



World Heritage Management Tools

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Safeguard, valorisation
and management quality
Use of the management models
for the archaeological sites
and urban contexts



The present document has been released on November 2015 within the project "ArcheoMedSites". It is the summary of the material provided by the World Heritage Centre website and by the Management Plan experience by Carlo Francini, Site Manager of the "Historic Centre of Florence" World Heritage site and Head of the UNESCO Office of Florence, and Chiara Bocchio, Collaborator of the UNESCO Office of Florence. For further information about the themes underlined by the paper, see the documents selected by the experts, present within the Folder "ArcheoMedSites WH Management Tools".

INTRODUCTION

The management of UNESCO World Heritage sites has been, for more than 20 years, an important theme that involves directly the State Members which signed the 1972 Convention and the site managers (whether identified in the UNESCO sites).

It is clear that, beyond the principle and theoretical statements, the Management Plan, which finds its basis on the Operational Guidelines for the implementation of the World Heritage Convention, is a pioneering tool, and therefore does not have a totally consolidated procedure.

So it seems appropriate to deepen, through a simple document and tool, the various issues related to the effective management of a World Heritage site.

The idea to adopt an uncomplicated and helpful tool can be particularly useful for the site managers. In fact, it is very difficult to move in the vast production of documents and recommendations of UNESCO and the WH Centre.

We believe that a simplified tool can be effective (even if not in an exhaustive way) to respond adequately to the demands of the WH Centre, as in the case of the State of Conservation (SOC), the preparation of the Periodic Reporting and in the drafting, implementation, monitoring and updating of the Management Plan. Therefore, the following work wants to be a concise collection of supporting recommendation in preparing the training sessions. The Table of Contents will be an indicative guide to the training.

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1. Introduction to the World Heritage Convention and the World Heritage Centre

The World Heritage Convention

The most significant feature of the 1972 World Heritage Convention is that it **links together** in a single document the concepts of **nature conservation and the preservation of cultural properties**.

The Convention recognizes the way in which people interact with nature, and the fundamental need to preserve the balance between the people and nature (World Heritage Centre website, n.d. a).

World Heritage Strategic Objectives : **The "fifth C"**

Credibility

Conservation

Capacity-building

Communication

Communities

What the Convention contains

The Convention defines the kind of natural or cultural sites which can be considered for inscription on the **World Heritage List**.

- The Convention sets out the duties of **States Parties** in **identifying potential sites** and their **role in protecting** and preserving them.
The States Parties are encouraged to integrate the protection of the cultural and natural heritage into **regional planning programmes**, set up **staff and services** at their sites, undertake **scientific and technical conservation research** and adopt **measures** which give this heritage a function in the **day-to-day life** of the community.
- It explains how the **World Heritage Fund** is to be used and managed and under what conditions international financial assistance may be provided.
- The Convention stipulates the **obligation of States Parties to report regularly** to the World Heritage Committee on the state of conservation of their World Heritage properties. These reports are crucial to the work of the Committee as they enable it to assess the conditions of the sites, decide on specific programme needs and resolve recurrent problems.
- It also encourages States Parties to strengthen the appreciation of the public for World Heritage properties and to enhance their protection through educational and **information programmes**.
(World Heritage Centre website, n.d. a).

What are benefits of ratifying the 1972 Convention?

- belonging to an **international community of appreciation** and concern for universally significant properties that embody a world of outstanding examples of cultural diversity and natural wealth.
- prestige that comes from being a State Party to the Convention and having sites inscribed on the **World Heritage List** as a catalyst to raising awareness for heritage preservation.
- access to the **World Heritage Fund** to assist States Parties in identifying, preserving and promoting World Heritage sites. Emergency assistance may also be made available for urgent action to repair damage caused by human-made or natural disasters.
- the World Heritage concept as a magnet for **international cooperation** and financial assistance for heritage conservation **projects**.
- benefit from the elaboration and implementation of a **comprehensive management plan** that sets out adequate **preservation measures** and **monitoring** mechanisms. In support of these, experts offer technical **training** to the local site management team.
- increase in **public awareness** of the site and of its outstanding values, thus also increasing the tourist activities at the site. Whether the sustainable tourism principles are respected, they can strengthen also local economy (World Heritage Centre website, n.d. a).

