must boundaries, buffer zones and wider areas of influence.

In the case of plans to undertake (or to authorize others to carry out) major changes to a property or new development in the vicinity of a property which may affect the OUV of the property, the State Party must inform the World Heritage Committee at the beginning of the planning process (OG para 172). Indeed, all planning at World Heritage properties must aim to protect the OUV. Heritage Impact Assessments for proposed interventions are essential.

Planning for World Heritage must also harness heritage benefits for society by integrating sustainable development considerations into the process (see Part 2.3). This depends on a thorough shared understanding of the property by all stakeholders. Indeed, the OG emphasize that 'effective management involves a cycle of long-term and day-to-day actions to protect, conserve and present the nominated property. An integrated approach to planning and management is essential to guide the evolution of properties over time and to ensure maintenance of all aspects of their OUV. This approach goes beyond the property to include any buffer zone(s) as well as the broader setting'.

Planning mechanisms for World Heritage properties must be flexible enough to:

- Accommodate changes in order to comply with the specific requirements of managing a World Heritage property.
- Allow plans to be revised in the event of an emergency, the results of a SOC decision or in the case of Danger Listing, all of which aim at maintaining the OUV (see Part 3.3).
- Anticipate new challenges which could emerge from World Heritage inscription, for example checking that visitor facilities correspond with changing levels and types of visitor.

It is for this reason that in the World Heritage context, 'management planning' has become an important tool for adjusting a management system, if necessary in its entirety, to respond to new needs, and for securing secondary support as necessary. The 'management plan' that results corresponds closely with the needs of the World Heritage nomination dossier (see Part 3.5) and demonstrates how the OUV of a property is going to be sustained in a process that depends on the participation of all stakeholders. Management planning is examined in Appendix A of this manual.

**New planning tools**

The World Heritage property Historic Cairo was inscribed in 1979 and in recent years has seen new forms of support from NGOs and other non-state partners working closely with the public authorities to improve management approaches. One such effort is the Urban Regeneration project for Historic Cairo (URHC) which 'has been working with local authorities since 2010 with the aim of preparing planning and management tools necessary for the conservation of the aforementioned heritage values in addition to the socio-economic revitalization and environmental upgrading of the World Heritage site as a whole... The Urban Regeneration project for Historic Cairo, ...hopes to ensure that the World Heritage site be recognized and protected, in a dynamic fashion, through an efficient, comprehensive and sustainable management system, strengthened by the effective coordination amongst the different institutions involved'.



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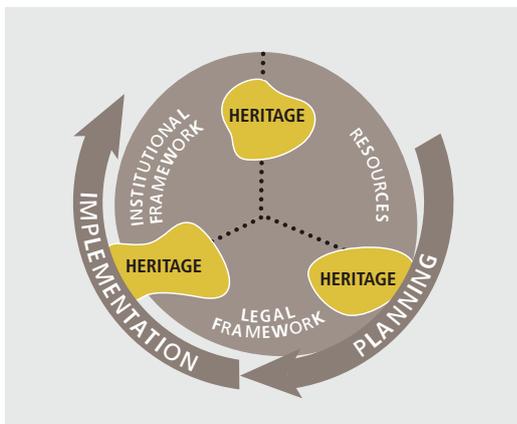
Historic Cairo (Egypt)

<http://whc.unesco.org/en/activities/663/>

**Process 2: IMPLEMENTATION**

**Overview**

Approaches to implementation vary greatly because they are heavily influenced by legal and institutional frameworks and by local practice for manipulating and deploying resources. As with the planning process, many heritage management systems are evolving new approaches to implementation. This means some of the 'common ground' identified below will be less applicable for properties of some States Parties, but may become relevant in the future.



**Diagram 13:** The second of the three main processes of a management system: implementation

Of the three processes identified, implementation is the one most dependent on the other two: to be effective it depends on good planning, which in turn depends on effective monitoring. However, planning and monitoring only exist to facilitate and improve implementation, and good planning procedures can be compromised by a lack of follow-through.

## 4 Defining, assessing and improving heritage management systems

The implementation stage is critical because the interconnection between cultural property, its management system and its context are subject to impact or change as the planned actions are carried out. 'Change' may be introducing improvements or managing the negative impact of unwanted change but it can cause damage if the cycle of processes is not working effectively.

### IMPLEMENTATION IN GENERAL

#### Approaches and challenges vary extensively

It is generally the staff of public institutions who have implemented planned activities, particularly for public-owned sites. For urban properties or cultural landscapes, private owners and non-governmental organizations play a larger role. In many countries, external specialists, contractors and NGOs commissioned by the state sector's institutions or the private owners are now increasingly involved.

Approaches to implementation vary from one institutional framework to another, in terms of how actions are implemented and in terms of the tasks deemed necessary during preparatory stages and after completion of actions.

They vary most with respect to working with others, either as forms of partnership or when procuring external services, supplies or works, i.e. outsourcing.

#### What implementation involves

The implementation phase of the management cycle will involve important coordination of tasks and priorities. It is characterized by two parallel operations:

- (i) Carrying out the actions that have been planned, and
- (ii) Constantly checking that there is congruity with the original aims.

These operations occasionally need to be joined by two more:

- (iii) Modifying approaches and activities, if required,
- (iv) Identifying and overcoming any oversights.

Implementation actions can be broadly divided into two categories:

#### *'Ordinary' routine actions*

These might include programmes of site maintenance, payment of salaries or external contractors, coordination of implementation, site interpretation and broader advocacy obligations,

#### *Specific one-time actions*

These might include in-depth conservation work or enhancement of a single area, building a visitor centre, research projects, improving facilities in the buffer zone, and new approaches to promotional activities and audience development. They might also entail managing new external opportunities or pressures that emerge as actions are taken forward, such as preventing other parties from taking damaging actions and managing the impact on other activities.

#### Key considerations for implementation

The implementation stage requires a particular readiness to respond to new pressures and opportunities. The delivery of programmed activities, together with the constant integration of corrective actions, favours an upward spiral of continuous improvement in heritage processes.

Mistakes made at the implementation stage are far more difficult to remedy than those made during planning or monitoring since the cultural property, the management system or wider relationships are being changed. Everything must be in place before action begins. See the considerations that follow.

*Broad participation*

Effective implementation, much like planning, depends on supervision by an interdisciplinary team that includes specialists from all disciplines relevant to the problems being addressed who can deliver appropriate responses to new needs during implementation. It also depends on other knowledge areas, including risk management and communication and outsourcing. Effective implementation depends on coordinating the contribution of all relevant stakeholders and this requires particular skills.

*Recording and reporting*

Data-collection mechanisms must be in place as part of implementation processes, in order to provide base material for monitoring processes (see this section, Process 3 – Monitoring). Typically, some form of schedule will be used to systematically record completed activities. These schedules can be combined with auditing tools to assess progress (see also Appendix A) and to facilitate effective replanning and implementing corrective actions.

Communication strategies, including plans and programmes, must be agreed and adopted. They must acknowledge the different demands of internal and external information-sharing and must be regularly tuned to meet changing needs.

A variety of management ‘control’ and ‘communication’ tools, some of them borrowed from other sectors, can improve the effectiveness of the implementation stage.

Balancing the management and reporting of routine actions of the management system with one-off initiatives will require careful attention since the two may need very different implementation approaches.

*Distributing responsibility*

Achieving the results desired from the implementation phase depends on the good definition, implementation and maintenance of procedures, roles, responsibilities and decision-making mechanisms and the flexibility to amend them as requirements change during the implementation stages.

A clear assignment of personal responsibility to all individuals involved is particularly important to ensure accountability and also transparency. This needs to be complemented by independent and objective thinking amongst senior staff, something that needs to be actively encouraged during the implementation stage.

Developing and maintaining awareness, competence and capacity at an individual level, in an institutional network and within those networks central to a participatory approach (see section on Capacity Building in 3.8), is sometimes neglected but is as important during the implementation stage as during the planning stage.

**IMPLEMENTATION PROCESSES FOR HERITAGE IN GENERAL****GOOD TIPS**

- ▶ The primary parameters mentioned in the previous section on Planning which measure whether each action of a planned work programme (see 4.4 Outputs) is on target – scope, performance, cost, quality and timeframes – now need to be expressed in the form of hard figures and precise technical specifications which are constantly reviewed and updated to reinforce the implementation process.



## 4 Defining, assessing and improving heritage management systems

- ● ●
  - ▶ It is important to identify which of the above parameters (and perhaps others) can be altered (and in what order) if circumstances change (e.g. programming or resourcing difficulties) for a specific action, and understanding where compromises need to be made. This will often be dictated by policy (e.g. rigid quality standards) or limitations (e.g. inflexible deadlines) within the institutional framework. It is important to obtain consensus on any such replanning in the implementation stage.
  - ▶ During implementation, it is harder to check whether the overall objectives (see 4.4 Outcomes) to which specific actions are contributing are being achieved; however this is important for informing any replanning.
  - ▶ Things to look out for: common oversights in the planning stage which have negative repercussions during implementation:
    - inadequate resources (particularly human and intellectual),
    - taking for granted that equipment and facilities are adequately maintained and accessible,
    - insufficient checks of infrastructure (e.g. roads, access, services supplies, offices, fire towers),
    - inability to host the additional strain created by new activity (e.g. conservation site works, disruption of a community water supply, conflict between stakeholders) that might result from the action being implemented.
  - ▶ Approaches to outsourcing (the process of defining and letting contracts for services and works outside the management system) vary enormously even within the European Community where a common legal framework unites Member States. There are countries with consolidated and articulated approaches to the distribution of actions and related risk in cultural heritage practice and those that have only begun to broach such issues in recent years. This is a particularly important knowledge area for those properties whose management needs outsourcing of expertise, services or works (whether by public authorities or private owners).
  - ▶ Some property managers will have most actions for the property carried out by others (private owners, or multiple organizations that constitute the institutional framework). Their principal activity will not be delivering results with in-house teams or outsourcing activities but negotiating. The challenge is to persuade others to do things, to do them well and in a coordinated way, i.e. responsibility but without power, a characteristic of many primary heritage management systems.

### USEFUL QUESTIONS TO ASK

- ▶ Are all or some of the following tactical approaches put into practice as part of the implementation process?
- ▶ Are other parties from within and outside the management system involved and if so at what stage?
- ▶ Are there periodic adjustments in the allocation and deployment of human and financial resources, equipment and facilities, etc. during implementation?
- ▶ Are measures adopted and maintained to assess, prepare for and respond to the types of disruptive events posed by external threats or shortcomings in the management system, i.e. diverse forms of risk management?
- ▶ Are mechanisms in place to ensure that information and documents produced in the implementation stage remain current, relevant and secure, and are used to inform future actions?
- ▶ Are there mechanisms to guarantee that all necessary resources are in place or that there will be a steady flow of them once operations have started?
- ▶ Are there mechanisms in place to ensure that all appropriate authorizations and approvals are in place and all relevant parties are informed?
- ▶ Are responsibilities for actions properly assigned to individuals, suppliers or contractors, together with sufficient power to implement the actions?
- ▶ If conflicts between the cultural property and stakeholders arise during implementation, are mechanisms in place to help find solutions?

## IMPLEMENTATION IN THE WORLD HERITAGE CONTEXT

### Key considerations

Approaches to implementing activities in the World Heritage context must aim to conserve and manage the property (or properties) in a way that contains outside pressures but also seizes opportunities to ensure that the OUV is maintained and that society enjoys the benefits of heritage. These issues will have already been considered in the planning stage (and elaborated in the management plan if one is in use, see Appendix A) but circumstances may arise during implementation which require plans (including the implementation strategy) to be revisited. The following are scenarios in which this need may arise (see previous section and Appendix A):

- An emergency created by natural or man-made disasters which may constitute a potential threat to the OUV,
- A request of the World Heritage Committee, based on State of Conservation reports, with a view to avoid potential threats to heritage,
- The inclusion of a property on the List of World Heritage in Danger,
- Management changes which the Periodic Reporting process shows to be urgent,
- Management changes which emerge from changes in World Heritage requirements.

With regard to the last point, the congruity of actions being implemented for a property must constantly be checked against the latest requirements of the World Heritage system.

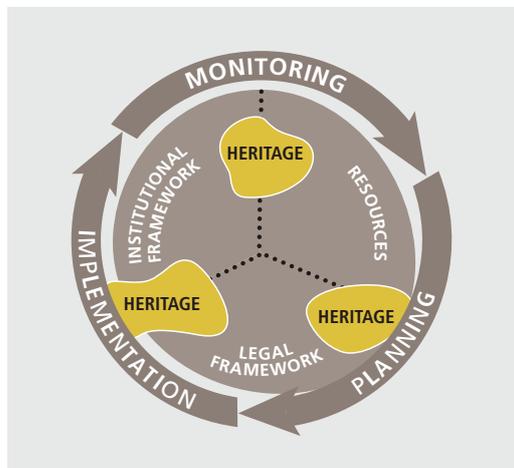
### Process 3: MONITORING

#### Overview

Monitoring<sup>69</sup> involves the collection and analysis of data for specific purposes and its evaluation in order to:

- Check whether the management system is operating effectively (requiring monitoring of the heritage processes and other aspects of the management system),
- Check whether the management system is delivering the right results (outputs and outcomes), requiring, amongst other things, monitoring of the property itself,
- Establish what remedial measures or new initiatives to take in the event of shortcomings or opportunities being identified.

Monitoring delivers the evidence with which managers can substantiate their conservation policy, needs and decisions. Monitoring must not be simply the collection of raw data but a process that involves data analysis to provide insights into, for example, the condition of the site or the effectiveness of the management system.



**Diagram 14:** The third of the three main processes of a management system: monitoring

69. Stovel, H. (ed). 2004. *Monitoring World Heritage*, Paris, UNESCO World Heritage Centre. (World Heritage Papers 10).

## 4 Defining, assessing and improving heritage management systems

### MONITORING IN GENERAL

#### Approaches and challenges vary extensively

Heritage monitoring covers many diverse topics in evaluating a management system but they fall into two main areas:

- (i) *The general effectiveness of the management system*: For example, whether administrative objectives are reached, whether processes perform well, whether actions that have been implemented have respected cost, quality and time targets, whether all disciplines are contributing appropriately to decision-making, and whether results and other inputs are feeding back into the system and informing future practice.
- (ii) *The results of the management system*: For example, the state of the site, whether heritage values are being protected, whether there are changes in authenticity and integrity, the environmental conditions, the rate of physical deterioration of the heritage, and the degree of social engagement.

Monitoring processes essentially observe trends. They range from elaborate procedures using technology and interdisciplinary support to simpler, regular, visual checks by property staff or by a member of the local community.

#### What monitoring involves

Monitoring is about measuring whether the management system is working, whether the state of the cultural heritage is getting better or worse, and whether heritage benefits are being harnessed for society. Though linked, these are two different forms of monitoring – one measures process and the other measures outputs and outcomes – that need to be clearly distinguished and understood by all involved.

Both forms of monitoring are means to positive change, for example:

- Better resources allocation,
- Improving documentation and reporting so as not to be burdensome, time- and resource-consuming activities, and facilitating compliance with reporting processes,
- Allowing management to change, to promote a proactive rather than reactive attitude towards heritage conservation and management,
- Gaining new support from potential donors or partnerships by showing a coherent and credible approach.<sup>70</sup>

Monitoring looks at changes over a given period of time, based on specific indicators. In the case of heritage, the indicators together should show the extent to which the property has preserved those heritage values identified as important. In the case of World Heritage properties, these are reflected in the management plan and section 6 of the nomination format. Of interest here is Appendix 1 of the 2012 Resource Manual *Managing Natural World Heritage* (pp.90-91) since it collates a series of indicators, with notes on possible assessment measures, derived directly from the Periodic Reporting questionnaire and with the aim of answering question 4.8.2 of Section II of the questionnaire: '*Are key indicators for measuring the state of conservation used in monitoring how the Outstanding Universal Value of the property is being maintained?*'.

To constitute 'monitoring', the data measured and collected during implementation must be analysed so that they become information (not merely data), allowing actual results to be compared against expected ones (targets or goals from the 'planning' process). This information, when combined with analysis of similar actions in the past, will make trends legible.

70. Hockings, M., James, R., Stolton, S., Dudley, N., Mathur, V., Makombo, J., Courrau, J. and Parrish, J. 2008. *Enhancing our Heritage Toolkit. Assessing management effectiveness of Natural World Heritage sites*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 23) pp. 88-89.

Indeed, the term 'monitoring' is often used in the heritage sector to refer to both the *collection* of data and their *analysis* to check the quality or content of specific situations or actions (see 4.4, Result 3: Improvements to management systems, for the identification of areas that need to be revised or adapted).

### Key considerations for monitoring

Monitoring and assessment frameworks and methodologies must respect the diversity of approaches to conservation and management in various regional and cultural contexts. However, the following considerations will be common to many management systems:

#### *Defining purpose*

Monitoring initiatives are useful only if there is an ability to act on the information that they deliver, if they are instigated for a precise reason, and if they feed information back, in a cyclical way, into:

- the other management processes (and indeed monitoring itself) to improve them,
- the broader management system, to inform adjustments to the legal and institutional frameworks, and to improve the manipulation of resources.

In this way, monitoring can help to increase the general performance of the management system and its ability to achieve the most suitable results. Indeed, it is vital to define who and what each monitoring process is aimed at; campaigns can be driven by diverse needs. The following are examples:

- Assessing success and failure of past and current actions and policies,
- Informing future planning and implementation,
- Attracting additional resources,
- Gaining local community consensus for changes at the heritage property,
- Increasing political support for heritage,
- Providing more facilities to the visitors.

However, the systematic monitoring of statistics not directly related to planned work programmes (outputs) or broader management objectives (outcomes) can sometimes provide useful information for mapping future trends as objectives for the property change. For example, visitor numbers are not usually an identified output (unless a particular number of visitors is desired) or a product of direct management action, but monitoring changes in visitor numbers will give some indication of the demands placed on management. Similarly, establishing how far visitors have travelled may assist in assessing community costs and benefits arising from the property. Developing some systematic trend monitoring can thus be part of establishing an effective information management system for a property. As far as possible, this should be tied into Periodic Reporting requirements.

