MANAGING WORLD HERITAGE

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NORWEGIAN MINISTRY OF CLIMATE AND ENVIRONMENT

Managing smarter safeguarding better

World Heritage faces a wide range of challenges, including urbanization, new developments, disasters, climate change and inadequate maintenance and conservation. To address these issues effectively, site managers must adopt integrated and collaborative management approaches that bridge nature and culture, working closely with various agencies and institutions.

A total of 170 States Parties have properties inscribed on the World Heritage List, while 147 States Parties have encountered management challenges that prompted the Reactive Monitoring process. This manual serves as a go-to reference for site managers, institutions, rights-holders, heritage professionalss and stakeholders involved in World Heritage. It provides guidance on the key elements required for robust heritage management systems and offers insights into navigating management processes towards more effective management plans.

Additionally, it emphasizes the need to consider social, economic and environmental contexts, ensuring that heritage plays a meaningful role in the life of the community.

86%
of States Parties have faced management challenges for World Heritage

Resource Manual

World Heritage

MANAGING
WORLD HERITAGE

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 providing guidance to 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 UNESCO as the Secretariat of the Convention and the three Advisory Bodies to the World Heritage Committee (ICCROM, ICOMOS and IUCN). The World Heritage Committee at its 30th session (Vilnius, Lithuania, July 2006) supported this initiative and requested that the Advisory Bodies and UNESCO proceed with the preparation and publication of a number of thematic Resource Manuals.

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 conservation 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 in 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 downloaded at https://whc.unesco.org/en/resourcemanuals/.

FOREWORD BY THE DIRECTOR OF WORLD HERITAGE

Since its adoption in 1972, the World Heritage Convention has provided an unparalleled framework for recognizing, conserving and promoting the most exceptional heritage places on Earth. Over more than five decades, it has facilitated international cooperation in support of sites that are considered to be of Outstanding Universal Value to humanity. However, recognition alone is not enough. The enduring protection of World Heritage depends on a sustained commitment to their effective, inclusive and adaptive management.

This revised edition of the *Managing World Heritage* Resource Manual represents a significant evolution in our collective understanding of heritage conservation. It brings together the perspectives and experiences of practitioners and institutions around the world, integrating cultural and natural dimensions into a unified approach to managing heritage places. It reflects a growing awareness that heritage places do not exist in isolation – they are embedded in dynamic social, economic, environmental and political contexts, and their successful management depends on working within these complexities.

This manual is designed as a practical tool to support World Heritage site managers, national authorities, communities and all those engaged in heritage conservation. It highlights the importance of taking a place-based and people-centred approach, of aligning heritage management with wider sustainable development goals and of embracing participatory governance and rights-based frameworks. It also recognizes the increasing need to address contemporary challenges, such as climate change, biodiversity loss and social equity, within the day-to-day realities of managing heritage.

Importantly, this manual does not seek to replace the wealth of existing knowledge and literature on heritage management. Rather, it complements them by offering guidance specific to the obligations and opportunities presented by the World Heritage Convention. It points users towards relevant tools and resources, including the companion *Enhancing Our Heritage Toolkit 2.0*, to support a continuous process of learning, evaluation and improvement.

This manual also contributes directly to the implementation of the *World Heritage Capacity-Building Strategy 2025–2035*. By promoting integrated, place-based and participatory approaches to management, and by serving as a practical, accessible reference for training and learning, the manual embodies the strategic goal of building capacities at all levels – from site practitioners and Indigenous and local communities to national authorities and regional networks. It supports the Strategy's emphasis on knowledge exchange, institutional strengthening and inclusive governance as foundations for more resilient and adaptive heritage management systems.

As with heritage itself, management practice must evolve. We encourage practitioners to adapt the concepts presented here to their local contexts and to share their experiences so that the global community can continue to learn and grow together. The World Heritage Centre, together with the Advisory Bodies of the World Heritage Committee, is committed to supporting this endeavour. We hope this manual proves a valuable companion in your work to protect the world's most exceptional places for the benefit of current and future generations.

Lazare Eloundou Assomo
Director of World Heritage
UNESCO

FOREWORD BY THE ADVISORY BODIES TO THE WORLD HERITAGE COMMITTEE

Recognition of the deep connection between nature and culture has long been central to the World Heritage Convention. Across countless World Heritage properties – cultural identities, practices, and creative works of humankind have been forged in specific environments. Similarly, ecosystems, biodiversity and landscapes have been sustained and protected through the coexistence of communities whose ways of life are closely intertwined with nature. We, as humans, understand and value nature through our cultural perspectives — and without nature, culture itself could not exist. This relationship must therefore be understood as fundamentally holistic, with nature and culture inseparably linked.

However, fully integrating the interdependence of nature and culture — and cross-fertilising knowledge and practices to strengthen heritage protection and conservation under the Convention — has taken time. Building on foundational initiatives such as Connecting Practice, Linking Nature and Culture in World Heritage Management, and Culture-Nature Journeys, jointly developed by UNESCO, ICCROM, ICOMOS and IUCN, the process of developing an integrated manual for the management of World Heritage formally began in 2018. The existing manuals on Managing Natural World Heritage (2012) and Managing Cultural World Heritage (2013) provided an essential basis for bridging these two sectors.

Ongoing analysis of State of Conservation reports and findings from Periodic Reporting cycles consistently show that management institutions often struggle to establish holistic management systems, including effective governance arrangements. Strengthening these systems is essential to sustaining constructive management cycles and ensuring the long-term protection of the Outstanding Universal Value for which World Heritage sites are inscribed.

Over recent decades, pressures on World Heritage have increased dramatically — from urbanisation and unsustainable development, to disasters, climate change, and inadequate maintenance and conservation. Many of these factors originate from outside the property and have highlighted the need for integrated nature–culture approaches and collaborative management across institutions and sectors. Managing a World Heritage property on the ground would need to deal with all aspects of the wider area, and there was a vital need to have a manual that would address the complexity of these interlinkages and processes together.

To this end, examples of fundamental approaches to nature and culture have been collected from across all regions and studied, aligned and reformulated to produce a holistic approach for World Heritage management that is based on the heritage place. Once the property is considered within the larger context of a place, heritage is no longer managed in isolation, and managers can become better equipped to address the many factors that spring from dynamics between the heritage places and the wider setting.

Decisions on heritage are affected by larger-scale policies and planning frameworks that go beyond the scope of the heritage sector and so having a constructive understanding of governance is key. There is an urgent need to acknowledge the multiple actors working alongside heritage professionals: in the protection of heritage, the rights, roles and knowledge of Indigenous Peoples, local and other associated communities need to be recognized and respected, and embedded in management practices. This new manual strives to provide practical methodologies for understanding the many groups and individuals connected to the heritage place, taking people-centred approaches to achieve more effective and

equitable decision-making through robust management planning, implementation, monitoring and evaluation to continuously improve our actions to achieve good results for both heritage and society.

The objective of this manual is to provide a broad overview of heritage management that is useful for a range of heritage places around the world that need integrated approaches to their protection and management. It is based on the premise that a World Heritage property will be a part of a larger heritage place, which can be important for many heritage-related reasons. Managing World Heritage is an ongoing and urgent challenge that requires the 'heritage place approach', an integrated method of management that can guide the evolution of properties over time within their wider social, economic and environmental contexts.

Particular attention has been directed towards aligning and clarifying terminology between different manuals and documents and careful thought was given to how key terms may be translated and defined in different languages, to ensure that the content is applicable to diverse realities on the ground. The manual also sets a new horizon for heritage management, recognising that the heritage sector's contribution extends far beyond site protection and conservation. By adopting a holistic approach, it highlights how heritage can support broader global priorities, including protecting biodiversity and cultural diversity, promoting social equity, addressing climate change, and advancing sustainable development.

This manual is a joint publication of UNESCO, the International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM), the International Council on Monuments and Sites (ICOMOS) and the International Union for Conservation of Nature (IUCN). This work has been generously supported by the Norwegian Ministry of Climate and Environment, through the framework of the ICCROM–IUCN World Heritage Leadership Programme. It is the foundational work that provides the basis of management for all World Heritage, and also supports the content of subsequent other manuals such as Enhancing Our Heritage Toolkit 2.0 (2023), Guidance and Toolkit for Impact Assessments in a World Heritage Context (2022), Managing Disaster Risk and Building Resilience for World Heritage (forthcoming) and World Heritage Climate Action Toolkit (forthcoming). The management system of World Heritage outlined in this manual can be reviewed and assessed in the case of individual properties using a step-by-step process that is set out in Enhancing our Heritage Toolkit 2.0.

ICCROM, ICOMOS and IUCN are grateful to all the site managers, coordinators and guardians of World Heritage properties around the world, who dedicate their lives to conserving and protecting the world's most magnificent heritage places. We sincerely hope that this manual provides guidance and assistance to better protect our World Heritage today and in the future.

Safeguarding World Heritage is not only about conserving remarkable places; it is about sustaining the cultural and natural foundations upon which humanity depends.

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Director-General
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CONTENTS

1. INTRODUCTION TO THE MANAGING WORLD HERITAGE MANUAL

1.1 WHO IS THIS MANUAL FOR?

This manual has been written for anyone who is interested in understanding how to manage **heritage places** for future generations and to ensure they benefit today's **communities**. While the content has an emphasis on World Heritage – noting that heritage places considered to be of **Outstanding Universal Value (OUV)** for humankind should set standards for better **management** of **heritage** in general – this manual is applicable to all heritage places, whether natural or cultural.

The content addresses the wide range of **actors** who contribute to the care of heritage places, both working within and outside of the heritage sector, encouraging greater collaborative efforts for increased effectiveness. However, **managers** of heritage places and their needs have been given particular attention: those whose day-to-day responsibility is to protect and conserve the heritage place, whether practitioners working on behalf of public institutions, private **organizations** or associations representing Indigenous Peoples and/or associated communities. The fundamental task of heritage managers is to ensure that heritage places are conserved so that current and future generations can experience and benefit from them, both now and well into the future. The following pages provide an overview of current thinking about heritage within its wider social, economic and environmental context, and how this thinking can help improve management practices on the ground.

This manual provides a broad overview of heritage management in order to be useful for a range of heritage places around the world. However, the approaches suggested will need to be adapted to the particular circumstances of individual heritage places. Managers of heritage places facing specific challenges may need to look for additional information in other resource materials, namely the other manuals in this series, which focus in more detail on subjects such as preparing nominations, **management effectiveness**, **impact assessment** and **disaster risk management (DRM)**, as well as other related manuals of the UNESCO **World Heritage Centre**. More specialized advice about conservation techniques is also available from the International Centre for the Study of the Preservation and Restoration of Cultural Property (**ICCROM**), the International Council on Monuments and Sites (**ICOMOS**), the International Union for the Conservation of Nature (**IUCN**) and various specialist organizations.

1.2 WHY IS A NEW MANUAL NEEDED?

The two existing manuals providing guidance on management Managing Natural World Heritage (2012) and Managing Cultural World Heritage (2013), were produced over a decade ago and much has changed since then. Most notably, at an international level the **heritage** sector has made great efforts towards overcoming the artificial division of cultural and natural heritage that has all too often constrained good **management** of **heritage places**, and limited the recognition of diverse world-views in conservation practice. This new manual now combines aspects of both previous manuals, acknowledging that most heritage places are a product of both natural and cultural phenomena, and need integrated and people-centred approaches to their protection and management. However, certain sector-specific approaches, tools and techniques will still be needed to address the characteristics of each place.

In this new manual there is also a significant shift in attention to the context of heritage places. This is in recognition of the increasing challenges of managing heritage in isolation from the wider natural and built environment. There are many factors negatively **impacting** on heritage for which solutions can only be found through understanding the dynamics between the heritage places and the **wider setting**, and responding appropriately and responsibly.

Heritage management must also be informed by new international agreements and policies that call for more urgent action on issues such as protecting **biodiversity** as well as cultural diversity, promoting social equity, addressing **climate change effects** and refining approaches to **sustainable development**. New holistic approaches to management are needed to optimize the role of heritage for the achievement of global goals. There is also an important need and opportunity for a better understanding of the intangible cultural heritage of different **communities**, including how to support intercultural dialogue and encourage mutual respect for different views and ways of life. This manual is based on the premise that a World Heritage property may be part of a larger heritage place, which can be valued for many reasons.

Finally, this manual recognizes that heritage management requires input not only from heritage practitioners but also multiple other **actors**. While heritage management has in the past frequently placed an emphasis on the work of heritage professionals, there is now acknowledgement that it is essential to respect the rights, roles and knowledge of Indigenous Peoples and local and other associated communities in protecting heritage. Decisions on heritage are affected by larger-scale policies and planning decisions that go beyond the scope of the heritage sector. By understanding the many groups and individuals connected to the heritage place, effective and more equitable **decision-making** can be achieved. The content of this new manual integrates participatory approaches to heritage, in other words, how people with diverse roles can be part of its **governance** and management. For heritage places in and around urban areas and settlements, this manual can be used in conjunction with the UNESCO Urban Heritage Atlas.

This manual is linked with the Enhancing Our Heritage Toolkit 2.0 (hereafter 'EoH 2.0' or 'the Toolkit'), which is a self-assessment methodology used to identify how well a World Heritage property or other heritage place is being managed. The Toolkit is a revision from the initial *Enhancing Our Heritage Toolkit* developed in 2008 by the IUCN World Commission on Protected Areas together with UNESCO. EoH 2.0 continues to be structured in the same way as the original version, while offering a flexible methodology that can be applied to the specific needs of each heritage place, regardless of its category and designation. It also draws elements from and establishes links with other existing methodologies to facilitate their integration, such as the World Heritage **Periodic Reporting** questionnaire and the IUCN Green List Standard. The Toolkit contains twelve tools that can be used separately or collectively to evaluate the effectiveness of the **management system**. The use of the Toolkit helps **managers** to put into practice many of the conceptual approaches included in this manual: where applicable, the relevant tools or worksheets of EoH 2.0 are suggested to facilitate an integrated use of these two resource manuals to inform future management measures and to make improvements to the management system.

1.3   WHAT IS IN THIS MANUAL?

This manual recognizes that managing World Heritage is an ongoing and urgent challenge, which requires an integrated approach to **management** able to guide the evolution of properties over time within their social, economic and environmental contexts. This is defined as the '**heritage place** approach' and is presented throughout the following chapters as a management practice that:

- not only emphasizes the importance of maintaining the **Outstanding Universal Value (OUV)** of the World Heritage property, but also recognizes its overall heritage significance, determined by the combination of and interactions between its different **heritage values**;

- goes beyond the property boundaries to include any **buffer zone(s)** as well as the **wider setting**, and also considers the interactions between these different areas and between the property;

- requires rights-based and equitable partnerships with associated **communities** and participatory decision-making processes, as well as collaboration between institutions, sectors and governmental levels.

The manual is arranged into six parts. Following the present introduction, which forms Part 1, the heritage place approach is explained in detail in Part 2. It is then organized further into four sections (Parts 3, 4, 5 and 6), grouping the main elements that an effective **management system** at a heritage place should have.

- **Part 2:** Using a heritage place approach as a basis for World Heritage management. This part establishes the conceptual framework for this manual. It shows how the heritage place approach recognizes the multiple layers of **heritage** significance and value of places and their interdependencies at different scales, and how the application of this place-based approach to heritage management can bring many advantages. It then introduces what a heritage management system is, how it may vary considerably depending on the type, characteristics and needs of each heritage place, and how the different elements included in that system should come together to ensure the protection and conservation of the heritage place.

- **Part 3:** Understanding the heritage place. This part explores the various aspects of a heritage place, starting with its heritage values (the reasons why a place is considered as heritage) and **attributes** (what elements of the heritage place convey those values and must therefore be conserved). These should form the basis for all management measures, starting from the delineation of the heritage place, defining its buffer zone(s) and understanding its wider setting. Effective management needs to be based on an understanding of the social, cultural, economic and environmental context, particularly when that context helps explain the various factors that can affect the heritage place and how to respond to them. Finally, this section explores the range of services and **benefits** that a heritage place can provide to associated communities as well as society at large.

- **Part 4: Governance** for heritage places. This part focuses on the different **actors** associated with the heritage place and how they should be involved in decision-making. An analysis of the various actors (**managers**, **rights-holders** and **stakeholders**) involved at a heritage place helps to understand the responsibilities, rights and powers they hold over the heritage place and to determine the strengths and challenges of existing governance arrangements. The part also looks at the importance of legal and **customary frameworks** to ensure effective management of the World Heritage property and its buffer zone(s) as well as addressing negative factors originating in the wider setting.

- **Part 5:** Strengthening **management processes**. This part provides an overview of multiple management processes that occur at different levels and moments in time but which need to be coordinated. In particular, it looks at the processes to develop a specific *management plan* for the

heritage place, with attention to its subsequent implementation and **monitoring**. It also explores other related processes such as community engagement, **disaster risk management (DRM)**, **impact assessment** and tourism and visitor management.

- **Part 6:** Evaluating results and improving the management system. This part brings together all the elements and processes presented in previous parts and explains how they combine to ensure that the OUV and other heritage values of the World Heritage property are maintained. It shows how the data collected from **monitoring the state of conservation** of the property can be used to identify changes in the condition of the attributes and to take informed management decisions accordingly. Finally, it explores how regular assessments of the effectiveness of the management system help identify what is working well and what can be improved, in order to achieve the best conservation results with the resources available.

- **Glossary:** This manual is completed by a glossary of terms on World Heritage to promote a common understanding and clarity around key words and phrases used. The glossary also explains the specific way that certain terms are used in a World Heritage context and is designed to facilitate the translation of all the manuals into a range of languages, to ensure that heritage managers can access these resources easily.

Heritage Place

Services and benefits

Social, economic, cultural and environmental context

Boundaries, buffer zones and wider setting

People and communities

Factors affecting the place

Heritage values and attributes

Results

Governance

Heritage conservation

Actors

Wider sustainable development

Instruments

Improving the management system

Decision-making processes

WORLD HERITAGE MANAGEMENT SYSTEM

Plans and planning processes

Monitoring and evaluation

Management objectives

Implementation of management
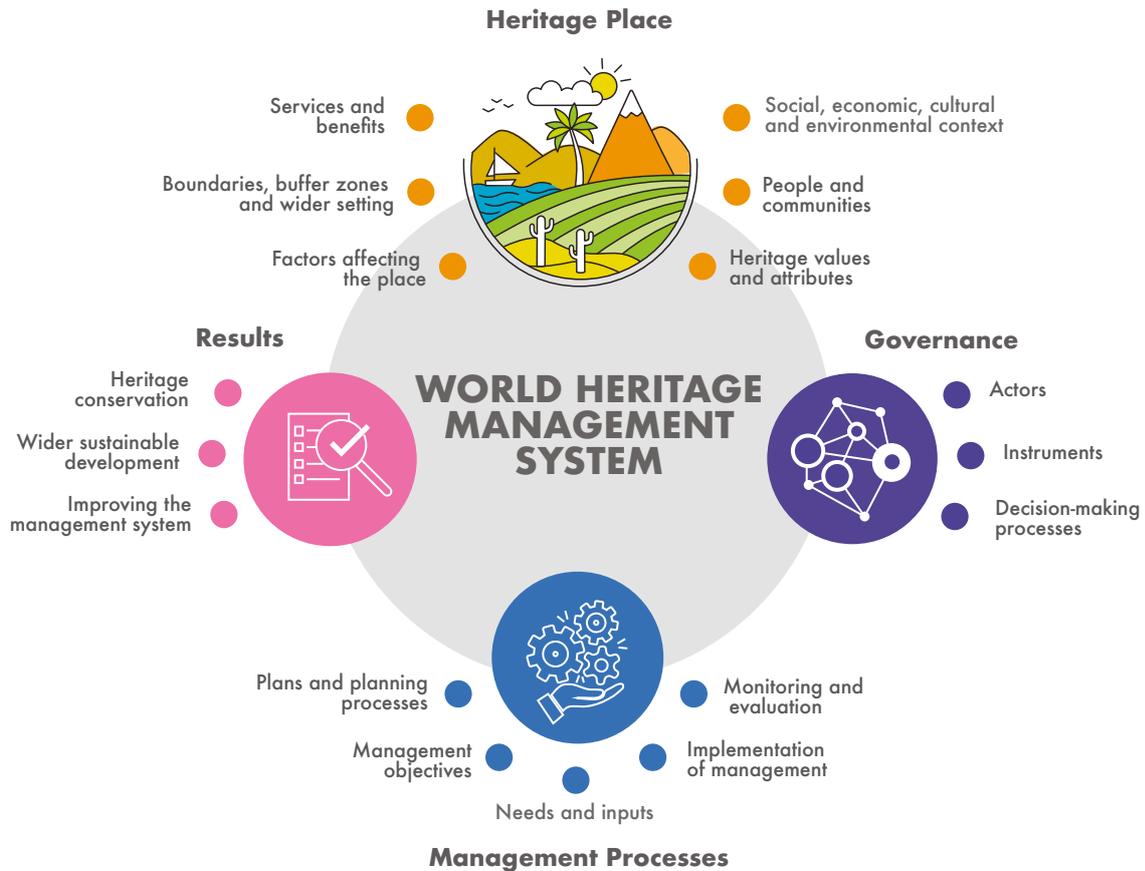
Needs and inputs

Management Processes

Figure 1.1 The World Heritage Management System.

2. THE HERITAGE PLACE AS A BASIS FOR MANAGEMENT

2.1 TAKING A PLACE-BASED APPROACH TO HERITAGE MANAGEMENT

KEY POINTS

- A World Heritage property is a defined geographical area that is valued by people for its OUV and is located in a wider setting and place.

- This place may have natural and/or cultural significance and importance for different people and at different levels that are not necessarily included in the OUV but are important enough to form part of its overall significance.

- A heritage place approach to management recognizes this interconnection between the World Heritage property and the wider setting and place.

- World Heritage properties need integrated management approaches that recognize their overall significance (both OUV and other heritage values) as well as their interconnections and dynamics with any buffer zone(s) and the wider setting.

- Building partnerships with the many actors associated with the heritage place and its context can help ensure a World Heritage property contributes to sustainable development and provides benefits to associated communities and society at large, without compromising the protection of its heritage values.

- Proactive management requires collaboration between heritage practitioners and other sectors to ensure that heritage considerations are included in strategic planning.

2.1.1 HERITAGE PLACES AND WORLD HERITAGE

A **heritage place** is a specific area that is valued by people for its natural and/or cultural heritage significance. It might be a large area, such as a whole region, landscape or seascape, a city or settlement, or a small area, such as a monument or a set of buildings. It may be inhabited and used by many people or only by a very few, and it may exhibit varying degrees of human and natural interaction. Every heritage place is a product of many aspects: its specific geographical location; underlying geological, biological and ecological foundations; history; economy; and geopolitical and social-ecological relationships over time. The reasons why the heritage place is considered special and different from other places are often referred to as its **heritage values** (see **3.1**).

Heritage places, or parts of them, are inscribed on the World Heritage List when they hold values considered to be 'so exceptional as to transcend national boundaries and to be of common importance for present and future generations of all humanity'. World Heritage properties have **Outstanding Universal Value (OUV)** and represent the most special places, with values transcending geography, political differences, cultures and generations. There are many different kinds of World Heritage properties, all focused on natural heritage or cultural heritage or a combination of the two. They include places where significant on-going geological processes can be seen; sacred landscapes; exceptional **ecosystems** and vital natural habitats for wildlife; agricultural landscapes; places of stunning natural beauty or architectural splendour; remarkable fossil sites; archaeological sites; industrial complexes; historical routes, towns and villages; and many other diverse places.