The World Heritage Centre

The World Heritage Centre, established in 1992, is the focal point and coordinator within UNESCO for all matters related to World Heritage:

- **ensures** the day-to-day management of the Convention;
- **organizes** the **annual sessions of the World Heritage Committee** and its Bureau;
- **provides advice** to States Parties in the preparation of site **nominations**;
- **organizes international assistance** from the World Heritage Fund upon request;
- **coordinates** both the **reporting on the condition of sites** and the **emergency action** undertaken when a site is threatened;
- **organizes technical seminars** and workshops;
- **updates** the **World Heritage List** and database;
- **develops teaching materials to raise awareness** among young people of the need for heritage preservation, and keeps the public informed of World Heritage issues. (World Heritage Centre website, n.d.b.)

2. Outstanding Universal Value, Criteria, Integrity, Authenticity

Outstanding Universal Value

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. Therefore, the protection of this heritage is of the highest importance to the **international community as a whole**.

States Parties are invited to submit nominations of properties of cultural and/or natural value considered to be of "Outstanding Universal Value" for inscription on the World Heritage List.

Nominations shall demonstrate the full commitment of the State Party to preserve the heritage concerned, within its **means**. Such commitment shall take the form of appropriate policy, legal, scientific, technical, administrative and financial measures adopted and proposed to protect the property and its Outstanding Universal Value.

At the time of inscription of a property on the World Heritage List, the Committee adopts a **Statement of Outstanding Universal Value** (see paragraph 154 of the Operational Guidelines 2015) which will be the **key reference for the future effective protection and management of the property**.

The Committee defines the **criteria for the inscription** of properties on the World Heritage List. (UNESCO, 2015, pp.11-12)

How can we maintain the Outstanding Universal Value of a UNESCO World Heritage site/property?

- Balance between Conservation and Valorization
- Raise Awareness among people

Therefore, through the Management Plan!

Criteria of inscription

A property has an Outstanding Universal Value (see paragraphs 49-53) if it meets one or more of the following criteria:

cultural properties

- (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);

natural properties

- (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 on-going **ecological and biological** processes in the evolution and development of terrestrial, fresh water, coastal and marine ecosystems and communities of plants and animals;
- (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.

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. (UNESCO, 2015, pp.16-17)

Authenticity

Cultural properties only, therefore properties nominated under criteria (i) to (vi) must meet the conditions of authenticity.

Authenticity is the value attributed to the heritage depends on the **degree to which information sources about this value may be understood as credible or truthful**. Information sources are physical, written, oral, and figurative sources, which make it possible to know the nature, specificities, meaning, and history of the cultural heritage.

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**:

- form and design;
- materials and substance;
- use and function;
- traditions, techniques and management systems;
- location and setting;
- language, and other forms of intangible heritage;
- spirit and feeling (important indicators of characters and sense of place); and
- other internal and external factors.

The **statement of authenticity** should assess the degree to which authenticity is present in, or **expressed by**, each of these **significant attributes**. (UNESCO, 2015, pp.17-18)

Integrity

All properties (natural and cultural properties) nominated for inscription on the World Heritage List shall satisfy the conditions of integrity.

Integrity is a **measure of the wholeness and intactness of the** natural and/or cultural **heritage and its attributes**.

Examining the conditions of integrity, therefore requires assessing **the extent to which the property:**

- includes **all elements** necessary to express its Outstanding Universal Value;
- is of **adequate size** to ensure the complete representation of the features and processes which convey the property's significance;
- suffers from **adverse effects** of development and/or neglect. (UNESCO, 2015, p.18)

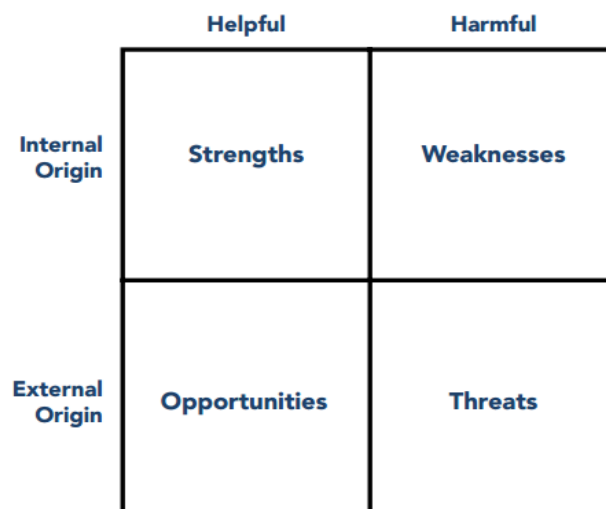
For further information see the last version of the Operational Guidelines for the Implementation of the World Heritage Convention in the Folder "ArcheoMedSites WH Management Tools".