#### *Objective and reliable data*

Where possible, monitoring should be carried out using a systematic methodology to reduce subjectivity as much as possible and employing people with the right disciplinary expertise. Data gathering and measurement approaches will depend on the type of process to be observed but must permit comparison and be repeatable over time. Data could be in the form of photos, videos, measured drawings, interviews, written reports, etc. Observations should be compared with a specific state of conservation defined in the past (i.e. a baseline). Useful material on the state of conservation in the past will be available from the original World Heritage nomination dossier and Advisory Body evaluation.<sup>71</sup>

71. Boccardi, G. 2004. 'Improving Monitoring for World Heritage Conservation', in: Stovel, H. (ed). 2004. *Monitoring World Heritage*, Paris, UNESCO World Heritage Centre. (World Heritage Papers 10) p.39.

## 4 Defining, assessing and improving heritage management systems

It can be beneficial to structure the monitoring process in the form of a 'monitoring plan' that is directly linked to sustaining values and, in the case of World Heritage, to the OUV in particular. The development of the plan can help to gain consensus on which indicators should be used to collect and analyse the data required to meet information needs (section 6 of the nomination format, OG Annex 5). Indicators are an integral part of monitoring. They should be developed to establish whether the desired outcomes (e.g. protecting the values of the cultural property) have been achieved effectively and efficiently by measuring outputs (see 4.4) that have been delivered. Indicators can also be used to observe existing or identify new trends.

### *Ongoing processes*

Continuity of monitoring practices can be as important as the quality of monitoring approaches, since data can help to track trends effectively when gathered and assessed systematically over a long period of time. As a result, monitoring programmes should ideally be financed by regular funding sources and not depend on one-off sources.

### **Long-term monitoring improving long-term management**

*Hadrian's Wall World Heritage site, the first component of the Frontiers of the Roman Empire World Heritage property, crosses northern England from east to west for over 100 km. It has long been a favourite long-distance walk but until 2003 there was no formal footpath along much of its length. Proposals for such a path were formally put forward in 1986 and its creation as a National Trail was approved by the UK Government in 1994. For much of its length, the Trail is on or close to the archaeology of the wall and there was concern from archaeologists about the risk of erosion of Roman deposits, as well as concern from farmers about the impact of walkers on their livelihood. From the outset it has been the intention to keep as much as possible of the Trail as a path on grass and to minimize the lengths which have to be paved with a hard surface. It was therefore clear from early on in the process of its development by the former Countryside Commission that monitoring its impact would be key to its success and sustainable use.*



© Judith Herrmann

*The Hadrian's Wall National Trail at Cawfields (United Kingdom)*

*Once the line had been agreed, English Heritage's Hadrian's Wall office began to carry out fixed-point monitoring photography twice annually along the line of the National Trail. This provides an excellent visual record of the changing state of the Trail. At around the same time, the Countryside Commission's National Trail Officer began to record the number of walkers in the landscape through use of automatic counters on gates and stiles. Thus, by the time the Trail was formally opened in 2003 there was already a record of usage of its line and condition going back for several years, providing a baseline for assessment of the condition of the Trail in the future. Since then, fixed point photography and recording of numbers of walkers has continued. Alongside this, the Trail Officer, now based in the Hadrian's Wall Heritage Trust, the present coordinator of this part of the World Heritage property, has also collected data on temperatures, rainfall and soil moisture. The Trail is inspected annually and its condition is scored. Correlation of these records enables a clear understanding of the various processes which affect the condition of the Trail.*



- ● ● *These records are used as the basis for proactive management of the Trail to prevent erosion. This includes the use of linesmen who carry out basic maintenance, if possible before wear takes place, planned programmes of more major works, and intensive awareness-raising of the need for walkers to treat the Trail sensitively and not to walk it when conditions are bad. Around 11,000 people walk the Wall from end to end annually and the most popular part of the Trail can receive over 100,000 visitors. Despite a series of abnormally wet years since the Trail opened in 2003 and occasions when erosion has occurred, this system is successful in maintaining the Trail in generally good condition and protecting underlying archaeology as well as giving its users a satisfying and enjoyable experience which also supports the local economy.*

For sustainable monitoring systems institutional commitment and wider support are needed. This can be increased by capacity-building at all levels (individuals, institutions and communities and networks) and broad participation in monitoring by all stakeholders and communities as appropriate, and also by demonstrating that monitoring has some practical effect. Planning and implementing the monitoring and assessment strategies must involve those wider interest groups that will benefit from improved outcomes in the management system.

Monitoring is a growing field and new approaches are emerging. Care must be taken not to let new trends wipe out endogenous local practice: the latter can often be better tuned to the available resources and thus better guarantee continuity and the best use of the collected data for making improvements.<sup>72</sup>

## MONITORING PROCESSES FOR HERITAGE IN GENERAL

### GOOD TIPS

- ▶ Monitoring is often a routine control mechanism to guarantee performance and the attainment of certain standards. In this case, information management must be effective and driven by user queries. Any system should stress access to and maximum use of data so that it becomes a day-to-day, user-friendly tool in planning and implementation.
- ▶ In order to monitor general management effectiveness, the nine components proposed in this chapter, when set against the principal objectives of the management system, provide a useful reference framework for establishing indicators (see 4.5). This ensures that the identified indicators take into account the interrelated factors and the complex nature of management systems for cultural heritage and avoid becoming a mere checklist.
- ▶ As with all management processes, the monitoring activities themselves should be regularly reviewed to ensure that the right things are being monitored, that monitoring is being carried out in an effective way, and that no redundant information is being produced. As far as possible, use data that are already being collected.
- ▶ A key question when specifying indicators and sources of verification is 'Who is going to use this information?'. If monitoring is instigated with no clear agenda, it can become a drain on the management system rather than a benefit (i.e. creating data which needs managing but has no users).
- ▶ Who should undertake it? Perhaps it should be carried out neutrally by involving external (neutral) specialists or by ensuring broader involvement through a participatory approach.
- ▶ Beyond delivering information for specific identified purposes, monitoring programmes can provide data for wider research work dedicated to management needs and identifying opportunities.
- ▶ A tool adopted by the National Trust of England, Wales and Northern Ireland, known as the Triple Bottom Line Tool, aims to deliver solutions that maximize benefits in three areas – social, environmental and financial – and is used as much for monitoring ongoing operations as for informing future planning (see Part 2).

72. Stovel, H. (ed). 2004. *Monitoring World Heritage*, Paris, UNESCO World Heritage Centre. (World Heritage Papers 10).

## 4 Defining, assessing and improving heritage management systems

### MONITORING FOR WORLD HERITAGE

#### Key considerations

Monitoring is at the heart of the World Heritage system. From the process of nomination onwards, States Parties are required to address monitoring (OG para 132.6). Monitoring mechanisms in World Heritage procedures include:

- The identification of monitoring indicators in the nomination format (section 6 of the format),
- Reactive Monitoring and the State of Conservation process,
- Periodic Reporting (OG Chapter V).

Furthermore, a general monitoring plan will address the effectiveness of the management system and will acknowledge and integrate a series of specific monitoring requirements aimed at protecting the OUV, including authenticity and integrity.

#### Indicators

The ultimate aim of monitoring for a World Heritage property is to check that the OUV is being effectively protected. Consequently, the indicators, which should be identified already in the planning stage, need to relate to the attributes that convey OUV and also authenticity and integrity (see Part 3).

Indicators should also be developed to measure and assess the state of conservation of the property, the factors affecting it, conservation measures at the property, the periodicity of their examination, and the identity of the responsible authorities (OG para 132.6).

Indicators that help to anticipate whether a World Heritage cultural property and its management system are potentially threatened should also be considered.

Indicators may be quantitative or qualitative. The following general considerations in selecting them are particularly pertinent to monitoring the state of a property, its surroundings and the relationship with stakeholders and identifying any changes. Indicators should ideally:

- Be limited in number.
- Be sensitive to change and thus able to illustrate whether management actions are having effect.
- Have a clear and measurable relationship to the trend being monitored (e.g. if the climatic stability of an environment in a heritage site is being measured, indicators should include the presence or not of active decay of the fabric as well as climatic tendencies; if the economic stability of the local community is of interest, indicators should monitor, for example, employment levels and average earnings).
- Reflect long-term changes rather than short-term or local variations (e.g. if monitoring a particular form of decay, choose indicators that are likely to show long-term changes and not, for example, seasonal changes). At the same time, avoid mapping trends that have such a long cycle (e.g. mentality shifts from one generation to another) that it is improbable that they will feed in information useful to the management system in a realistic timeframe.
- Address diverse areas subject to change and known pressures that can have direct implications for the property's management, including social, cultural, economic, environmental and political trends.
- Detect new pressures. For instance, evidence of the longer-term impact of climate change may not yet be discernible but monitoring may ensure that it is identified as soon as it is.
- Require monitoring procedures which are as simple and cost-effective as possible both in terms of approaches to information collection, information analysis, interpretation and management and in terms of ease of access for data collection, and as far as possible using data that are already being collected. If the process requires elaborate equipment, custom-made software, expertise or authorizations, it is more vulnerable to being suspended when resources are scarce or to knowledge being lost through staff changes.

- Be associated with clear thresholds which, when reached, trigger an action in the management system; e.g. if visitor numbers to a specific area of the site reach a certain intensity, rotational opening is automatically introduced in order to reduce wear and tear on exposed features.
- Be identified and monitored in a participatory way, especially when the process can improve the performance of the management system and its outcomes in a way that can benefit those interest groups.

In 4.4 indicators to monitor and assess management processes, outputs and outcomes are explored in more detail, with a view to better understanding the efficiency and effectiveness of the entire management system.

The following considerations should be made when developing a monitoring plan:

- Define objectives to clarify why monitoring is being carried out.
- Link objectives to indicators to be monitored and, where possible, identify thresholds for each indicator.
- Gather relevant material (publications, reports on previous activities including monitoring).
- Identify collection methods for existing data (e.g. archive consultation) and data from new sources (e.g. sampling, interviews, observation) and define frequency of data collection.
- Standardize and simplify procedures to limit drain on resources and optimize safety procedures in these three areas:
  - data collection
  - data analysis
  - data management which must include past results, current trends and future forecasting and record changes in approach to monitoring over time.
- To understand trends that emerge from monitoring and the appropriate management response and its timing, identify the timeframe of the occurrence (one-off or rare; intermittent or sporadic; frequent or ongoing/repeating monitoring), the area affected and the gravity of their impact on attributes critical to heritage values, in particular the OUV.
- In the case of World Heritage, try to align your monitoring plan with the Periodic Reporting questionnaire.

The natural heritage sector has made much progress in monitoring approaches and their online resources should be consulted.<sup>73</sup>

Indeed, the relationship between processes and general management effectiveness led the IUCN World Commission on Protected Areas to develop a toolkit for managers of natural heritage which is also relevant to cultural heritage. Its application in the culture sector is still being tested and a brief summary is provided in Appendix B.

73. Hockings, M., James, R., Stolton, S., Dudley, N., Mathur, V., Makombo, J., Courrau, J. and Parrish, J. 2008. *Enhancing our Heritage Toolkit. Assessing management effectiveness of Natural World Heritage sites*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 23).

## 4 Defining, assessing and improving heritage management systems

### MONITORING PROCESSES FOR WORLD HERITAGE

#### GOOD TIPS

- ▶ In order to evaluate effectively the impact on cultural values including OUV, of potential interventions in or near a World Heritage property, Heritage Impact Assessments (HIAs) can be a useful tool.
- ▶ New information outside ongoing processes and results of the management system will sometimes need to be sought. No standard solutions exist. Capacity-building programmes can address this need, in particular by promoting mid-career development for in-house staff and making it obligatory for freelance specialists and contractors. The World Heritage Strategy for Capacity Building<sup>74</sup> and the networks it is promoting within the World Heritage family and beyond with the help of the Regional Centres (see 3.8) could offer a supportive framework.

#### USEFUL QUESTIONS TO ASK

- ▶ Are all the reporting requirements of the World Heritage site fulfilled?
- ▶ Is monitoring delivering the information that is needed to manage the World Heritage site?
- ▶ Has the relationship of attributes to values, and in particular OUV, been verified sufficiently to make attributes a tangible reference for monitoring effectiveness of protecting OUV, without penalizing other values?
- ▶ Are the results of regional or global analysis of World Heritage State of Conservation Reports available to help individual managers identify trends and learn from others?
- ▶ Have all those involved in monitoring which feeds into World Heritage procedures understood it as providing information to aid management processes and conservation planning, rather than as an externally imposed control? This is crucial to ensure that concerns like national prestige do not reduce the quality and reliability of monitoring strategies.

#### CASE STUDY

##### Available training and tools for Heritage Impact Assessments

Participants of the course on Heritage Impact Assessments organized by ICCROM and WHITRAP in 2012 in collaboration with ICOMOS and the World Heritage Centre talking to the citizens during a site visit.



Old Town of Lijiang (China)

Source: ICCROM

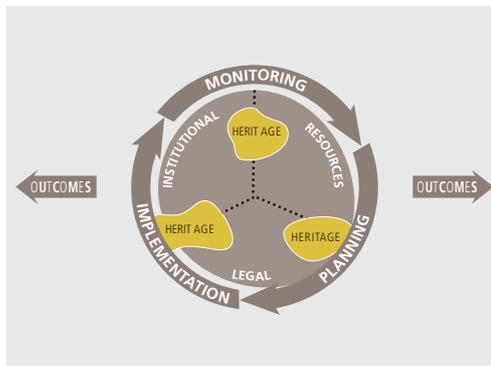
74. UNESCO World Heritage Centre. 2011. *Presentation and adoption of the World Heritage strategy for capacity building*. Paris, UNESCO World Heritage Centre. (Doc WHC-11/35.COM/9B) <http://whc.unesco.org/archive/2011/whc11-35com-9Be.pdf>

### 4.4 The three results of a heritage management system

**Defining three elements:** The three elements (legal and institutional frameworks and resources; 4.2) come together and collectively facilitate the heritage processes (the actions of the management system; 4.3) that set out the objectives and translate them into actions and results. These results vary as much as the expectations of all those involved in the management process but can be broadly divided into three types: ‘outcomes’ ‘outputs’, and ‘improvements to the management system’. All results, but outcomes and outputs in particular, are a major focus of the planning stage (4.3). The terminology comes from the work culture of ‘management-by-objective’ used in industry and commerce; it is described in Appendix A in connection with developing a management plan.

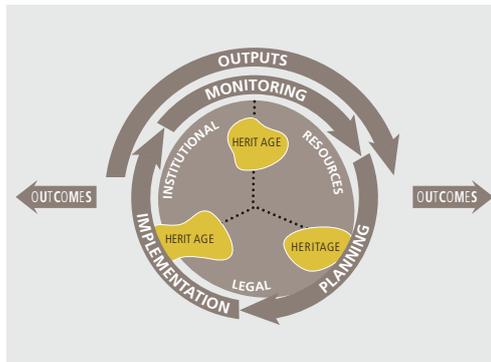
#### 1. OUTCOMES (ACHIEVING OBJECTIVES)

The management system aims to achieve certain objectives, known as outcomes. Outcomes reflect the changes to (or continuity in) the existing situation that have been sought in planning stages. The aim in focusing on outcomes is to check whether the management system is achieving its objectives.



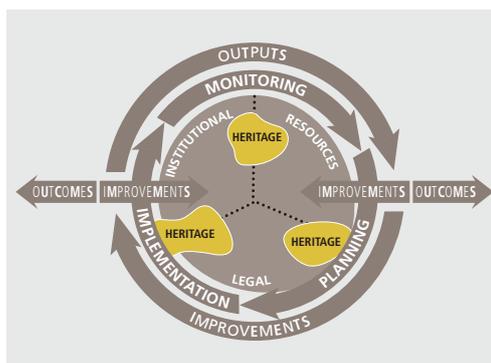
#### 2. OUTPUTS (DELIVERABLE RESULTS)

Processes deliver outputs which are those tangible products and services from a planned work programme that constitute direct support to heritage and to society at large. These outputs are necessary in order to achieve outcomes. Clarifying outputs is central to understanding heritage processes and their effectiveness.



#### 3. IMPROVEMENTS TO MANAGEMENT SYSTEMS

Improvements to management systems are generated by corrective measures and feedback, either from external inputs or from within the management system, namely by monitoring processes and assessing outputs and outcomes. Continuous improvement is central to good management. It leads to changes in the management system that achieve greater effectiveness and efficiency.



## 4 Defining, assessing and improving heritage management systems

### More on outputs and outcomes

Outputs are usually a good measure of productivity but a poor measure of the broader performance of a management system. Outputs represent the products or services produced by the management system.

For example, a site manager may judge his performance by the number of new itineraries (outputs) offered to visitors at a property. But the new visitor itineraries may:

- be delivered late and miss the peak tourist season (timeliness),
- be unsuited to visitor interests in terms of thematic content (customer satisfaction),
- provide imprecise information about the property (accuracy),
- be too long for site wardens to supervise and visitors to complete (quantity and scope),
- be incompatible with conservation needs, concentrating visitor wear and tear excessively (quality).

These aspects, together with the number of itineraries, can be quantified to define the effective success of the process (creating new itineraries) and its outputs (the new itineraries themselves), and are known as 'indicators'. (see 4.3, Process 3: Monitoring).

But to establish the real effectiveness of an initiative, the site manager should take a step back and judge performance by:

- how the knowledge and attitudes of visitors have changed, thanks to the new visitor itineraries,
- whether this has led to the property's heritage values being better recognized and attracting support for its care.

In other words, with the new visitor itineraries has the site manager delivered those outcomes that achieve the broader objectives of the management system? Outcomes are a better measure of achievement. They might be a direct result of a heritage process or a by-product of an output of the management system.

Monitoring and assessing outputs and outcomes delivers feedback, the knowledge of those corrective measures needed to improve the management system and reach all management objectives more efficiently.