OUV is, by definition, a concept that does not seek to identify all the heritage values that can be important locally, nationally or regionally but rather it focuses on recognizing a selected list of the most outstanding heritage places from an international viewpoint. It is therefore normal to find that World Heritage properties hold other heritage or conservation values, beyond their recognized OUV – these values can even extend beyond the physical boundaries of the inscribed area. In some cases, the same area can also have overlapping international heritage or conservation designations that focus on different values and purposes. Therefore, when it comes to **management**, World Heritage properties, regardless of their inscription as natural, cultural or mixed, require integrated approaches that recognize their overall significance, that is the combination of their OUV and the other heritage values they have. This is especially important in World Heritage properties where people do not see a separation between culture and nature. Such an approach is also essential to ensure that the conditions of authenticity and integrity of a World Heritage property continue to be met.

2.1.2   WHAT IS A HERITAGE PLACE APPROACH AND WHAT IS THE ADVANTAGE OF ADOPTING IT?

The heritage place approach is a place-based approach to heritage management. It recognizes the multiple layers of heritage significance and value of places and their interdependencies at different scales, and reflects these in the **management processes**. From a spatial and territorial perspective, a broader management approach is important, as almost always the World Heritage property is part of a larger landscape or seascape and is influenced by spatial, ecological and other types of dynamics occurring at these different scales. Therefore, an integrated approach to managing World Heritage properties is needed to take into account the interconnections and dynamics between the property and any **buffer zone(s)**, and the **wider setting** (see **3.4**). Spatial, ecological and functional connectivity is crucial as it helps to build **resilience**, absorb shocks and maintain processes occurring at larger scales. A place-based approach can support a healthier heritage place by recognizing these cross-scale connections.

A heritage place approach also brings into focus the many **actors** associated with the heritage place (see **4.2**) and its social, cultural, political and environmental context (see **3.2**). Heritage management should also be about building partnerships between different disciplines, institutions and interests in order to better respond to the factors affecting a property's **state of conservation** (see **3.3**). Using a heritage place approach, an effectively managed World Heritage property can contribute to **sustainable development outcomes** and provide **benefits** to the **communities** associated with it and society at large without compromising its heritage values (see **3.5**).

Recognition of the range and combinations of both natural and cultural values at the same heritage place, at various levels and types of significance, can contribute to better management and conservation. Most World Heritage properties are the result of deeply interconnected social and ecological dynamics over time, even if they are artificially categorized as either 'cultural' or 'natural' when they are inscribed on the World Heritage List. For example, a property recognized as having OUV for its exceptional **biodiversity** may also have deep spiritual significance for communities living in or around it. Similarly, a World Heritage cultural landscape, which is an outstanding example of human interaction with the environment over time, may also contribute to protecting biodiversity. Effective place-based management sustains all these interconnected heritage values.

If management focuses mainly on the OUV and overlooks other important values it may cause unintended tensions. For example, measures to protect the **attributes** conveying exceptional architectural and artistic values of a World Heritage-designated temple may inadvertently interfere with a religious community carrying out certain rituals or cultural practices. Not only can this cause conflict with members of that community but the limiting of their practices can affect the use and function of the temple and can diminish the spiritual value it holds. Similarly, measures to protect significant marine systems or forest areas may undermine intimately connected traditional resource-use practices of Indigenous Peoples, if management focuses solely on identified natural

attributes. A deeper understanding of the heritage place's values and its attributes, as well of the significance and expectations held by various actors, will help guide towards understanding how best to protect and manage it and create a sense of stewardship where a place is valued and cared for by the people that live in and work with it.

Furthermore, when taking a heritage place approach, a World Heritage property cannot be considered a static entity but must be regarded as part of a dynamic and changing world. It is said the only constant is change, and this is true also for heritage places, although the changes might not always be easy to perceive, predict or fully understand. Change can be fast, such as that resulting from a **disaster**, or slow, such as the erosion of rock formations or ancient stone carvings. Change can also be cumulative, for example, residents gradually leaving a historic town centre, and many of the heritage buildings becoming hotels and restaurants, leading to undesired transformations; or a slow deterioration in water quantity, quality and seasonality having dramatic effects on a place recognized for its cave and karst heritage values, or its traditional agricultural practices. When a World Heritage property is designated, a boundary is identified for the property area to ensure that the significant attributes lie fully within it and are often further protected through the buffer zones. Such boundaries are important to ensure that the ever-changing factors that could impact the place can be addressed appropriately, whether they exist inside or outside them (see **3.4**). A place-based approach can help establish appropriate boundaries for the property that also respect the topographic, geological, cultural and ecological aspects of the landscape, thus identifying all relevant factors to be considered.

While it is not always possible to prevent certain changes from taking place, it is possible to be better prepared for them, manage them or mitigate their **impacts**. Moreover, a World Heritage property can be affected by change that takes place beyond its boundaries. Adequate preparation is best achieved by taking into consideration the entire heritage place and its surroundings, and by including World Heritage considerations in the policies, strategies and plans of wider areas. Often problems arise for World Heritage properties because the potential impacts of infrastructure proposals and other actions are only discussed after plans have been developed and decisions taken. For example, an upstream dam, the construction of high-rise buildings or a tourism promotion strategy can all affect heritage places, so World Heritage needs to be considered early on when planning such interventions. Not all changes are negative; many are positive and even necessary when pursuing conservation goals. Therefore, the role of heritage practitioners is to manage continuity and change in a way that maintains the OUV and the other heritage values of the World Heritage property, while bringing benefits to society.

As a result, heritage professionals have been required to shift their thinking from 'preventing' to 'managing' change, embedding the management of World Heritage properties into larger agendas and movements. This shift implies more proactive management, including the possibility of preventing negative impacts and finding alternatives that can lead to positive change. When World Heritage concerns and opportunities are raised at the early stages of planning, there is greater flexibility for finding solutions that can pre-empt difficult negotiations later on. To achieve this, heritage practitioners need to collaborate with other sectors affecting the heritage place (e.g. land-use planning, agriculture, energy, transportation, tourism) and ensure that heritage considerations and opportunities are included in strategic planning.

2.2   TAKING PEOPLE-CENTRED APPROACHES TO HERITAGE MANAGEMENT

KEY POINTS

- In the context of World Heritage, communities are groups of people who have a connection to a heritage place and they can contribute to heritage management in a number of essential ways.

- It is important to recognize the rights, knowledge, beliefs and capacities of Indigenous Peoples and other communities, and provide meaningful ways to empower and ensure their participation in decision-making and other management processes.

- States Parties are encouraged to adopt rights-based approaches in their World Heritage processes and it is important to identify rights-holders in relation to World Heritage, including Indigenous Peoples.
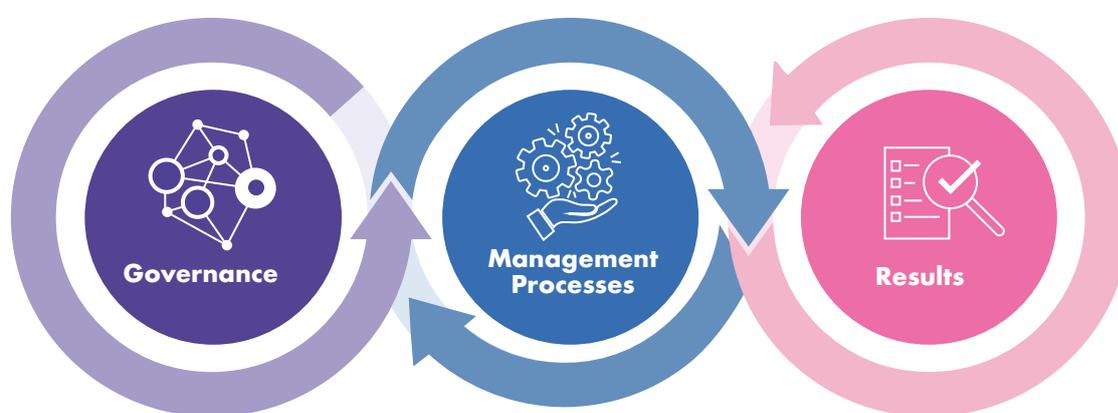
Figure 2.1 The interconnectedness of governance, management processes and results.

2.2.1   WORKING WITH COMMUNITIES

States Parties to the **World Heritage Convention** have committed to ensuring that cultural and natural **heritage** plays a function in the life of the **community**. Although this has been a concern since the Convention's inception, greater emphasis was placed on the role of communities in the implementation of the World Heritage Convention with the adoption of a fifth strategic objective in 2007. The five Strategic Objectives of the World Heritage Convention are Credibility, Conservation, Capacity-Building, Communication and Communities, also known as the 5Cs.

The concept of '**community**' differs from country to country, and who belongs to a particular community is best defined by the members of that community themselves (who may feel a sense of belonging to multiple communities). However, in this context, community is used for groups of people who have a connection to a **heritage place**. This is not limited to legal rights; in some cases, communities have customary rights, which sometimes are not formally documented and registered. In the context of World Heritage, it is the 'local' community who is most frequently discussed, in reference to the groups of people who live in or near to a World Heritage property. However, there can be communities not physically located within or near the heritage place but who have historic, cultural, spiritual or other connections. Some examples include a religious community associated with a sacred place, a community who has migrated or groups of Indigenous Peoples who were forcibly displaced and thus

have been physically disconnected from their ancestral lands or seas. It is also important to note that diverse communities associated with the same heritage place may accord it different significances and importance, which may sometimes be in conflict with one another. Therefore, having adequate working methods that take on board participatory approaches can benefit **management** from the start, in resolving potential conflict and overcoming challenges.

Approaches to communities and their relationship to World Heritage have evolved over time and more people-centred approaches to heritage are now being promoted. However, there is a sizeable legacy of past practices that did not prioritize people-centred and rights-based approaches. As the vital importance of communities has become more widely accepted, it has been recognized that they contribute in essential ways to World Heritage management, namely by:

- ascribing values to heritage places;

- ensuring the persistence and continuation of **attributes** (such as carrying out traditional agricultural practices in a cultural landscape or undertaking religious ceremonies in a temple);

- providing inputs to, and participating in, planning and **decision-making processes**;

- carrying out **maintenance**, conservation works and other actions that contribute to the **state of conservation** of the heritage place;

- transmitting and maintaining traditional and Indigenous knowledge;

- stimulating social relationships and investing in economic activities that generate **benefits** and contribute to the sense of place.

In recognition of the critical importance of participatory approaches to management, this manual indicates where communities can play an active role in the conservation and management of the heritage place, for example, in understanding its values (see **3.1**), in **governance** (see **4.1**) and across various **management processes** (see **Part 5**). Community engagement is also an ethical duty; it is important to recognize the rights, knowledge, beliefs and capacities of Indigenous Peoples and communities and provide genuinely meaningful ways to empower and ensure their participation in decision-making and other management processes.

2.2.2 RIGHTS-BASED APPROACHES TO WORLD HERITAGE

When considering the communities associated with World Heritage, it is important to distinguish those who are **rights-holders**. A commitment to human rights is included in the preamble to the United Nations Charter and the first article of the UNESCO Constitution. Under the Operational Guidelines, States Parties are encouraged to adopt rights-based approaches in their World Heritage processes. The importance of adopting such approaches was explicitly affirmed in 2015, when the General Assembly of the States Parties adopted the Policy on the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention. This **policy** includes a specific section on respecting, protecting and promoting human rights and makes it clear that States Parties should:

- ensure that the full cycle of World Heritage processes from nomination to management is compatible with and supportive of human rights;

- adopt a rights-based approach, which promotes World Heritage properties as exemplary places for the application of the highest standards for the respect and realization of human rights;

- develop, through equitable participation of concerned people, relevant standards and safeguards, guidance tools and operational mechanisms for assessment, nomination, management, evaluation and reporting processes compatible with an effective rights-based approach for both existing and potential new properties;

- promote technical cooperation and capacity-building to ensure effective rights-based approaches.

The UN Declaration on the Rights of Indigenous Peoples (UNDRIP) adopted by the UN General Assembly in 2007 delineates and defines the individual and collective human rights of Indigenous Peoples, including their ownership rights to cultural and ceremonial expression, identity, language, employment, health, education and other issues. Their ownership also extends to the protection of their intellectual and cultural rights to own, use, develop and control the lands, territories and resources they possess by reason of traditional ownership or other traditional occupation or use; their right to maintain, control, protect and develop their cultural heritage, **traditional knowledge** and traditional cultural expressions; and their right to participate in decision-making affecting them. The UNDRIP also provides that states shall consult and cooperate in good faith with Indigenous Peoples in order to obtain their free, prior and informed consent (FPIC) before adopting and implementing measures that may affect them.

States Parties are equally encouraged to mainstream the <u>UNESCO Policy on Engaging with Indigenous Peoples</u> into their programmes and activities related to the World Heritage Convention. This policy calls for adequate consultations and the free, prior and informed consent and equitable and effective participation of Indigenous Peoples where nomination, management and policy measures of international designations affect their territories, lands, resources and ways of life.

This commitment to fostering rights-based approaches is now integrated into several paragraphs of the <u>Operational Guidelines</u>, where it is noted in particular that consideration and participation of rights-holders and **stakeholders** are encouraged in the processes of the following areas:

- Tentative Lists: participation and consultation of **rights-holders** when Tentative Lists are prepared, including obtaining the free, prior and informed consent of Indigenous Peoples in the case of candidate sites affecting their lands, territories or resources;
- Nomination processes: effective, inclusive and wide participation in the nomination process, including a clear demonstration that there has been the free, prior and informed consent of Indigenous Peoples;
- **Management systems**: an effective management system should include a thorough understanding of the World Heritage property, its universal, national and local values and its social-ecological context, that is shared by all **actors**, including local communities and Indigenous Peoples. It should provide for inclusive and participatory planning and consultation processes with respect for diversity, equity, gender equality and human rights. Collaborative management systems also include equitable governance arrangements and redress mechanisms to support the implementation of management activities.

2.3   MANAGEMENT SYSTEMS FOR HERITAGE PLACES

KEY POINTS

- A management system for World Heritage should provide effective protection over time and ensure that all its heritage values, including its OUV are maintained.

- A management system aims to ensure that the conservation of the World Heritage property generates benefits for its associated communities and that it contributes to wider societal goals, such as sustainable development, when possible.

- A management system is best understood as the combination of institutional structures, instruments and processes that together ensure the effective protection of the World Heritage property.

- Management systems can vary considerably according to the specific type of heritage place (e.g. a building, an urban area, a forest, a seascape) but also the different cultural perspectives, historical dimensions, political factors, institutional capacities and available resources. For World Heritage, the Operational Guidelines recognize this diversity of existing management systems and outline common aspects of an effective management system.

- Analysing a heritage management system according to its different elements helps to identify where strengths and weaknesses lie and provides a good departure point to overcome any shortcomings.

2.3.1   WHAT IS THE PURPOSE OF A HERITAGE MANAGEMENT SYSTEM?

World Heritage properties must demonstrate an appropriate and effective protection and **management system** in order to be inscribed on the World Heritage List. The Operational Guidelines state that the purpose of a management system is to ensure the effective protection of the nominated property for present and future generations. Such a system must first and foremost ensure that all its **heritage values**, including its **Outstanding Universal Value (OUV)**, are maintained (see **3.1**). A management system will also aim to ensure that the conservation of the World Heritage property generates **benefits** for its associated **communities**, and that it contributes to their well-being as well as wider societal goals, such as **sustainable development**, when possible. Management systems that explicitly integrate such aims from the outset and adopt participatory approaches are more likely to succeed through wider acceptance and support.

Each place has a unique combination of heritage values and **attributes** with specific conservation needs, and different ways of being able to contribute to societal needs and aspirations. Understanding this and establishing consensus around the overarching purpose of its heritage management system, provide the basis for defining **management objectives** for the **heritage place**. These objectives set the broad direction (or guiding principles) for the whole management system, including what must be done to maintain the OUV of the World Heritage property and its overall **heritage** significance, what management measures are necessary to conserve the attributes, how the property can contribute to sustainable development and what benefits it aims to generate. Finally, what is undertaken in pursuit of those objectives and the means and actions applied to achieve them become the focus of everyday **management**.

Examples of management objectives could include: conserving *in situ* the fossils in a fossil deposit; maintaining the townscape of a human settlement; fostering the traditional occupations and livelihoods of communities and Indigenous Peoples associated with a cultural landscape; preserving a particular traditional building technique through its continuous use and application; or limiting access to certain areas to ensure the viability of habitats critical to a specific endangered migratory species.

For World Heritage properties, it is paramount to ensure that management objectives primarily seek to maintain the values for which they have been inscribed on the World Heritage List: their OUV. Other complementary but sometimes secondary objectives may then be added. When it comes to broader contributions to society, most heritage places should also aim, for example, to:

- deliver sustainable benefits to Indigenous Peoples and other associated communities;

- encourage opportunities for people to engage in meaningful ways with their heritage;

- provide appropriate visitor experiences;

- facilitate research activities that complement management needs with consent of **rights-holders**;

- help to provide two-way learning opportunities;

- develop public support for conservation.

As noted above, maintaining heritage values, including the OUV, should be the unambiguous priority. While management objectives should not be in conflict, there may be occasions where compromises need to be made to respond to the aspirations of different **actors**. An example might be finely balanced decisions around the management of water catchments to protect significant marshland **ecosystems** while sustaining traditional livelihoods, or the need for historic buildings to meet regulatory requirements for safety while maintaining their original materials, layout and design. So, setting unambiguous and agreed management objectives, with the full and effective participation of all relevant rights-holders and **stakeholders**, can help to alleviate potential tensions between conservation and development.

2.3.2 WHAT ARE THE MAIN ELEMENTS OF A WORLD HERITAGE MANAGEMENT SYSTEM?

The Operational Guidelines do not provide a definition of management systems due to the variability across all properties and there is a general tendency to use the terms 'management systems' and '**management plans**' interchangeably. However, a management system is best understood as the combination of institutional structures, **instruments** and processes that together ensure the effective protection of the World Heritage property; whereas a **management plan** is an **instrument** that mainly indicates how the management system works, outlines what is to be achieved and what actions need to be implemented over a certain period of time.

Possible common elements of an effective management system as noted in the Operational Guidelines are:

- a thorough shared understanding of the property, its universal, national and local values and its socioecological context, across all actors, including associated communities and Indigenous Peoples;

- a respect for diversity, equity, gender equality and human rights and the use of inclusive and participatory planning and consultation processes;

- a cycle of planning, implementation, **monitoring**, evaluation and feedback;

- an assessment of the vulnerabilities of the property in the face of social, cultural, economic, environmental and other pressures and changes, including **disasters** and **climate change**, as well as the monitoring of the impacts of trends and proposed interventions;

- the development of mechanisms for the involvement and coordination of the various activities between different actors;

- the allocation of necessary resources;

- capacity-building;

- an accountable, transparent description of how the management system functions.

This list of elements is not exhaustive. In considering heritage management systems, it is important to recognize that they can have very different compositions. Most heritage management systems draw on efforts from diverse institutions and from an array of legal, customary and regulatory instruments, which can be heritage and non-heritage specific, operating at national, regional and/or local levels. In the case of World Heritage, the management system routinely includes a combination of administrative levels, since the ultimate responsibility for their protection lies with the State Party, while most management actions take place locally.

It should also be noted that at many heritage places, including World Heritage properties, elements of the management system will not always lie entirely within the heritage sector. Other sectors and their agencies, as well as civil society associations and private **organizations**, may have formal and informal powers over heritage and exert influence on management. For example, historic urban areas are often managed by municipal authorities, whose heritage agendas are only one small part of their mandate. Similarly, many heritage places, including some World Heritage properties, include areas that are managed by Indigenous Peoples or by religious communities.

In some cases, the management system incorporates a mix of traditional, formal and informal instruments, institutional and customary structures, practices and processes. For instance, governmental oversight can overlap with living traditions and customary management practices to protect a farming landscape or a sacred mountain.

Some management systems draw strongly on **decision-making** and **management processes** at a national level that involve certain amounts of political will and intentions; this is typical of centralized management approaches. Others may operate mostly at a provincial or local level. Often the elements of these management systems are not exclusive to one particular heritage place but cover many in one country or single jurisdiction. For instance, a heritage management unit may be responsible for managing all the designated heritage places within its jurisdiction. In a few cases, the management entity might be equipped with elements specific to a heritage place and enjoy significant management autonomy.

Even heritage places managed by a single institution will be subject to a wide array of legislation, planning instruments and institutional frameworks. The reason for this is that those places cannot exist or be managed in isolation from their surroundings. Likewise, they are influenced by the social, cultural, political, economic and environmental context that influences the ability of that single institution to operate and fulfil its mandate. For instance, a historic monument, archaeological site or national park may have a dedicated management authority. However, other actors may govern access to those heritage places or will have legal and customary rights to use the land surrounding them in ways that may affect their protection. In the case of natural World Heritage properties, urbanization, energy and transport infrastructure and extractive industry interests in **buffer zones** or the **wider setting** are increasingly placing pressure on heritage places and important corridors for wildlife movement.

The elements of the management system are briefly summarized in the Statement of Outstanding Universal Value (SOUV) when a property is inscribed on the World Heritage List. To provide a structured way of thinking about a management system and how it functions, the following four parts of the manual explain the main elements needed to conserve a heritage place effectively:

- **Heritage place:** starting with its heritage values and attributes, which should form the basis for all management measures. Effective management also needs to be based on an understanding of the social, cultural, economic, and environmental context, particularly when that context explains the various factors that can affect the heritage place. The delineation of boundaries and buffer zone(s), as well as the understanding of the wider setting, play a critical role in responding to those factors.

The wide range of services and benefits that a heritage place provides are also explored (see **Part 3**).

- **Governance arrangements:** understanding the range of actors associated with the heritage place and who is responsible and accountable for its management forms the basis for defining **governance** arrangements. To uphold their rights, exercise their powers and fulfil their responsibilities, actors use a variety of instruments, which are part of the legal, regulatory and **customary framework**. The coordination and decision-making processes that accompany governance arrangements also need to be assessed for quality against a set of 'good governance' principles (see **Part 4**).

- **Management processes:** planning, implementation and monitoring, with allocation of adequate resources and interlinked to other management processes such as **disaster risk management**, **impact assessment**, urban heritage management and tourism and visitor management, are important elements of the management system and used to achieve objectives linked to recreation, benefits generation, education or research (see **Part 5**).

- **Results:** regular assessments of a management system help evaluate whether it is delivering expected results in terms of maintaining the values of the heritage place and ensuring that management objectives are being achieved. Identifying changes that can lead to greater effectiveness and efficiency for continuous improvement is central to effective management (see **Part 6**).

2.3.3   ANALYSING AND ASSESSING MANAGEMENT SYSTEMS

State of Conservation reports and **Periodic Reporting** continuously demonstrate the lack of effective management as one of the key negative factors threatening the protection of World Heritage. The IUCN World Heritage Outlook, which assesses all natural World Heritage properties, has shown, for example, that only of half of these properties are considered to be managed effectively. Analysing a heritage management system according to its different elements helps to see where strengths and weaknesses lie and provides a good departure point to overcome any shortcomings. Regular assessment of how well the management system is working will also help it adapt to changes in conservation practice, availability of resources and societal aspirations over time.