3. SWOT Analysis

The SWOT Analysis is a **strategic planning tool** used to evaluate phenomena involving the property. In the context of World Heritage properties, the analysis highlights the **Strengths** and **Weaknesses** of the World Heritage site (INTERNAL FACTORS), on the other hand the **Opportunities** and **Threats** influence the site and its system (EXTERNAL FACTORS).

The SWOT matrix used is schematically shown in the two figures below after processing the following questions:

- What are **obstacles** the site is facing?
- What are the **resources** available?
- What are the **external changes** that may threaten the site?
- What are the **weaknesses** that may threaten the site?
- What are the **requirements** and specifications of the site that are **changing**?
- What are the **improvements** we can make?
- What are the most **harmful aspects**?
- What should **be avoided** in our site?
- What are the **good practices**?
- What are **advantages** do we have?
- What are the **strengths** people normally recognize to our site?
- Which are the **interesting trends** we know?



4. The Management Plan

To apply effectively the 1972 Convention, the World Heritage Centre established in 2002 that the inclusion of new sites in the World Heritage List **should necessarily be subject to the preparation of a Management Plan**. Therefore, in 2004, the Centre extended this requirement also to sites already included in the List, providing in this way a **valuable tool** to governments and local administrations for the protection, monitoring of heritage and for raise awareness of it.

Article. 108 of the Operational Guidelines states that "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." (UNESCO, 2015, p.21)

What is a Management Plan?

- a flexible tool, able to **ensure** and preserve the most important quality of a UNESCO World Heritage site, **its Outstanding Universal Value (OUV)**;
- a document for **analysing**, through the involvement of various actors and stakeholders, the **forces of change and the changes** that occur from a cultural, environmentally, socio-economic point of view;
- a means to guarantee an **effective protection and conservation** of the property, in order to ensure its transmission to future generations;
- an instrument capable of **promoting protection and enhancement projects** which are coordinated and shared by the various stakeholders operating in the territory.

Through the development of an accurate and **integrated Management Plan**, it is possible therefore to provide management tools, which **coordinate the different interests of various stakeholders**, both institutional and private, and identify the strengths, weaknesses, opportunities, possible threats, short and long-term objectives of conservation and development, and to identify innovative strategies and actions to achieve them.

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, including the use of participatory planning and stakeholder consultation process;
- b) a cycle of **planning, implementation, monitoring, evaluation** and **feedback**;

- c) an assessment of the **vulnerabilities** of the property to social, economic, and other pressures and changes, as well as the **monitoring of the impacts** of trends and proposed interventions;
- d) the development of mechanisms for the **involvement** and **coordination** of the various activities between different partners and stakeholders;
- e) the allocation of necessary **resources**;
- f) **capacity-building**; and
- g) an accountable, transparent description of how the **management system functions** (UNESCO, p.22, 2015)

What is the scheme/structure of the Management Plan?

There is **no official UNESCO template** for a Management Plan. According to our experience, we can suggest possible schemes, which can be adapt to the different contexts, needs and characteristics of the site:

Introduction

1) The UNESCO World Heritage Site

- Description of the site
- Inscription to the UNESCO World Heritage List
- Outstanding Universal Value
- Integrity and Authenticity
- The World Heritage Area and the Buffer Zone

2) The Vision, Mission and Objectives

3) Legal framework

- Existing governmental structure and policy
- Existing framework of legislation - international, national and local regulation
- Ownership

4) Management structure

- Reference group/ Management committee
- Stakeholders, roles and responsibilities
- Agreements and procedures

5) Management context [*description and instruments (infrastructure, facilities and services available)*]

- State of conservation and development
- Stakeholders involvement
- Interpretation and presentation
- Research and documentation
- Public awareness, education and local community involvement

- Preservation of local cultural traditions
- Tourism development and promotion
- Funding and investments

6) Management assessment and analysis

- Theme Areas (to identify if they are not present e.g. Tourism, Local Community, Culture, Biodiversity, Youth, Conservation etc.)
- SWOT Analysis (identify the strengths, weaknesses, opportunities and threats of the site)

7) Action Plan and Monitoring

- Conservation and maintenance plan
- Archaeological Survey Plan
- Visitor management
- Table of monitoring indicators

Another possible scheme:

- 1) Introduction to the UNESCO and World Heritage theme
- 2) World Heritage site attributes: Statement of Outstanding Universal Value, authenticity and/or integrity
- 3) The Protected area and the Buffer zone
- 4) Legislative, regulatory and contractual measures for protection (ex. national law, authorities responsible for the site management)
- 5) The site Context (ex. SWOT Analysis and analysis of the main themes of the site, such as tourism, conservation, environment etc.)
- 6) The Vision, the Mission and the objectives of the site
- 7) The Community Involvement Process
- 8) The Action Plan
- 9) The Monitoring

For further structures, see the Management Plan example within the Folder "ArcheoMedSites WH Management Tools".