### Result 1: OUTCOMES (achieving objectives)

#### Overview

The management system as a whole works towards achieving certain objectives, known as 'outcomes'. Outcomes are often intangible achievements that relate to heritage values or have repercussions for society (increasingly known as 'heritage benefits'). They usually emerge through the effect of outputs, the specific actions accomplished and products and services delivered by heritage processes (Result 2, see p.104).

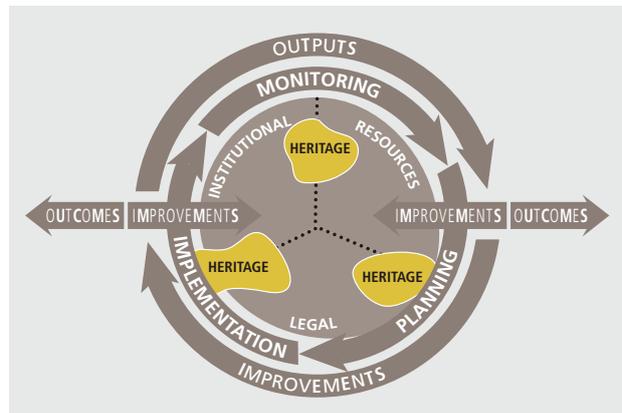


Diagram 15: Outcomes of a management system

People often look at outputs for judging performance since they are easier to control and monitor than are outcomes. But activities tend to be assessed on what they achieve (outcome) rather than what they produce (output). A school pupil will find it easy to answer the question 'What did you learn today?', but not to answer a question about its outcome: 'How have you/How will you use what you learned today?'

This is true of the heritage sector and the World Heritage system in particular: the ultimate outcomes for World Heritage properties are those of ensuring that OUV is protected (OG para 7 and paras 96-97) and that heritage is playing a role in the life of communities.

The aim of focusing on outcomes is to check whether the management system is achieving the objectives. Even a well-managed heritage property where all outputs are being achieved can sometimes continue to lose cultural values.

## OUTCOMES IN GENERAL

### Approaches and challenges vary extensively

Outcomes can relate directly to property management, for instance whether or not the property is maintaining its core values and, in the case of World Heritage, its OUV.

But outcomes often relate to broader issues beyond the confines of the heritage property. Promoting compatible local development, for example, could be an important outcome, one that in turn contributes to the sustainability of the heritage (more local support) and so coincides with multiple management objectives. Similarly, ensuring that heritage promotes cultural diversity in communities is an outcome that, by creating greater social cohesion, can promote and protect heritage values and a greater identification with the heritage and sense of local ownership, possibly thereby generating new forms of support. It is through outcomes that the mutually beneficial relationship between heritage and broader society can be improved, a goal vital to the future sustainability of cultural heritage (see 2.3).

Outcomes can be the most important but also the most difficult things to measure accurately. There are many common objectives in the heritage sector but how they are achieved will depend on the nature of the site and its social, environmental and economic setting.

### Examples of heritage outcomes

The following table highlights some examples of the most common outcomes sought from a heritage management system for a property. It also highlights the overlap with other outcomes. For example, visitor satisfaction can also lead to new forms of support for the property's management. Effective engagement of the local community can ensure heritage values are promoted and protected. Similarly the effective protection of heritage values will increase visitor satisfaction and often contribute to local community well-being, as Table 10 shows. In order to achieve these outcomes, heritage processes (see Part 4.3) produce multiple outputs, often in a variety of timeframes.

## 4 Defining, assessing and improving heritage management systems

**Table 10. Typical outcomes sought for World Heritage properties**

<p><b>Outcome 1</b></p> <p>Objective: improved visitor satisfaction</p>	<p><b>Other outcomes influenced</b></p> <p>Increasing visitor awareness and support Promoting and safeguarding OUV and other cultural values</p>	<p><b>Outcome indicators</b> <i>Establish if the objective has been achieved</i></p> <p>Quantity (length and number of visits) Quality (visitor satisfaction)</p>
<p><b>Outcome 2</b></p> <p>Objective: A thriving local community around the heritage property which benefits the heritage property</p>	<p><b>Other outcomes influenced</b></p> <p>Promoting and safeguarding OUV and other cultural values</p>	<p><b>Outcome indicators</b> <i>Establish if the objective has been achieved</i></p> <p>Employment levels and other trends in local economic data Trends in social / environmental statistics e.g. crime, truancy, vandalism New forms of support for the heritage Nights spent in local hospitality annually by visitors Regional tourism, return visits</p>
<p><b>Outcome 2</b></p> <p>Objective: Safeguarding OUV and other cultural values</p>	<p><b>Other outcomes influenced</b></p> <p>A thriving local community around the heritage property which benefits the heritage property Visitor satisfaction</p>	<p><b>Outcome indicators</b> <i>Establish if the objective has been achieved</i></p> <p>[In some cases, the level to which an objective has been achieved can only be understood by assessing the processes and outputs contributing. See below]</p>

Table 10 also highlights how some outcomes can be measured directly, the case of visitor satisfaction. Other outcomes, such as the well-being of the local community, can be measured directly but with indicators that that could be influenced by other factors – other visitor attractions could be increasing overnight visitor presence in the local area – and are thus unreliable (see Process 3, Monitoring). In some cases, an outcome is so broad that it is difficult to identify an indicator that measures it directly. This is the case of the most important outcome for World Heritage: safeguarding OUV and other cultural values.

### *Choosing indicators for monitoring and assessing outcomes*

Indicators to monitor the outcomes should be selected during the planning process, following the advice already offered on indicators (Process 3; Monitoring, 4.3). Appendix A describes sample indicators that were adopted for assessing successful outcomes for Stonehenge (UK).

Heritage processes and outputs can contribute to more than one outcome (see also below): site improvements to manage visitors better can help to protect the OUV (multiple itineraries and rotational visits that reduce wear and tear) while also contributing to the wider outcome of a healthier local economy for surrounding communities (a greater number and variety of visitors to the locality). See under 'Result 2, Outputs' on p.104.

Greater attention is given to outcome indicators under 'Result 3, Improvements to management systems', p.110.

### Key considerations for outcomes of the management system

Outcomes may be less tangible and more difficult to measure than outputs. Usually they can be expressed as a trend on a graph that shows how performance has changed over time. Using trend graphs to show target performance levels and relevant comparisons allows information from monitoring outputs to be used to review and, if necessary, improve the management system.

Since they are less tangible, effective communication policies should promote positive outcomes as a catalyst for support from outside the primary management system. Support can deliver precious feedback to reinforce the management system and its actions (see Result 3 p.110). If quantified and documented outcomes can be communicated to others to illustrate the benefits of managing and conserving heritage. Greater public consensus for heritage actions will put pressure on governments to guarantee appropriate legal and institutional frameworks and to commit necessary resources for cultural heritage.

## OUTCOMES FOR HERITAGE IN GENERAL

### GOOD TIPS

- ▶ Monitoring and assessing outcomes needs careful planning to avoid unnecessary costs and time commitments and, where possible, it should draw on existing monitoring data.
- ▶ The assessment of outcomes often depends on analysing the status of several indicators in relation to agreed thresholds and past performance. Indicating graphically whether the status of the indicator is stable, improving or declining over time will illustrate trends.
- ▶ Understanding the wider repercussions of heritage actions often requires involving a broader selection of specialists than those typically involved in the heritage processes. Architects, conservators, geologists and engineers will need reinforcing with economists, sociologists, environmental scientists, tourism operators and perhaps others.

### USEFUL QUESTIONS TO ASK

- ▶ It is a good idea continually to question current circumstances so as to check whether the management system has defined sufficiently broad objectives for a property and has given due attention to heritage benefits (see Part 2):
- ▶ Is there cooperation with neighbouring property-owners and users?
- ▶ Is there regular contact between managers and neighbouring property-owners and users?
- ▶ Do local communities resident in or near the property have input to management decisions?
- ▶ Are there programmed initiatives that consider local people's welfare whilst conserving the property's values?
- ▶ Is the impact of wider development being constantly monitored?

## OUTCOMES IN THE WORLD HERITAGE CONTEXT

### Key considerations

The principal outcome for World Heritage is conserving the property's OUV. However, other outcomes can be particularly pertinent to World Heritage properties.

Management planning, a tool widely adopted for World Heritage, is described in Appendix A and focuses on the principal outcome of protecting OUV. However, the management

## 4 Defining, assessing and improving heritage management systems

planning process also contributes to achieving some broader outcomes for cultural properties, some of which may require planning processes that are not solely property-based.

The following list of examples of other outcomes for World Heritage is by no means exhaustive:

- Helping to make the World Heritage Convention better known and creating a stronger interest in it amongst a variety of audiences,
- Promoting cooperation between States Parties and other organizations in the World Heritage system,
- Furthering one or more of the Strategic Objectives of the World Heritage Committee (Credibility, Conservation, Capacity-building, Communication, Communities),
- Ensuring that lessons learned at specific World Heritage properties are shared with the World Heritage system as a whole and with non-World Heritage cultural heritage,
- Addressing needs identified through the Periodic Reporting process at the property and/or regional levels,
- Capacity-building through new learning environments and advocacy activities, by targeting appropriate audiences and reinforcing the capacities of practitioners, institutional frameworks and communities and networks, and creating links to a regional or subregional capacity-building programme,
- Assuring World Heritage properties play a role in sustainable development and securing heritage benefits for the property and its stakeholders.

With regard to the last point, the OGs place great emphasis on adopting a participatory approach for the management of World Heritage sites. A good measure of whether a participatory approach is being effective is whether those stakeholders not directly responsible for the day-to-day running of the site have benefited from it.

Some World Heritage properties collect data on the status and condition of some or all heritage values, but for many properties this is a recent development (as a response to new Periodic Reporting requirements). All World Heritage properties should aim to have or improve their system for monitoring outcomes, a process that takes time and resources. They must also ensure continuity since institutional and stakeholder commitment is vital, and have steady funding sources so that human and financial resources are less vulnerable to interruption.

### Result 2: OUTPUTS (deliverable results)

#### Overview

The aim of heritage processes is to deliver results. Accomplished actions and delivered services in response to the outcomes established are known as outputs. They are tangible results that can be shared with the local community and other stakeholders, and often deliver direct support to the heritage, to communities and to stakeholders. They come together to contribute to the achievement of outcomes, the overall objectives of the management system.

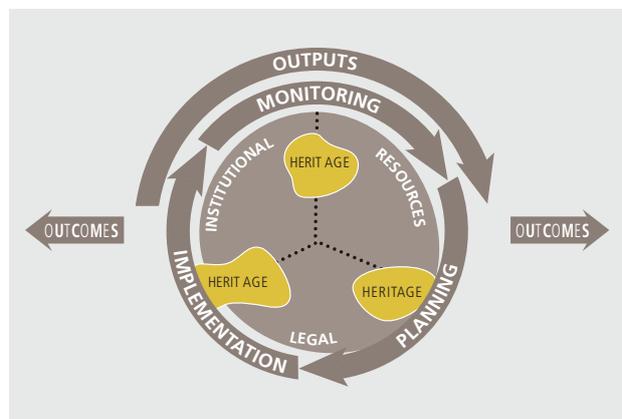


Diagram 16: Outputs of a management system

## OUTPUTS IN GENERAL

### Approaches and challenges vary extensively

Outputs are the results of planned work programmes which identify activities that are important for reaching specific management and conservation targets and, in turn, for achieving the overall objectives set out by the management system (outcomes such as protection of cultural values, OUV in particular).

Different types of outputs can be expected from the planning, implementation and monitoring processes of the management cycle:

- the plans themselves (e.g. a completed management plan),
- the tangible results achieved on the ground (e.g. building repairs, information panels installed),
- the data that those results, and the process of achieving them, can deliver to inform future actions (e.g. visitors increased by one million over two years),
- services such as maintenance of fire-safety systems.

### What outputs involve

Heritage processes will produce numerous outputs on a long- and short-term basis. Their combined impact ensures that broader objectives can be reached and guarantees those outcomes for the various stakeholders who represent the ultimate beneficiaries of the management system.

An output may not directly satisfy a need, but forms the impulse for another process. For instance, as part of visitor management strategies, the first output is perhaps the visitor management plan, arising out of the planning process. New signage on the property will be one of several principal outputs during the implementation stage. The reactions of visitors, recorded as they leave the property, are an output arising from monitoring that may become an impulse for another process, namely corrective measures to make the signage better serve visitor needs and thus achieve the outcome of visitor satisfaction.

### Key considerations

Supplemented by external advice and information on the achievement of outcomes (see the following sections), it is the analysis of outputs, and the processes that created them, that make general management more effective (see Result 3, Improvements to management systems, p.110).

Outputs help us to gauge the productivity of a management system. Documenting outputs and monitoring the processes that create them (see 4.4, Process 3, Monitoring) are inextricably linked and fundamental to understanding heritage processes and, in turn, management effectiveness. Furthermore, the collected data provide important base material for reporting on what has happened – they should be a central part of annual reporting requirements, along with outcomes (see next section) – and, once evaluated, provide feedback to improve the future management cycle (see 4.5, Result 3, Improvements to management systems).

The results of planning and monitoring can themselves be outputs but should not be viewed as an 'end product', rather as a means to another process and another output which work together towards making the management system operational and effective.

Plans are an example of outputs that are often shared widely but not communicated further down the management line (after their implementation). Outputs must be documented so that stakeholders can see the tangible results of their contribution and contribute further in the event of a gap between targets and results.

## 4 Defining, assessing and improving heritage management systems

### *Understanding outputs versus outcomes (many-to-one relationship)*

The relationship between processes, outputs and outcomes can be difficult to understand. There will often be a 'many-to-one' relationship between processes and a particular outcome; in other words, several outputs will correspond to one outcome.

The following table illustrates the difference between outputs and outcomes in a heritage process by analysing in greater detail the three example of outcomes identified in the previous section. The first example explores the visitor itineraries already mentioned in the introduction to 4.4, and how they contribute to visitor satisfaction, amongst other things. The last example, safeguarding heritage values, highlights a process, environmental monitoring, with an output which does not directly satisfy a need, but may form the input for another process and output.

**Table 11.** Examples to illustrate the relationship between outcomes, outputs and processes. This amplifies Table 10 in the previous 'Outcomes' section

<b>Outcome 1</b>	<b>Outcome indicators</b> <i>Establish if the objective has been achieved</i>	<b>Output(s)</b> <i>Contributing to outcome(s)</i>	<b>Process / Output indicators</b> <i>Establish the effectiveness of the process, the quality of the output and role in achieving wider objectives</i>	<b>Heritage process(es)</b> <i>Producing outputs to achieve outcomes</i>
Visitor satisfaction  <i>Other outcomes influenced:</i> Increasing visitor awareness and support Promoting and safeguarding OUV and other cultural values	Quantity (length and number of visits)  Quality (customer satisfaction)	New visitor itineraries	Quantity (length and number of visits)  Quality (visitor satisfaction, accuracy) Timeliness (in time for the peak season) Compatibility (reducing visitor wear and tear)	Quantity (length and number of visits)  Plan, implement and monitor visitor itineraries (with signage, audio guides, web-platforms, rotational opening, etc.)
Outcome 2  A thriving local community around the heritage property which benefits the heritage property  <i>Other outcomes influenced:</i> Promoting and safeguarding OUV and other cultural values	Employment levels and other trends in local economic data  Trends in social / environmental statistics e.g. crime, truancy, vandalism New forms of support for the heritage Nights spent in local hospitality annually by visitors Regional tourism, return visits	A series of heritage-friendly business opportunities New partnerships, new sponsors Recruiting new talent to boost the local economy Improved urban environment	Quantity (e.g. funds raised or number of partners / recruits / jobs created) and frequency (e.g. return visitors) Quality Timeliness Inclusiveness Compatibility with heritage needs Scope and timeframe of commitment Local community satisfaction	Identifying market opportunities related to the heritage  Attracting partners and investment Start-up funds for new business initiatives Master planning urban regeneration

Outcome 3	Outcome indicators	Output(s)	Process / Output indicators	Heritage process(es)
Safeguarding OUV and other cultural values	[If no effective outcome indicators found, resort to evaluating relevant outputs and processes]	<i>First output:</i> Repaired roofs <i>Second outputs:</i> Reduced long-term costs of site care Simplified maintenance procedures	Quantity (number and total area) Effectiveness (design and lifespan) Timeliness Cost (fair pricing, ease of access for maintenance) Environment (0km materials)	Example 1: Repair unstable and leaking roofs threatening an attribute of the property and establishing long-term maintenance access routes
		<i>First output:</i> New data <i>Second output:</i> Statistics, trends <i>Tertiary outputs:</i> Understanding decay mechanisms Improved conservation approaches Cheaper and simplified maintenance	Quantity (data, timeframes) Quality (data redundancy, accuracy and relevance) Timeliness (seasonal fluctuations) Cost (sustainable by routine funding) Data access / usage	Example 2: Environmental monitoring, followed by data analysis

As Table 11 shows, in order to achieve a single or several outcomes, heritage processes (see Part 4.3) produce multiple outputs, often in a variety of timeframes. When successful, the combined impact of output identification and delivery ensures that the management system reaches the objectives of interest to all stakeholders.

*Monitoring and assessing outputs*

The examples in the Table 11 illustrate the variety of outcomes that might be sought and the diverse outputs that may contribute to them (also sequentially where a series of consecutive outputs lead to the outcome). The table also identifies some of the possible output indicators (using general advice already offered on indicators in Process 3, Monitoring, Part 4.3). Have outcomes that are difficult to measure been achieved by measuring the extent to which outputs have been delivered? See Appendix A for sample indicators adopted for Stonehenge (UK).

*Choosing output indicators*

The outputs to be monitored should be decided in advance, preferably when the annual work plan or the overall management plan is being developed (see Part 4.3 Planning, and Appendix A on management planning).

For assessing outputs, it is important to compare progress against the targets set in work programmes for a property. The more tangible nature of outputs, compared with other results of the management system, makes it fairly easy to identify impartial indicators that measure this annual 'productivity'. (By 'impartial indicators' we mean that the same information would be collected, irrespective of the collector, and therefore would not be subject to personal bias).