The assessment of **management effectiveness** has been a growing trend for many protected and conserved areas since the 1990s and in 2008 an easy-to-use framework called Enhancing Our Heritage Toolkit was launched to facilitate the evaluation of management effectiveness at natural World Heritage properties. This toolkit has since been expanded to work for all World Heritage properties: Enhancing Our Heritage Toolkit 2.0 (EoH 2.0, 2023). The updated Toolkit provides a set of twelve tools to analyse the critical elements of a management system and should be used as a companion to this manual.

3. UNDERSTANDING THE HERITAGE PLACE

3.1 HERITAGE VALUES AND ATTRIBUTES

KEY POINTS

- Heritage values are the range of reasons, beyond mere utility, why people want to protect heritage.

- World Heritage properties are considered to have Outstanding Universal Value (OUV), which is the reason why the heritage place is considered to be so exceptional that it is of common importance to present and future generations of all humanity.

- Attributes are the elements of a heritage place that convey its OUV and other heritage values and should be the focus of protection, conservation and management actions. They can be the physical qualities, material fabric and other tangible features of the place, as well as processes, social arrangements, cultural practices and intangible aspects associated with the place that together convey and enable an understanding of the heritage values.

- The values of the heritage place together with its attributes should inform all major decisions on how to manage it, who should be responsible for managing it and what mechanisms should be used, so that what makes the place special lasts into the future.

- Inclusive values assessment processes are needed so that the many reasons why a heritage place is considered important to different people can be identified.

- The identification of heritage values and attributes is the critical first step for the effective management of heritage places.

3.1.1 WHY IS A PLACE VALUED AS HERITAGE?

Heritage includes all inherited assets that people **value** for reasons beyond mere utility and consider worth protecting for present and future generations. There is a range of reasons for which **heritage places** are valued, which are often categorized as: aesthetic, architectural, biological, ecological, historic, scientific, geological, social, spiritual and potentially many others. In this manual, those reasons are called **heritage values**. Heritage places may have been long valued by people and that value transmitted from one generation to another; other places may have come to be valued by people more recently or for new reasons. Examples of newly emerging reasons include those that reflect the increasing recognition of heritage associated with space or those associated with recent technology developments.

The values of the heritage place should inform all major decisions on how to manage it, who should be responsible for managing it and what mechanisms should be used, so that what makes the place special lasts into the future. Having an in-depth understanding of *why* the place is important for *whom* and *what* needs to be conserved informs decisions and appropriate actions on how best to protect and manage the heritage place. Once identified and defined, heritage values become the foundation for all **management processes**, including, for example, **management planning**, **disaster risk**, **preparedness**, **impact assessment** and visitor management.

3.1.2 WHO VALUES A HERITAGE PLACE?

Different people value places for different reasons. Those reasons are determined by a range of social and cultural factors at a specific point in time. The reasons why a heritage place is valued by one section of society may not be shared by others. Present generations may value a heritage place that was not valued in the same ways in the past. Together, all the values of a heritage place, including the interactions between them, can be called its overall significance. When a place is considered to be of exceptional importance to all humanity, then it can be considered for inscription in the World Heritage List.

It is worth noting here that, for many people, nature and culture are inseparable, and that many throughout the world consider nature to have an intrinsic value. It is also common for people of many different cultural backgrounds to ascribe an 'existence value' to both cultural and natural places. In many ways, the underlying ethic of the World Heritage Convention reflects this idea that places are of common importance to present and future generations, even if they are never visited, used or personally experienced.

In the past, judgements about values were primarily made by heritage professionals working with governmental institutions and guided by their specialist knowledge. These areas of expertise are still needed in heritage conservation and **management**, but the notion of heritage as something important to society and that is usually being held in trust on behalf of a larger group of people, demands that more voices be heard. Which values are recognized depends largely on who is involved in identifying or assessing them: an architect, a biologist, an elected official, an Indigenous person, a farmer or a shopkeeper might value the same heritage place for considerably different reasons. Participatory and inclusive values assessment processes are needed so that the many reasons why a heritage place is considered important to different people can be identified. Likewise, management approaches need to be culturally and place specific, inclusive of different world-views and cosmologies, and respectful of different forms of knowledge.

Through the process of investigating and identifying different values, the importance of a place can be more clearly described. As different people may legitimately value the place in different ways, the place will often have a range of values, and they may not always be self-evident. Some values can be in conflict and it is important to address this where it arises, requiring heritage practitioners to work together with associated **communities** and knowledge-holders, to find common ground (**governance**).

Values assessments are usually made against defined sets of criteria established to determine a particular level of recognition. The inclusion of a heritage place on the World Heritage List is perhaps the most visible example of this. However, similar approaches are used for other types of international designations (such as Ramsar Sites, Biosphere Reserves, Geoparks, Globally Important Agricultural Heritage Sites, Intangible Cultural Heritage and Memory of the World), as well as national designations (such as national parks or listed buildings). Some places will have multiple designations (international, national or local), sometimes with different emphases. Nevertheless, when it comes to management, it is important that the overall significance of the heritage place is recognized and that the focus of one designation does not detract from considering the place's other values as well.

3.1.3 WHAT IS OUTSTANDING UNIVERSAL VALUE?

For World Heritage, emphasis must be placed on **Outstanding Universal Value (OUV)**, the reason why the heritage place is considered to be so exceptional that it is of common importance for present and future generations of all humanity. To be included on the World Heritage List, places must meet at least one of ten defined **criteria**, as well as the relevant conditions of **integrity and authenticity** and must have adequate **protection** and **management mechanisms**. All these elements are eessential parts of the OUV (see Operational Guidelines, paragraph 49).
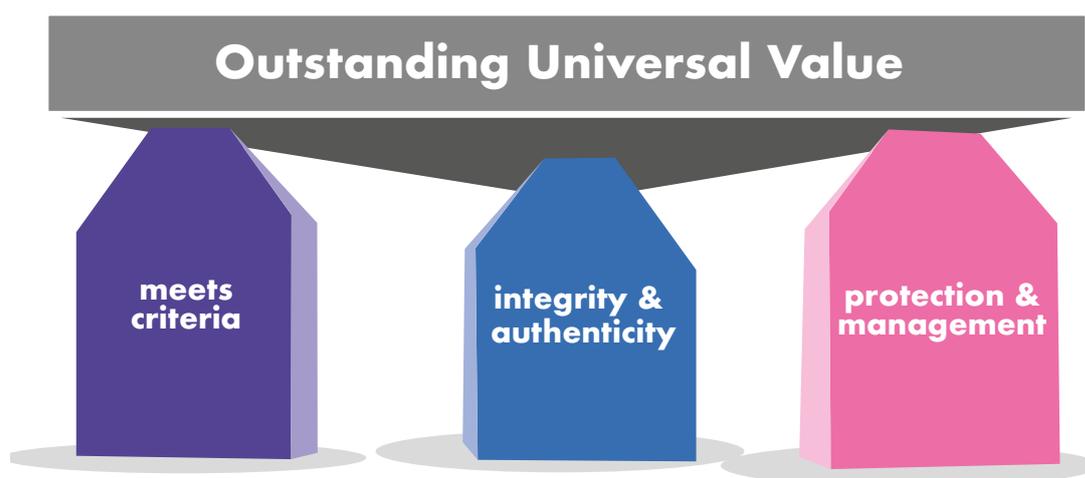
Figure 3.1 A World Heritage property's OUV is based on the criteria it meets, its integrity and authenticity, and its protection and management.

For a heritage place to be considered as having OUV it must meet one or more of the following ten **criteria**:

(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 on-going ecological and biological processes in the evolution and development of terrestrial, freshwater, coastal and marine ecosystems and communities of plants and animals; and/or

(x)   contain the most important and significant natural habitats for in-situ conservation of biological diversity, including those containing threatened species of OUV from the point of view of science or conservation.

Authenticity applies to cultural heritage and refers to the degree to which knowledge and understanding of the property's heritage values are understood and believed to be credible: whether their cultural values are truthfully and credibly expressed through **attributes** 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; spirit and feeling; and other internal and external factors.

Integrity is a measure of the wholeness and intactness of the natural and/or cultural heritage and its attributes: the extent to which the property includes all elements necessary to express its OUV; whether it is of adequate size to ensure the complete representation of the features and processes that convey the property's significance; and whether it has been protected from adverse effects of development and/or neglect.

Protection and management relates to how a property's OUV, including its integrity and/or authenticity, are sustained and enhanced over time.

For World Heritage, the criteria under which a property is inscribed provides an indication as to the rationale for its listing but is not detailed or specific enough to identify values and then the attributes that convey those values. This will be elaborated to an extent in the formal Statement of OUV for the inscribed property.

When the **World Heritage Committee** inscribes a property on the World Heritage List, it also adopts a Statement of Outstanding Universal Value (SOUV) that outlines how a property satisfies the relevant criteria, the conditions of integrity (for all properties) and authenticity (in case of cultural properties), and how it meets the requirements for protection and management to protect and conserve the property in the long term. The SOUV is structured on an agreed format, which includes the following sections: a brief synthesis; the justification of the criteria according to which the property has been inscribed on the World Heritage List; the statements of integrity and authenticity; and the protection and management requirements.

3.1.4   ATTRIBUTES THAT CONVEY HERITAGE VALUES

Attributes are the elements of a heritage place that convey its OUV and other heritage values. They can include physical structures, material fabric and other tangible features, but can also be intangible aspects such as processes, social arrangements and cultural practices, as well as associations and relationships that are reflected in physical elements of the property.

For cultural properties, attributes can be buildings or other built structures and their forms, materials, design, uses and functions, but also urban layouts, agricultural processes, religious ceremonies, building techniques, visual relationships and spiritual connections. For natural properties, attributes can be specific landscape features, areas of habitat, geological features and processes, aspects relating to environmental quality (such as intactness, high/pristine environmental quality), scale and naturalness of habitats, and size and viability of wildlife populations including flagship species.

Distinguishing between heritage values and attributes is not always easy because the two concepts are interrelated. One simple way to distinguish between them is to ask:

- '*Why* is the heritage place important?' – the answer will be a sentence about a heritage value;
- '*What* needs to be conserved so that the heritage place maintains its heritage values?' – the answer will be a list of attributes.

Attributes are what need to be conserved within the heritage place for people to continue to consider the place important and worth protecting and transmitting to their descendants. A careful identification of attributes is vital to ensure that the multiple values of the heritage place are maintained. For example, a temple located at the peak of a mountain conveys the spiritual values of the mountain to the local community and expresses particular architectural and building traditions. Those spiritual values may also be embodied in natural features of the mountain, as well as in the access routes to the temple and in the ceremonies and rituals that people hold within and around the temple. Similarly, a natural site may be considered important because of its scientific value in understanding part of Earth's history. This value may be conveyed by landforms, sediments and rock sequences as well as by fossil records.

Attributes, and the interactions between them, should be the focus of protection, conservation and management actions. While a clear identification of all the attributes that convey a World Heritage property's OUV is needed, in some circumstances it may help to focus on certain of them to facilitate management. For example, in natural heritage cases it may be helpful to focus on individual species, for instance if the focus is on tiger conservation. In other cases, the better approach may be to look at a group of attributes in a common way; for example, the richness and health of freshwater fish populations in a lake system will likely need overall management of water quality. A conservation project for a historic building might need to identify attributes at the level of specific architectural features, design and engineering details, whereas in a historic city, the overall urban layout and the relationship between the buildings as an architectural complex would be the attributes.

3.1.5 WHY IS IT NECESSARY TO IDENTIFY VALUES AND ATTRIBUTES?

Having an in-depth understanding of *why* the place is important and *what* needs to be conserved is necessary to make informed decisions and take appropriate actions on how best to protect and manage the heritage place. For this reason, identifying heritage values and attributes is a critical first step for the effective management of heritage places.

As noted in the section above, there is a need to identify the full range of heritage values, that is, why the heritage place is important and to whom. It should be recognized that sometimes there may be a conflict between heritage values. For instance, a forest that is important for its **biodiversity** may need to be left as undisturbed by humans as possible to protect endangered species; however, the cultural values of the forest may mean that an associated community needs access to sacred sites within the area. It is important to be aware of such issues so that they can be discussed by **managers** and **rights-holders**, to avoid tensions and find mutually acceptable solutions. Adopting a pluralistic approach to assessing heritage values provides the best chance to ensure management actions are informed and appropriate to the range of values ascribed to the place. In this example, negotiated arrangements could be reached by providing access only to members of the associated community and identifying together any critical areas, which could be left with limited or no human contact to protect the endangered species.

It is also important to recognize that many attributes will be connected and cannot be managed in isolation. Indeed, some values can be conveyed by the relationships and dynamics between different attributes. For example, the geological process of a spectacular waterfall will be a product of various attributes: the geomorphology, water quantity and quality, vegetation communities and meteorological dynamics at play. All the attributes and their connections need conserving in a way that maintains their relationships and important processes. A place-based approach aims to identify all the attributes of the heritage place, together with the relationships and connections that define them, so that they are all functionally conserved. The spatial distribution of those attributes and their respective conservation requirements should inform the boundary of the property and its **buffer zone** (see **3.4**).

Finally, there is a need to understand the interdependencies between nature and culture, which are evident at many heritage places. Natural and cultural values are often treated separately in heritage

management systems. However, for many people, particularly Indigenous Peoples, this separation does not exist. By acknowledging these connections, it is possible to identify all the relevant attributes and recognize that a cultural value may be conveyed by one or more natural attributes and vice-versa. For example, some areas of high biodiversity are dependent on traditional farming practices to maintain their particular ecological systems. In other cases, architectural styles and building materials are dependent on the particular natural and geological resources of the heritage place. In such cases, both natural and cultural attributes will need to be managed together in order to adequately protect and conserve the OUV and other heritage values.

3.1.6 HOW TO IDENTIFY VALUES AND ATTRIBUTES

Effective heritage management is based on the identification and full understanding of the overall range of heritage values of a place and the attributes that convey those values. This requires research and may include looking at publications, documentation and inventories. However, effective cooperation with associated communities and knowledge-holders is also important, so it is key to find appropriate ways to involve, consult and collaborate with various **actors**, from associated community members (especially Indigenous Peoples) to heritage specialists. In the case of heritage places including lands or territories of Indigenous Peoples, any research and cooperation to identify values should be carried out in accordance with their right to free, prior and informed consent. In a World Heritage context this should start when a place is being considered for inclusion on the Tentative List.

Once the heritage values have been assessed, the attributes that convey and enable an understanding of those values can be identified (EoH 2.0 Tool 1). In many cases, field surveys and detailed observations of the heritage place will be needed to draw up a list of relevant attributes (tangible and intangible, natural and cultural). Establishing mechanisms for ongoing documentation and **monitoring** are essential, to inform **decision-making** and assess the **state of conservation** over time.

An existing World Heritage property should have an SOUV that describes its OUV; many other heritage places have a statement of significance, which serves a similar purpose. This is a useful starting point, although these documents are, by their nature, summarized and can be quite general. It will almost always be necessary to go more deeply into values and attributes to create useful lists and maps to effectively aid the management of the heritage place.

There are various approaches and tools to support an analysis of values and attributes at differing levels of heritage significance. Tool 1 of EoH 2.0 Toolkit and in particular Worksheet 1a (on p. 30 of EoH 2.0 Toolkit), provides a template for listing values and their attributes, to assess whether there is a good understanding of them. A similar template is included in *Guidance and Toolkit for Impact Assessments in a World Heritage Context* (2022), which includes an example of a fictitious World Heritage property showing how the SOUV can be analysed for values and attributes (on p. 68 of that manual). The importance of getting this step right cannot be overemphasized as it drives all management processes and activities that follow, and the evaluation of results relates back to the values and their attributes that are the focus of protection.

REFLECTION QUESTIONS

- Do you have the SOUV or statement of significance for your heritage place in your local language?

- Is the OUV of the property easy to understand, including by non-heritage professionals? If not, can you describe it using short and simple sentences that are easy to communicate to a wide variety of actors?

- What are the attributes that convey the property's OUV?

- What other heritage values are recognized by other designations at the national or local levels or are important for associated communities? What attributes convey these other values?

- Have you consulted widely and collaborated effectively with associated communities and other rights-holders to ensure you understand the full range of heritage values of the place?

- Have you systematically documented the values and attributes of your heritage place?

- What is the relationship between the other important values and the OUV of the property? Are some of these values interdependent? Are some of the values divergent or in conflict? If yes, why and how does that affect management?

- Is the SOUV included as the basis of the property's management plan? Have you carried out a more detailed analysis of heritage values and attributes that is based on your official SOUV?

- Are there certain categories of values that have been overlooked or insufficiently documented or recorded? If so, is additional research needed or should further investigation and documentation be undertaken, and by whom?

- Have processes, practices and associations, as well as other intangible elements, been considered as attributes or is the identification of attributes mainly limited to physical elements?

- Is the distinction between values and attributes in the information sources clear?

Box 3.1 Statement of Outstanding Universal Value

When the World Heritage Committee inscribes a property on the World Heritage List it also adopts a Statement of Outstanding Universal Value (SOUV), which outlines why the property has Outstanding Universal Value (OUV). The SOUV includes how a property satisfies the relevant criteria, the conditions of integrity (for all properties) and authenticity (in case of properties inscribed under cultural criteria from (i) to (vi)), and how it meets the requirements for protection and management to sustain OUV in the long term. The SOUV is structured according to an agreed format, which includes the following sections: a brief synthesis; the justification of the criteria according to which the property has been inscribed on the World Heritage List; the statements of integrity and authenticity; and the protection and management requirements.

The adopted SOUV represents an essential reference for boundary modifications, monitoring (including Periodic Reporting and potential Reactive Monitoring) and possible inclusion on the List of World Heritage in Danger. The SOUV is also the ultimate benchmark against which any decision regarding the possible deletion of a property from the World Heritage List should be weighed.

The justification of criteria outlines how a property satisfies the relevant criteria. The statement of integrity in the SOUV sets out how well and to what extent attributes within the boundaries of the World Heritage property are able to convey the OUV, and whether these are presently in good condition or eroded and vulnerable. The statement of authenticity sets out how and through which sources of information attributes can convey the OUV truthfully and credibly. These sources of information are exemplified in Annex 4 of the Operational Guidelines (which incorporates the Nara Document on Authenticity) and include form and design, materials and substance, use and function, traditions and techniques, location and setting, spirit and feeling, and other internal and external factors, but are not limited to those. Both statements, along with the brief synthesis and the justification of the criteria, are crucial to help define the management system of the property, the content of which comprises the final part of the SOUV in the protection and management requirements.

For all the above-mentioned reasons, it is essential that the SOUV is clearly understood and used regularly to orient the management of the property. Clear identification and mapping of attributes is a crucial step towards effective property management. The SOUV is particularly important in this regard, as it identifies the key attributes that convey and embody the OUV and support the justification of the criteria. Since the SOUV is a synthetic document, it usually cannot provide details of all attributes, which, therefore, would need to be further analysed and detailed to form a robust basis for protection and management purposes.

A proposed SOUV is usually set out in the nomination dossier. Often this proposal is modified and revised by the relevant Advisory Bodies as a result of their evaluation of the nomination. This version of the SOUV is then adopted by the World Heritage Committee, once all modifications are agreed with the relevant State Party. For these reasons the adopted SOUV may not be the same as the original proposal in the nomination dossier. However, the nomination dossier normally contains useful information to gather a full understanding of all of the attributes that convey the property's OUV. Management plans and other protection or conservation instruments can also be useful references.

The SOUV is expected to remain valid in the long term as the official justification for the inscription of the property on the World Heritage List and as the guiding document for its protection and management. The sections on criteria, authenticity and integrity describe why the property is considered outstanding and what is expected to be conserved. The section on protection and management requirements may occasionally need updating, for instance, if aspects of the legal and regulatory frameworks have significantly changed.

The brief synthesis, the justification of the criteria, and the statements of integrity and authenticity cannot normally be modified, unless the property itself is modified. These modifications may be triggered by major boundary modification proposals or by the renomination of a property under new criteria or by the inclusion of additional values.

SOUVs have only been a compulsory part of the nomination process since 2005. For most properties inscribed before that date a retrospective SOUV has been defined, based on the contemporary documentation from the time of inscription, with any necessary reflection of the current protection and management arrangements.

Further information on SOUVs can be found in the manual *Preparing World Heritage Nominations* and in Guidance on the Preparation of Retrospectives Statement of Outstanding Universal Value for World Heritage Properties.

Integrity
A statement of integrity is included in the SOUV of each property inscribed on the World Heritage List. According to the Operational Guidelines, integrity is a qualifying condition for a property to be inscribed on the List; hence an assessment of the integrity of a property is carried out in the evaluation process of a nominated property. The outcome of this assessment is a statement that describes to what extent the property includes all elements necessary to express its OUV, explains how the property is of adequate size to ensure the complete representation of attributes that convey the property's significance, and sets out whether the property suffers from adverse effects of development and/or neglect.

For properties meeting criteria from (i) to (vi) the statement is meant to explain the extent to which: the physical fabric of the property and its attributes are in good condition; the impacts of deterioration processes are under control; all the attributes that convey the property's OUV are included within the boundary of the World Heritage property; the relationships and dynamic functions present in cultural landscapes, historic towns or other living properties essential to their distinctive character are also included as much as possible within the property's boundary and maintained.

For properties inscribed under criteria from (vii) to (x), the statement of integrity assesses whether biophysical processes and landform features are relatively intact, while recognizing that no area is totally pristine: all natural areas are in a dynamic state and to some extent they involve contact with people. The statement also addresses whether human activities carried out within the property or its buffer zone, including those of local communities and Indigenous Peoples, may be consistent with the property's OUV.

A fair and realistic assessment of the conditions of the attributes, of their distribution within the property of their relationships with elements in the buffer zone as well as the wider setting, is needed to define protection and management mechanisms, including actions that may be needed to reinforce the integrity of the property. As such, the statement of integrity can refer to areas that, in the light of future research, offer potential to contribute to and enhance OUV but that, for concrete reasons, were not included within the boundaries of the property at the time of inscription. Equally, in the case where some of the attributes at the time of inscription are in a vulnerable condition (for instance, due to extreme climatic events or other disasters), recognizing this in the statement of integrity prepares the ground for setting out clear management priorities in the upcoming planning cycles.

Authenticity

A statement of authenticity is part of the SOUV of properties inscribed under any criteria from (i) to (vi). According to the Operational Guidelines, authenticity is a qualifying condition for cultural or mixed properties to be inscribed on the List, hence an assessment of the authenticity of a property is carried out in the evaluation process of a nominated property. The focus of this assessment is how and to what extent attributes convey OUV truthfully, credibly and genuinely, through a variety of sources of information. These are all material, written, oral and figurative sources, which make it possible to understand the nature, specificities, meaning and history that make up the entirety of the property›s OUV.

The Nara Document on Authenticity, which is at the basis of the assessment of the conditions of authenticity, states that authenticity judgements may be linked to the worth of a great variety of sources of information, such as form and design, materials and substance, use and function, traditions and techniques, location and setting, spirit and feeling, and other internal and external factors, depending on the nature of the cultural heritage, its cultural context and its evolution through time.