How can we develop the Management Plan?

An effective Management Plan could be developed in **different stages**:

- The first phase could be dedicated to the **analysis of the values** that motivated the inclusion of the property in the World Heritage List, local **resources**, the cultural **connotations** and socio-economic projects to enhance the site and analysis of the regulatory and planning **framework**. Consequently

outlining the SWOT analysis of the site and defining the Vision and the Mission to pursue.

- The second phase can be characterized by the identification of the **stakeholders** and the **community involvement**: organization of meetings with the key institutions and stakeholders involved in the conservation and enhancement of the site and with the community.

These meetings are highly important for **growing the awareness** towards heritage in the community and institutions; for **knowing and considering opinions on possible methods/actions** to preserve and enhance the site and to mitigate possible threats and for **developing future guidelines** to be integrated to the existing policies.

The involvement and synergies between public and private institutions, foundations, associations, and other actors demonstrate the **versatility** of the Management Plan and, therefore, its ability to adapt to the community and territory changes. The **cross-cutting nature** of the Plan is a prerogative, for both the conservation and the development of the site.

- Considering the process of analysis, sharing and participation, the third phase of the Management Plan development is characterized by the **Action Plan**, therefore to the selection of **short, medium, long term actions/projects**, led by the key institutions and public or private stakeholders of site, that are considered necessary for the maintenance of the site.

"The Committee recommends that States Parties include risk preparedness as an element in their World Heritage site management plans and training strategies" (UNESCO, 2015, p.23).

5. The Action Plan for implementing the Management Plan

As mentioned in the previous chapter, the third phase of the Management Plan could consist in drawing up an **Action Plan**. This, based on the results of the qualitative and quantitative analysis of the site context, the involvement of stakeholders and of the Participation Plan, will set the stage for the site management and the monitoring of the upcoming years.

Possible example for an Action Plan:

Objective:						
Action/Project	Lead by	Participants	Resources	Time frame (short, medium, long term)	Performance Indicator/Expected Outcomes	5Cs

6. Monitoring the Management Plan

As the Action Plan, an integrated part of the Management Plan is the **monitoring phase** about the primary needs and the actions underlined within the Action Plan.

An effective system of monitoring could be based on measuring:

1. the **effectiveness** of projects through performance indicators and by checking whether the project implementation coincide in time with the time-frame stated within the Action Plan;
2. the **efficiency** of the projects, whether the desired results are achieved in a better and more sustainable way in comparison to the expected outcomes;
3. the **effects** generated by the actions implemented in the territory.

It is necessary to monitor the Action Plan articulating activity on two different levels of evaluation:

1. checking the projects progress through **regular meetings** with their promoters and the useful data retrieval;
2. project monitoring through the use of **performance indicators** (ex. every 6 months, annually).

Therefore, the Monitoring process should be based on key **indicators** in place and/or proposed 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** (UNESCO, 2015, p.27).

7. Reporting and Monitoring the State of Conservation of the site

The Convention stipulates the **obligation** of States Parties to **report regularly** to the World Heritage Committee on the **state of conservation of their World Heritage properties**. These reports are crucial to the work of the Committee as they enable it to assess the conditions of the sites, decide on specific programme needs and resolve recurrent problems (World Heritage Centre website, n.d. a).

Periodic Reporting (made and submitted by the State Parties themselves)

The **Periodic Reporting**, based on a **questionnaire form**, is intended to provide:

- an **assessment of the application of the World Heritage Convention** by the States Parties;
- an assessment as to whether the **World Heritage values** of the properties inscribed on the World Heritage List **are being maintained over time**;

- **up-dated information** about the World Heritage properties to record the **changing circumstances and state of conservation** of the properties;
- a mechanism for **regional co-operation and exchange of information and experiences** between States Parties concerning the implementation of the *Convention* and World Heritage conservation. Indeed, the Periodic Reporting is prepared on a **regional basis** (Arab States, Africa, Asia and Pacific, Latin America and the Caribbean, Europe and North America) to promote regional collaboration and to be able to respond to the specific characteristics of each region, and are examined by the World Heritage Committee on a pre-established schedule based on a **six-year cycle**. (World Heritage Centre website, n.d.c)