## 4 Defining, assessing and improving heritage management systems

The changes, products or services that make up outputs can themselves be 'measurable' results (i.e. indicators), for example, extensions to the buffer zone area, expressed in square metres. But a series of indicators (rather than one only) is usually more effective for quantifying and qualifying an output.

- a. Where possible, output indicators will be quantified in terms of:
  - Physical outputs (e.g. number of security cameras installed, number of brochures produced or distributed and number, total area and value of roofing repairs completed),
  - The volume of work (e.g. number of meetings held with local communities or the number and value of external partnerships activated),
  - Users (e.g. the annual number of visitors or rentals, audio guides used or answers given to enquiries).
- b. Output indicators may sometimes qualify the impact of an output by offering data that show statistical trends relating to:
  - The effectiveness of physical outputs, e.g. the relative lifespan of roofing repairs,
  - The quality of work done, e.g. the national diversity of partners, or the opinions of external target groups,
  - The profile of users, e.g. the distances travelled by visitors to the property.
- c. Output indicators will sometimes assess work in financial terms – actual versus planned expenditure – in order to provide financial information for the purpose of accountability to management authorities, donors and others.

### OUTPUTS FOR HERITAGE IN GENERAL

#### GOOD TIPS

- ▶ In industry and commerce, outputs are only produced (or should only be produced) because there is a 'customer' of the process who specifically wants them. Although not directly applicable to the heritage sector, this way of thinking helps to differentiate between achieving concrete results (outputs) and broader objectives (outcomes), and recalls the importance of ensuring that annual work programmes do target genuine needs.
- ▶ Indicators chosen to assess outputs should be the fewest necessary to determine success, measurable in a consistent way and, above all, 'SMART' (a popular mnemonic used to set management objectives):<sup>75</sup>
  - Specific to the product or service they are supposed to measure
  - Measurable (either quantitatively or qualitatively)
  - Attainable in terms of cost and consensus (buy-in from stakeholders)
  - Relevant to the information needs of managers
  - Time-bound – so we know when we can expect the output to be achievedIndicators will assess specific outputs but the choice of indicators for each output will be influenced by the broader outcome (or outcomes) to which the output is contributing.
- ▶ National or international control standards might offer objective criteria for qualitative indicators (management quality,<sup>76</sup> environmental). Moreover, the development of internal monitoring protocols can help to standardize approaches and maintain quality and credibility.

75. [http://en.wikipedia.org/wiki/SMART\\_criteria](http://en.wikipedia.org/wiki/SMART_criteria)

76. The ISO 9000 family of standards published by the International Organization for Standardization ([www.iso.org](http://www.iso.org)), and available through national standards bodies.

- ▶ Some management approaches interpret 'outputs' and 'outcomes' in a slightly different way and this should be checked. For example, some schools of thought divide 'output' into two levels: a series of 'results' (e.g. laying drainage networks, mending roofing and gutters) which come together for a specific 'purpose', which is nevertheless a tangible result (e.g. improving rainwater collection and disposal).<sup>77</sup>
- ▶ The natural heritage sector has made good progress in assessing heritage processes and outputs with their 'Framework for Assessing Management Effectiveness' (see Appendix B), and, in particular, 'Tool 10: Work/Site Output Indicators' proposed in the *Enhancing our Heritage Toolkit* is of interest.<sup>78</sup>

## OUTPUTS IN THE WORLD HERITAGE CONTEXT

### Key considerations

In the World Heritage context, outputs should come together to contribute to the protection of OUV as a primary outcome, but also to other outcomes such as benefits to society. Whether they are steps taken to protect attributes, authenticity and integrity, or services delivering benefits to the local community, outputs are chosen as part of the planning process (or within management planning, see Appendix A). They will be based on, amongst other things, an assessment of factors affecting the property and its stakeholders.

The additional challenges created by inscription can lead to new outputs being required, such as multiple plans (Part 4.3) or elaborate institutional frameworks (Part 4.2) linked to World Heritage properties. Other World Heritage processes, such as Reactive Monitoring and Periodic Reporting, may affect the intended outputs and the systems should be ready to cope with such situations.

In the case of specific projects aimed at changes to properties or their management to comply with World Heritage requirements, an inclusive approach to monitoring and assessing heritage processes and their outputs (as well as planning them) is particularly important. Projects need to be 'owned' by local stakeholders and local implementing partners and their information needs are of primary importance. Indicators should not reflect only what the 'donor' would like to know, but what local managers, the local community and other stakeholders need. It is therefore important to understand how local information systems work, and to ensure that local stakeholders take a lead role in defining relevant indicators.

77. European Commission. 2004. *Aid Delivery Methods. Volume 1. Project Cycle Management Guidelines*. Brussels, European Commission. p.82. [https://www.aswat.com/files/europeaid\\_adm\\_pcm\\_guidelines\\_2004\\_en.pdf](https://www.aswat.com/files/europeaid_adm_pcm_guidelines_2004_en.pdf)

78. Hockings, M., James, R., Stolton, S., Dudley, N., Mathur, V., Makombo, J., Courrau, J. and Parrish, J. 2008. *Enhancing our Heritage Toolkit. Assessing management effectiveness of Natural World Heritage sites*. Paris, UNESCO World Heritage Centre. (World Heritage Papers 23) pp.58-59. <http://whc.unesco.org/en/series/23/>

## 4 Defining, assessing and improving heritage management systems

### Result 3: IMPROVEMENTS TO MANAGEMENT SYSTEMS

#### Overview

Management systems aim at achieving outcomes through diverse actions developed in the form of outputs. To achieve outcomes and outputs effectively, the three elements and the three processes mentioned above should provide the necessary support. Previous sections on elements and processes have explained how secondary management systems help the manager to achieve necessary outcomes and outputs. If they are not achieved, then good management must make changes that will result in an improved management system and the achievement of the necessary outcomes and outputs. This section explains how improvements can lead to long-term changes in management systems.

Developing potential improvements lies in identifying where the three elements and three processes of the management system are falling short and then taking corrective measures. Improvements can be made by monitoring heritage processes, assessing outputs and outcomes and assessing the adequacy of the three elements. They may consist of small changes to existing components or have an external origin in the form of substantial reinforcement from secondary management systems.

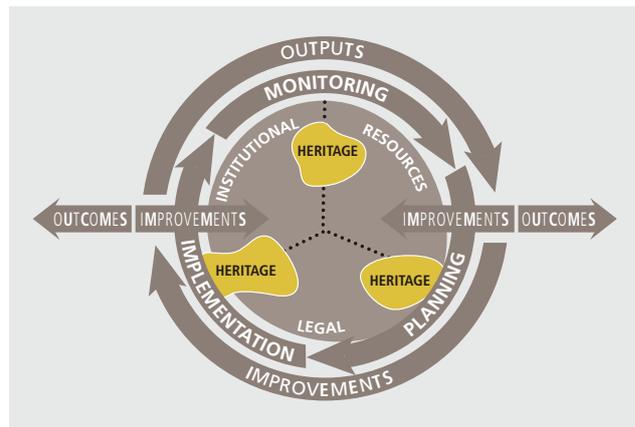


Diagram 17: Improvements to a management system

External inputs may come from a variety of sources (see Part 2). For instance, in many countries, culture is attracting new forms of support (public and private), thanks to its increasing contribution to social agendas (education, outreach and community development work). This may call for substantial changes to existing management systems, some of which are centuries-old, together with a demand for evidence-based, transparent decision-making for cultural heritage (see Part 4.3 – Monitoring).

### IMPROVEMENTS TO MANAGEMENT SYSTEMS IN GENERAL

#### Approaches and challenges vary extensively

If planning, implementation and monitoring processes do not lead to the desired outputs and outcomes, this may at first appear to be due to external factors. But the real cause may be shortcomings in the existing management system (a good management system should have contingency mechanisms for handling even the least foreseeable risks). How to identify these shortcomings is the subject of this section.

Shortcomings may be due to gaps in the legal and institutional frameworks, to insufficient or poor deployment of resources, or to inadequacies in the processes themselves. Outputs

will then be unsatisfactory and outcomes achieved partially or not at all. The solution may be quite simple (for example, better deployment of resources). But if direct remedies are not possible in the short term (for example resolving inadequacies in the legal frameworks), solutions might be found in other areas of the management system. Less direct remedies may require imaginative approaches.

Resolving the shortcomings must become a positive input. Changes to the management system may require days, months or years. Distinguishing the timeframes that are necessary and ensuring sufficient tenacity to deliver long-term improvements can represent a challenge.

### What do improvements to management systems involve?

Gathering feedback and delivering improvements can be a multiple-step exercise:

1. Identifying gaps in the primary heritage management system that hinder its effectiveness and efficiency,
2. Where the *primary* system cannot deliver solutions, resorting to secondary sources (see the template in Part 4.5, p.118) to bring about change in the management system and increase effectiveness and efficiency (e.g. Herculaneum case study below).
3. Changing the primary management systems, a task that may be time-consuming and need strong political backing.

Improvements that come from the outside may derive from consulting specialist literature or from setting up an information-gathering project that might achieve multiple benefits. For example an oral history project could harness the experience of retired workers who maintained the site in the past, collecting information that fills gaps in the intellectual resources of the management system or that has been lost with a shift to outsourcing. The very process (from the bottom up) could help to overcome the drawbacks of legal and institutional frameworks that often fail (from the top down) to facilitate a participatory approach. There may also be new knowledge in the heritage sector relevant to developing heritage management systems.

#### CASE STUDY

##### **Partnership to improve an existing management system without major legal or institutional reforms**

*The archaeological site of Herculaneum, part of the serial World Heritage property known as the Archaeological Areas of Pompei, Herculaneum and Torre Annunziata (Italy) is a significant case study for the use of partnership to create what is essentially a temporary management system to achieving lasting improvements to the existing management system, and without major institutional or legal reforms.*

*The towns of Pompeii and Herculaneum and their associated villas, buried by the eruption of Vesuvius in AD 79, provide a complete and vivid picture of society and daily life at a specific moment in the past that is without parallel anywhere in the world. Public-owned and public-run, until 1997 these archaeological sites were run by a centralized public system and chronically underfunded for the last decades of the 20th century. The local heritage authority was given financial and administrative autonomy from the ministry in 1997 (law no. 352/1997) which boosted funding (ticket income no longer went to the central ministry for redistribution) and reduced bureaucracy. However, the management reform was incomplete and human resources remained tied to the central Ministry of Culture and therefore inflexible and inadequate for local needs. Furthermore, the complexity of many national public works procedures continued to hinder efficient operations.*

*In 2002, Herculaneum was cited at the PisaMed conference in Rome as perhaps the worst example of archaeological conservation in a non war-torn country; in 2012 it was a positive model 'whose best practices surely can be replicated in other similar vast archaeological areas across the world', which was the conclusion of UNESCO Director-General Irina Bokova following her visit.*



## 4 Defining, assessing and improving heritage management systems

*This dramatic change in circumstances has been in part due to a public-private partnership known as the Herculaneum Conservation Project<sup>79</sup> which has been supporting the conservation and management of Herculaneum since 2001. Multiple factors have contributed to the success of the initiative, which was able to build on positive steps already being taken by the local heritage authority. Choices made responded to precise inadequacies in the existing management system, with contributions to all nine components aiming to secure lasting improvements in management efficiency and effectiveness. Here are some examples:*

- *The imaginative use of a legal framework intended for commercial sponsorship (laws no. 42/2004 art. 120 & 30/2004 art.2) which finally allowed private partners (in this case philanthropic) to offer operational support – actions and improved organizational flexibility – not just financial help – donations – to the public partner. The heritage authority was under capacity in organizational not financial terms.*
- *A collaboration that unfolded ‘within’ the host organization, the local heritage authority, ensuring genuine partnership and an opening up of the existing management system to new ways of working, and a greater sense of ownership for those who would take the approaches forward.*
- *The creation of a series of responsive and flexible partnerships (rather than a dedicated legal entity), thereby responding well to new phases of the project as the needs of the site and the host management system evolved. In over ten years the project has shifted from ambitious works in areas of the site at risk to planning new museum facilities, urban regeneration initiatives for residential areas adjoining the site and capacity-building activities for the other Vesuvian sites with a view to gradual project withdrawal.*
- *The creation of an interdisciplinary team of national heritage specialists and specialist contractors (many local) to reinforce heritage staff and archaeological conservation activity.*
- *The creation of a network of local and international research partners to reinforce intellectual resources, but also contribute to advocacy for the site and deliver a multiplier effect for the other sites in this serial World Heritage property.*
- *A project management approach which introduced an objectives-based work culture and strong emphasis on efficient heritage processes.*
- *Importance given to activities that would enable the existing management system to sustain site management with public resources beyond the project’s lifetime into the future. Examples are infrastructure and conservation measures to reduce long-term costs and simplify site management, testing and refining approaches for programmed maintenance cycles and securing long-term research partnerships.*
- *Recognition of the need for the site to re-establish a role and identity in the life of the modern town and harness the reciprocal heritage benefits which emerge. A sister initiative, the Herculaneum Centre, was created to build bridges with the local civic authority and other stakeholders and improve the relationship of the ancient and modern towns long into the future.*



Archaeological Areas of Pompei, Herculaneum and Torre Annunziata (Italy)

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79. A Packard Humanities Institute initiative in partnership with the Soprintendenza Speciale per i Beni Archeologici di Napoli e Pompei (the local semi-autonomous heritage authority) and the British School in Rome.

### Key considerations for improvements to management systems

Management planning is a widely adopted tool for World Heritage, placing as it does great importance on identifying gaps for improving the management system (see Appendix A). Even in the absence of a management plan, a management system benefits from assessing progress against targets (outputs) and broader objectives (outcomes), and then analysing discrepancies and their causes. Improving a management system depends on rigorously evaluating it: whether the three elements are supporting the three heritage processes, and delivering target outputs and achieving all desired outcomes.

The information derived from monitoring outputs and outcomes by means of indicators helps to define and prioritize future processes of the management system. It can also be the basis for making substantial improvements to some or all of the nine components of the management system. The next section, Part 4.5, proposes a template for documenting and assessing heritage management systems. In the template, the ninth component, 'Improvements to management systems', brings together all the gaps or opportunities that have been identified under the other eight components. It then proposes changes to either overcome or embrace them, identifying, where appropriate, suitable management tools.

## IMPROVEMENTS TO MANAGEMENT SYSTEMS

### GOOD TIPS

- ▶ Improvements are sometimes referred to as 'inputs', but this can lead to confusion with human, financial and intellectual resources which are also referred to as 'inputs'.
- ▶ Ensuring the upward spiral of continuous improvement that is central to good management depends on skills to identify gaps and applying them appropriately. Such skills can be developed by means of simple capacity-building initiatives (see Part 3.8)
- ▶ As a result of its isolation, the cultural heritage sector has a greater shortage of critical skills in practical project and stakeholder management than some other sectors<sup>80</sup>. This weakens the heritage management system for a property while also holding back the system from evolving.
- ▶ Isolation also requires a better understanding of other sectors and improvements to the primary management system.<sup>81</sup>
- ▶ Increasing pressures on cultural heritage and the new demands that society places on it (see Part 2) often requires new disciplines to be involved: economists, sociologists and environmentalists, for example.

## IMPROVEMENTS TO MANAGEMENT SYSTEMS IN THE WORLD HERITAGE CONTEXT

### Key considerations

Identifying gaps and trying to address them is part of improving the management system for a property in terms of productivity, efficiency and ability to achieve principal outcomes (the protection of OUV) and other objectives. The need for compliance places additional pressures on inscribed sites. Appendix A explores how management planning contributes to achieving these goals.

80. Deputy Prime Minister's Office. 2004. *Skills for Sustainable Communities*. London, RIBA. [http://dera.ioe.ac.uk/11854/1/Egan\\_Review.pdf](http://dera.ioe.ac.uk/11854/1/Egan_Review.pdf)

81. Brundtland, G.H. 1987. *Report of the World Commission on Environment and Development: Our Common Future*. Oxford, UK, Oxford University Press, Incorporated. Chapter 7. 'Merging Environment and Economics in Decision Making', paragraph No.75.

## 4 Defining, assessing and improving heritage management systems

For instance, the participatory approach recommended by the *Operational Guidelines* (OG para 108) depends on stakeholder involvement at all stages of the management process, i.e. involving those affected by the productivity, efficiency and ability of the management system to achieve certain outcomes.

### IMPROVEMENTS FOR WORLD HERITAGE

#### GOOD TIPS

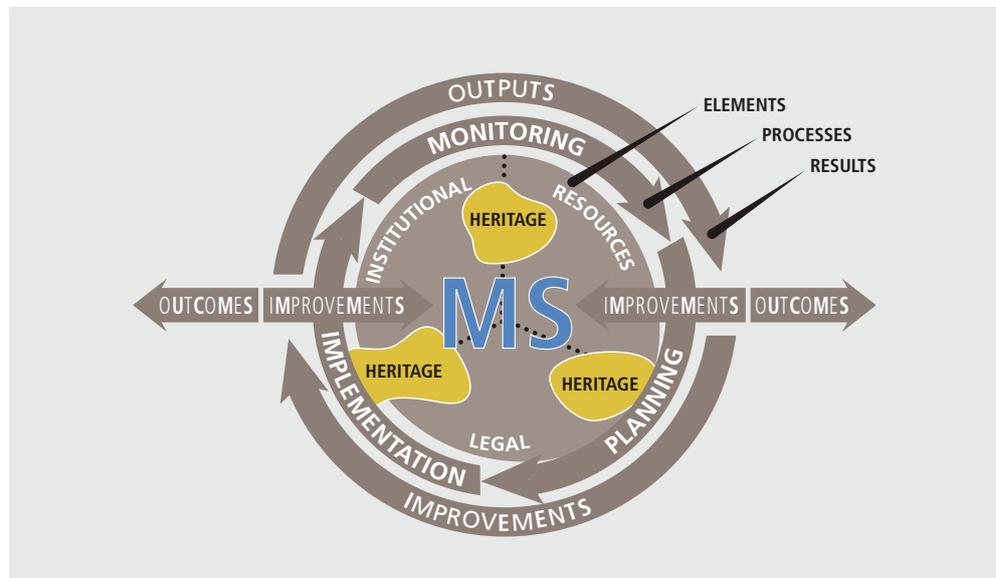
- For the management authorities of a cultural property, inscription on the World Heritage List brings additional obligations and new challenges. This in turn requires the States Parties to revisit and improve their management systems. On the other hand, the World Heritage system offers access to diverse networks of experience and expertise through the World Heritage Committee, its Advisory Bodies (ICCROM, ICOMOS, IUCN), Regional Centres and other associated organizations (see the World Heritage website) that can be useful in the process of improving management systems.