Knowing and understanding which are the main sources of information through which the attributes demonstrate credibly and truthfully the OUV of a property – in relation to its original and subsequent characteristics and its meaning – is necessary for assessing all aspects of authenticity and outlining adequate and effective conservation and management measures. For instance, when the authenticity of a property is dependent on its original material fabric and on the information that can be drawn from it – such as the use and origins of specific materials, or the knowledge of production processes, workmanship and know-how that have since disappeared – conserving that historic fabric is of utmost importance to understand and appreciate its significance. When the OUV of the property resides in the information potential that lies in its archaeological stratigraphy, it is crucial that archaeological remains are not disturbed by unprofessional digging or exploration. If the OUV of a property is conveyed by attributes of traditional farming practices, it is fundamental that the system that sustains the practices is not disrupted to maintain the attributes. The relevant sources of information required to understand how attributes convey OUV may be multiple, and they all need to be considered when defining appropriate management measures.

Protection and management requirements

A section of the SOUV describes the conservation and management mechanisms required to protect the World Heritage property in the long term. In general, the text in this section summarizes the key elements of the management system (whether currently in place or in need of establishment) neccessary to conserve the attributes and to address the main factors affecting the property. It can refer, for instance, to the legislative measures in place, main governance arrangements relative to institutional agreements and planning instruments used, as well as necessary monitoring programmes.

This section also needs to acknowledge any long-term requirements, expectations and challenges for the protection and management of the property and state how these could be addressed through long-term strategies. It will be relevant to set out how management measures will address the main vulnerabilities and threats and resolve, or at least mitigate, the effects of any adverse changes.

Adapted from: Operational Guidelines (2025), Preparing World Heritage Nominations (2011), Guidance on the Preparation of Retrospective Statements of Outstanding Universal Value for World Heritage Properties (2010).

ADDITIONAL RESOURCES

- UNESCO, ICCROM, ICOMOS, IUCN (2011). Preparing World Heritage Nominations. Paris, UNESCO.

- UNESCO, ICCROM, ICOMOS, IUCN (2023). Tool 1: Values, attributes and management objectives, in Enhancing Our Heritage Toolkit 2.0, pp. 30–35. Paris, UNESCO.

- UNESCO, ICCROM, ICOMOS, IUCN (2022). Notes on how to use Tool 1: Heritage/conservation values and attributes. Guidance and Toolkit for Impact Assessments in a World Heritage Context, pp. 68–74. Paris, UNESCO.

- UNESCO Urban Heritage Atlas.

- IUCN (2016), Managing MIDAS: Harmonising the Management of Multi-Internationally Designated Areas, Gland (Switzerland), IUCN.

3.2 SOCIAL, CULTURAL, ECONOMIC AND ENVIRONMENTAL CONTEXT

KEY POINTS

- Management of heritage places must draw on knowledge of the particular social, cultural, economic and environmental context of each place, and recognize the positive and negative influences that it can have, in order to tackle the current challenges to heritage conservation.

- Conservation is more successful in protected areas that are connected to their wider landscape and integrated into wider management networks, than at isolated sites.

- Conservation of heritage places is dependent on the degree to which different people and associated communities collectively support and care for those places, so building relationships with communities and other sectors is important.

- Economic resources are needed to ensure adequate protection, conservation and management of heritage places. Heritage managers also need to be aware of economic trends that influence the types of change and developments proposed in and around heritage places.

- Heritage practitioners should always be proactive in building relationships with other sectors so that their concerns can be fully reflected in decision-making processes that may affect World Heritage.

3.2.1 WHY IS IT NECESSARY TO CONSIDER THE CONTEXT OF THE HERITAGE PLACE?

Social, cultural, economic, and environmental challenges are interwoven. The World Heritage Convention was based on the awareness that cultural and natural **heritage** were increasingly threatened with destruction not only by the traditional causes of decay, but also by changing social and economic conditions that aggravate the situation. Half a century later, human-induced **climate change** and **biodiversity** loss add to those pressures, with conflict, poverty, environmental degradation and globalization. Economic challenges, limited priority-setting for heritage and **decision-making** favouring exploitation of resources, in or around **heritage places**, significantly influence the ability of **managers** to protect heritage places. The displacement and dispossession of **communities** in the face of non-recognition of their rights adds complexity to these issues. Current challenges to heritage conservation require, more than ever, an in-depth understanding of the contexts of heritage places, since they will all be shaped by particular social, cultural, economic, and environmental dynamics. In order to identify, govern, conserve and manage heritage well, it is important to understand those dynamics and the positive and negative influences they can have, especially as the underlying causes of factors that can affect a heritage place.

Context will also deeply influence the ways in which the **management system** is structured and how it operates. When the context is understood in parallel with an assessment of the services and **benefits** flowing from the protection of the heritage place, it can provide additional insights that can strengthen management efforts. Although heritage managers most likely do not have the mandate or responsibility for issues within the context, when they work proactively with those in other sectors, they can gain greater results for heritage **management** and benefits for society (see **3.5**).

The following sections indicate some of the contextual issues that affect many heritage places and their management and merit careful consideration. However, the approach needs to be tailored for each heritage place in order to understand the specific context in which it is located, which positive aspects can be taken advantage of and consolidated, which negative aspects require attention and where improvements might need to be made in order to strengthen the management system.
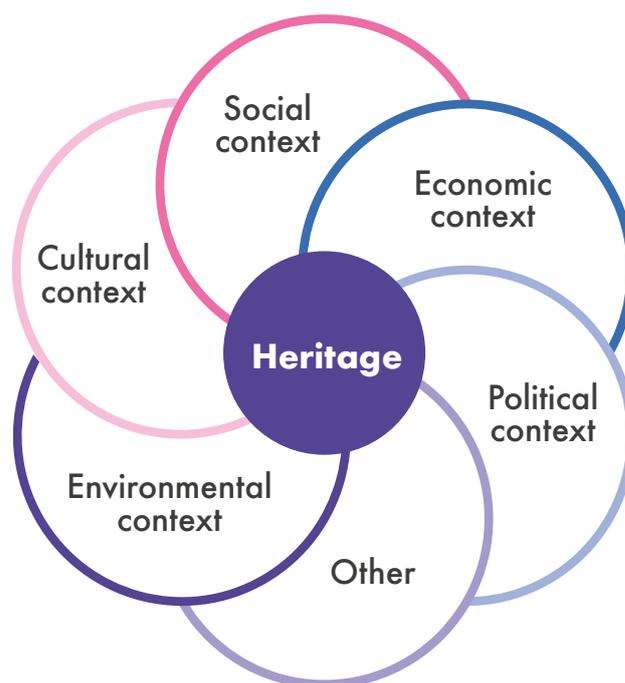
Figure 3.2 More than ever before, heritage conservation requires before a nuanced and dynamic understanding of the contexts of heritage places, which will all be shaped by particular social, economic, cultural and environmental dynamics.

3.2.2　HOW DO ENVIRONMENTAL DYNAMICS INFLUENCE HERITAGE CONSERVATION?

The approach to cultural and natural heritage conservation that depended on the protection of defined and bounded areas, monuments and sites has developed over time to include landscape approaches and the recognition of the importance of their territorial contexts. Cultural heritage conservation is evolving from the conventional concept of protecting isolated monuments to one of considering the cultural significance of a wide variety of places, even large landscapes. Importance is being placed on integrating heritage conservation with urban and territorial planning systems, focusing on landscapes or larger territories and recognizing the dynamic relationship between people and heritage.

In the nature sector, changes in thinking about **protected areas** have emerged in part due to the growing importance of ensuring connectivity that can help to link habitats across whole landscapes, enabling species and their **ecosystems** to move or adapt as conditions change. Ecological connectivity is now more important than ever because of climate change: positioning protected areas in a practical sense within their larger ecosystems, interconnecting landscapes and seascapes. Protected areas are now more often viewed as part of a system and developed as networks. They may have diverse **governance** approaches and be integrated into the surrounding sustainably managed land, delivering a wide range of services and benefits.

Plastic now makes up 80 per cent of all marine debris that cause critical harm to marine species and to coastal areas, which suffer enormous amounts of marine litter washing up on their shores. Increased globalization has also caused the rapid spread of invasive species to new areas, combined with changing weather patterns and rising temperatures, both of which are bringing about changes that prompt different approaches to the material conservation of heritage.

Climate change-related events are impacting both cultural and natural places at unprecedented levels, causing floods, droughts, heatwaves, melting glaciers, sea level rise and ocean acidification. The frequency, intensity and timing of these events are also changing. While climate change is a global problem requiring collective action, its impacts are localized and vary from one place to the other. Although World Heritage properties cannot be safeguarded from climate impact in isolation, they can make significant contributions to addressing this unprecedented global threat.

3.2.3 HOW DO SOCIAL DYNAMICS INFLUENCE HERITAGE CONSERVATION?

Conservation of heritage places is dependent on the degree to which different people and associated communities collectively support and care for those places. In many heritage places, Indigenous Peoples and local communities are still their everyday stewards. However, social trends can undermine the attachments and associations these communities hold for their heritage places and lead to neglect or loss of **maintenance** practices. For example, the increasing professionalization of the heritage sector and the consolidated role of government institutions in protecting and managing heritage places – and particularly World Heritage properties, for which the state is ultimately responsible for – have sometimes undermined traditional practices and the roles that communities can play in the care of their own heritage.

Changing human demographics are among the most important social trends influencing heritage places but seldom receive the attention they deserve. As mobility increases worldwide, communities that were the holders of **heritage values** can change or move away, increasing the risk of diminishing the sense of place. Younger generations often move in search of better educational or economic opportunities. In some parts of the world, ageing populations raise concerns about the transmission of local and Indigenous knowledge, the continuation of cultural traditions, the progressive abandonment of agricultural landscapes and traditional human settlements, and the loss of know-how and craftmanship needed to conserve built heritage. In other heritage places, growing populations can lead to increased pressures on scarce resources, human–wildlife conflicts, land-use change or encroachment (through agriculture or urban development) and the demolition of heritage-listed buildings to make way for higher-density buildings.

Meanings attributed to and associations with heritage places, and knowledge about them, need to be maintained if they are to be passed on to future generations. However, customary rules, uses and practices critical to the values and management of heritage places can slowly erode as they are influenced by social changes and alternative livelihoods that are less dependent on local resources.

Regrettably, heritage management may also be isolated from the broader political context. For example, the heritage sector often operates without strong connections to other public administration sectors and development domains, even though **policy** decisions relating to economic growth, agriculture, energy, land use, housing, sanitation, water supply or transportation can have deep and long-lasting effects. Heritage management systems need to adopt models of governance that promote collaboration with other sectors and strengthen the integration of legal and planning **instruments** at broader scales.

3.2.4 HOW TO APPROACH ECONOMIC CONSIDERATIONS IN HERITAGE MANAGEMENT?

Economic resources are needed to ensure adequate protection, conservation and management of heritage places. As for the other contextual dynamics, economic trends can profoundly influence the types of change and developments proposed in and around heritage places.

Communities have aspirations to improve their quality of life, particularly where there are people living in poverty. Pursuing short-term economic benefits can compromise **sustainable development** and long-term benefits to wider groups of people as well as future generations. In all cases, income-generating activities are important for the heritage place and the local economy, but these need to be accompanied

by an awareness of their compatibility with the **management objectives** defined for the heritage place (see **2.3**). In some circumstances, diminishing public budgets can lead to expedient decisions that are detrimental to the conservation of the heritage place; for example, ambitious and inappropriate tourism strategies, destructive exploitation of natural resources or large-scale infrastructure projects. In some cases where extractive industries, large-scale dam and hydro developments, cable cars and transportation infrastructure projects such as highways and bridges were proposed in or near World Heritage properties, the **World Heritage Committee** has made clear decisions that such activities should not take place because of their negative **impacts** on the **Outstanding Universal Value (OUV)**. There are also a growing number of instances where industries have themselves made pledges to totally avoid certain activities within World Heritage properties. In some cases, significant and inappropriate developments have resulted in the removal of properties from the World Heritage List.

Heritage professionals often do not have the mandate or necessary power to address these issues directly, but by being aware of them they can anticipate problems derived from certain economic trends and others that can potentially affect the heritage places if not monitored or left unaddressed. Solutions to such problems almost always depend on more collaboration with **actors** from other sectors and on better integration of **management planning** instruments at different scales.

States Parties to the World Heritage Convention commit to ensuring that heritage plays a function in the life of communities, and, when this happens, public and private investment in its conservation is more likely to occur. If heritage conservation is integrated into sustainable development agendas, both aspects can be complementary rather than conflictual. Development can take many potential pathways; it is a matter of reflecting on which are appropriate, more sustainable and bring better **outcomes** to both heritage and people. For World Heritage properties, the Policy for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention (paragraph 4, p. 2) recognizes their inherent potential to contribute to all dimensions of sustainable development and works to harness the collective benefits for society; however, their OUV should not be compromised as a result.

Heritage conservation is often viewed as an obstacle to economic development, perhaps due to the perception that it hinders change. A thorough understanding of heritage values and **attributes** can help to identify the limits of acceptable change. In this way, rather than positioning change merely as either negative or positive, the question can be asked about what type, pace and degree of change is appropriate for that particular place in relation to its heritage values and for associated communities.

Trying to understand the social, economic, cultural and environmental context of heritage places is not beyond the scope of heritage conservation: it is a necessity. Heritage practitioners are not responsible for the decisions made in other sectors but they should always be proactive and take part in decision-making processes that may affect World Heritage properties, so that their concerns can be fully reflected in those decisions and in order to prevent or mitigate the impacts such decisions may have.

REFLECTION QUESTIONS

- What measures have been taken to identify how social, political and economic trends influence the management of the heritage place?

- Is heritage conservation integrated into appropriate social, political, economic and environmental agendas that are set at national and regional levels?

- Have the needs for ecological connectivity and other dynamics been considered in relation to the management of the heritage place and its territorial context?

- Are the limits of acceptable change, which ensure the continued conservation of the heritage place while adapting to new needs, understood?

- How can heritage managers contribute to decision-making processes that are made outside the heritage sector?

ADDITIONAL RESOURCES

- UNESCO (2015). Policy for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention.

- UNESCO (2011). UNESCO Recommendation on the Historic Urban Landscape.

- UNESCO (2022). UNESCO Guidance for the World Heritage 'No-Go' Commitment: Global Standards for Corporate Sustainability.

- Crawhall, N. (2015). Social and economic influences shaping protected areas. G. L. Worboys, M. Lockwood, A. Kothari, S. Feary and I. Pulsford (eds), Protected Area Governance and Management, pp. 117–44, Canberra, ANU Press.

- UNESCO Urban Heritage Atlas.

3.3 FACTORS AFFECTING THE HERITAGE PLACE

KEY POINTS

- Factors are everything that can affect, directly or indirectly, positively or negatively, the state of conservation of a World Heritage property or other heritage place.

- The same factor can affect different heritage places in different ways, depending on their heritage values and attributes, or it might have a different impact on different attributes of the same heritage place.

- Understanding the underlying cause of a factor helps managers identify why it is happening and ways of dealing with it.

- Some factors originate within the World Heritage property, while others are driven by actions or effects of actions undertaken beyond its boundaries.

- A clear identification of how factors impact attributes is in order crucial to define appropriate management measures to tackle it.

- The identification of management measures requires an understanding of the cumulative effects of the different factors affecting the property, and of the severity and extent of the impacts on the attributes, in order to decide what the best response is and who will be responsible for implementing it.

3.3.1 WHAT ARE THE FACTORS THAT CAN AFFECT A HERITAGE PLACE?

Inscription of a property on the World Heritage List provides global recognition of its cultural and/or natural significance but is not in itself a guarantee that its **attributes** will be conserved and its **OUV** will be maintained. Many World Heritage properties are threatened, as the high number under the **Reactive Monitoring** process shows. Assessments such as **IUCN**'s World Heritage Outlook also show the increase of threats to natural properties, although, to some degree, all World Heritage properties are affected by a range of negative factors, normally referred to as 'threats'.
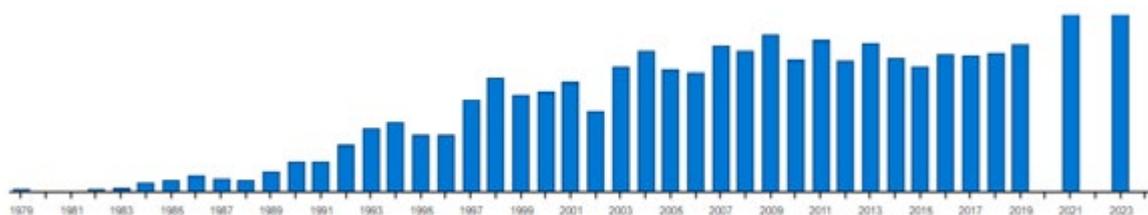
Figure 3.3 The number of properties examined each year on their state of conservation through the Reactive Monitoring process is continuously increasing. *Source*: World Heritage Centre State of Conservation Information System.

Factors can be defined as everything that can affect, directly and indirectly, positively and negatively, the **state of conservation** of a World Heritage property or other **heritage place**. Some factors arise from natural processes and events, while others result from human activities, and most are a consequence of interrelated natural and human processes. Some factors originate within the World Heritage property, while others are driven by actions or effects of actions undertaken beyond its boundaries. What may be a main factor in one heritage place may pose little concern in another and the same factor may have different **impacts** on different attributes within the same heritage place. For example, an invasive alien species may be a significant threat to **ecosystem** function or habitat viability but pose little threat

to geological features. In recent years World Heritage properties have been increasingly impacted by pressures of urban development that are rapid and inadequately controlled. Therefore, a thorough understanding of the range of **factors affecting the heritage place** is an important first step to inform **management** measures. To do this, information needs to be periodically collected and analysed to establish a detailed picture of what is really happening.

This process requires an understanding of many aspects, which is achieved by asking the following questions:

- What are the factors that are affecting the heritage place?

- Are these factors current or potential?

- What are the underlying causes that are the source of those factors?

- How are these factors impacting the attributes of the heritage place?

- What is the extent and severity of the impacts?

- What trends are associated with the factors – are they static, increasing or decreasing?

- What is the **cumulative impact** of the identified factors?

Impacts are the effects or consequences derived from or produced by a factor that affect the **attributes** and their state of conservation. Note that for there to be an impact, there must be a source of impact (e.g. vibrations from an industrial site), a receptor or attribute of the World Heritage property that is affected (e.g. historic city) and a pathway or route by which the harmful action or material is able to reach the receptor (e.g. foundation rock beds). Impacts can be positive or negative as well as being **direct** or **indirect impacts**. As each heritage place is unique, so are the positive and negative factors that may affect its state of conservation at any given time.

Figure 3.4 The impact on a historic urban environment created by sound and vibration from a proposed action. An impact is the interaction of the factor with an attribute of the World Heritage property. In this example, the vibration from the factor may have an impact on the buildings that constitute the attribute of a World Heritage property and weaken their structural stability. *Source*: *Guidance and Toolkit for Impact Assessments in a World Heritage Context (2022)*.

A list of factors affecting properties was developed for World Heritage properties for use in **Periodic Reporting**, which allows the analysis of trends affecting World Heritage over time and across regions. This list of factors helps **managers** to systematically consider the factors that may be affecting a heritage place for management purposes and whether they are affecting it positively and/or negatively. This then provides an overview of the challenges and opportunities that the **management system** will need to respond to.

Having understood the social, economic, cultural and environmental context of a heritage place, it becomes easier to understand the underlying **causes** of the factors affecting the heritage place. This recognition helps managers to gain a more in-depth understanding of why a factor is happening, which can lead to identifying ways of addressing the causes rather than focusing on the symptoms of the impacts (see Tool 2 on p. 36 of EoH Toolkit 2.0).

3.3.2 HOW DO FACTORS AFFECT HERITAGE?

Thorough analysis of how a factor is currently affecting or could potentially affect a heritage place is needed to formulate adequate management measures. The standard list of factors used for the purposes of the Periodic Reporting exercise is intended to collect data across all World Heritage properties. To be used as a basis for identifying management measures at the property level, it needs to be applied to the specific situation on the ground and further detailed. For instance, one of the factors in the standard list is 'ground transport infrastructure', but in a detailed analysis of the factors affecting a specific heritage place, it is best to define the factor in a way that mentions the specific infrastructure, for example, 'construction of a new metro line' or 'road-widening project through the north of the **buffer zone**'.

When carrying out any such detailed analysis of the list of factors affecting a specific heritage place, it is important to remember the following points:

- **Factors can affect the heritage place both positively and negatively.**
  While negative impacts are often easier to identify, there may be a range of positive effects from factors. For example, upgraded transport infrastructure may overcome polluting traffic congestion, or new facilities help maintain the function of a historic port. Some factors can affect the heritage place both negatively and positively. For example, tourism may increase public support for conservation, but too many visitors can lead to overcrowded public spaces. In addition, some factors may be perceived negatively by some **actors** but positively by others.

- **The same factor can affect different heritage places in different ways, depending on their heritage values and attributes.**
  Coastal erosion in a historic town can result in the degradation of archaeological structures that convey the town's significance in a certain historic period. However, ongoing erosion at a geological site may be part of geological processes that have shaped the evolution of that heritage place over centuries and lead to new fossil exposures and discoveries. It is therefore necessary to understand the factor in relation to the specific heritage values and attributes of the heritage place.

- **The same factor can have a different impact on different attributes of the same heritage place.**
  For instance, it is unlikely that rising sea levels will impact all attributes of the heritage place at the same time or in the same way. Therefore, different management measures with different time-frames and levels of priority will be needed. Analysing the extent and severity of the impact of the factor on the different attributes will help in this regard. While the impacts of some factors can be relatively contained within an area of the heritage place (such as the construction of an underground carpark for visitors in a historic town centre impacting only a few buildings, or the expansion of an existing hiking path in a mountain area), other factors can cause impacts on a much wider scale (such as the construction of a dam, air pollution or lack of traditional materials to repair vernacular structures).

- **Factors need to be considered not just for their current impact but also for how they may affect a heritage place in the future.**
  Looking only at the current impact of a factor on a heritage place can be misleading. For example, an invasive species may only affect a small area of the heritage place at present; however, immediate action is needed to avoid it spreading out of control. Similarly, increasing numbers of visitors may not be a present concern; however, proactively engaging and influencing the local tourism **policy** can help avoid the arrival of unmanageable numbers of visitors during the peak season. While one new building in the buffer zone might be considered an acceptable change if it is part of a new construction trend, it will potentially have negative impacts on the heritage place over time. Therefore, it is best to analyse trends related to factors over time, including reasonable predictions for the near future (see **5.6**).

- **Factors can cause impacts on a heritage place even when they originate outside.**
  Some factors may have **indirect impacts** on a heritage place and it is necessary to be alert to that possibility, regardless of their physical distance from the place. Although the construction work of a new highway may not directly impact the attributes of a national park or an archaeological site, for example, increased accessibility may allow increased numbers of visitors, poachers or illegal loggers to access the place, potentially having a negative effect on the vegetation or the archaeological remains. Therefore, any factor that could potentially affect the OUV of a World Heritage property must be considered.