Periodic Reporting 2nd Cycle: Arab States (2010)

Periodic Reporting 2nd Cycle for the Arab States provides recommendations for an **action plan** to be elaborated over the coming year. These recommendations are the fruit of the final Regional meeting which took place in Algiers in February 2010 with the Arab States' Focal Points, the Advisory Bodies, the World Heritage Centre and ALECSO. The scope of the meeting was to assess the Periodic Reporting exercise and to propose **recommendations for sub-regional Action Plans which would address both the lacunae and challenges of the region** as well as provide a **way forward in the safeguarding** of World Heritage in the Arab Region by serving as a **platform** upon which the Arab Regional Programme **for the following six years** would be based (UNESCO, 2010, p.4).

Conclusions and Recommended actions by the World Heritage Centre

The following are indicated as priority actions:

- Development of Inventories (Bahrain, Iraq, Kuwait, [Lebanon](#), Morocco, Mauritania, Oman, Sudan, Syria);
- Enforcement of legal regulations (Bahrain, Egypt, Syria);
- Coordination between legal instruments (Jordan, Morocco, Oman, Sudan, Syria, [Tunisia](#));
- National strategy in conservation (Bahrain, Kuwait, [Lebanon](#), Morocco, Mauritania, Oman, Syria);
- Capacity building in conservation (Iraq, Kuwait, Morocco, Sudan);
- Training (Egypt, [Tunisia](#));
- Increase Staff ([Lebanon](#));
- Establish the Arab Regional Centre for World Heritage (Bahrain).

(UNESCO, 2010, p.35)

For further information see **Report on the Second Cycle of Periodic Reporting in the Arab States**, part iii: Recommendations for an action plan, p.65 and part iv: Draft decision proposed to the World Heritage Committee, p. 68, present in the Folder "ArcheoMedSites WH Management Tools".

State of Conservation

States Parties have an obligation to regularly prepare **reports about the state of conservation** and the **various protection measures** put in place at their sites.

These reports allow the World Heritage Committee to assess the **conditions** at the sites and, eventually, to decide on the necessity of adopting specific measures to resolve recurrent problems. One of such measures could be the inscription of a property on the List of World Heritage in Danger (World Heritage Centre website, n.d.d.).

How are the state of conservation reports elaborated?

The World Heritage Centre and the Advisory Bodies review all information available on the state of conservation reports (SOC) foreseen for examination by the World Heritage Committee at its next session: SOC reports submitted by the State Party, information received from third parties, press articles, mission reports, comments and feed-back on these by the State Party, etc. (World Heritage Centre website, n.d.e.).

What is a Technical review on the State of Conservation and what to do if a site/property receives it?

The World Heritage Centre and the Advisory Bodies also receive information from other sources than the State Party (NGOs, individuals, press articles, etc.). In such cases, in accordance with Paragraph 174 of the Operational Guidelines, the **information received is communicated to the State Party to verify the source and content of information and get clarification on the reported issue.** (World Heritage Centre website, n.d.e.).

The **site manager** should reply to the Technical Review by the Advisory bodies (ICOMOS, ICCROM, IUCN) review:

- providing more detailed and technical infos about the issues
- indicating relevant projects/actions and related infos, maps, drawings which solve/reply to the issue presented in the review

The response is then reviewed by the relevant Advisory Bodies and integrated in the SOC report if the threat is confirmed.

As stated before, it could happen that the Technical Review:

- is based and supported by complaints made by associations/people who do NOT communicate with the site manager
- indicates imprecise data, sometimes taken from the mass media

How can we face the SOC process in the easiest way possible?

- **COMMUNICATE** (with other stakeholders and UNESCO)
- **MAKE OUR DATA ACCESSIBLE** (in our institutional website)

Besides the documents quoted within the text, other materials are available in the Folder "ArcheoMedSites WH Management Tools":

1. Basic Text World Heritage Convention
2. Convention 1972 - EN
3. Guidance on Heritage Impact Assessments Cultural Properties
4. Management Plan Qusayr Amra -2014
5. Managing Cultural World Heritage - EN
6. Managing Cultural World Heritage - FR
7. Managing Disaster Risks for World Heritage - EN
8. Managing Disaster Risks for World Heritage - FR
9. Managing Natural World Heritage - EN
10. Managing Natural World Heritage - FR
11. Operational Guidelines 2015
12. Presentation UNESCO standards_Cagliari_Francini
13. Report on the Second Cycle of Periodic Reporting in the Arab States
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