### 4.5 Documenting and assessing a heritage management system

#### A 'COMPLETE' HERITAGE MANAGEMENT SYSTEM

##### The management system framework at national and property levels

The nine components highlighted in Parts 4.2, 4.3 and 4.4 come together to form a complete heritage management system (MS), as illustrated in the diagram below.

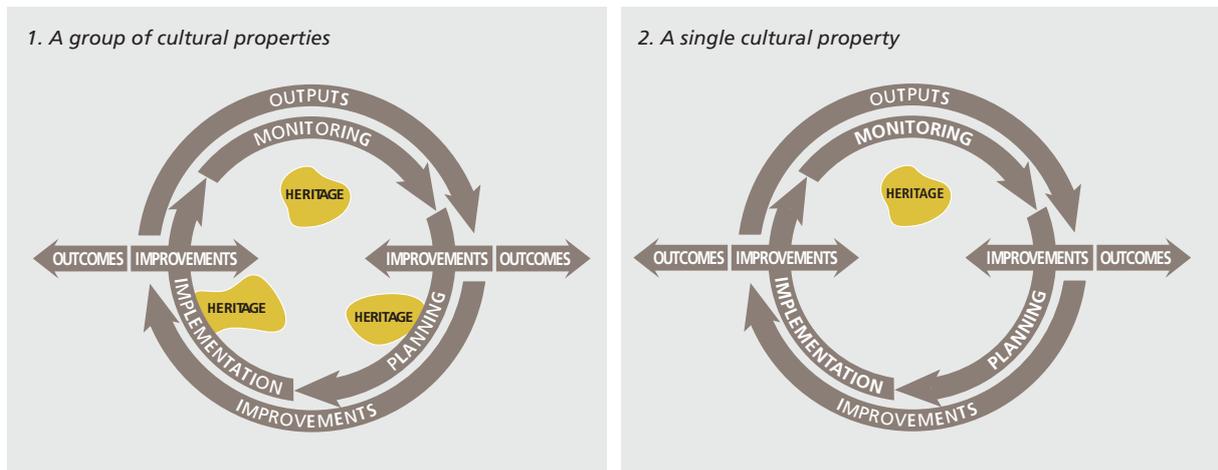


**Diagram 18:** The nine components of a heritage management system

Dividing heritage management systems into nine components provides a common framework of reference for all who use one: heritage practitioners who manage properties, policy-makers who define institutional frameworks, and communities and networks who, to be involved in heritage, need transparency over how decisions are made.

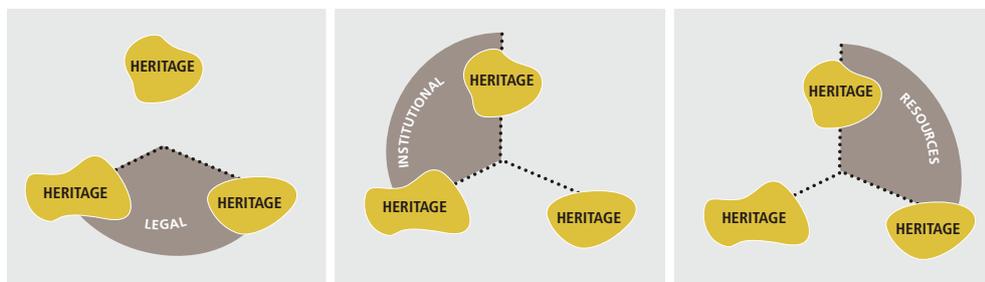
As mentioned in Part 4.1, a heritage management system, as a primary system operating at a national or regional level, may have a legal mandate to oversee core tasks such as identifying and recording heritage properties. But its adequacy is put to the test when managing a property (conservation, interpretation, visitor management, linking to development, etc.), often reinforced by external contributions. It is then that the support of the secondary management systems (or their components) is usually needed. This section of the manual explains how to document and assess whether the primary heritage management systems are adequate, and what is the role of the secondary management systems.

A national or regional heritage management system may appear to be standard for certain categories of cultural properties, but it should be tested by reference to a specific property or group of properties, each with its own nature and setting which will shape its management. Of the nine components, the approach to processes and the results are most influenced by the specific case. This is explored later.



**Diagram 19:** How the elements of an apparently uniform (primary) heritage (national) management system will be supported by local circumstances for a group of properties or a single property

The three elements are also affected by the constraints and opportunities presented by the specific property or properties. Diagram 20 provides some examples, which also show how components from other management systems can be useful.



**Diagram 20:** Use of secondary management systems or their components to strengthen primary management systems

**Legal framework**

- Local land use by-laws
- Legislation from other sectors (e.g. tax relief, pollution standards, coastal protection)
- Established land use or access rights

**Institutional framework**

- Reinforcement from local NGOs
- Overlap with local civic authorities
- Varying levels of public and private ownership and management control

**Resources**

- Target region for capital funding (e.g. World Bank, European Commission)
- Strong community consensus and volunteering
- Continuity in local skills and knowledge

## 4 Defining, assessing and improving heritage management systems

### The purpose of the heritage management system framework

The framework has three principal functions for those involved in the conservation and management of cultural heritage:

*Purpose 1: A framework for defining and documenting a heritage management system and communicating how it works to others*

The nine-component framework offers a common language to facilitate and standardize the monitoring of heritage management systems and the reporting of their results to third parties. In the case of World Heritage, this forms part of the nomination process (section 5 of the Format) and, after inscription, part of Periodic Reporting analysis and State of Conservation (SOC) Reports.

The World Heritage nomination process specifically requires that the heritage management system in place for a property or a group of properties (OG paras 130 and 132.5)<sup>82</sup> be formally documented. The nomination dossier can constitute a substantial contribution to property management and act as a baseline against which to measure the management and state of conservation of the property in years to come.<sup>83</sup>

*Purpose 2: A framework which places each heritage concern in a broad context and illustrates the need for an integrated approach to heritage management*

The heritage management system operates in a wider environment which can place pressures on the cultural heritage property and vice versa. But this relationship also presents a series of opportunities (see Part 2). Good management of the pressures and opportunities can benefit the property and neighbouring communities while also increasing cultural, social, economic and environmental values.

Of the nine components, ‘improvements’ and ‘outcomes’ are those most affected by direct contact with the wider context (represented by the inverse arrows in the diagrams). But all components of a heritage management system depend on that context and should involve its representatives.

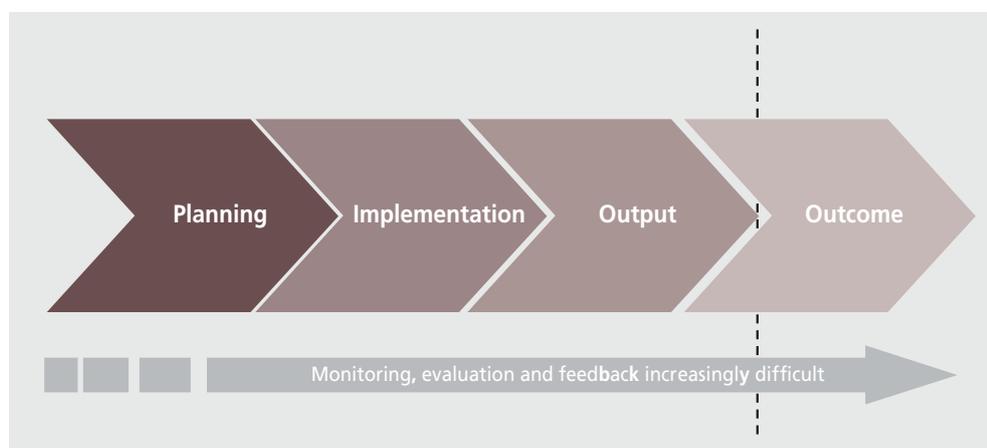
The framework places each heritage concern in a broad context and promotes an integrated approach to heritage management. It illustrates what the management system needs and what it achieves, and what other management systems contribute to it (see Part 4.1). By facilitating transparency and dialogue, the benefits to society are widely recognized and stakeholder involvement and feedback is more effectively harnessed.

*Purpose 3: A framework for assessing and improving a heritage management system (with other management systems)*

It is well known that, as the management cycle advances, it becomes more difficult to evaluate how effective are heritage management processes and results (see below).

82. This overview of the management system may be delivered on its own or as part of a management plan.

83. UNESCO, ICCROM, ICOMOS and IUCN. 2011. *Preparing World Heritage Nominations*. (Second edition). Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual) p.91. <http://whc.unesco.org/en/activities/643/> (English web page).



**Diagram 21:** Evaluation increases in difficulty through the management cycle

It can be even more difficult to assess whether what is the backbone of the management system, namely the legal and institutional framework and the approach to resources, is being effective.

Heritage processes can demonstrate that the management system of a given property or group of properties is failing to reach its objectives or is achieving them inefficiently, and can identify specific strengths and weaknesses. But it is less easy to understand their implications for other areas of the management system.

It may prove necessary to change the management system, either because of requirements associated with gaining and/or maintaining World Heritage inscription (OG paras 117 and 132.5) or because of alterations (whether desired or not) in the property or group of properties that need addressing (see Appendix A). Any change is likely to have repercussions throughout the management system.

The nine-component framework provides checklists to analyse the strengths and weaknesses of the current management system, and a logical structure for making any recommendations when change is necessary in order to protect values, above all the OUV. It makes it easier to review the needs and achievements of the management system at different management levels (local, national, regional, international).

### Documenting and assessing the heritage management system

#### *A standard template for using the framework*

Table 12 is a template designed for using the nine-component framework to document (see for instance 5e of the nomination format, OG Annex 5) and assess a heritage management system. It helps the user to identify whether all nine components fall entirely or partially within the primary heritage management system or, if not, which are contributions from other management systems. The examples of World Heritage properties discussed below will clarify this. Annex 5 of the OG describes requires the management system for a World Heritage property to be documented.

A Word format of the template is included for users of this manual. When completing the template users are requested to refer to relevant sections and respond to question prompts and checklists when documenting a heritage management system.

## 4 Defining, assessing and improving heritage management systems

**Table 12.** *The heritage template for documenting a management system*

Documenting and assessing the adequacy of a heritage management system for a specific cultural property				
1. Site name and location:				
2. Brief description of site:  Key attributes: Authenticity: Integrity:				
3. World Heritage criteria:				
4. Documenting and assessing the management system for the cultural property				
	The management system framework: 3 areas, 9 components	<ul style="list-style-type: none"> <li>Describe the primary management system for the cultural property</li> </ul> <p>Where necessary highlight key and relevant features or attach relevant references</p>	<ul style="list-style-type: none"> <li>Assess its adequacy: existing gaps and new opportunities identified (<i>based on the nature of the property and after referring to relevant sections of this manual</i>)</li> </ul>	<ul style="list-style-type: none"> <li>Outline existing additional support from secondary / other management systems or tools in place to address gaps and to strengthen the primary management system</li> <li>Identify additional measures / tools required</li> </ul>
ELEMENTS	Legal framework (or 'mandate')			
	Institutional framework			
	Resources			
PROCESSES	Planning			
	Implementation			
	Monitoring			
RESULTS	Outcomes			
	Outputs			
	Improvements (including a summary of additional measures required)			

The following example is an attempt to document an existing management system that has evolved over a period of time since the site was inscribed on the World Heritage List.

**Table 13.** Example of a heritage management system

**Documenting and assessing the adequacy of a heritage management system for a specific cultural property**

**1. Site name and location: Sacred City of Kandy, Sri Lanka**

**2. Brief description of site:**

Quote from SOUV

**Authenticity**

Quote from SOUV

**Integrity**

Quote from SOUV



© James Gordon

Sacred City of Kandy (Sri Lanka)

**3. World Heritage criteria: (iv) (vi)**

**4. Documenting and assessing the management system for the cultural property**

The management system framework:  
3 areas,  
9 components

- Describe the primary management system for the cultural property

- Assess its adequacy: existing gaps and new opportunities identified (based on the nature of the property and after referring to relevant sections of the manual)

- Outline additional support from secondary / other management systems or tools in place to address gaps and to strengthen the primary management system
- Identify additional measures / tools required

ELEMENTS

Legal framework (or 'mandate')

The 'Antiquities Ordinance' 1940, revised in 1988, governs the protection and management of heritage in the entire country

Part of the property is owned by the Buddhist Community and governed under the Temple ordinance

Need to control areas beyond the monuments and in the Buffer Zone

Need to attract more funding

The site was brought under the 'Urban Development Authority (UDA) Law' and Municipal Council regulations, permitting better control of the larger area

The site was brought under the 'Central Cultural Fund (CCF) Law' 1981, increasing funds and the capacity to implement activities

## 4 Defining, assessing and improving heritage management systems

ELEMENTS	Institutional framework	<p>The Department of Archaeology (DOA) is the responsible institution</p> <p>Temple authorities headed by a chief guardian are in charge of the Temple of the Tooth Relic (daily rituals, annual pageant, etc.) and its management</p>	<p>Need for a mechanism to bring all relevant stakeholders together</p> <p>Need for the monks to be more involved in decision-making</p>	<p>World Heritage Sacred Site Committee with the City Mayor as Chairperson and all relevant stakeholders as committee members was created</p>
	Resources	<p><i>Human:</i> Mostly the employees of the DOA</p> <p><i>Financial:</i> Annual funds from central government. Collections form entrance fee from foreign tourists by the temple</p> <p><i>Intellectual:</i> The accrued knowledge within the Department.</p>	<p>Inadequacy of DOA staff and the need for greater flexibility in employing diverse range of professionals</p> <p>Need to outsource activities</p> <p>Financial shortage</p> <p>Need to bring new knowledge particularly related to OUV</p>	<p>CCF taking over conservation work</p> <p>Outsourcing started</p> <p>CCF brought additional funds</p> <p>Further improvements still to be made</p>
PROCESSES	Planning	<p>Planning for conservation by the DOA on an annual basis.</p>	<p>Need to plan for long term with a view to guarantee the safeguarding of the OUV</p> <p>Lack of greater participatory process within the DOA</p> <p>Values-led approach to planning is new</p>	<p>Use of the new committee created to lead a new planning approach using participatory process and using all resources from different stakeholders</p> <p>Concept of OUV was discussed for the first time within the Sacred City Committee</p> <p>Tool known as Sacred City Planning used since 1949</p>
	Implementation	<p>Implementation of projects by the DOA staff</p>	<p>Need to outsource activities</p> <p>Need to utilize the support of other stakeholders</p> <p>Planning control has to be led by the Municipality which exercises the power of the UDA Law</p>	<p>In the absence of a comprehensive management plan, implementation of each project developed by the Department or the Committee is undertaken by the <b>relevant institution(s)</b> with their own funding</p> <p>Planning controls are done by the Municipality with the team from all <b>relevant agencies</b></p>

PROCESSES	Monitoring	<p>Monitoring practices established by the DOA for the work being carried out</p> <p>DOA conduct regular inspections on illegal construction at the property</p>	<p>Need for greater monitoring efforts in a larger area</p> <p>Need to safeguard all attributes that reflect the OUV</p> <p>Need to have a greater control on the property and the Buffer Zone</p>	<p>Joint Committee with DOA, CCF, UDA and Municipality for approval and control of the development</p> <p>Progress of work is discussed at monthly meetings of the Committee while individual agencies monitor their work</p>
	Outcomes	<p>DOA is committed to protect heritage values including the OUV</p> <p>Monks in charge of religious property committed to facilitate ritual activities</p>	<p>Lack of awareness among the community about the OUV of the property</p>	<p>Protect and sustain OUV through greater participation</p> <p>Delivery of benefits of the WH property for the community</p>
RESULTS	Outputs	<p>Conservation of archaeological sites, buildings and paintings of selected components of the property that will ensure the protection of OUV</p> <p>Continuity of religious activities by the monks and the lay guardian that will enhance the OUV</p>	<p>Need to conserve / control privately owned parts of the property, develop infrastructure facilities for ritual activities</p>	<p>Delivery of a programme to conserve privately owned parts of the property aiming at economic benefits to the community</p> <p>Provision of infrastructure according to the plans prepared</p> <p>Provision of facilities during festivals</p>
	Improvements (including a summary of additional measures required)	<p>It was felt that the Sacred City Committee needed legal authority; a draft law to empower the Committee is under preparation.</p>		

# Appendix A

## A framework for developing, implementing and monitoring a management plan

Appendix A expands the discussion of the ‘planning’ process in Part 4.3. Its purpose is to provide help for developing the management plan that is required under Section 5 of the World Heritage nomination format. Management planning is an increasingly popular tool for protecting cultural values and, in particular, Outstanding Universal Value within the World Heritage process. Preparing and implementing a management plan requires contributions from all nine components of a heritage management system (see Part 4) and is an opportunity to document in a structured way the management system(s) at a property. It also helps to identify any gaps in the existing system which, in turn, provides feedback to change or improve it. This information is also needed for Sections 3.1 e, 4.5, and 6 of the nomination format.

The Appendix is organized under the following headings:

- A.1 Introduction: management plans within management systems
- A.2 The management planning process
- A.3 Contents of the management plan.