3.3.3   HOW TO UNDERSTAND FACTORS AND THEIR IMPACTS SO AS TO IDENTIFY APPROPRIATE MANAGEMENT MEASURES IN RESPONSE?

Different factors will need different management measures: some may be addressed through routine **maintenance** works, others through specific conservation actions or management mechanisms. In circumstances where a transformative action is proposed or undertaken in or around the World Heritage property – in particular when related to development projects and resource extraction – an **impact assessment** process is required. The cumulative and often interrelated effects of multiple factors must also be considered, particularly when coupled with **risks** due to **disasters** related to **climate change** and other **natural** and **human-induced hazards**. In such cases, climate change **vulnerability** and **disaster risk assessments** need to be an integral part of the overall **management planning** processes for the heritage place.

Having identified a concrete list of the factors affecting a heritage place and analysed in detail the impacts they may have on the attributes of the heritage place, **managers** need to identify the best way to respond. For detailed analysis of the factors and what their potential impacts may be, more in-depth information and research conducted on a long-term basis may be needed.

The appropriate response will depend upon the type of factor, for example:

- **Factors related to management and institutional arrangements**, such as a lack of adequate human resources or legal regulations, are better analysed through the use of **management effectiveness assessment tools** (see **Part 6**), which are able to identify where and what the gaps are. These factors could then be appropriately addressed through changes to the management system or in the subsequent cycle of management planning.

- **Factors that are actions or projects proposed for the future**, such as the construction of large buildings or infrastructure, are better analysed through the use of **impact assessment** (see **5.8**), which can help improve planning and **decision-making processes** so that World Heritage is considered.

- **Factors that are sudden ecological or geological events, or related to climate change effects**, such as earthquakes, fires, floods or extreme weather events, are better addressed by developing **disaster risk management (DRM)** plans and climate action (see **5.7**).

- **Factors that require consistent management actions over a certain period of time**, such as loss of traditional agricultural practices or gentrification due to demographic changes, are best addressed within **management planning processes** (see **5.2** and **5.3**).

- **Factors that require ongoing or frequent intervention**, such as the control of invasive species or removal of weeds in archaeological structures, are best addressed through periodic maintenance works that should be included within the **management plan** (see **5.3**).

Although various suggested management measures are given in this list, it should be remembered that the most effective approach to factors is a holistic one that links all these areas of management activity. This is because factors do not exist in isolation and can have complex interactions between them, causing cumulative effects or a chain reaction of negative or positive impacts. For example, risk **preparedness** for rising sea levels at a heritage place may include a project for flood defence systems, but impact assessment could reveal that some elements of that project need adjustment to avoid negative impacts on attributes located on the seafront during construction of that defence system. Ongoing daily maintenance of a heritage place will also need to be linked to any **response** to factors so that it supports the avoidance of more demanding and costly interventions at a later stage.

In each case of developing management measures to address factors, the following points should be taken into consideration:

- **A clear identification of which attributes are impacted is crucial.**
  Mapping the location, severity and extent of current and potential impacts in relation to specific attributes will help clarify the gravity of the current situation and predict future trends. Such analysis will indicate which factors need to be addressed urgently (or in which sequence) and help establish management priorities. For example, freshwater wetlands within a natural World Heritage property may be more sensitive to changing temperatures due to climate change than other areas within the property. Certain buildings within an historic town suffering from neglect over decades may be at a higher risk of collapsing than others. In these cases it will be necessary to map which attributes are the most impacted to identify management priorities: which wetlands or waterlogged sites are most affected within which time-frames and therefore require more immediate management interventions. This type of analysis will also help establish priorities between different management measures to respond to different factors. For instance, tackling the potential collapse of buildings in an advanced stage of decay would need to be addressed more immediately over measures to improve heritage interpretation that would require a longer-term response.

- **Understanding the state of conservation of attributes over time is important.**
  Information on factors affecting a World Heritage property at the time of its inscription can provide a useful baseline for assessing the current state of conservation of the property and understanding whether it has improved or not since inscription. A comparison with past data enables managers to identify changes that have occurred since inscription, spot new factors and check that existing factors are being dealt with effectively. The Periodic Reporting exercise can also provide complementary updates on factors (see **5.6**).

- **Effective monitoring of the factors affecting the heritage place will also help detect challenges at an early stage.**
  Monitoring should pinpoint the need for early and more achievable management measures. Sometimes further research or studies may be needed before a response is fully defined and implemented. For instance, the stability of a structure may need to be studied in regard to changing weather patterns and the amount of **exposure** it has, to devise suitable intervention methods. The detection and control of an invasive species would need careful study and research to determine the best method of not only reducing the impact on the attributes but also preventing the spread of the species itself.

- **It is better to take proactive measures to avoid negative impacts, rather than react to a problem after it has arisen.**
  For example, an old electricity system in a wooden building may need to be proactively replaced to avoid a fire. The potential construction of high-rise buildings in the vicinity of an urban

settlement or the issue of a logging licence around a forest, may require a revision to the urban planning strategy or land-use plan from a heritage perspective, which will be useful for scoping out unacceptable types of development in a proactive way.

- **The identification of management measures also requires identifying who will be responsible for implementing those measures and ensuring adequate resources are available.**
  Many of the measures that are needed to address factors are not within the mandate of heritage managers and/or need the concerted action of multiple actors. In such cases, heritage managers need to establish working relationships with those actors so that they are aware of the World Heritage implications and cooperation can be established. For example, a cultural landscape would benefit from the land management department of the municipality coordinating with heritage managers to make sure that land-use regulations in the buffer zone prevent encroaching development.

Buildings and Development

Housing
Commercial development
Industrial areas
Interpretative and visitation facilities
Major visitor accommodation and associated infrastructure

Biological Resource Use/Modification

Fishing/collecting aquatic resources
Aquaculture
Land conversion
Livestock farming/grazing of domesticated animals
Crop production
Commercial wild plant collection
Subsistence wild plant collection
Commercial hunting
Subsistence hunting
Forestry/wood production

Transportation Infrastructure

Ground transport infrastructure
Air transport infrastructure
Marine transport infrastructure
Effects arising from use of transportation infrastructure
Underground transport infrastructure

Other Human Activities

Illegal activities
Deliberate destruction of heritage
Military training
War
Terrorism
Civil unrest

Sudden Ecological or Geological Events

Volcanic eruption
Earthquake
Tsunami/tidal wave
Avalanche/landslide
Erosion and siltation/deposition
Fire (wildfires)

Physical Resource Extraction

Mining
Quarrying
Oil and gas
Water

Pollution

Pollution of marine waters
Groundwater pollution
Surface water pollution
Air pollution
Solid waste
Input of excess energy

Climate Change and Severe Weather Events

Storms
Flooding
Drought
Desertification
Changes to oceanic waters
Temperature change
Other climate change impacts

Social/Cultural Uses of Heritage

Ritual/spiritual/religious and associatve uses
Society's valuing of heritage
Indigenous hunting, gathering and collecting
Changes in traditional ways of life and knowledge systems

Management and Institutional Factors

Management System/Management Plan
Legal framework
Low-impact research/monitoring activities
Governance
High-impact research/monitoring activities
Management activities
Financial resources
Human resources

Local Conditions Affecting Physical Fabric

Wind
Relative humidity
Temperature
Radiation/light
Dust
Water (rain/water table)
Pests
Microorganisms

Invasive/Alien Species or Hyperabundant Species

Translocated species
Invasive/alien terrestrial species
Invasive/alien freshwater species
Invasive/alien marine species

Utilities or Service Infrastructure

Water infrastructure
Renewable energy facilities
Non-renewable energy facilities
Localized utilities
Major linear utilities

Figure 3.5 This list is used to understand the range of factors that can potentially affect World Heritage properties. For a full list, visit the World Heritage website. *Source*: UNESCO World Heritage Centre.

Box 3.2 State of Conservation

Within the World Heritage system, State of Conservation (SOC) reports may refer to two different documents, one of which is prepared by States Parties (commonly called the State Party SOC report) and the other by the World Heritage Centre and Advisory Bodies in the Reactive Monitoring process.

The World Heritage Centre and Advisory Bodies prepare SOC reports to inform the World Heritage Committee on the conditions of specific properties that are under threat and for which the Reactive Monitoring process has been or is to be activated. These reports are based on information and studies prepared by the States Parties, submitted as the State Party SOC report, whenever 'exceptional circumstances occur or work is undertaken which may have an impact on the Outstanding Universal Value of the property or its state of conservation' (Operational Guidelines, paragraph 169).

The SOC reports prepared by the World Heritage Centre jointly with the Advisory Bodies contain a summary of the issues that have emerged relating to conservation, protection and management, the factors affecting the property and a draft decision with recommendations for action. The reports and the draft decisions are reviewed by the World Heritage Committee at the subsequent session (meeting), discussed if necessary and eventually adopted. The World Heritage Committee decisions concerning the state of conservation of World Heritage properties require States Parties to report within a specific time-frame on actions taken to implement the recommendations included in the decisions. When there is a common issue that affects more than one World Heritage property, it may be adopted through an omnibus decision.

Not all SOC reports and draft decisions are open for discussion during the World Heritage Committee session. Many are adopted as they stand without being discussed by the World Heritage Committee. Where a property is proposed for inclusion in the List of World Heritage in Danger or for delisting from either the Danger List or the World Heritage List, the SOC report is always discussed by the World Heritage Committee.

In addition to these processes, States Parties are encouraged to provide information on their intention to undertake or authorize, in an area protected under the Convention, major restorations or new constructions that may affect the OUV of the property, under paragraph 172 of the Operational Guidelines. If information on emerging threats to the OUV, integrity and authenticity of a World Heritage property is received by the World Heritage Centre from third parties, the World Heritage Centre takes steps to verify the reports and then requests information from the State Party on their nature and seriousness. The State Party is then invited to provide information in response. In many of these cases, the information provided through the different sources is reviewed by the Advisory Bodies, which provide technical reviews and related recommendations to the State Party to remove or reduce potential negative impacts from the property.

In the case where information received confirms that there are threats to the property, based on a joint assessment by the Advisory Bodies and the World Heritage Centre, the case is presented to the World Heritage Committee at its next session: the property then enters the formal Reactive Monitoring process.

After the World Heritage Committee meeting, the World Heritage Centre forwards the Committee's decisions to States Parties within a month of the meeting (Operational Guidelines, paragraph 168) to ensure prompt action to redress threats. States Parties, usually through their National Focal Points, are responsible for forwarding this information to the managers of the properties concerned.

The SOC reports and World Heritage Committee's decisions are accessible at the website of the World Heritage Centre, allowing managers to consult all past decisions adopted at its sessions throughout the years, along with a range of other information about each World Heritage property.

Adapted from: Operational Guidelines (2025), Managing Cultural World Heritage (2013), Managing Natural World Heritage (2012).

Box 3.3 List of World Heritage in Danger

The List of World Heritage in Danger is conceived as a mechanism for international cooperation within the World Heritage Convention. Its purpose is to raise international attention about the threats faced by a World Heritage property, to mobilize technical assistance and to secure the resources needed to carry out operations to mitigate or remove these threats. The concerned State Party can request International Assistance within the World Heritage Convention to mobilize resources at local, national and international levels in order to undertake such operations.

The criteria for the inscription of a property on the List of World Heritage in Danger are set out in the World Heritage Convention and further defined in the Operational Guidelines to determine whether the property is facing ascertained and/or potential danger. Meeting one of these criteria suffices for the World Heritage Committee to inscribe the property on this List.

When a property is inscribed on the List of World Heritage in Danger, the Committee requests States Parties to implement a set of actions called 'corrective measures', which are designed to remove the property's. threats and restore any deteriorated attributes within a specific time-frame.

The 'Desired State of Conservation for the Removal of the Property from the List of World Heritage in Danger' – often abbreviated as DSOCR or desired state of conservation – is a defined state of conservation that a property must reach to demonstrate that it is no longer threatened by serious and specific danger, and to enable its removal from the List of World Heritage in Danger. It is achieved through the successful implementation of the corrective measures.

The DSOCR should be drafted by the State Party, in collaboration with the managers and other relevant actors. It is submitted to the World Heritage Centre, along with the annual report on the State of Conservation of the property, for review and adoption. Exchanges with the World Heritage Centre and the Advisory Bodies and joint Reactive Monitoring missions are deployed to understand the challenges and to support States Parties and managers in seeking solutions to the threats, as well as in preparing and finalizing the DSOCR. Once adopted, the DSOCR and corrective measures serve as the indicators to determine if the property can be removed from the List of World Heritage in Danger or not.

It is fundamental that the State Party is fully engaged, from the managers to all relevant actors at local and national levels, in developing the DSOCR and the corrective measures. The involvement of all relevant actors ensures that these measures are feasible and can be implemented and the desired state of conservation is shared and agreed upon thus facilitating its achievement. For these processes, the State Party can request technical/advisory missions as well as International Assistance; the Committee will also extend its cooperation in negotiations to obtain assistance from other donors where necessary.

From a management perspective, the inscription on the List of World Heritage in Danger, with its set of corrective measures to be implemented and a DSOCR to be reached within a specific time-frame, generally demands that the management plan is revisited and modified: different priorities, further actions and resources are often needed to address the concerns of the World Heritage Committee. These changes may affect one or more management cycles, depending on the scope of the corrective measures and the time-frame necessary for their implementation. The implementation of corrective measures to achieve the DSCOR may demand changes in the governance and management arrangements for the property, updates in legislation or the halting of certain projects.

Progress made in implementing the corrective measures and in approaching the DSOCR, together with any information provided by the State Party, will be included in annual SOC reports submitted to the World Heritage Committee.

Based on the regular review of the State of Conservation, the World Heritage Committee shall decide, in consultation with the State Party concerned and with the assistance of the Advisory Bodies, whether:

• additional measures are required to conserve the property;

• the property can be removed from the List of World Heritage in Danger, if the main threats have been addressed;

• to delete the property from the World Heritage List, if it is considered that the property has deteriorated to the extent that it has lost those characteristics that determined its inscription from the outset.

The procedure for the deletion of a property from the World Heritage List is set out in paragraphs 192–98 of the Operational Guidelines.

Adapted from: Operational Guidelines (2025), Managing Cultural World Heritage (2013).

REFLECTION QUESTIONS

- Have the factors affecting the World Heritage property or other heritage place been identified and documented in information sources that are used regularly (e.g. management plan)?

- Is there a detailed understanding of the factors affecting the property and their underlying causes and impacts? Or is available knowledge mainly limited to a list of factors?

- Are the factors readily available for consultation by all actors engaged with the management of the heritage place?

- Have positive factors been identified? Or is the list limited to negative factors or threats?

- Have factors originating from outside the property been identified, e.g. within the buffer zone(s) or the wider setting?

- In some cases, one factor (e.g. changing in precipitation patterns) can impact more than one attribute (e.g. a wetland and an agricultural practice), and in different ways. Are these diverse relationships well understood?

- Have the relationships between factors and the potential cumulative and multiplying effects of different impacts been considered?

ADDITIONAL RESOURCES

- UNESCO World Heritage Centre (n.d.) List of Factors Affecting the Properties. Paris, UNESCO.

- UNESCO, ICCROM, ICOMOS, IUCN (2023). Tool 2: Factors affecting the property. Enhancing Our Heritage Toolkit 2.0, pp. 36–39. Paris, UNESCO.

- UNESCO, ICCROM, ICOMOS, IUCN (2022). Guidance and Toolkit for Impact Assessments in a World Heritage Context. Paris, UNESCO.

- UNESCO, ICCROM, ICOMOS, IUCN (forthcoming). Managing Disaster Risk and Building Resilience for World Heritage. [For disaster risk factors: Disaster Risk Manual.] Paris, UNESCO.

- UNESCO (2023). Glossary. Policy Document on Climate Action for World Heritage. Paris, UNESCO.

- UNESCO Urban Heritage Atlas.

- IUCN World Heritage Outlook.

3.4 BOUNDARIES, BUFFER ZONES AND THE WIDER SETTING

KEY POINTS

- Boundaries of World Heritage properties should be delineated to include all attributes that convey their OUV for their effective protection and management.

- The size and delineation of the property's boundary are determinant to ensuring its integrity.

- Areas within the boundaries need to be equipped with legal protection measures that ensure the protection of the attributes.

- Buffer zones are areas that provide an added layer of protection for the World Heritage property through complementary legal and/or customary restrictions placed on its use and development to prevent and minimize the impacts of factors originating from outside the heritage place.

- The wider setting may relate to the property's topography, natural and cultural environment, and elements such as infrastructure, land-use patterns, spatial organization and visual relationships. It may also include related social and cultural practices, economic processes and other intangible dimensions of heritage, such as perceptions and associations.

- The concept of the wider setting empowers managers to consider factors affecting World Heritage properties regardless of their origin, and to work collaboratively with other actors on an integrated approach to planning and management to ensure that potential negative impacts are avoided, while enabling those that are positive.

3.4.1 HOW TO DELINEATE THE BOUNDARIES OF A HERITAGE PLACE?

The delineation of the boundary of a **heritage place** is an essential requirement for effective protection and **management**. It is important for the boundary to be drawn on a logical basis that is easy to understand on the ground, helping to identify the heritage place as a distinct entity. This section outlines the issues that should be taken into consideration when decisions are being made about the boundary of a World Heritage property. Often the boundary was delineated a long time ago and problems arise that can be resolved by revising it. For World Heritage, boundaries should be delineated to ensure that all **attributes** that convey their **Outstanding Universal Value (OUV)** are included within the property. Boundaries should be defined through participatory processes, with the full and effective participation of different **rights-holders**, thus ensuring respect for their rights, strengthening community support and preventing potential disputes about how the property is to be protected. Free, prior and informed consent of Indigenous Peoples must be obtained when the delineation of the boundary of property affects their territories.

In cases where a review shows that the boundary is no longer effective, and a boundary modification is needed to strengthen its integrity, the concerned State Party must make such a request through the official processes defined in the Operational Guidelines. A relatively simple process is established for a **minor boundary modification**, while a significant boundary modification must follow the procedure for a new nomination to ensure that new boundaries fully respond to and protect the OUV (see Operational Guidelines, paragraph 165).
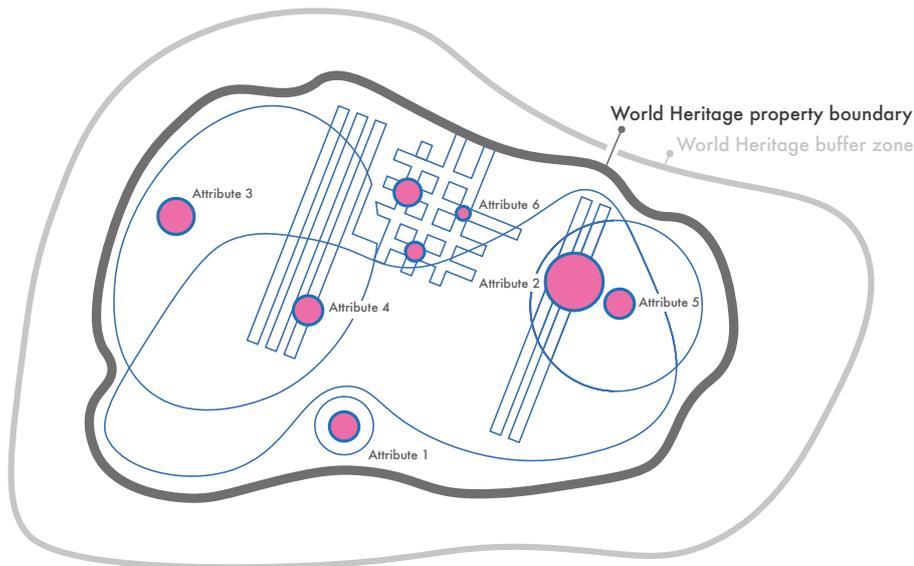
Figure 3.6 All the attributes conveying OUV should be included within the boundary of the property to guarantee its wholeness is encompassed, and the boundary must be equipped with legal and regulatory measures to ensure its protection.

In general, similar requirements apply when officially designating a heritage place for World Heritage or at a local, regional, national or other international level. However, three aspects need to be specifically considered when delineating the boundary of a World Heritage property:

- All the attributes conveying OUV should be included within the boundary of the property;

- The integrity of the property has to be considered in terms of its wholeness and this should include an analysis of threats;

- The area within the boundary needs to be subject to legal and regulatory measures that ensure the long-term protection of the property.

Having a clear understanding of the **values** and **attributes** of a heritage place is a necessary starting point for establishing adequate boundaries. This will ensure that all the important attributes are included within the area that will be officially designated as heritage. Mapping the attributes of the property can help define its boundaries or assess if existing ones are adequate. Identifying and mapping physical elements and features offers a good start, after which considerations of where other types of attributes occur should be added. For processes and intangible attributes (such as practices or visual or functional relationships) it is necessary to understand where they take place and their spatial requirements. For example, it is important to include the water surface and underground catchment area for a cave or karst property or include a pilgrimage route with ritual stopping points within a sacred landscape.

When the setting is an integral part of the OUV of the World Heritage property, ideally it should also be included within its boundary. For example, the boundary of a military fort, where the strategic location is part of its heritage values, should include the surrounding mountain range. In some cases, it is also advisable to include areas where additional attributes that could reinforce the integrity of the place may be discovered through future research. For example, an archaeological site should include unexcavated areas when it is likely that further archaeological features could be discovered there. Some heritage places are dependent on specific visual relationships with their setting; in cases where it is impossible to include an entire viewshed within the property, because of its large scale, a well-designed **buffer zone** may provide additional protection. In the case of cities and settlements, taking the historic urban landscape approach, which recommends considering all the different layers of the city, with both tangible and intangible processes can be useful.

Boundaries need to include whole attributes. A boundary that cuts across a lake or through an individual building or city block can pose many problems for **managers** who then need to manage that attribute. The size and delineation of the property's boundary is also important to ensure the integrity of the heritage place. This is particularly the case with natural properties, where the viability of certain species may require large **ecosystems** and where properties need to minimize the effects of fragmented or linear boundaries. Size can also be important for cultural properties to ensure the inclusion of dynamic functions and relationships between attributes, for example, in the case of a traditional irrigation system within a cultural landscape or a large-scale industrial complex. When a single large boundary is not appropriate because the attributes are geographically disconnected and distant from one another, then the property will be listed as a serial property on the World Heritage List.

Areas that do not include attributes that convey the OUV of the property, nor are essential to its integrity, should generally be excluded. Ill-defined boundaries can make a World Heritage property more vulnerable by overstretching limited management **capacity** or by including factors that cause negative **impacts** within it, for instance, areas of incompatible development or inappropriate resource use. Including inappropriate areas within the World Heritage property may also hinder legitimate development and use.

Boundaries should also be defined from a protection perspective, in the sense of how the World Heritage property is to be protected and from what. In practice, the delineation of boundaries will also be influenced by other considerations, such as sovereignty, land tenure, existing rights or legal requirements. Boundaries must also be defined in relation to legislative, regulatory and administrative arrangements that can provide a protective status to the property and be designated accordingly. Sometimes legislation may influence the delineation of the boundary of the World Heritage property; for instance, when the boundary of a monument is already defined at the national level by a legally defined distance surrounding the site.

Intricate or convoluted boundaries can make it difficult for people to perceive them or easily identify them on the ground. The physical nature of the boundaries can be equally important: drawing lines on the basis of landforms, ridgelines or other natural or human-made features can ensure the inclusion of fully functioning ecological areas. Clear boundaries can also help people to recognize them, particularly in areas where factors such as illegal logging or urbanization are threatening to encroach on the heritage place. It is most effective to work with the topographical and ecological features and the existing material fabric of the property.