### **A.1 Introduction: management plans within management systems**

#### **Management planning: an overview**

‘Management planning’ has undoubtedly become one of the most familiar tools within the World Heritage system. States Parties, members of the World Heritage Committee and the Advisory Bodies use management planning as the tool to evaluate the State Party’s commitment to maintain the OUV of a given property and also guarantee that the benefits are delivered to society. The term ‘management plan’ is used more frequently and emphasizes the planning outputs of the tool instead of the management approach and process that it constitutes.

Management planning and the management plans that it produces should, however, be understood in relation to the host management system(s) as described and elaborated in Part 4 (see also pp. 89-91 of the *Nomination Manual*). A management plan should be a reflection of the entire management system. As a tool that documents the overall management system, it constitutes an opportunity to describe and assess a given management system, and thus can demonstrate how the State Party is going to maintain the OUV of a property.

In the case of World Heritage, protecting the attributes that reflect OUV will be a primary objective but cannot be the sole one. As described below in the ‘management planning process’, a management plan will address the overall cultural values of a property and the changes in the immediate vicinity of the property that might have an impact on them. This inclusive approach is one of the qualities of the management planning approach since it requires links with other plans (such as local or regional land use planning or development plans) and stakeholders outside the heritage system.

Management planning beyond the physical confines of the property aims to better protect the OUV and other cultural values, and to secure those benefits to society that heritage can offer and that the property can gain from greater community involvement (see Part 2.3 on sustainable development).

## GOOD TIPS

- The preparation of a management plan is closely linked to the preparation of a nomination dossier. Once OUV has been established, it would be a good idea to start assessing the management systems in relation to Section 5 of the nomination format (OG Annex 5) and to start the process outlined below. Sections 4, 5 and 6 of the format (OG Annex 5) should be completed, using the information gathered for the management plan.

The principal objective of the management planning process is the strategic long-term protection of cultural heritage sites. A fundamental part of this is developing a framework for decision-making and for managing change at a particular cultural heritage property. When this framework is documented, along with the management goals, objectives and actions that are determined by the collective effort of those involved in managing the cultural heritage property, it is referred to as a 'management plan'. Essentially, a management plan is the guidance document developed within, and describing, a particular management system. It is an important tool for all phases of the management cycle (planning, implementation, monitoring) at a cultural heritage property and needs to be periodically reviewed and renewed.

## CASE STUDY

### **Management plan as an integral part of the management system**

*The primary management system of Vizcaya Bridge operates at provincial level. It is legally protected by the Basque Government (a provincial government in Spain). The body legally responsible for the direct protection and management of Vizcaya Bridge is Bizkaia Provincial Council: the provincial authority responsible for the Province of Bizkaia in which the bridge is located. Required resources are also generated or provided by the same institutions. A commission for the conservation of the monuments has been established to bring all relevant stakeholders and a management plan has been elaborated. This is also an interesting example of outsourcing of ordinary management and maintenance to a private company. It is also an example of a single industrial heritage monument being managed to contribute to a broader attempt to develop the entire city of Bilbao in a different direction as its heavy industrial past came to an end.*



Vizcaya Bridge (Spain)

© UNESCO

## Management plan

A management plan is a relatively new tool which determines and establishes the appropriate strategy, objectives, actions and implementation structures to manage and, where appropriate, develop cultural heritage in a effective and sustainable way so that its values are retained for present and future use and appreciation. It balances and coordinates the cultural heritage needs with the needs of the 'users' of the heritage and the responsible governmental and/or private/community bodies.

The context and nature of a management plan vary considerably, depending on the type of property. For example, a management plan for an archaeological site or an urban centre would be more complex than that for a single building. The management plan will also depend on the character of its primary management system. The plan will specify how the OUV (or potential OUV in the case of a nomination) will be sustained through protection and conservation and demonstrate practically effective measures for achieving on-ground conservation outcomes.

As explained before, producing a management plan is the result of a collective and participatory approach, and provides:

- In the case of World Heritage, an official commitment to further the obligations of the World Heritage Convention;
- Opportunities for all stakeholders,<sup>84</sup> especially property owners and managers, to be involved and have a shared understanding of the property, leading to strong support for the plan;
- A clear description of the property as the basis for assessment of its values, particularly its OUV;
- A transparent description of how the existing system functions and how it can be improved;
- A Statement of OUV of the cultural property, as agreed by or proposed to the World Heritage Committee, identifying attributes to be managed and the conditions of authenticity and integrity that need to be maintained;
- An assessment of the other values of the property since these will need to be taken into account in its management;
- An overview of the current condition of the property and various factors that may have positive or negative effects on attributes, authenticity and integrity;
- A collective vision for the management of the property (e.g., where it should be in the next 20-30 years);
- A range of management policies and/or objectives to achieve the vision, over a period of usually about five years;
- A series of actions (for conservation, interpretation and presentation, contributions to society, etc.);
- An implementation strategy, including monitoring and review;
- Integration as necessary of multiple plans or systems, or ensuring that they are complementary;
- Heritage benefits to society which in turn secure benefits for the property (enhancing all values, securing new forms of community support).

A management plan can:

- Describe the overall management system for the property;
- Provide a structure for analysis of complex processes;

84. In this context, stakeholders may include local people, indigenous peoples, property owners and managers, government at all levels, commercial interests including tourism, and NGOs.

- Provide a framework to make informed decisions and to manage change;
- Provide guiding principles for coordination of activities / responsibilities on the site;
- Help to manage collaboration among different interest groups in the public and private sectors;
- Ensure that interventions are thoughtfully designed to protect OUV and other values as far as they are compatible with protecting OUV;
- Help to rationalize existing resources and facilitate funding.

The plan should also reflect:

- Participation by key stakeholders and the wider community from the time of the preparation of the nomination, a shared understanding of the concept of World Heritage and of the implications of listing for property management;
- A shared understanding of the current management system (the legal and regulatory framework, management structures and approaches), development plans and policies, as well as land uses which currently exist at the property;
- A shared understanding among stakeholders of the OUV of the heritage property, the conditions of authenticity and integrity, and the factors affecting the property;
- Shared responsibility and support among all stakeholders for the management approaches and actions required to maintain the property's OUV;
- An inclusive approach to planning, sharing the task between all relevant authorities and stakeholders to draw up a feasible framework for decision-making that will ensure the sustainable management of the property into the future;
- Management structures are in place to implement the plan and a readiness and the capacity to achieve the management actions required. In this way the plan is a 'means to an end' (and not an end in itself which can be a danger in the planning process).

Its contents must:

- Focus on protecting the OUV of the property while responding to management issues of local relevance;
- Provide baseline information on the state of conservation of the property, including an adequate description of it;
- Describe the management system: legislation and regulatory and policy protection measures, management structures and practices at the property (those actually in force, not only those applicable in principle);
- Be accessible and easily understood by all stakeholders, avoiding excessive use of jargon;
- Present a vision and long-term goals for the World Heritage site and actions required to achieve these goals;
- Outline the status of the management plan in relation to other plans (development / conservation) in force at the property;
- Be useful for the purposes of education and sustainable development;
- Take risk management into account;
- Be strategic in its approach: make use of lessons learned from past actions to anticipate the direction of management into the future;
- Describe how the plan and management system will be implemented, monitored and reviewed;
- Outline the final plan and its expected achievements directly linked to the resource.

Producing a management plan involves two complementary tasks; the process (planning and development) and the contents (outputs and outcomes - the plan as a management tool).

### **Purpose of a management plan**

The objective of the management plan for the 17th-century canal ring area of Amsterdam within the Singelgracht

*The management plan describes how the parties with governmental responsibility are to preserve the unique cultural and historical value of Amsterdam's 17th-century ring of canals within the Singelgracht as World Heritage.*

*The management plan is a guideline for the conservation and management of the property – the 17th-century ring of canals and the buffer zone within the Singelgracht designated for its protection.*

*The plan combines the policy of the various responsible parties to create a single shared vision on the long-term management of the intended World Heritage site. The shared vision and agreements on protection and management are set down in two covenants made among the jointly responsible authorities: the City of Amsterdam (Gemeente Amsterdam), the Central Amsterdam District (Stadsdeel Amsterdam Centrum) and the Amstel, Gooi and Vecht Water Board (Hoogheemraadschap Amstel, Gooi en Vecht). The signed covenants make up part of the management plan, as does a Declaration of Intent made by the stakeholders concerned with the property.*



Seventeenth-century canal ring area of Amsterdam inside the Singelgracht (the Netherlands)

© Nomination file/ Robert de Jong

### **Basic principles**

*The management plan for 17th-century canal ring area of Amsterdam within the Singelgracht must satisfy the conditions laid down by the World Heritage Committee. Specifically, it must conform to the following four basic principles:*

- *Effectiveness – the plan should ensure realization of the objective;*
- *Coherence – the outlook, objectives, measures and tasks should be consistent;*
- *Functionality – the plan should be workable;*
- *Realism – the plan should be achievable and implementable.*

*In order to satisfy these basic principles, the management plan describes:*

- *A declaration signed by property manager, responsible authorities and stakeholders (as partners in the site) detailing their direct involvement in, their shared outlook on, and their agreement to combine efforts in protecting and conserving the property and the buffer zone. This will supplement the nomination dossier.*
- *A cycle of planning, implementation, monitoring, evaluation, adjustment and reevaluation of the management plan, set down by the property manager and coordinated by the World Heritage Office.*
- *Allocation of resources: provision of sufficient manpower, relevant expertise and sufficient time will be estimated and prepared for operation in the project plan to be drawn up for the World Heritage Office.*
- *Financing by the World Heritage Office: a project plan drawn up for this purpose by Central Amsterdam, with sections on implementation. A balanced and transparent description of the implementation of the management system (management plan, specifically Chapter 4, agreements on tasks, competences and responsibilities, and Chapter 3 Section 3.6, improving management: operational plan and action plan).*
- *It is the task of the yet to be established Amsterdam World Heritage Office to realize the implementation of the plan and to direct and coordinate its execution.*
- *The operability of the management plan will be assessed in practice and adjusted where necessary.*

*(Kingdom of the Netherlands 2009, 'The 17th Century canal ring area of Amsterdam with the Singelgracht', Nomination document. p.53).*

## A.2 The management planning process (various stages)

### The management planning process

This section outlines several stages in the process of preparing a management plan for World Heritage.

The process is as important as the final product for developing a collective understanding of the OUV, for gaining the consensus of all concerned and for sharing responsibility for protecting the property. The plan is a tool for maintaining a dialogue with stakeholders and for continuously reviewing the protection of the OUV and other values.

The management planning process may start under one of three different scenarios: 1. while preparing a nomination, 2. for a property already inscribed, 3. revising an existing management plan/master plan/conservation plan. For the first scenario, following every step in this section systematically will help in completing Sections 3.1 e, 4.5 and 6 of the nomination format.

For scenarios 2 and 3, some of the steps will already have been covered. For example, a Statement of Outstanding Universal Value is now a necessary part of the nomination process but, for a property already inscribed on the World Heritage List, it may already exist and cannot be changed.

As for revising a management plan, it is essential to evaluate comprehensively the successes, failures and weaknesses of the existing plan(s) and to address them (see Part 4.5). Few earlier management plans were grounded on approved Statements of Outstanding Universal Value since these were not required until 2007; and only in 2005 was the condition of integrity introduced for the management of World Heritage cultural heritage properties. The impacts of these two innovations are unlikely to be reflected in earlier management plans.

The development of a management plan has the following stages:

**STAGE ONE:** Preparation

**STAGE TWO:** Data/information gathering

**STAGE THREE:** Significance/condition assessment

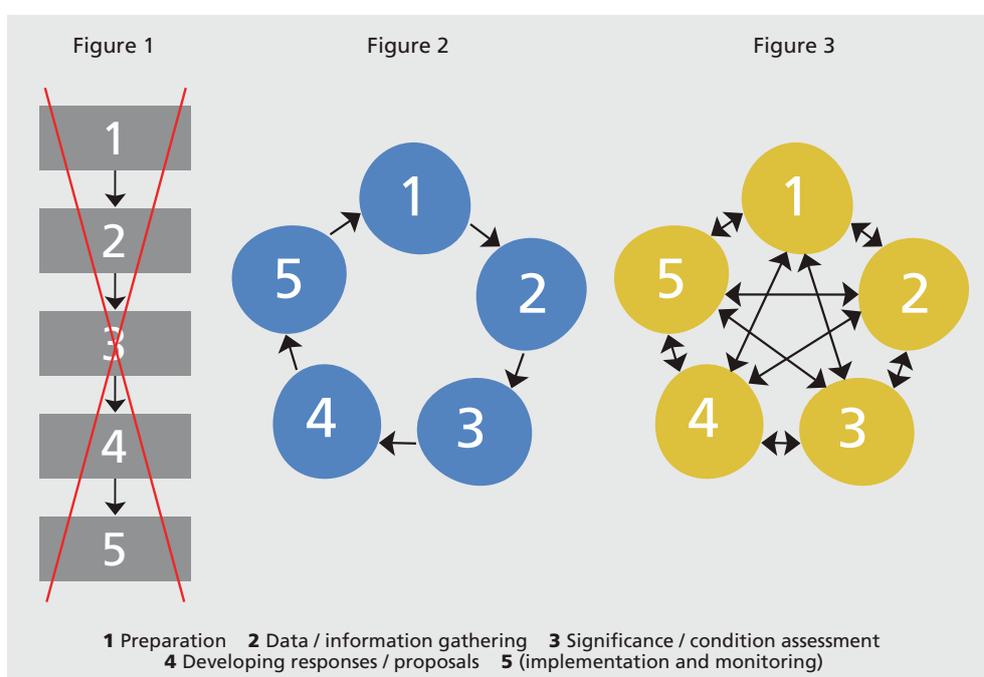
**STAGE FOUR:** Developing responses/proposals

These are explored in more detail below. The planning process that they represent is based on the values-led approach referred to in Part 2 and Part 4.3 of this manual:

**Table 14.** *The values-led approach for World Heritage Management planning*



The planning process required by management planning is neither linear nor top-down (as in diagram 22 below) but circular as in figure 2, ideally an iterative process as in figure 3, in which each stage constantly refers back or forward to other stages. For instance, while assessing the condition of a property, it might be necessary to go back to the data-gathering stage to collect supplementary information. This interaction is illustrated in the Diagram 22. The planning process, on the other hand, has strong links to implementation and monitoring and they can unfold in parallel, because the management plan is not a static document but requires constant review. Implementation and monitoring are separate processes, but they are identified in the diagram as number 5 in order to illustrate their continual linkage to the planning process.



**Diagram 22:** Nature of the planning process

## STAGE ONE: PREPARATION

This stage can be viewed as the preplanning stage when the groundwork is laid and consensus gained on the aims of the management planning process and on who should be involved.

### The preparatory steps

The preparation of a management plan should be authorized by a relevant institution and have the support of the key stakeholders who will have to approve its adoption and enable its implementation and updating. The approval of the plan may also require a sign-off from property owners or from the World Heritage Committee, or an official endorsement from multiple organizations (government or private) brought together for the purpose (in the case of World Heritage, possibly as part of the nomination process).

It is often policy at a national level that leads to management planning being adopted and to it becoming a requirement. But the impetus to initiate and draft it should be at the property level (or at a local level in the case of a group of properties). This is vital to ensure that stakeholders participate on an equal footing and develop a sense of ownership of the process and the plan that it produces.

Project management skills are very useful at this point to define the critical path or schedule of the management planning process and to control its timing and budget once it has begun. A person or a team (in the case of a complex property or group of properties) should be identified and assigned the responsibility for managing the 'project' (i.e. the management planning process) at this point.

### Who leads and delivers the plan?

The lead organization(s) of the primary management system (Part 4.1), in consultation with others, should assemble a project team with a competent leader who can coordinate different skills to start the process and identify the required financial, institutional and human resources to prepare the plan. The leader coordinates the activities of others and is the main driver behind the preparation of the plan, giving priority when assembling the team to in-house specialists and/or those who will implement the management plan.

In some countries, external consultants are employed to lead the process. In that case, their role should be only to guide the process, with the stakeholders also leading the process and feeling ownership in the plan. The terms of consultancy appointments or job descriptions must be clear. The team working on the plan must be well-acquainted with the existing management system applicable to the property (or properties) in question. In some countries a steering group oversees the development of a management plan, its implementation and review.

## GOOD TIPS

- ▶ A steering group comprising top officials from the primary management systems and others who are engaged in the nomination process can present progress and request any needed support.

### The project team and its responsibilities

The team leader needs to assemble a working team of members whose competencies are multidisciplinary and which collectively amount to:

- An understanding of the requirements of the World Heritage Convention and the World Heritage Committee,
- Detailed local knowledge of the property and its heritage values and a good understanding of the factors affecting them,
- An understanding of management systems for heritage and of the particular system(s) operating for the property under consideration,
- An understanding of the property under consideration, in both technical conservation terms and historical background,
- An understanding of the legal / regulatory / policy framework within which the property must be managed,
- An understanding of the social and economic issues that affect the property, its surroundings and its stakeholders (and how the property affects social and economic issues),

- Abilities in preparing costed programmes of actions,
- Skills in communicating effectively (both in writing and orally),
- Expertise in information management,
- Negotiating / advocacy and facilitation skills,
- Political sensitivities and an ability to build rapport and credibility with others,
- Flexibility / tolerance and a willingness to recognize the needs of others,
- Project management skills,
- Direct knowledge of / involvement with 'end-users' (e.g. visitors, local communities).

At the preplanning stage the team leader, in consultation with the other members of the working group and the relevant authorities, should decide on the relative weighting to be given to the four basic elements of a project: resources (human and financial), time, quality and scope – so that they are adjusted as project objectives are clarified. These elements are all interrelated and must be managed effectively to ensure the success of the management planning process. The preplanning stage must first outline the scope of the project (in this case the property or properties that are the target of the management planning process and a first outline of the objectives to be achieved). Once the scope has an associated timeline and budget, human and financial resources can be deployed.

The team leader therefore has to:

- a. Define the scope of the activity and develop a programme,
- b. Assess the skills required,
- c. Identify other stakeholders,
- d. Define the nature of the consultation process (participatory approach),
- e. Prepare a timetable,
- f. Identify financial, human and technical equipment, etc.) resources required.

A steering group consisting of representatives of key stakeholders should be assembled to oversee planning and implementation processes. For World Heritage nominations, this should be set up earlier than the preplanning stage.

A steering group is essential for properties that extend beyond one administrative area (nearly always the case for cultural landscapes and for serial properties) or countries (transboundary properties). It should be assembled at the earliest possible stage and a calendar drawn up for its regular meetings and consultations.

### Identifying stakeholders

A stakeholder is any person or organization that can be affected by the plan or that could influence its success. Other stakeholders are those who have an entitlement resulting from an obligation or from the requirements of the law. They fall into four broad categories:

- Those engaged in the primary heritage management system (institutions owning heritage sites and managing them),
- Private owners of heritage sites,
- Those from other management systems which provide secondary sources for managing heritage (e.g. a city council with the legal power to control buffer zones),
- Communities and other interest groups.

***A property being managed for both cultural and natural values and jointly by the government and the Maori community***

*'In 1993 Tongariro became the first property to be inscribed on the World Heritage List under the revised criteria describing cultural landscapes. The mountains at the heart of the park have cultural and religious significance for the Maori people and symbolize the spiritual links between this community and its environment... When reviewing the park management plan World Heritage status acts to assist prioritization of protecting natural and cultural values. The new park management plan emphasizes the values of World Heritage and the need to ensure that management policies do not impact on these values.'*



© UNESCO/ Aii Tabbasum

*Tongariro National Park (New Zealand)*

*Tongario is an interesting model with property management jointly led by the government and the Maori community.*

<http://whc.unesco.org/en/activities/613/>

### The importance of working with stakeholders

The management planning process takes for granted that stakeholder understanding and 'ownership' of heritage helps the stakeholders and the responsible agency to protect the heritage property. Working with stakeholders provides the opportunity to share information, increase stakeholder commitment, engender collective responsibility and gain their knowledge, consent and support for those actions that will protect and enhance the property's heritage values, authenticity and integrity.

But the process of being inclusive must remain manageable to be effective. The number of stakeholders may be very high, for example in urban centres. There are more than seven hundred owners of Hadrian's Wall, which is part of the transnational Frontiers of the Roman Empire World Heritage property. In such cases, stakeholder involvement needs to be kept manageable from the start of the process.

### Participatory process

In a participatory approach, all stakeholders at different levels take part in the decision-making process. The management team must develop a strategy for this during the preplanning stage.

## Decision-making processes

With the involvement of more stakeholders and other management systems, a new decision-making mechanism has to be evolved and this process can be led by the primary management system. A very clear decision-making process, identification of roles and responsibilities during the planning process and at the implementation stage, has to be agreed upon at this preparatory stage.

### Participatory decision-making

#### *Extracts from the Uluru Kata Tjuta National Park. Management Plan 2010-2020*

##### *1.3 Planning process*

*Section 366 of the EPBC Act requires that the Director of National Parks and the Board of Management (if any) for a Commonwealth reserve prepare management plans for the reserve. In addition to seeking comments from members of the public, the relevant land council and the relevant state or territory government, the Director and the Board are required to take into account the interests of the traditional owners of land in the reserve and of any other Indigenous persons interested in the reserve.*

*The Uluru-Kata Tjuta Board of Management resolved that consultations be undertaken with Anangu to seek comments on issues related to the management of the park. These meetings covered a range of park management issues including decision-making procedures; natural and cultural resource management; visitor management and park use and Anangu employment. A number of Board meetings were also conducted to enable the Board to consider the draft management plan and submissions received from members of the public.*

*Other stakeholder groups and individuals that were consulted during the preparation of this management plan include:*

- *tourism industry representatives, scientists, photography interest groups, representatives from Australian Government and Northern Territory Government agencies, and local community organizations*
- *the Central Land Council*
- *Parks Australia staff.*

*(Director of National Parks. 2010 Uluru Kata Tjuta National Park. Management Plan 2010-2020. Tjukurpa Katutja Ngarantja. p.21)*



© Emmanuel Pivard

Uluru Kata Tjuta World Heritage site (Australia)

## STAGE TWO: DATA/INFORMATION GATHERING

Information-gathering can be such an open-ended process that those involved can easily get lost. It is therefore important to identify at the start what type of information is required, how it will be obtained and how to manage it. Information is required for assessing values and the OUV of the property, for identifying attributes that embody those values, and for evaluating authenticity and integrity. Other information will be needed for assessing the significance of the other values for which a property has to be managed; for understanding and defining the property and for planning purposes; and finally for assessing the physical condition and factors that could affect the OUV and other values. This information may form the basis for future monitoring. Additional information can always be collected to support decision-making at later stages of the management planning process.

Some of this information may have been collected for the preparation of the nomination dossier, or included in the ICOMOS evaluation of the nomination. How useful this inherited information will be for the management planning process will depend on how long ago the property was inscribed on the World Heritage List.

### Probable sources of information

The property itself is the principal source of information. It may involve collecting material from existing sources or seeking new information (including carrying out research).

Existing sources may be: archives, surveys, building records, museum collections, photograph archives, mapping / cartographic agencies (national survey offices), libraries, site files, other ministries / agencies / organizations and stakeholders (often a good source for old photographs, among other things). The traditional knowledge systems of stakeholders can also be drawn upon.

New information needs may include: new mapping / cartography, surveys, geophysical surveys, recording buildings, photographs (regular, rectified, etc.), detailed inventories, developing databases, physical (visual) surveys, written or oral surveys of various kinds, interviews and oral histories, commissioning of in-depth studies and research (e.g. comparative studies).

### A basic checklist

The following information will be the minimum that is required:

1. Information to assess the (potential) OUV, authenticity, integrity and other values of the property;
2. Information on the physical conditions (impacts from various factors, risks and vulnerabilities)
3. Information on boundaries and the surroundings (including adjoining land use and development activities and plans);
4. General (explained in Part 4, checklist)

## Checklist for information gathering

### Part 1 – Information to assess the (potential) OUV, authenticity, integrity and other values of the property

Theme	Sources
Values, significance and history	<ul style="list-style-type: none"> <li>• Written / oral histories</li> <li>• Photographs</li> <li>• Interviews / discussions with stakeholders</li> <li>• International comparisons</li> <li>• Past analyses, often archaeological or building analysis</li> <li>• Map regression, etc</li> <li>• Traditional knowledge systems</li> </ul>
Current uses of the site	<ul style="list-style-type: none"> <li>• Land use maps or plans</li> <li>• Written descriptions</li> <li>• Current ownership information including indigenous and traditional owners</li> <li>• Different uses – rituals, practices, etc.</li> </ul>
Stakeholders' views and concerns	<ul style="list-style-type: none"> <li>• From interviews, discussions with stakeholders</li> </ul>

It may prove necessary to collect information and go ahead with assessing the potential OUV while still collecting other information. It will then be easier to recognize the important attributes that carry those values and to define authenticity and integrity, followed by an assessment of the physical condition of the attributes, authenticity and integrity and of the impacts affecting them.

Condition recording will identify positive and negative impacts, current and future impacts, and their source, whether from within the site or outside it (see below).

## Checklist for information gathering

### Part 2 – Information on the physical conditions (impacts from various factors, risks and vulnerabilities)

Theme	Sources
The state of conservation – Effects on materials (decay, etc.), structures (deformation, etc.), sites (landscapes, functions)	<ul style="list-style-type: none"> <li>• Visual records</li> <li>• Scientific studies</li> <li>• Current monitoring practices</li> <li>• Previous conservation records</li> </ul>
State of conservation – Factors impacting on heritage and their effects	<ul style="list-style-type: none"> <li>• Some possible factors impacting on heritage (buildings and development, transportation infrastructure, utilities or service infrastructure, pollution, biological resource use/modification, physical resource extraction, local conditions affecting physical fabric, social/cultural uses of heritage,</li> </ul>



Theme	Sources
	<p>other human activities, invasive/alien species or hyper-abundant species, management and institutional factors, climate change and severe weather events, sudden ecological or geological events,</p> <ul style="list-style-type: none"> <li>• Studies, reports, development plans, international studies, e.g. sources of information on the (potential) effects of disasters:               <ul style="list-style-type: none"> <li>- Records of disasters in the recent and more distant past, and of current risks / threats</li> <li>- Information on potential changes which could cause disasters</li> <li>- Information on existing plans for mitigating risks and managing disasters for the heritage or more generally</li> <li>- Information on agencies assigned disaster risk management</li> <li>- Information on current monitoring practices for disaster risks</li> </ul> </li> </ul>
The state of conservation, current activities	<ul style="list-style-type: none"> <li>• Existing approaches, plans (conservation, master plans) written reports</li> <li>• Ongoing activities of conservation</li> <li>• Traditional practices if being used</li> </ul>
Interpretation, presentation and visitor management practices	<ul style="list-style-type: none"> <li>• Reports on existing approaches/plans for interpretation and visitor management</li> <li>• Existing facilities for visitors (ticketing, refreshments, bathrooms, etc.)</li> <li>• Surveys on visitor perceptions, their impacts</li> <li>• Available educational resources</li> <li>• Any current proposals for improvements</li> </ul>
Monitoring	<ul style="list-style-type: none"> <li>• Existing policies, procedures</li> </ul>

### Checklist for information gathering

#### Part 3 – Information on boundaries and the surroundings, (including adjoining land use and development activities and plans);

Theme	Sources
Boundaries and physical features	<ul style="list-style-type: none"> <li>• Maps and plans of the site and its surroundings</li> <li>• Architectural or archaeological drawings (if applicable)</li> <li>• Aerial photographs</li> <li>• Applicable heritage and planning legislation</li> <li>• Other planning instruments that impact on site</li> <li>• Details of indigenous/traditional ownership</li> </ul>
Other planning instruments relevant to for the site	<ul style="list-style-type: none"> <li>• Land-use plans</li> <li>• Zoning plans</li> <li>• Infrastructure schemes</li> <li>• Resource use plan/extraction of minerals, etc./ agriculture/indigenous usages</li> </ul>

Theme	Sources
Local, regional and national planning and development activities	<ul style="list-style-type: none"> <li>• Municipal or regional planning activities and applicable regulations, e.g. land use plans for the vicinity</li> <li>• Mineral and other extraction plans</li> <li>• Environmental protection plans</li> <li>• Local, regional and national development plans</li> <li>• Legislation related to relevant activities, e.g. agriculture</li> <li>• Infrastructure development</li> </ul>

## Checklist for information gathering

### Part 4 – General

Theme	Sources
Current legal and institutional frameworks, planning processes, resources, both those available and potentially available	<ul style="list-style-type: none"> <li>• All legal instruments influencing the site (national, provincial, local and site specific)</li> <li>• Organizational chart (at different levels)</li> <li>• Written descriptions of decision-making and planning processes</li> <li>• Job descriptions for those carrying responsibility</li> <li>• The human, financial, intellectual resources available</li> <li>• Annual budgets</li> <li>• More detailed budgets for specific sectors</li> <li>• Information on extra-budgetary projects</li> <li>• Information of past funding sources</li> <li>• Information on current monitoring practices</li> <li>• Existing stakeholder responsibilities and contributions</li> <li>• Potential stakeholder responsibilities and contributions</li> <li>• Other related stakeholder problems or issues</li> <li>• Details of special units to deal with World Heritage, if any</li> </ul>
Elements of traditional management systems	<ul style="list-style-type: none"> <li>• Written records (principles, monitoring methods through taboos, etc.)</li> <li>• Oral traditions</li> <li>• Methods of data gathering for decision-making</li> <li>• Linking with larger administrative systems at national and/or regional levels</li> </ul> <p>(Recording some of these topics may encounter restrictions)</p>
Elements of economic and social benefits	<ul style="list-style-type: none"> <li>• Sources that can bring social/economic benefits such as potential employment</li> </ul>

### STAGE THREE: SIGNIFICANCE/CONDITION ASSESSMENT

This stage involves assessment of the OUV (if it has not been done already), of other values and attributes that manifest those values and the authenticity and integrity of those attributes. (The following step will be condition assessment and identifying key management issues.)

#### Value assessment

Assessing significance (see Part 3) should include assessing values that will describe the potential OUV and other values that may not be part of the OUV but should be retained. This can be done in two steps: (1) assessing the OUV and developing the SOUV that identifies attributes that carry OUV and their authenticity and integrity; and (2) assessing other values and identifying the attributes that carry those values. Assessment should be done together with the relevant stakeholders.

As mentioned above, assessing OUV uses the values-led approach to the conservation and management of heritage (for assessment of OUV, see the *Nomination Manual*).

#### Statement of Outstanding Universal Value (SOUV)

If not already adopted, a 'Statement of Outstanding Universal Value' must be drawn up, based on the OUV and conditions of authenticity and integrity. This will be the key reference for the effective protection and management of the property in the future, as described in Part 3 of this manual and in the *Nomination Manual*. A SOUV identifies the attributes that convey the OUV and the conditions of authenticity and integrity that need to be maintained.

#### Other values and the statement of significance

The SOUV is based on the OUV but properties invariably carry other values, both heritage values and others (such as economic, social, environmental) that are of importance at local, regional or even national levels. It is not practical to manage attributes that carry OUV in isolation from those carrying other values, and can lead to values being prioritized where there is potential conflict between them. As for social and economic values, if the property has ongoing land use, for example, the concerns of farmers need to receive sufficient attention in order to manage agriculture. While the emphasis of this manual is on the protection of OUV, authorities preparing management plans should formulate a comprehensive Statement of Significance (see above) which captures OUV and these other values and use it as the basis for managing the property.

#### Condition assessment

Now that we have identified the attributes, authenticity and integrity, the next step is to assess the various factors affecting them, both positively and negatively. This exercise has come to be known as a 'condition assessment'. Its purpose is to understand the various factors impacting attributes, authenticity and integrity, with a view to managing them in the long term. Another purpose is to identify and deliver benefits that can be derived from heritage and other associated values by local communities and society at large. Condition assessments identify the issues that will emerge and help in defining future management objectives (sometimes known as 'policies') and actions.

The Advisory Bodies and the World Heritage Centre, in consultation with several States Parties and site management authorities, have developed a list of factors that can affect heritage (work undertaken for the Second Periodic Reporting Process, started in 2009). These have key headings and a number of subfactors under each factor.

- Buildings and development
- Transportation infrastructure
- Utilities or service infrastructure
- Pollution
- Biological resource use/modification
- Physical resource extraction
- Local conditions affecting physical fabric
- Social/cultural uses of heritage
- Other human activities
- Climate change and severe weather events
- Sudden ecological or geological events
- Invasive/alien species or hyper-abundant species
- Management and institutional factors
- Other factor(s)

Section 4 of the nomination format refers to only some of the above factors but, for developing a management plan, the broadest possible range of factors affecting a given property should be considered.

At this stage, we try to assess the impacts of various factors on heritage and identify both threats and opportunities. We can examine the causes or sources that can affect heritage as well as the community. It is customary to look at the negative impacts on heritage caused by various factors but not all of them have negative impacts. So we need to examine positive impacts as well. For instance, tourism can have a serious impact on attributes (e.g. wear and tear) and on the sacred environment of a church or a temple which may have been identified as an important aspect of authenticity. However, in some cases, it can help to create the income that is much needed to maintain such places. Similarly, the spirituality of a sacred environment can have a positive impact on a community. Management and institutional factors may also have negative or positive impacts. For example, adequate conservation policy, regulations and resources can have positive impacts on heritage while a lack of them can have negative impacts. If the institution is not willing or does not have sufficient power to consult communities, decisions will be taken unilaterally by the experts and will most likely have negative impacts on those communities. If decisions are made on day-to-day matters by a central authority in the capital, an officer in charge of a remotely located property will face difficulties.

At the same time, it is necessary to assess potential impacts as well as the current ones. Tourism may not currently have a negative impact, but may increase dramatically with the award of World Heritage status, potentially causing negative and/or positive impacts in the future. It is not always possible to predict the potential impacts of tourism, but they should be subjected to study. Not all factors will originate from within the property; for example, a hotel development immediately outside the boundaries of a property can negatively impact its visual aspects, and proposals for interpretation at a property may have a negative impact on underlying archaeological layers.

Identifying those broad factors and subfactors that affect heritage led to the following template being developed to help with condition assessment:

Main factor:

- 3.8 Social and cultural use of heritage

Sub-factors:

- 3.8.1 - Ritual/spiritual/religious and associative uses
- 3.8.2 - Society's valuing of heritage
- 3.8.3 - Indigenous hunting, gathering and collecting
- 3.8.4 - Changes in traditional ways of life and knowledge system
- 3.8.5 - Identity, social cohesion, changes in local population and community
- 3.8.6 - Impacts of tourism/visitor/recreation

**Table 15.** A template used in the current Periodic Reporting process to assess the factors affecting heritage

3.8.1 Ritual / spiritual / religious and associative uses							
Name		Impact				Origin	
		Positive	Negative	Current	Potential	Inside	Outside
3.8.1	Ritual / spiritual / religious and associative uses						

3.8.2 Society's valuing of heritage							
Name		Impact				Origin	
		Positive	Negative	Current	Potential	Inside	Outside
3.8.2	Society's valuing of heritage						

Whether or not such a template is used, it is necessary to assess the impacts on heritage, identifying both the threats and opportunities that the analysis reveals. These may be quantitative or qualitative or collective decisions of the stakeholders. Tools such as SWOT analyses ('strengths, weaknesses, opportunities and threats') are being utilized to this end. They help to isolate key issues that need to be prioritized and management actions to be taken. This is explained in the stage four (p.140).

Some of the common issues are related to the following themes:

- Management (structure, human resources, finance)
- Planning and urban design
- Infrastructure
- Conservation
- Maintenance
- Use
- Social and economic situation
- Site interpretation
- Visitor management
- Natural and man-made risks and threats (disaster risk management)
- Relations with the community
- Special audiences
- Implementation and monitoring
- Research
- Specific World Heritage issues

**STAGE FOUR: DEVELOPING RESPONSES / PROPOSALS**

To develop responses proposals, it is wise to think of the property in its overall context and envisage its long-term future, perhaps potentially as a property on the World Heritage List (if it is not already). A vision of where the site should be in the next 20-30 years would be a useful starting point. This Vision Statement could provide the basis for elaborating management policies, annual work plans, and an implementation strategy. A programme for reviewing the plan should be agreed with the stakeholders.