When there are multiple designations at the same place, there may be different sets of boundaries. At the international level, a World Heritage property inscribed for its geological values may also be designated as a global Geopark or Biosphere Reserve; a World Heritage cultural landscape may also be designated as a Globally Important Agricultural Heritage Site. The property may also have other designations at the national or local levels. In such cases, there may be overlapping boundaries with different regulations and legislations applied. These need to be carefully considered to ensure that they do not create conflict but instead offer compatible support to one another.

The representation of the boundaries of a World Heritage property, of its buffer zone and of other international or national protective designations, requires cartography at an adequate scale and level of detail. The maps should be generated in relation to the nature of the property, its size and attributes. For larger properties there might be the need for a set of maps at a larger scale, which describe in more detail the delineation of boundaries in relation to physiographic features, cadastral subdivisions and administrative limits. In this way, it is easier to understand the rationale for delineating boundaries of the property and its buffer zone, to define the objectives of the additional layer of protection provided by the buffer zone and related measures, and, finally, to communicate them to all relevant **actors**.

Finally, it is essential to recognize that management does not simply stop where the boundary of the property falls where the boundary of the property falls]; rather, a series of additional, external ‹protective layers› are needed to ensure the interconnectedness of the property at a range of spatial scales. Such layers are essential in the case of World Heritage properties as they reinforce an integrated approach to planning and management that includes any buffer zone as well as the **wider setting**.

3.4.2   BUFFER ZONES: WHAT IS THEIR ROLE IN CONSERVATION?

In addition to drawing boundaries around the World Heritage property, many countries have mechanisms to protect a property's surroundings or to designate wider areas as an added layer of protection to the property because those areas can have a profound influence over its management. In the case of World Heritage properties these are called buffer zones although similar mechanisms exist in the legislation of many countries under different designations and terminology. For World Heritage, the designation of a buffer zone is strongly encouraged and, if not included at the time of its nomination, there is a requirement to justify why a buffer zone is not needed. The purpose of a buffer zone is to give an additional layer of protection to the World Heritage property by defining an area around the property that has complementary legal and/or customary restrictions placed on its use and development. Therefore, a buffer zone helps to respond to factors originating beyond the property's boundary and complements the protection and management mechanisms put in place for the area of the World Heritage property. It is essential to clarify who has a mandate to manage the heritage place as well as the buffer zone, who has jurisdiction over certain areas and what **governance** arrangements are needed.

The delineation of a buffer zone on its own is insufficient to provide added protection; what really matters is how the buffer zone helps to protect the World Heritage property in practice. If buffer zones are spatially defined on a map but not accompanied by complementary regulations – or those regulations are not applied – they fail their purpose. Sometimes, defining the buffer zone so that it coincides with other existing designations, for example for a conservation area, means it can take advantage of the protective measures already in place for those areas, it can draw on using spatial planning mechanisms such as zoning or land-use plans. This is a very pragmatic approach that automatically ensures that the buffer zone can be clearly managed. However, caution should be taken to ensure that the difference between the World Heritage property and buffer zone is clear, both on paper and on the ground, and that the regulations used to control the use and development in the buffer zone are sufficient to ensure that it acts as an added layer of protection to the property. It is important for the purposes of the buffer zone to be clearly identified and mirrored in the regulations used for protection.

Figure 3.7 The construction of wind turbines or industrial facilities located outside the property may still result in indirect impacts, such as the obstruction of an important viewshed or increasing air and water pollution in the ecosystem.

In some countries, the delineation of the buffer zone may be determined by a legally prescribed distance from the heritage place, for example an area extending out 200 m from a designated monument. Such a rigid approach to defining buffer zones may not be sufficient to respond to factors that could affect the property. It is advisable to evaluate the adequateness of the buffer zone and change its boundaries

if necessary. Such processes require the State Party to submit a request for a minor modification to the boundaries of the buffer zone (see Operational Guidelines, paragraphs 163–64). It is worth noting that any change to a buffer zone, no matter how extensive, is considered a minor boundary modification so involves a simplified process. This offers the scope to strengthen protection and management mechanisms post-inscription.

Buffer zones should be seen as more than just mechanisms to isolate the property from external factors, otherwise there is a risk of obstructing positive interactions that benefit the heritage. Good management of buffer zones can also provide a place for complementary activities, such as the local community carrying out traditional agriculture or visitors enjoying **heritage** interpretation. For instance, well-managed buffer zones can provide sustainable resource use that benefits local communities, especially when this might not be desirable within the World Heritage property itself. They can also have an important connectivity function helping to link ecosystems and habitats across whole landscapes, which can facilitate natural processes for wildlife with large range needs. In this regard, buffer zones can be a powerful mechanism as part of **climate change mitigation** and **adaptation** strategies responding to biome shifts of fauna, flora and habitats. Equally, this connectivity function can be critical for serial World Heritage properties, both natural and cultural.

Buffer zones cannot protect a property from all threats, since sometimes these originate far away from the World Heritage property and new factors can emerge long after the delineation of boundaries and buffer zones. In general, management of buffer zones is challenging as the institutional mandate often falls to different institutions than those responsible for the management of the World Heritage property and different actors and different actors, who can have overlapping or conflicting responsibilities, may be involved. Therefore, effective governance arrangements and coordination must be ensured between those managing and involved with the World Heritage property, the buffer zone and its wider setting.

3.4.3   WHAT ROLE DOES THE WIDER SETTING PLAY IN HERITAGE MANAGEMENT?

The Operational Guidelines promote an integrated approach to planning and **management** that goes beyond the property to include any buffer zone(s) as well as the wider setting; to guide the evolution of properties over time and to ensure **maintenance** of all aspects of their OUV. Unlike a buffer zone, the wider setting is not a formally defined spatial entity, nor does it have a precise definition. However, it can be useful to think of the wider setting as comprising those aspects that may relate to the property's topography, natural and cultural environment, and other elements such as infrastructure, land-use patterns, spatial **organization** and visual relationships. It may also include related social and cultural practices, economic processes and other intangible dimensions of heritage, such as perceptions and associations.

In fact, the area of the wider setting that needs consideration might change according to the task in hand. For example, how the wider setting is defined will be different when carrying out daily management tasks, completing an **impact assessment** for a specific development project or designing a DRM plan. A temporal dimension may also apply to the wider setting. For example, ensuring seasonal migrations of birdlife may require protective measures in areas well outside the heritage place itself and its buffer zone.

This approach to management and the concept of the wider setting are crucial when assessing the positive and negative impacts of factors that originate beyond the property and its buffer zone. Regardless of their distance from the heritage place, a range of factors in the wider setting can impact the OUV of a World Heritage property. This may be the construction of high-rise buildings or wind turbines, which will disturb the spirit and feeling in a sacred site, or the construction of tourism facilities and transportation infrastructure that might bring increased tourist pressure to a historic town or **protected area**.

This concept of the wider setting and the integrated management approach behind it, empowers managers to consider factors affecting World Heritage properties, regardless of their origin, and to work collaboratively with other actors to ensure that potential negative impacts are avoided, while enabling those which are positive.

REFLECTION QUESTIONS

- Were the boundaries of the property defined in relation to the identification and mapping of the attributes that convey its OUV?

- Are the boundaries and size of the property adequate to protect those attributes? Do the boundaries and size of the property ensure functional, spatial and/or visual connectivity between the attributes?

- Are the boundaries and size of the property adequate to protect other important values of the property? Is the boundary of the World Heritage property logically drawn and easily identifiable on the ground by all actors?

- Is a map clearly identifying the property boundaries and buffer zone readily available?

- Does the boundary and/or buffer zone contain appropriate legal or regulatory protection measures that apply to the attributes of the World Heritage property?

- If there are other designations (at the international, national or local levels), are there issues deriving from different boundaries associated with those other designations?

- Is the buffer zone(s) large enough to address threats originating from external interactions that may negatively affect the property?

- Have large-scale spatial and functional dynamics that are important to maintain the values and integrity of the property been identified?

- Are the boundaries of the World Heritage property shared and updated in relevant geographic information systems, including the UNESCO Sites Navigator?

ADDITIONAL RESOURCES

- UNESCO (2009). World Heritage and Buffer Zones; Patrimoine mondial et zones tampons International Expert Meeting on World Heritage and Buffer Zones Davos, Switzerland 11–14 March 2008. World Heritage Papers 25, Paris, UNESCO.

- IUCN (2016). Managing MIDAS: Harmonising the Management of Multi-Internationally Designated Areas. Gland (Switzerland), IUCN.

- IUCN (2016). ICCAs and Overlapping Protected Areas: Fostering Conservation Synergies and Social Reconciliation. Tehran, CENEST/ICCA Consortium.

- UNESCO (2025). Operational Guidelines for the Implementation of the World Heritage Convention, paragraphs 87–107. Paris, UNESCO.

- UNESCO, ICCROM, ICOMOS, IUCN (2023). Tool 3: Boundaries, buffer zones and the wider setting. Enhancing Our Heritage Toolkit 2.0, pp. 40–45. Paris, UNESCO.

- UNESCO Sites Navigator.

- UNESCO Urban Heritage Atlas.

3.5 SERVICES AND BENEFITS – HOW HERITAGE CONTRIBUTES TO HUMAN WELL-BEING, QUALITY OF LIFE AND SUSTAINABLE DEVELOPMENT

KEY POINTS

- Every heritage place generates a range of services and benefits, which are advantages that flow to people from the existence and conservation of heritage. These can include economic benefits; provisioning ecosystem services such as firewood, fisheries, raw materials, climate regulation, regulation of water flows, and water purification, opportunities for recreation, and many more.

- It is important to understand who benefits from heritage conservation and who bears its costs. Associated communities and those contributing to the protection of the heritage place are the ones who should gain the most benefits.

- The World Heritage Sustainable Development Policy shows that the conservation of World Heritage properties contributes to the human well-being of local and global communities so that wider societal changes, objectives and priorities must be applied to heritage management.

- When managed well, heritage places can continuously benefit society in many different ways, including contributing to sustainable development and to global agendas such as climate action, biodiversity and cultural diversity.

3.5.1 HOW TO UNDERSTAND THE SERVICES AND BENEFITS GENERATED BY HERITAGE PLACES

Services and **benefits** refer to the advantages that flow to people and **communities** from the existence and conservation of **heritage**. Each **heritage place** will generate a diverse range of services and benefits.

The idea of caring for a place is central to **heritage** and goes beyond utilitarian reasons, as heritage places hold collective meaning for communities, nations or even humanity as a whole, in the case of World Heritage. Therefore, the primary goal of heritage conservation is to ensure that those places continue to exist and that their **heritage values** are maintained. When managed well, heritage places can continuously benefit society in many different ways, including by contributing to **sustainable development**.

When discussing the benefits generated by the conservation of heritage places, it is important to distinguish 'benefits' from 'heritage values'. Heritage values refer to qualities and meanings – why people consider a heritage place to be important and wish to protect it. For example, economic profits gained from increased tourism to a World Heritage property are not recognized as a heritage value but rather as a benefit derived from the conservation of the heritage place. To avoid confusion, the general term 'benefits' is preferred and used to refer to the advantages that flow to people and communities from the existence and conservation of places but beyond the reasons why they value it as their heritage.

This distinction is especially important when managing World Heritage properties. It is the **maintenance** of the heritage values of a place and conservation of its **attributes** that is the priority, as only in this way will the place continue to generate services and benefits to local communities and wider society. Therefore, when managing heritage places it is important to ensure that the provision of services and benefits does not take precedence over the protection of the heritage values. Instead, the heritage values and benefits should be understood as complementary. As such, the **management system** for the heritage place should be designed to ensure both, in ways that are mutually supportive and without compromising **Outstanding Universal Value (OUV)**.

When thinking about benefits, it could be useful to identify those that nature provides to humans. **Ecosystem services** include not only firewood, fisheries, raw materials, natural medicines and water but also climate regulation, water purification and soil stabilization, as well as opportunities for recreation, among others. The term 'ecosystem services' is used to describe the services that are produced as a result of ecosystem processes and functions such as soil formation, nutrient cycling and primary production, which then flow to people in the form of benefits or goods, supporting human well-being.

Many World Heritage properties, cultural and natural, but especially those protecting large intact natural systems, also have a significant role to play in combating **climate change** and the closely related issues of species extinction and **biodiversity** loss. Their contribution to human development agendas, such as the Sustainable Development Goals, must also be recognized.
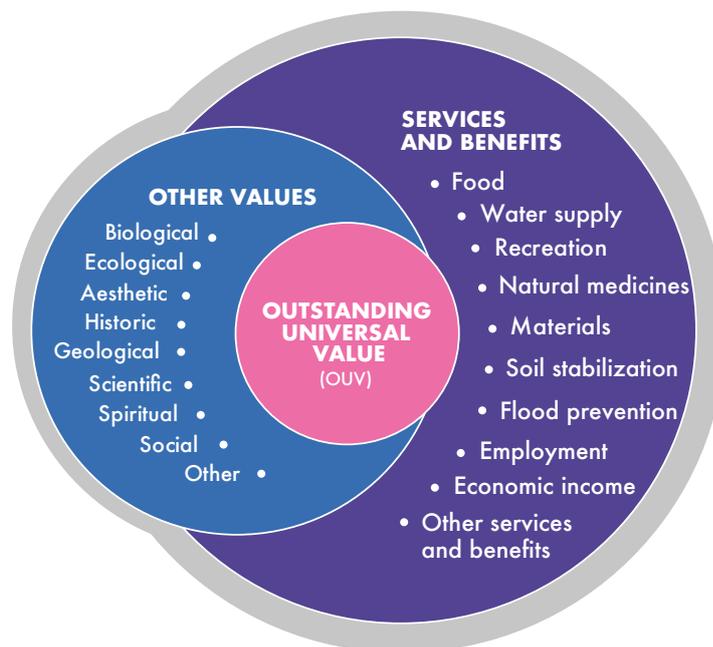

Figure 3.8 Heritage values and benefits should be understood as complementary and the management system for the heritage place should be designed to ensure both, in ways that are mutually supportive and without compromising OUV.

3.5.2 WHO BENEFITS FROM THE HERITAGE PLACE?

When trying to understand the services and benefits that come from a heritage place, it is also critical to identify who benefits (or should benefit), who bears the costs and by how much. This is important in terms of respecting **rights-holders** and empowering them to ensure equitable **governance** of the heritage place. Highlighting benefits generated by heritage can also increase support for its protection. In this context, it is important to assess whether the associated communities and those contributing to the protection of the heritage place are the ones who draw the most benefits or whther these benefits are largely being enjoyed by other **actors**.

While there are various methods to identify the range of services and benefits deriving from heritage places, understanding the beneficiaries and who bears the costs is often more complex. One of the main difficulties is that the flow of benefits often extends beyond the heritage place. For instance, the provision of water derived from a protected forest can be used by communities far downstream. Likewise, the revenues from guided tours in an urban area may go to a tour operator located in another region or even another country. The provision of employment through **management** and tourism can be a source of improved economic revenue for local communities. The benefits considered for future generations or to other animal or plant species must also be considered.

Insights regarding beneficiaries are place-dependent, requiring additional data collection and consultation. Identifying and respectfully engaging rights-holders and **stakeholders** from the beginning in services and benefits assessment can help to create a detailed picture of the dynamics of costs and benefits at different levels. Sometimes, there are conflicting needs: one group's benefit might come at another group's cost. For example, recreational and visitor opportunities can come at the expense of reduced quality of life for residents. Or it may be necessary to reduce the provision of certain benefits in the short term in order to enhance them in the future, as in the case of the need to manage fish stocks notwithstanding the short-term impact on local fishing communities. In such cases, identifying and collaborating with affected groups and understanding the complex interactions between costs and benefits is the first step to resolving potential conflicts and achieving mutually advantageous **outcomes**. As noted above, understanding who bears the costs of implementing certain conservation measures is as important as who benefits from the protection of the heritage place, particularly when it may affect people's subsistence needs, beliefs and quality of life. In such cases, setting up compensation mechanisms may be necessary.
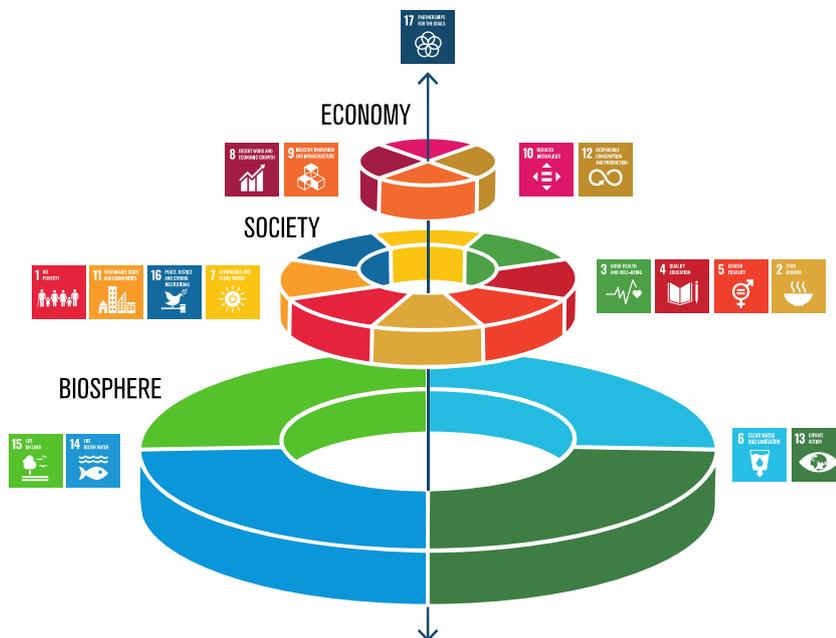

Figure 3.9 Here the Sustainable Development Goals have been positioned to highlight the ways in which economic and social targets (which include cultural heritage) are embedded within their environmental context (which includes natural heritage and cultural uses). Success is dependent on progress in all spheres and cannot be built on individual goals without consideration of their impacts on other targets, such as heritage. *Source*: Stockholm Resilience Centre.

Effectively engaging and collaborating with rights-holders and stakeholders, to understand their priorities, needs and their degree of dependence on the heritage place, is essential for making informed and balanced management decisions and to help avoid conflicts.

Economic benefits are often sought when nominating properties to the World Heritage List. Income directly and indirectly generated by uses of the heritage place can provide much-needed resources for conservation and improved living standards for local people (including through employment). Studying the flows of economic benefits can be useful to fully understand these interrelationships. While economic considerations are likely to dominate appraisals of the services and benefits, a detailed understanding of how heritage places contribute to society at other levels is essential to gather support for conservation. For World Heritage properties, it is critical to balance, and if necessary reconcile, the expectations of local communities to access and share benefits with the responsibilities assumed by **States Parties** to protect the heritage for the whole of humanity, including future generations.

3.5.3 HOW DOES WORLD HERITAGE CONTRIBUTE TO GLOBAL CONSERVATION AND HUMAN DEVELOPMENT AGENDAS?

Recognition of urgent issues that are affecting the entire world, from poverty and increasing social inequalities to the climate and biodiversity loss emergencies, has led to a series of national and global **responses** related to conservation and sustainable development. The concept of sustainable development was described by the Brundtland Commission as development that meets the needs of the present without compromising the ability of future generations to meet their own needs. The United Nations is currently leading global efforts through its 2030 Agenda for Sustainable Development with its seventeen Sustainable Development Goals, and the **World Heritage Committee** is committed to maximizing the contribution that conservation of World Heritage properties can make.

The World Heritage Sustainable Development Policy adopted in 2015 makes clear that the conservation of World Heritage properties contributes to the human well-being of local and global communities in the following four dimensions:

- **Environmental sustainability**, by recognizing how heritage places help protect biological and cultural diversity and provide essential ecosystem services and benefits, as well as strengthening **resilience** to **natural hazards** and climate change.

- **Inclusive social development**, by promoting human rights, achieving gender equality and ensuring the involvement of Indigenous Peoples and local communities in the management of heritage places, as well as enhancing their quality of life.

- **Inclusive economic development**, by ensuring employment, income and livelihoods, promoting economic investment, quality tourism and strengthening capacity-building, innovation and local entrepreneurship.

- **Fostering peace and security**, by promoting understanding, dialogue and conflict resolution, ensuring conflict **prevention**, the protection of heritage during times of conflict and post-conflict **recovery**.

The **policy** shows that wider societal changes, objectives and priorities must be applied to heritage management. Management of heritage places must draw on knowledge of the social, economic, cultural and environmental context of each place, recognizing that issues and goals at larger regional and national scales are often the underlying causes behind many of the factors affecting World Heritage properties. More often than not, factors that undermine the conservation of heritage are driven by policies promoting development that is unsustainable and fails to embrace an approach that allows heritage conservation and development to coexist.

World Heritage also has a uniquely important contribution to make to other global agendas. Studies have shown that heritage can, and should, play its part in responding to the climate crisis in a multitude of ways. For instance, natural World Heritage properties make a disproportionately large contribution to carbon storage and sequestration. World Heritage properties also conserve the world's most significant glaciers, which are particularly threatened by climate change. Historic buildings are important sources of embodied carbon (all the carbon emissions from construction materials, the building process and use of internal fixtures/fittings as well as eventual demolition), thus there is vast potential for operational carbon savings through retrofitting and adaptation.

The Policy Document on Climate Action for World Heritage (2023) provides high-level guidance on enhancing the protection and conservation of World Heritage through the comprehensive adoption of climate action measures. It provides an outcome-oriented policy framework to develop goals and targets at national and heritage site levels, which can be reflected in updates to the various **management processes** and plans. The framework adopts a long-term vision, with four World Heritage Climate

Action goals, that requests States Parties to take a range of actions in areas such as assessing climate change risks, climate change **adaptation**, climate change **mitigation**, knowledge-sharing, capacity-building and awareness, and advocating for transformative change.

Lastly, the importance of heritage in safeguarding global biodiversity must be stressed. The role of the **World Heritage Convention** has been highlighted within the 2022 Kunming–Montreal Global Biodiversity Framework. This is the globally agreed strategy to address the alarming loss of biodiversity by 2030 and it clearly positions the crucial role of heritage, heritage places and World Heritage (as one of the eight biodiversity-related Conventions) in addressing this global challenge. It is worth highlighting that the newly adopted Global Biodiversity Framework mentions ecosystem integrity and so, given that integrity is a key pillar of OUV, the World Heritage Convention is well situated to respond to this key global mandate. Many World Heritage properties cover huge areas of land, freshwater and sea, which can showcase the fact that well-managed conserved areas at scale can contribute significantly to global efforts to combat climate change.

REFLECTION QUESTIONS

- Do management objectives address how the property can contribute to other societal goals, such as sustainable development, community well-being and the generation of services and benefits?

- Have the main benefits generated from the conservation of World Heritage property been identified?

- Who currently benefits from these?

- Who should be benefiting?

- Who bears the main costs of conserving the property and how is that balanced with who benefits from it?

- How can development be truly sustainable and reconciled with heritage conservation to ensure they both coexist, at the level of the property?

- What measures are in place to recognize the contributions the heritage place makes to the local economy?

ADDITIONAL RESOURCES

- UNESCO (2015). Policy for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention.

- UNESCO (2023). Policy Document on Climate Action for World Heritage.