**A 'Vision Statement'**

A Vision Statement describes how the property will be in 20-30 years' time and the steps needed to safeguard the OUV and other values of the property, to transmit the benefits of heritage management to the community at large, and to ensure a positive contribution to sustainable development. The Vision Statement should be a result of collective effort by all stakeholders and should guide the development of objectives and an action plan. If necessary, it can be supported, or even replaced, by fuller 'guiding principles', to guide the development of objectives.

## CASE STUDY

**Vision Statement**

*The Stonehenge World Heritage site is globally important not just for Stonehenge, but for its unique and dense concentration of outstanding prehistoric monuments and sites, which together form a landscape without parallel. We will care for and safeguard this special area and its archaeology and will provide a more tranquil, biodiverse and rural setting for it, allowing present and future generations to enjoy it and the landscape more fully. We will also ensure that its special qualities are presented, interpreted and enhanced where necessary, so that visitors can better understand the extraordinary achievements of the prehistoric peoples who left us this rich legacy.*

Young, C., Chadburn, A. and Bedu, I. 2009. Stonehenge. World Heritage site Management Plan 2009. London, English Heritage.



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Stonehenge, Avebury and Associated Sites (United Kingdom)

## Objectives

The next step is to develop objectives or ‘outcomes’ (see Part 4.4) that will help to achieve the vision through which OUV will be protected and benefits provided to society. (Some tend to call them broader ‘policies’ under which actions are developed.)

The objectives underpin, elaborate and convey aspects of the Vision Statement in order to address those key issues identified in Part 4. The objectives should be ‘SMART’: Specific, Measurable, Attainable (or Achievable), Relevant, Trackable (or Time-bounded).

## Action plan

The next step is to develop an action plan indicating how the objectives will be realized through a series of specific actions delivering products or services. These tangible results are also known as outputs (see Part 4.4). The action plan should define outputs in terms of budget, the parties responsible for implementation, the time required for each action, the other resources needed (human, intellectual, organizational, and equipment) and the sequence in which the actions will be carried out. In other words, the action plan constitutes the main opportunity to prioritize the activities and better utilize the resources available. An action plan will set targets, outputs and indicators against which success or failure can be measured. It should consist of annual activities and long-term activities.

An action plan can be a series of strategies, or plans such as a visitor management plan, a conservation plan, a disaster risk management plan or a monitoring plan. These will help respond to Sections 4, 5, 6 of the nomination format.

## Implementation plan

The previous stage focused on the development of a vision, objectives (outcomes) and the identification of a series of activities to deliver outputs. The next important stage in the management planning process is developing a strategy to implement these activities (see Part 4.3).

It is best to use an existing unit within the organization that is empowered to carry out the implementation of the plan. In some cases, new units are also being established. If the property is large and/or divided among many stakeholders, this unit may be focused more on coordinating than directing it. It will initially revisit and reorganize the decision-making process with the following aims:

- Have a strong leader or coordinator with the requisite authority.
- Establish a coordinating mechanism among the organizations involved (the diverse components in the case of a serial property, or countries in the case of a transboundary property).
- Obtain approval from the relevant owners/organization(s).
- Identify and allocate resources.
- Identify appropriate specialists, contractors and suppliers.
- Identify appropriate procurement routes to ensure transparent and effective appointments that respect the parameters of quality, cost and time for each action.
- After selecting specialists, contractors and/or suppliers, verify that contractual relationships sufficiently protect the paying client and the wider interests of the stakeholders in the site (see Part 2).
- After appointing staff and starting activities, implement a structured approach to team reporting and meetings to optimize coordination and outputs.

- Adopt a communication policy which ensures that all stakeholders and steering group (if any) are well informed.
- Maintain links with the national authority responsible for international links (e.g. with the World Heritage Centre).
- Engage in monitoring the state of conservation as well as implementation of the plan.

The action plan should include an annual work plan.

The form of the implementation unit will vary if there is a diverse range of stakeholders on properties with serial components or on larger sites such as city centres or cultural landscapes. A manager may be appointed solely for coordinating the stakeholders, with day-to-day management devolved to different organizations and their respective leaders.

### Monitoring in the context of the management plan

Monitoring is an essential step in the management process as it provides the information necessary for the review, adaptation and updating of management actions. The monitoring plan puts in writing the agreed strategy to measure:

- a) the progress and,
- b) the outcome/outputs

of the management plan in order to inform the management authorities about what is happening at the property, *how much* of the planned programme (actions and their outputs) has been implemented, and *how effectively* it has been implemented (outcomes achieved). In other words, monitoring measures the implementation of the management plan in both quantitative and qualitative terms, the latter being the sustaining OUV.

In addition, it is necessary to develop indicators against which changes can be measured (see Part 4.3 – Monitoring). The results and information gathered from these assessments are instrumental for future revisions or changes to the plan.

Measuring the *progress of the plan* in its implementation stage provides information on whether the management plan is working and if it is being delivered according to the time and budget set out in the plan (output evaluation). It tests the efficiency of the manager and the plan. Outcome evaluation is the true test of management effectiveness.

Monitoring is a tool to observe, to gather information and to measure the rate of progress; it is not an end in itself but rather the means to an end. It is an essential and ongoing part of the management process and is used to *measure and plan for change*, allowing management policies to be adapted and the management plan to be reviewed when necessary. Since it can be a time-consuming and expensive process, managers need to be selective when deciding which aspects of the plan require monitoring, identifying indicators and deciding how these will be monitored.

Some properties have developed regular monitoring mechanisms, mainly to assess the state of conservation. However, all monitoring strategies (in the case of World Heritage properties) should aim to provide information for achieving the principles outlined in the *Operational Guidelines* and should be linked to World Heritage requirements such as State of Conservation, Reactive Monitoring and Periodic Reporting processes.

**Monitoring:  
Monitoring indicators**

13.6.1 The purpose of monitoring is to assess how the values of the World Heritage site are being maintained over time and to measure whether the objectives of the World Heritage site Management Plan are being achieved. Measuring progress is essential to be able to adapt and improve the management of the site. Identifying key threats early on is necessary to be able to put in place remedial measures before the damage gets too great. Regular monitoring is necessary to re-assess priorities in view of new issues and progress made. Monitoring indicators need to be firmly linked to the values and objectives identified in the World Heritage site Management Plan.

A set of nineteen monitoring indicators for the Stonehenge and Avebury World Heritage site was produced jointly by the two coordinators, with input from a number of partners, and endorsed by the Stonehenge WHS Committee in 2003. Their aim is to measure progress with the protection, interpretation and management of the site. Although most indicators are common to Avebury and Stonehenge, there are some minor differences reflecting the specificity of each site. It was agreed that the indicators should be simple, meaningful, easy to gather and constant, so that comparisons over time could be possible. Now that attributes of OUV have been identified, it is essential during the lifetime of this plan to review the indicators to see whether they should be made more relevant to them.

Extracts from *Young, C., Chadburn, A. and Bedu, I. 2009. Stonehenge. World Heritage Site Management Plan 2009. London, English Heritage.*

See Table 16 for indicators

**Table 16. Monitoring indicators – Stonehenge World Heritage site management plan**

Objectives	Key monitoring indicators	How and who?	How often?	In place?
Conservation of archaeological sites	1. Existence of updated records for the archaeological sites	Sites and Monuments Record maintained by the Wiltshire County Council (WCC)	As appropriate	Yes
		Stonehenge Geographical Information System (GIS) maintained by English Heritage (EH)		Yes
	2. Condition of archaeological sites	WHS Condition Survey funded by EH	Every six years	Yes
		Regular monitoring of sites by National Trust (NT) volunteers and EH Historic Environment Field Assistants	As appropriate	Yes
3. Hectares of grass restoration and number of sites protected from plough damage	Map and figures collated by WHS Coordinator, Defra, National Trust	Annual update	Yes	

**An example of a site-specific monitoring activity**

*The diverse needs of the mix of buildings and gardens which make up the World Heritage property have inspired an ambitious and rigorous monitoring programme led by the State Administration for Cultural Heritage (SACH) and the Classical Gardens of Suzhou (China) World Heritage property management authority.*



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*Classical Gardens of Suzhou (China)*

**Review of the management plan**

Preparing a management plan is an iterative and ongoing process and not a fixed or one-off exercise. All stakeholders need to understand that the management plan will be regularly reviewed (annually or biannually). Information obtained from monitoring processes should be evaluated and used for reviewing the plan.

In addition to regular review, it may be necessary to review parts or the whole of the plan due to the following circumstances:

- a) When urgent attention is required, based on the results of the monitoring process,
- b) When faced with a catastrophic situation (e.g. a disaster),
- c) When the property is inscribed by the Committee on the List of World Heritage in Danger, or
- d) If major changes make implementation of parts of the plan impossible.

The review process must follow the participatory approach used in preparing the plan, involving any new stakeholders as necessary (e.g. defence authorities if the property is attacked by terrorists).

The review process must be part of the management plan and agreed with the stakeholders, particularly for the emergency scenarios mentioned above. The review process needs to be articulated in terms of annual reviews, five-yearly reviews and major reviews, etc. as necessary, with supplementary reactive reviews being carried out in the case of emergency scenarios.

### A.3 Contents of the management plan

#### Contents of the management plan

The final stage of the planning process outlined above is to draft the management plan. If all the material is in hand, this is the moment to consider how to communicate the contents effectively: how the final document is to be presented, its style, its structure and its hierarchy of content headings. It should be in language that is easy to understand and have a simple structure. If it contains any restricted-access information, its distribution may also have to be controlled.

The plan should be internally consistent and describe systematically how the heritage site will be managed and how its significance will be conserved and promoted for all those with an interest in the property.

The plan may have the following contents:

Management plan: Contents

- Purpose
- Process (how it was prepared and who was involved), including a decision-making process diagram
- Property description
- Significance (with OUV for World Heritage sites)
- Identification of key issues
- A Vision Statement/guiding principles, policies/objectives
- Actions to meet policies/objectives (including timing, priorities, resources and indicators)
- Implementation plan; annual work plan, project formulation, indication of resources
- Monitoring plan
- Timetable for review

#### Post-preparation actions

The success of a management plan depends on the authority given to it during its preparation and after completion. The organizations which were identified at the beginning of the process should now approve and commit themselves to the management plan, providing the resources (e.g. staff for implementing it) that they pledged in the planning process and obtaining additional ones. Where possible, the plan should be accorded a legal status within the existing management system.

Once the plan receives authority, it should be implemented, following the implementation plan previously prepared. The day-to-day management activities of the management planning implementation now start.

Refer to the management plans associated with properties inscribed on the World Heritage List. (<http://whc.unesco.org/en/list/>)

# Appendix B

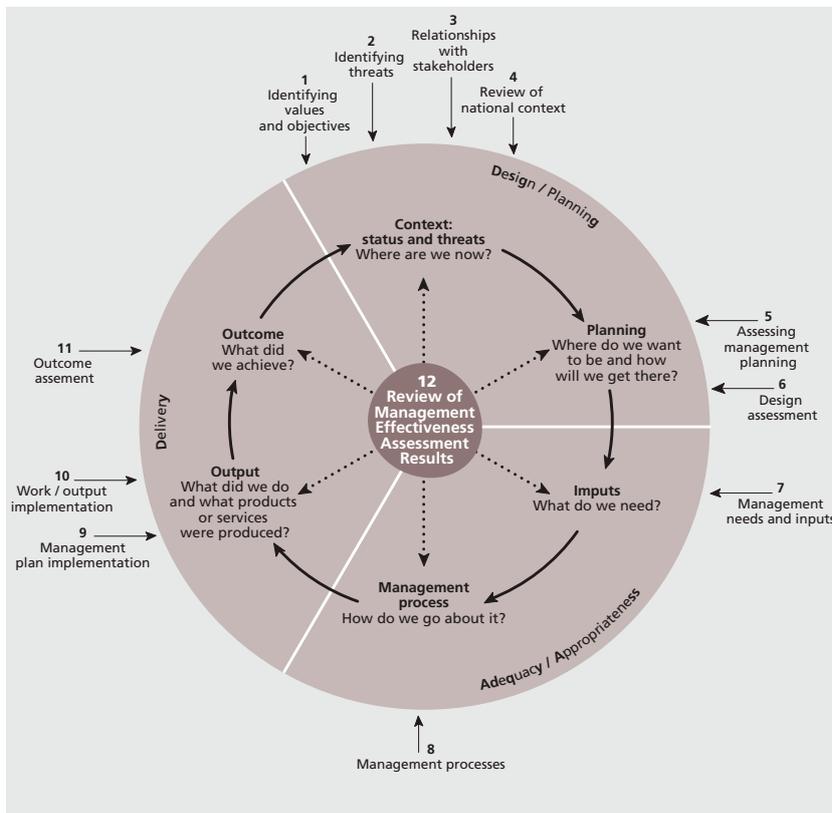
## Enhancing our Heritage Toolkit (IUCN)

Since the late 1990s a series of mainly voluntary tools has been developed to assess the management effectiveness of protected areas. Such evaluations aim to assess how well Protected Areas are being managed – primarily whether they are protecting their values and achieving agreed goals and objectives. One of these tools, *Enhancing our Heritage*, has been specifically developed for natural World Heritage sites.

### Introduction to management effectiveness

The term management effectiveness reflects three main ‘themes’ of protected area management:

- design issues relating to both individual sites and protected area systems;
- adequacy and appropriateness of management systems and processes; and
- delivery of protected area objectives including conservation of values.



**Diagram 23:**  
Relationship of tools in the toolkit to the WCPA Management Effectiveness Framework.  
Source: Hockings et al. (2008).

- ▶ it begins with establishing the **context** of existing values and threats,
- ▶ progresses through **planning**, and
- ▶ allocation of resources (**inputs**), and
- ▶ as a result of management actions (**process**),
- ▶ eventually produces goods and services (**outputs**),
- ▶ that result in impacts or **outcomes**.

Of these elements the outcomes – basically whether or not the site is maintaining its core values – are the most important but also the most difficult things to measure accurately. The other elements of the framework are all also important for helping to identify particular areas where management might need to be adapted or improved.

Two globally applicable generic systems have been developed consistent with the WCPA framework to carry out this type of assessment. The first is WWF's *Rapid Assessment and*

IUCN's World Commission on Protected Areas (WCPA) has developed a **Framework for Assessing the Management Effectiveness of Protected Areas**, which aims both to give overall guidance in the development of assessment systems and to encourage basic standards for assessment and reporting. The framework is a generic process within which the precise methodology used to assess effectiveness differs between protected areas depending on factors such as the time and resources available, the importance of the site, quality of data and stakeholder pressures, and as a result a number of assessment tools have been developed to guide and record changes in management practices. The WCPA framework sees management as a process or cycle with six distinct stages, or elements:

*Prioritization of Protected Areas Management (RAPPAM)*, which provides Protected Area agencies with a country-wide overview of the effectiveness of Protected Area management, threats, vulnerabilities and degradation. The second is the WWF/World Bank Global Forest Alliance's *Management Effectiveness Tracking Tool (METT)*, which has been designed to track and monitor progress towards worldwide protected area management effectiveness standards. Both these systems are relatively cheap and simple to use assessment tools which can be implemented by Protected Area staff (or sometimes project staff), but neither provide a detailed assessment of outcomes. Many of the elements and experience in use of the METT became the inspiration for the revised Periodic Reporting format (see 6.3).

### **Enhancing our Heritage Toolkit**

Of particular relevance here is the *Enhancing our Heritage (EoH) Toolkit* which uses the WCPA framework to develop a range of more detailed assessment tools for managers of natural World Heritage sites. The toolkit can be used to develop comprehensive site-based systems for assessing management effectiveness. It was developed over a seven-year period, working primarily with World Heritage site managers in Africa, Asia, and Central and Latin America. There are twelve tools :

- **Tool 1: Identifying site values and management objectives:** Identifies and lists major site values and associated management objectives, which together help to decide what should be monitored and analysed during the assessment.
- **Tool 2: Identifying threats:** Helps managers to organize and report changes in the type and level of threat to a site and to manage responses.
- **Tool 3: Relationships with stakeholders:** Identifies stakeholders and their relationship with the site.
- **Tool 4: Review of national context:** Helps understanding of how national and international policies, legislation and government actions affect the site.
- **Tool 5: Assessment of management planning:** Assesses the adequacy of the main planning document used to guide management of the site.
- **Tool 6: Design assessment:** Assesses the design of the site and examines how its size, location and boundaries affect managers' capacities to maintain site values.
- **Tool 7: Assessment of management needs and inputs:** Evaluates current staff compared with staff needs and current budget compared with an ideal budget allocation.
- **Tool 8: Assessment of management processes:** Identifies best practices and desired standards for management processes and rates performance against these standards.
- **Tool 9: Assessment of management plan implementation:** Shows progress in implementing the management plan (or other main planning document), both generally and for individual components.
- **Tool 10: Work / site output indicators:** Assesses the achievement of annual work programme targets and other output indicators.
- **Tool 11: Assessing the outcomes of management:** Answers the most important question – whether the site is doing what it was set up to do in terms of maintaining ecological integrity, wildlife, cultural values, landscapes, etc.
- **Tool 12: Review of management effectiveness assessment results:** Summarizes the results and helps to prioritize management actions in response.

The toolkit is designed for those involved in managing World Heritage sites and aims to provide both background information and specific tools that they can use to assess management of their sites. It aims to fit in with, rather than duplicate, existing monitoring, so that only those tools that address issues not already being monitored will be applied. The toolkit publication contains details of all the tools, advice about how to carry out an assessment and a series of case studies on how the tools have been used in World Heritage sites around the world. The toolkit is increasingly popular in World Heritage sites in all biomes and is also starting to be used in cultural World Heritage sites.

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United Nations  
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World Heritage  
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