- ICOMOS SDG Working Group (2021). Heritage and the Sustainable Development Goals: Policy Guidance for Heritage and Development Actors. Paris, ICOMOS.

- IUCN, BfN, UNEP, WCMC (2014). The Benefits of Natural World Heritage: Identifying and Assessing Ecosystem Services and Benefits Provided by the World's Most Iconic Natural Places. Gland (Switzerland), IUCN.

- PANORAMA – Solutions for a Healthy Planet, Nature–Culture Solutions.

- UNESCO World Heritage Canopy.

4. GOVERNANCE FOR HERITAGE PLACES

4.1 GOVERNANCE

KEY POINTS

- Governance is about who makes decisions, what instruments they use to do so and what responsibilities and processes are involved in relation to the identification, protection and management, and sustainable use of the heritage place.
- Achieving effective and equitable governance and management requires coordination and collaboration among actors with rights and responsibilities over the heritage place.
- Good governance principles for heritage include aspects of legitimacy and voice, shared direction, accountability, fairness and rights.

4.1.1 WHAT IS GOVERNANCE?

The concept of **governance** has grown in importance over the past two decades and is now used widely across different sectors. In the **heritage** context, governance can be defined as the interactions among institutional structures, processes and traditions that determine how power and responsibilities are exercised, how decisions are taken and how different **actors** have their say in relation to the identification, protection and **management** of the **heritage place**.

Governance is essentially about *who* decides, the *instruments* they use to exercise their power and responsibilities, and what *processes* are followed for making decisions. The term **instruments** refers to the set of documents and means such as legislations, policies, regulations, planning documents, customary rules and traditions, technical or legal contracts etc. that outline the different processes of how decisions are made and by whom. The three elements of actors, instruments and **decision-making processes** form the backbone of governance arrangements for the heritage place. Paying attention to these aspects is vital to understanding how the **management system** for the heritage place functions. In a practical sense, it looks at the complex relationships between actors (i.e. **managers**, **rights-holders** and **stakeholders**; see **4.2**) and how the quality of governance affects other critical **management processes**, such as planning and community engagement. To ensure that governance is rights-based, pluralistic and equitable, it is necessary to analyse existing governance arrangements and consider if any improvements are needed.

Managing heritage places and ensuring their contribution to broader **sustainable development** requires effective collaboration between multiple actors, sectors and decision-making levels. Whenever choices and decisions are made about the protection of a heritage place, some form of governance enables – or not – people to exercise their rights, influence, authority and responsibilities over that place. Thus, who has decision-making power, who chooses what actions to implement and what processes are followed, deeply influences how a heritage place is managed.

In the case of World Heritage, understanding the governance arrangements takes on particular importance. The inclusion of a property on the World Heritage List brings additional responsibilities

and greater national and international oversight and, with it, additional **monitoring** procedures to assess whether the **Outstanding Universal Value (OUV)** of the property is being maintained. Decision-making processes for the property itself – as well as its **buffer zone** and **wider setting** – become more challenging as multiple administrative levels are involved, requiring further collaboration and coordination. In addition, to ensure that the rights, obligations and responsibilities of all actors (managers, rights-holders and stakeholders) are recognized and respected, there is a need for platforms where people can have a say in informing and/or making decisions about the heritage place and how those decisions will affect them.

Clearly defined and equitable governance arrangements can help align efforts and reconcile interests in relation to the identification, protection, management and sustainable use of cultural and natural heritage.

Box 4.1 Principles of Good Heritage Governance

1. Recognition and respect for the rights, obligations and responsibilities of all relevant actors.
2. Recognition and respect for all relevant actors and their knowledge, beliefs and institutions.
3. Full and effective participation of all relevant actors in decision-making processes.
4. Transparency supported by timely access to relevant information in appropriate forms.
5. Accountability for fulfilling responsibilities and other actions and inactions.
6. Access to justice, including fair and effective dispute resolution processe.s
7. Respect for human rights, including individual and collective rights, gender equity and the free, prior and informed consent of Indigenous Peoples.
8. Ensuring benefits and costs are fairly and equitably shared among relevant actors.
9. Effective coordination and collaboration between actors, sectors and levels.

Adapted from: Governance Assessment for Protected and Conserved Areas *(2019).*

4.1.2 COLLABORATION AND COORDINATION AMONG ACTORS

Achieving effective and equitable governance and management requires coordination and collaboration among actors with rights and responsibilities over the heritage place. Much more can be achieved when people work together, particularly by building stronger cross-jurisdictional partnerships that can combine resources (human, financial and technical) and explore collaborative solutions to management challenges.

Effective and equitable governance arrangements will vary according to the mandate, **capacity** and resources of the actors involved, as well as if and how their role and responsibilities are recognized and respected, and the availability of enabling platforms and processes. The effectiveness of coordination will depend on certain conditions, including:

- involvement of all those with relevant roles and responsibilities and ensuring they have the required capacity;
- mutual respect among those involved;
- an active, sustained dialogue to achieve consensus on solutions that meet, as far as possible, the concerns and interest of everyone;
- a learning culture that is open to new ideas and explores innovation.

REFLECTION QUESTIONS

- What are the governance arrangements at your heritage place and who are the actors involved in the management system of your heritage place?

- Does the management plan (or similar planning instrument) for the property include a description of the governance arrangements for the property and any existing buffer zone(s), and do these governance arrangements correspond to the guidance set out in this manual?

- Is the governance structure – including the necessary interactions between different managers – clearly documented, transparent and accessible? Is it clear who has the main decision-making power (or final say) in relation to different management processes?

- Have all rights-holder groups been identified? Are the rights of each group well understood? Are all rights-holder groups engaged in the management of the property, or are some excluded?

- Are all rights-holders, managers and relevant stakeholders effectively and appropriately involved in different management processes?

- Have rights-holders and/or local communities been involved in the identification of the values of the property, particularly at the time when the property was nominated for the World Heritage List? Are free, prior and informed consent processes conducted for all decisions that affect Indigenous Peoples' lands, territories or rights?

- Are effective dispute resolution mechanisms in place?

ADDITIONAL RESOURCES

- Borrini, G., Dudley, N., Jaeger, T., Lassen, B., Pathak, N., Phillips, A. and Sandwith, T. (2013). Governance of Protected Areas. From Understanding to Action, Gland (Switzerland), IUCN.

- UNESCO, ICCROM, ICOMOS, IUCN (2023). Tool 4: Governance Arrangements. Enhancing our Heritage Toolkit 2.0, pp. 46–56. Paris, UNESCO.

4.2   ACTORS

KEY POINTS

- The protection and management of heritage places require the collective work of a variety of actors, who can be individuals, institutions and/or other groups.

- Actors for heritage can be grouped in three broad categories: those who hold responsibilities (managers), those with rights over heritage (rights-holders) and those with interests in a heritage place but without rights over it (stakeholders).

- In some cases, the categories may overlap: rights-holders can also be managers if socially and legally empowered to be responsible and accountable for the conservation of the heritage place.

- The roles and responsibilities of managers for the heritage place are established through legal and/or customary instruments and need to be analysed in order to understand if the management system of the heritage place is effective.

- Collaboration and coordination between actors are the key to effective and equitable governance.

- Indigenous and community-based heritage management is increasingly recognized as effective for the conservation of heritage places and can bring many advantages.

- International human rights agreements must be respected for World Heritage conservation and management.

4.2.1   ACTORS IN A HERITAGE PLACE: WHAT ARE THEIR ROLES AND RESPONSIBILITIES IN RELATION TO MANAGEMENT?

Protecting and managing **heritage places** involves a variety of **actors**, among which there may be public institutions at various levels, elected officials, Indigenous Peoples, local communities, women and youth, private owners, businesses, non-profit **organizations**, non-governmental organizations (NGOs), professional, religious or educational groups, and sometimes even intergovernmental international agencies. In the context of World Heritage, the term 'actors' may refer to individuals, institutions or groups that hold rights, responsibilities and interests in the property and/or are involved in the conservation and **management** of the property. Such actors may hold such rights, influence, authority or responsibilities over the property through laws, plans, norms, traditions and other similar **instruments**, which determine their roles and the powers at their disposal.

Actors can be grouped in three broad categories: **managers**, **rights-holders** and **stakeholders**. Often the term 'stakeholder' is used to refer to all these categories, but the term 'actors' allows a distinction to be made between those who hold responsibilities (managers), those endowed with rights over **heritage** resources (rights-holders) and those with interests in a heritage place but without rights over it (stakeholders).

Managers are institutions and other types of entities, as well as the individuals working within them, that are recognized, responsible and accountable for protecting and managing the heritage place. Institutions responsible for managing the heritage place can be government-run, privately-owned and community-based. Indigenous Peoples, local and other community groups may also be managers by this definition, operating through customary and traditional frameworks, if they are recognized by the broader society as accountable for the management of the heritage place. Managers can work at all levels including site, local, regional or national level, depending on the institutional framework and the country where the heritage place is located.

Managers hold specific responsibilities towards the heritage place, which is established through legal and/or customary instruments that provide such authority and accountability. The powers vested in managers can vary considerably depending on the type of heritage place, the nature of the **governance** arrangements and the distribution and balance of legal and customary authority they exercise.

Rights-holders hold formal legal and/or customary rights over the heritage place or resources within it. Rights-holders can be Indigenous Peoples with a long-lasting relationship to the heritage place, private owners, people residing in or around the heritage place, a religious group or entity responsible for upholding a sacred place, and groups with rights to use resources within the property or **buffer zone**, among others.

Stakeholders have direct or indirect interests, concerns and influence over the heritage place but do not enjoy a legally or socially recognized entitlement to the heritage resources. Stakeholders in a heritage context can be, for example, interest groups, businesses or tourism operators.

4.2.2 UNDERSTANDING WHO HOLDS POWER

Managing a heritage place requires navigating between myriad interests and expectations of different actors with different powers to influence **decision-making processes**. Power can take many forms and operates both through formal and informal systems, through established institutions and rules, and personal relationships and cultural norms. In the context of **heritage management**, power is present in the interactions and relationships between actors and within groups and institutions. Understanding these power relationships is important when analysing **governance** arrangements and decision-making processes related to the management of the heritage place, but there may be hidden or implicit elements, which can be difficult to identify. For instance, in some situations, certain groups of rights-holders that have the advantage of economic resources may voice their interests more strongly than economically deprived ones. Or certain business companies whose interests align with political agendas may hold more lobbying powers than rights-holders or managers.

In order to consider these complex situations and identify power relationships it can be helpful to carry out an analysis. An example of how this might be done is given in Figure 4.1, where different actors have been positioned in a matrix according to their relative decision-making power about the management of the heritage place and interest in conserving the heritage place. This analysis can be used to prompt improvements in heritage management while respecting rights-holders' legitimacy to benefit from using heritage resources.
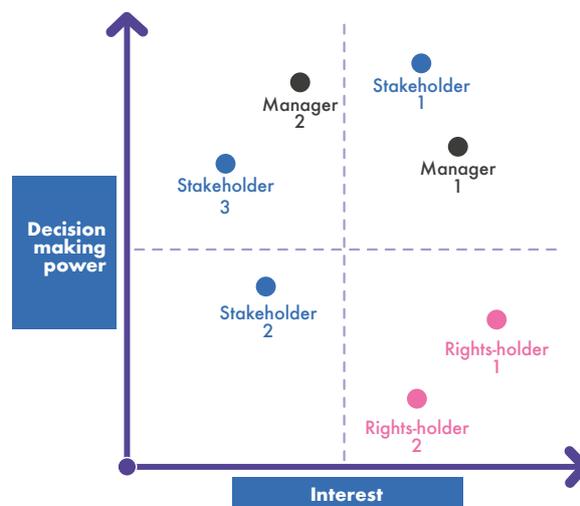

Figure 4.1 A hypothetical analysis of the actors of a heritage place in terms of their relative power and interest. Such analysis can be a helpful first step in understanding their influence on decision-making. Consideration of the current state of play can lead to reflection on which actors need to be supported in their roles and responsibilities towards the heritage place – and where caution might be needed.

Some examples of how such analysis can be applied are given here, on the basis of the hypothetical analysis in Figure 4.1:

- Rights-holders 1 and 2 have less decision-making power than Stakeholders 2 and 3, despite having rights over heritage resources and having more interest in conserving the place; this calls into question whether governance arrangements should be adjusted to recognize their rights and involve them more in decision-making.

- Manager 2 holds a lot of power but is not very interested in conserving the heritage place, maybe because their mandate is not heritage specific and they don't fully understand the significance of the heritage place; efforts are needed to involve this manager more, and to explain why the place is important.

- Stakeholder 1 has no rights or heritage responsibilities over the management of the place and little interest in conserving it but has a disproportionate amount of power; governance arrangements need to be revised to ensure that decision-making processes are transparent and inclusive in order to balance the interests of different actors and to avoid decisions that could have negative **impacts** on the heritage place and rights of associated **communities**.

4.2.3 WHO HOLDS RESPONSIBILITIES AND IS ACCOUNTABLE FOR MANAGING THE HERITAGE PLACE?

Governance arrangements can vary considerably from one heritage place to another. Some heritage places are mainly managed by one or more government institution whereas others are under shared governance by different actors, including a mix of governmental, non-governmental and private actors. For World Heritage properties, there is always some governmental oversight – even when on a regular basis they are managed by private entities, religious associations or groups acting on behalf of Indigenous Peoples or associated communities – since the ultimate responsibility for protecting the property lies with the State Party. Some governance arrangements could apply to the entire heritage place or there could be a mixture of arrangements for different parts of the heritage place. In such cases, understanding who is truly responsible for managing the heritage place is critical.

Managers' responsibilities towards the heritage place are established through legal and/or customary instruments. These instruments also grant them powers and the degree of influence they can exert when managing the heritage place. Such powers can include:

- **planning powers**, which refer to the **capacity** to establish **management objectives** and develop **management plans** and other planning instruments;

- **enforcement powers**, which refer to the capacity to enforce decisions, rules and regulations through a variety of means, including social pressure, means of surveillance and the imposition of fines and other sanctions. In cases where managers do not directly hold this power, it is necessary to establish partnerships with legal institutions that can exercise this power (e.g. police);

- **spending powers**, which refer to the capacity to use the resources allocated to plan management actions and implement them as well as to enforce rules, develop and maintain infrastructure and undertake capacity-building and research;

- **revenue-generating powers**, which refer to the receipt of fees, licensing and issuing of permits to access and use the heritage place;

- **coordination power**, which refers to convening other relevant actors and developing agreements with them, as well as delegating them some of the above-mentioned powers. This power is connected to knowledge and know-how and refers to the possession of relevant information and skills that enable managers to define what type of knowledge is needed, how it can be acquired and used to support specific decisions, and the communication of information related to decision-making or the use of dissemination platforms.

Unlike other actors, managers are expected to be in charge of a heritage place in full capacity. Most importantly, they are considered accountable for the management of the heritage place. This fundamental distinction is critical to distinguish between managers and rights-holders.

4.2.4   RECOGNIZING AND EMPOWERING INDIGENOUS PEOPLES AND ASSOCIATED COMMUNITIES AS MANAGERS OF THE HERITAGE PLACE

Many heritage places are managed by institutions or groups acting on behalf of Indigenous Peoples and/or local communities through customary, legal, formal or informal mechanisms and rules. Community-based management is increasingly recognized as effective for the conservation of heritage places, especially when it follows more holistic approaches to the interconnections between cultural and natural heritage compared with conventional government-led **management systems**, which tend to divide the two, based on an administrative or institutional perspective.
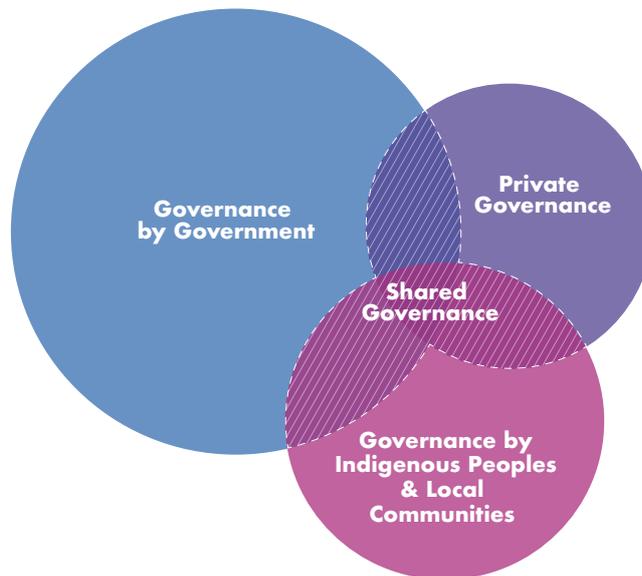

Figure 4.2 Different types of governance for heritage places. *Source:* adapted from Borrini et al. (2013) publication *Governance of Protected Areas: From Understanding to Action*.

There can be many advantages to Indigenous and community-based heritage management. Indigenous Peoples and other communities associated with heritage have capacities that can outlast political or professional governance structures and cycles. Many places now designated as heritage have been protected over long periods of time with resources, knowledge and skills provided by successive generations. The participation of these actors in management makes it possible to have multiple voices, views and forms of knowledge that allow good decisions to be made that have relevance for the entire heritage place. The diverse local, traditional and Indigenous knowledge systems, combined with science, can provide a powerful base to form locally appropriate, culturally diverse and sensitive management **policy** and actions.

Regrettably, in many heritage places certain rights-holders groups have been historically dispossessed from accessing and using ancestral lands, community areas or other heritage by government, private companies and other actors. Such actions have been subject to a mixture of approaches from soliciting voluntary limitations of their rights to enforcing actions with a degree of coercion. It is now fully recognized that Indigenous Peoples must give their free, prior and informed consent (FPIC) to designate a place as heritage and should never be forced or coerced by violent means to do so. Fortunately, customary rights relating to heritage protection, land tenure and use or resource exploitation are increasingly being recognized, nationally and internationally, although stronger and sustained efforts to protect these rights are continuously needed.

In order to empower Indigenous Peoples and associated communities to take the lead over the management of their heritage places, government institutions officially responsible for the heritage place need to transfer or share responsibility for decision-making in a variety of ways. Such processes need to be formally recognized and accompanied by adequate technical and financial **inputs/resources**, to ensure that the groups or institutions acting as representatives of the Indigenous and associated communities have the capacities to assume their roles and responsibilities as managers. There are many different forms of shared governance and co-management. In some cases, partnerships have been established between Indigenous Peoples and governmental institutions, so that the institutional resources can support the community's decisions regarding heritage conservation. In other cases, legal title to the land within the boundaries of the heritage place has been transferred to Indigenous Peoples, sometimes with lease-back arrangements put in place.

With respect to community relocations, for the purpose of establishing heritage places or for any other conservation purpose, international human rights agreements, and in particular the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), must be respected for World Heritage conservation and management. In accordance with these agreements, Indigenous Peoples shall not be removed from their lands or territories without their free, prior and informed consent.

REFLECTION QUESTIONS

- Is it clear who the managers are in your heritage place? If not, why not?

- In cases where there are several managers, is it clear which managers hold the primary responsibility for managing the World Heritage property? Are those primary managers also responsible for the management of the buffer zone? If not, what challenges derive from a separation in management responsibility between the property and buffer zone?

- Is it clear what instruments and powers grant each manager the authority, role and responsibilities over the property and/or the buffer zone? How do those instruments and powers make them accountable to the other actors?

- Are there any conflicts or overlaps between the responsibilities of different managers?

- Have all rights-holders groups been identified? Are the rights of each group well understood?

- Are the rights of different groups respected by all managers? Are customary rights that support the conservation of the heritage place respected to the same extent as legal rights?

- Is the practice of some customary rights in conflict with the management objectives for the property?

- Are all rights-holders' groups engaged in the management of the property? Do some feel excluded?

ADDITIONAL RESOURCES

- UNESCO, ICCROM, ICOMOS, IUCN (2023). Tool 4: Governance arrangements. Enhancing Our Heritage Toolkit 2.0, pp. 46–56. Paris, UNESCO.

- Borrini, G., Dudley, N., Jaeger, T., Lassen, B., Pathak, N., Phillips, A. and Sandwith, T. (2013). Governance of Protected Areas: From Understanding to Action. Gland (Switzerland), IUCN.

- UNESCO, ICCROM, ICOMOS, IUCN (2013). Managing Cultural World Heritage. Paris, UNESCO.

4.3 LEGAL, REGULATORY AND CUSTOMARY FRAMEWORKS

KEY POINTS

- The management system of a heritage place is dependent on a range of legal, customary and policy instruments that support the delineation of the World Heritage property and its buffer zones, define the managers' mandates and responsibilities and empower them to act.

- Non-heritage specific legislation, regulations and soft law from other sectors are part of the legal framework (e.g. spatial planning laws, land-use regulations, community grazing rules), and can contribute to building a robust and effective management system that can enhance the benefits of conservation.

- A customary framework refers to the set of customs, norms and practices that are practised by a particular group over land or sea areas for such a long time that they are considered to be mandatory; they complement formal legal frameworks and must be considered as part of the heritage management system.

- Applying the legal and customary framework equitably and transparently so that all actors are fully aware of what is and is not legally/traditionally possible is of primary importance.

- Compliance should be promoted by raising awareness of rules and by nurturing trust among all actors involved in the conservation and management of the heritage place. However, when people do not voluntarily comply with the laws, rules and regulations, it is necessary to have mechanisms to enforce them.

- World Heritage properties require specific obligations from States Parties and an effective legal, regulatory and/or customary framework established at the national and local levels for their long-term protection.

4.3.1 WHY IS IT IMPORTANT TO UNDERSTAND THE LEGAL FRAMEWORK FOR A HERITAGE PLACE?

The **management** of **heritage places** is dependent on a range of legal, customary and **policy** instruments. Some of these can be mandatory, such as national laws, regulations and contractual obligations; others are more like soft laws, such as policies, standards, guidelines and codes of ethics. There are many countries where the World Heritage Convention, which entails obligations at an international level, has not been formally transcribed into a specific law at the national or provincial level (in the case of federal systems), but its main provisions, or equivalents of them, are included in existing legislation.

Every country uses a variety of **instruments** to identify, protect, conserve and manage heritage places. These instruments range from constitutional provisions and legislation to customs passed down from generation to generation. These instruments might or might not be **heritage**-specific but they determine how a heritage place is protected and managed. Whatever the combination, these instruments form an essential part of the **management system** of the heritage place and must be understood.

Those involved in the direct management of a World Heritage property should be familiar with the World Heritage Convention, as well as the Operational Guidelines, and consider it as part of the overall **legal framework** for their heritage place. In this way, they can ensure their management is in accordance with the responsibilities assumed by the **State Party** at the international level.

4.3.2 WHAT CONSTITUTES A LEGAL FRAMEWORK FOR THE MANAGEMENT OF A HERITAGE PLACE AND WHAT INSTRUMENTS CAN IT INCLUDE?

The set of instruments forming the legal framework of a country usually comprises the constitution, legislation at different administrative levels, formal decrees, policies, regulations and contracts. In their entirety, legal frameworks can have many purposes: to establish, regulate, authorize, proscribe, provide funding, sanction, grant, declare or restrict. Some of these sets of instruments cover general principles and matters but others focus on specific matters, such as legislation on cultural and natural heritage.

There are laws and regulations drawn up for other purposes but which complement heritage legislation, such as spatial planning legislation or legislation regulating extractive industries that may proscribe heritage places as off limits.

Legal frameworks also establish implementing institutions, as well as the scope of their mandates and whether and how they will work with other institutions and **organizations**. Therefore, depending on the **governance** arrangements in each country or jurisdiction, the legislative or regulatory instruments and organizations enabling heritage management will vary. Often stipulations that derive from a country's constitution and national legislation will intertwine with provincial regulations, local by-laws and spatial planning frameworks or other sectoral laws. There are also codes, other regulatory frameworks or policies that do not constitute law but can influence heritage management. These include policies and standing orders created by specific institutions.

Legislation and regulations outside the heritage sphere – urban planning, land-use, environmental, export control laws, etc. – can have a major impact on heritage conservation and management, and, if known and understood, they can be used to benefit heritage. This is particularly important when it comes to the management of **buffer zones** and the **wider setting**. Other elements may also influence heritage, such as national or international charters or compliance with codes of ethics of specific heritage professions; these are often referred to as soft law.

If shortcomings in the legal framework compromise the effectiveness of the management system for a property, it is necessary to understand where the gaps and challenges are and what can be done about them. Changing legislation, especially at the national or provincial level can be unrealistic and may take considerable time and political will. In such situations, attempting to strengthen other legal instruments at a local level may be helpful and prove more feasible by using, for example, regional laws, development by-laws or local policies. For instance, if the national law does not recognize the use of buffer zones nor does it have similar provisions, countries may use planning legislation or spatial planning mechanisms of regional or local councils in order to protect the surroundings of a heritage place. Successful local solutions can work in the short term and can generate action from the ground up for long-term reforms to national heritage legislation.

Occasionally, specific laws and regulations can be drawn up for the protection and management of a heritage place. It might happen because of the large size or complexity of a heritage place or to address particular challenges, such as urban encroachment, or even to overcome dramatic events, catastrophes or acts of terrorism. Alternatively, non-governmental entities and philanthropic organizations could be interested in co-managing heritage assets, prompting partnership agreements specific to a heritage place to create the conditions for effective public–private partnership.

4.3.3 WHAT IS A CUSTOMARY FRAMEWORK?

A **customary framework** refers to the set of customs, norms and practices that are practised by a particular group over land or sea areas for such a long time that they are considered to be mandatory. These customs, norms and practices are usually rooted in local or Indigenous tradition, religion or culture beyond the formal statutory legislation. They can include, for example, rules in land tenure, inheritance practices, or barring or limiting access to sacred areas.

Customary rules are often orally transmitted. They might be the result of ongoing practices passed on from generation to generation, known and accepted by the whole community, or be recent expressions of community consensus. They can be as important as formal laws for heritage management and, in some cases, in some cases even more important, as they have been historically implemented and voluntarily practised, sometimes for long periods of time.. Therefore, traditional practices, customs and customary law also need full consideration in order not to neglect long-established and shared bodies of rules and practice in **traditional knowledge** systems. They complement formal legal frameworks and must be considered as part of the heritage management system. It is also important to recall that in some contexts **customary law** is recognized formally alongside official laws, with which it shares similar or equal legal status.

4.3.4   COMPLIANCE AND ENFORCEMENT OF LEGAL AND CUSTOMARY FRAMEWORKS

Legal and customary frameworks may not be respected for a variety of reasons. Lack of awareness of the **heritage values** of the place or lack of knowledge of the rules and regulations may contribute to this. In such cases, the situation can be improved through initiatives that increase participation and raise awareness. This might involve, for example, improving governance arrangements to make them more participatory; creating meaningful activities for engagement with the heritage place; supporting intergenerational knowledge transfer; increasing communication with the public and offering ways to contribute to management efforts; or providing heritage interpretation so that people can gain greater appreciation of the heritage place and thereby come to support its protection.

However, in cases where such approaches are not enough, it may be necessary to consider how best to ensure compliance with legal and customary frameworks and/or their **enforcement.** Compliance refers to the practice of observing rules, obligations and cultural norms established in regulatory, legal and customary framework. Enforcement refers to the range of actions that can be taken to ensure that individuals or groups are made to act in accordance with laws or regulations or punished for failing to comply.

Often challenges arise not from the content of the legal and customary instruments themselves but from their implementation. Effective control of uses and activities depends largely on voluntary application and respect for rules and regulations by all **actors** involved in conservation and management of the heritage place. If rules and regulations are not known, overly complicated and costly to implement, it is more difficult to ensure compliance. There are many ways to promote compliance, namely by finding meaningful ways to engage people so that the issues can be discussed and solutions found, by making rules and regulations as clear as possible so that they can be easily understood and by communicating them effectively, or by organizing initiatives to change behaviours that negatively affect the heritage place.

Some challenges arise from the need to balance the interests of private individuals versus the collective good. It should be recognized that management of a heritage place may restrict new development not only there but even in adjacent areas, which could be detrimental to some people, by limiting their commercial opportunities, and advantageous to others, by causing existing real estate to increase in value, for example. Private owners may face constraints on their use of their property, such as the need for prior agreement for physical changes or for supervision of conservation/adaption actions. Ideally, these need to be balanced with the provision of incentives for conservation and management, such as financial subsidies or tax exemptions, which can also encourage compliance.

It is always better to promote compliance than rely on the threat of prosecution and punishment. However, when people do not voluntarily comply with the laws, rules and regulations, then governments and/or traditional authorities need to have mechanisms to enforce them. When needed, enforcement authorities should be in a position to use legal and customary means to sanction those ignoring or breaking rules and regulations or to prevent them from doing so. This requires enforcement **capacity**

and the systematic application of penalties when offences are committed. Legislative and customary control mechanisms can also take a variety of forms according to the overall origins of the legal and customary system of the specific country or heritage place.

4.3.5 LEGAL AND CUSTOMARY FRAMEWORKS IN THE WORLD HERITAGE CONTEXT

In accepting or ratifying the World Heritage Convention, States Parties commit to protecting their cultural and natural heritage. The Convention contains specific obligations which include the need to take appropriate legal, scientific, technical, administrative and financial measures to protect World Heritage properties. This underlines the need for adequate and effective legal protection to ensure that heritage is protected and transmitted to future generations. The Operational Guidelines provide greater detail, stating that all properties inscribed on the World Heritage List must have adequate long-term legislative, regulatory, institutional and/or traditional protection and management to ensure their safeguarding.

The commitment to World Heritage is most effective when the main provisions of the Convention are transcribed in national laws and regulations for heritage. This may be done by creating new legislation to meet World Heritage requirements or by revising existing legislation.

The following points highlight some of the current priorities regarding World Heritage commitments that States Parties should be aware of:

- National legislative and regulatory measures must guarantee the protection of World Heritage properties and prevent changes that might negatively impact on their **Outstanding Universal Value (OUV)**.

- Legal frameworks must offer legal status as heritage to the areas recognized as World Heritage and impose restrictions on their use and development, at varying levels of intensity, for the World Heritage property itself, its buffer zone(s) as well as the wider setting.

- Serial and/or transboundary properties may need specific overarching mechanisms such as Memoranda of Understanding or strategic **management** planning frameworks to complement laws and regulation at the national level and ensure adequate coordination between **managers**, to ensure that **management objectives** and protection and management mechanisms are aligned across different jurisdictions.

- Legal frameworks and governance arrangements may need some updating if **rights-holders**, such as Indigenous Peoples or local communities whose livelihoods in some way depend on the heritage place, do not have meaningful forms of involvement in **decision-making** and **management processes**.

REFLECTION QUESTIONS

- Have the obligations deriving from ratifying the World Heritage Convention been embedded into the national legal framework?

- Is the legal designation of the property at the national level adequate in relation to its OUV? For example, if the property is inscribed on the World Heritage List as a cultural landscape, is that category recognized in national legislation?

- Is the entire property covered under that same legal designation? If not, what challenges arise?

- In general, is the legal framework adequate to protect the property in the long term? Are the different instruments that make up that legal framework well integrated?

- Is the legal framework adequate to ensure engagement and participation of rights-holders in the governance and management of the property and its buffer zone(s)?

- Are legal instruments compatible with and supportive of customary rules and practices?

- Is there a dedicated ministry for cultural and natural heritage in your country or is the heritage portfolio paired with another, such as education, research, the environment or sport? How high does heritage rank in your country compared with other national priorities?

- What weight does heritage have in other areas of legislation? Does your legal framework ensure that heritage legislation and plans take priority over other legislation, policies and plans (e.g. regarding land use, development, tourism, etc.)?

- Is the legal framework adequate to manage the buffer zone(s) and to address factors originating in the wider setting?

- Is it clear what instruments grant each manager the authority, role and responsibilities over the property and/or the buffer zone(s)? How do those instruments and powers make them accountable to the other actors?

- When there are conflicts between policies and plans produced by different managers, is it clear which policy or plan has primacy?

ADDITIONAL RESOURCES

- UNESCO (1972). Recommendation Concerning the Protection, at National Level, of the Cultural and Natural Heritage.

- UNESCO, ICCROM, ICOMOS, IUCN (2023). Tool 5: Legal, regulatory and customary framework. Enhancing Our Heritage Toolkit 2.0, pp. 57–65. Paris, UNESCO.

- UNESCO, ICCROM, ICOMOS, IUCN (2013). Managing Cultural World Heritage. Paris, UNESCO.

- Ndoro, W. and Pwiti, G. (2002). Legal Frameworks for the Protection of Immovable Cultural Heritage in Africa. Rome, ICCROM.

- IUCN Commission on Environmental Law, IUCN Environmental Law Centre, IUCN World Commission on Protected Areas (2011). Guidelines for Protected Areas Legislation. Gland (Switzerland), IUCN.

- Borrini, G., Dudley, N., Jaeger, T., Lassen, B., Pathak, N., Phillips, A. and Sandwith, T (2013). Governance of Protected Areas: From Understanding to Action. Gland (Switzerland), IUCN.

4.4   DECISION-MAKING PROCESSES

KEY POINTS

- Decision-making processes should be analysed to see if they are equitable, respectful of rights, participatory and transparent.

- Decision-making for World Heritage takes place at multiple levels; the various decision-making roles and responsibilities should be clearly defined to lead to more effective and collaborative management linked with accountability.

- Decisions and recommendations by the World Heritage Committee must be considered and responded to.

- Rights-holders must be involved in decision-making and treated differently to stakeholders who have an interest in but no rights over the heritage place.

- Conflict can arise in the management of heritage places, particularly where there are unequal power dynamics. Effective resolution of these conflicts should be carried out in accordance with principles of good governance and may benefit from mediation.

4.4.1   WHY IS IT IMPORTANT TO UNDERSTAND THE DECISION-MAKING PROCESSES AT A HERITAGE PLACE?

Analysis of **governance** arrangements involves not only looking at who is involved but also how decisions are made. This needs both an assessment of the quality of **decision-making processes** in the light of good governance principles, as well as questioning formal and informal decision-making processes. Analysing if those processes are equitable, respectful of rights, participatory, and transparent is critical. Decision-making processes can occur at different levels – local, regional, national and sometimes international – and hence involve many different **actors**.

To make sound decisions, it is important that all actors involved have access to adequate information and that they are fully aware of how decisions enable or constrain the **management** of the **heritage place**, as well as their rights and responsibilities. Transparent and participatory decision-making processes will need time and the investment of resources but these usually prove cost-effective in the long run, as they harness the contributions of diverse actors, promote collaboration and prevent conflicts.

4.4.2   MULTIPLE DECISION-MAKING LEVELS

Governance arrangements vary considerably from one heritage place to another and so do the decision-making processes associated with them. Due to the international recognition of World Heritage, decision-making takes place at multiple levels. However, in many heritage places, this aspect of management is often not given the consideration it deserves and, as a result, roles and the decision-making responsibilities of each **manager** are not clearly defined, leading to overlaps, gaps or contradictions about who should do what. Taking the time to understand decision-making at a heritage place will lead to more effective management.

The type of heritage place can determine the complexity of the decision-making processes. Some heritage places may come mainly under the responsibility of a single manager, with other administrative levels having an oversight role and acting only when particular challenges arise. In other cases, decision-making processes among multiple **managers** working at different levels and in different sectors, should complement one another. This is particularly important for urban and landscape properties, and also for serial, transboundary and transitional properties. The management of heritage places requires the

participation of **rights-holders**, local **communities** and other associated communities, which adds other layers of decision-making.

Interactions for decision-making occur through collaboration and exchange between multiple actors, both formal (e.g. through legal procedures) and informal (e.g. based on relationships and trust): for instance, when a municipal planning department coordinates with a **heritage** authority over the potential construction of a new road near an archaeological site, or when a port authority consults the heritage authority about shipping operations close to a sensitive marine sanctuary.

In cases where there are serious concerns about the protection of a World Heritage property, the **World Heritage Committee** can make recommendations about it to the **State Party**. Such interactions between the international and national levels require appropriate hierarchical procedures to ensure the transmission of information across the relevant institutions at different administrative levels (i.e. national, regional and/or local). Often, those institutions will also need to collaborate and combine their powers and resources to implement the Committee's recommendations. Levels of decentralization within a country will help determine if decisions will be implemented centrally or locally, and which institutions will have more of an oversight role.

4.4.3   MULTIPLE DECISION-MAKING LEVELS

Decision-making processes may stipulate that the manager with primary heritage responsibilities is only legally required to inform other managers about certain actions or decisions taken. In other cases, that manager may be legally required to consult with other managers before taking certain decisions. Sometimes, different managers are legally bound to decide on issues together, for instance when developing and jointly implementing a **management plan**. In some cases of community-based management, it may be necessary for the community to take a majority vote or reach consensus before certain decisions are made.

Other aspects can influence the reality of decision-making, such as when managers have limited power or **capacity** to take decisions because of legal constraints, lack of financial resources or lack of political support. This can be especially the case when a rights-holder group is recognized as the de facto manager but there is a lack of legal clarity about that role or the powers and **instruments** that go with it to implement its responsibilities. For example, a religious body may be de facto in charge of an architectural ensemble but may not have the authority to undertake certain conservation works without the authorization of a government institution.

The creation of heritage institutions in the past century has led to governments taking most responsibility for the protection and management of heritage places in many countries. This has sometimes undermined customary practices by Indigenous Peoples and local communities that contributed to the conservation of the heritage place. If those practices (or similar ones) are assured by the heritage authorities, the conservation **outcomes** remain largely the same. However, if the heritage authorities cannot undertake certain interventions because they have to spread the use of their resources across an increasing number of heritage places then sooner or later problems will arise.

The interplay of formal and customary governance arrangements must therefore be carefully examined and supported by co-management agreements, which describe the roles, responsibilities and contributions of the different actors. It is important to note that rights-holders must be involved in decision-making and treated differently to **stakeholders** who have an interest but no rights over the heritage place.

4.4.4 COLLABORATION AMONG MANAGERS

A first step towards effective decision-making processes involves clarifying the roles and responsibilities of each manager within the heritage place's **management system**. Managers may be bound by their legal mandate, which can go beyond the management of a single heritage place. The manager may not have a mandate that is specific to heritage, for example, in the case of municipalities that are responsible for a historic town centre or a cultural landscape, and in these cases they may have a much larger jurisdiction than the heritage place. As such, a good understanding of the role that each manager plays within the management system of a heritage place, and how they contribute to decision-making processes, is crucial for that system to function effectively.

When decision-making is the responsibility of more than one manager, mechanisms are needed to facilitate coordination by:

* establishing collaborative platforms to bring managers together on a regular basis;

* setting-up protocols for exchanging information;

* defining clear rules and procedures for making decisions, for example through memorandums of understanding;

* determining who has the lead in coordinating and harmonizing efforts;

* specifying mechanisms to reach collaborative decisions and measures to address disputes.

In practice, for collaboration to happen, managers have to believe that working together will generate better outcomes and provide **benefits** that would not occur in unilateral or less inclusive decision-making processes. As a result, this increases the managers' willingness to seek agreement and find compromises when needed.

4.4.5 RESOLVING CONFLICT

Conflict can arise in the management of heritage places, for instance, due to the different views held on what should be prioritized, the approaches to be adopted, or in determining the most effective measures to respond to **factors affecting the heritage place**. Issues of access to the heritage place and its resources can also be subject to competing cultural and economic interests, and the allocation of limited resources can be a source of contention. Unequal power dynamics among the various actors involved in the management of the heritage place can lead to disputes, as certain individuals or groups may wield more authority, power and influence over decision-making processes.

Recognizing and effectively resolving these conflicts, in accordance with the principles of good governance presented in this manual (see **4.1**), is a challenging responsibility shouldered by managers of heritage places. In some cases, seeking the assistance of mediators may be necessary to facilitate productive dialogue and reach mutually agreeable solutions, such as neutral facilitators or consultants. In addition, certain general approaches can help managers navigate the complexities and tensions that arise in conflict resolution in heritage places:

* Building relationships between actors is the most overlooked yet essential element of resolving conflict and creating new collaborative ways of working. This requires a significant investment of time, goodwill and other resources.

* Transparency, through continuous timely, and understandable information-sharing, is crucial to foster trust and understanding among all actors. Open and honest communication can help bridge gaps in understanding and foster collaborative approaches to conflict resolution.

* Resourcing for consultative processes, including at the time of **management planning** and resource allocation, is essential to ensure that sufficient time, funding and expertise are allocated to successfully engage all relevant actors in meaningful discussions and decision-making.

- In difficult situations, implementing effective dispute resolution processes is vital. This involves establishing mutually agreed mechanisms for consensus-building in advance, continuous dialogue, mediation, negotiation and arbitration, providing a structured framework for addressing conflicts and reaching consensus.

- Emphasizing the importance of inclusivity in decision-making processes is essential. Rights-holders should have the opportunity to contribute their perspectives and have their voices considered in the decision-making process.

REFLECTION QUESTIONS

- Is there a platform or mechanism to bring managers together at regular intervals to discuss management issues and facilitate decision-making? If not, is one needed? If yes, is it working well and are necessary resources identified and allocated?

- Are there clear, common and agreed-upon management objectives for the property or other heritage place? Have all managers committed to implement the agreed objectives?

- Are there formal agreements between managers to facilitate the exchange of information about the management of the property and any existing buffer zone(s)? If no such agreements exist, are there broader agreements that could be used as a basis to facilitate cooperative management?

- Are there informal agreements or collaborative exchange arrangements between managers? If necessary, how might such informal practices be reinforced and expanded to include other managers?

- Is information shared among all managers or only between some of them?

- Are there obligations to share certain types of information among managers? If not, is information shared in informal ways?

- How is information compiled and archived? How is information made available to all managers?

- Are there clear rules and procedures as to how the management plan for the property and any existing buffer zone(s) are to be integrated into and/or align with all other planning instruments?

- When different managers develop policies and plans that will affect the management of the property, are other managers consulted about their content? Is it a requirement to at least consult with the manager with the primary responsibility for the World Heritage property, from a heritage perspective?

- If working with a serial property involving different jurisdictions and multiple managers, are there procedures to coordinate and harmonize decision-making processes across the different components?

- Is there a clear understanding of the areas where the roles and interests of different managers are aligned and where there may be potential conflict?

- Is the practice of some customary rights in conflict with the management objectives for the property? Do rights-holder practices positively contribute to the protection and management of the property?

ADDITIONAL RESOURCES

- UNESCO, ICCROM, ICOMOS, IUCN (2023). Tool 4: Governance arrangements; Tool 8: Management processes. Enhancing Our Heritage Toolkit 2.0. Paris, UNESCO.

5. STRENGTHENING MANAGEMENT PROCESSES AT HERITAGE PLACES

5.1 MANAGEMENT PROCESSES

KEY POINTS

- Management is considered as a combination of institutional structures, instruments and processes, which together ensure the effective protection of the heritage place for present and future generations.

- A management cycle includes a series of recurring management processes: planning, implementation, monitoring and evaluation.

- Heritage practitioners actively undertake many other functions that contribute to maintaining the values of a heritage place that deserve similar attention, such as mitigating risks, reducing impacts from disasters, carrying out research, fostering the engagement of local communities, facilitating educational activities or providing tourism and visitor services, which should be considered as an integral part of the management system.

Planning can be defined as the process of setting desired **outcomes**, determining the ways and means by which these outcomes can be attained and allocating resources to achieve those outcomes. It is one of the most important **management processes** to help **managers** and other **actors** prioritize and carry out long-term and day-to-day actions to protect, conserve and present a **heritage place**. The **management plan** is the product of the planning process that sets out the **management** approach and what is to be achieved over a given period of time. While the preparation of the management plan is a critical stage, it is only the beginning, since the work continues with its **implementation** and **monitoring and evaluation**, which can both be defined as processes in their own right. The continuous and recurring nature of these different processes is defined as the **management cycle**.

Implementation is about the delivery of planned actions. While a lot of effort and resources are directed to preparing management plans and other planning **instruments**, implementation does not always receive the attention it deserves. This is often where problems arise. People generally assume that once a plan has been developed, its implementation will naturally follow, but that is hardly the case.

Many management plans are strategic in nature hence they need to be supplemented with more detailed and accurate operational plans to guide implementation. In addition, many heritage places have other subsidiary plans (e.g. DRM plan, tourism strategy, business plan), which must also be implemented in an integrated way. Therefore, implementation processes must be in place to develop detailed annual budgets and work plans based on the actions specified in those different plans. Once implementation is under way, it is important to identify whether this is being undertaken effectively and check if it is necessary to correct or adapt approaches and actions. The term **monitoring and evaluation** is often used to define this function.

Monitoring involves the regular collection and analysis of information and data for both the **state of conservation** of the heritage place and the implementation of the management plan, in order to track progress and make informed decisions. **Evaluation**, in turn, is usually carried out at specific periods of time to determine the efficiency, effectiveness and results of an ongoing or completed project, plan or even the overall **management system** for the heritage place, to assess what is working well and what needs to be improved.

5.2   MANAGEMENT PLANNING PROCESSES

KEY POINTS

- An integrated approach to planning and management is essential to ensure maintenance of all aspects of the OUV and other heritage values and, in this way, to provide guidance on what needs to persist and what can change in World Heritage properties and other heritage places over time.

- Planning is required at various geographic scales and organizational levels and in thematic areas, all of which can affect the management of the heritage place. It is important that heritage is considered within broader planning instruments because what happens around the heritage place can deeply influence its state of conservation.

- In many cases, management plans are a legal requirement within national laws for natural and cultural heritage protection, and the specificities of World Heritage, including the OUV and attributes, need to be reflected in such plans.

- Any subsidiary plans will need to be carefully integrated within the management plan and aligned in terms of time-frames and implementation.

- Planning is a continuous process, a sequence of iterative steps, not a one-time event. It can include developing a management plan or other management instruments or actions to achieve management objectives. The cyclical participative process to develop various plans is as important as the plans themselves.

- Management planning needs long-term thinking, so that heritage places are conserved for future generations, combined with an understanding of the practical steps that need to be taken in the short and medium term.

5.2.1   WHY DOES MANAGEMENT NEED PLANNING?

The Operational Guidelines state that an integrated approach to planning and **management** is essential to help guide the continuity and changes that take place at properties over time and to ensure **maintenance** of all aspects of their **Outstanding Universal Value (OUV)**. As such, **management planning** is for:

- directing management towards a desired future rather than simply reacting to problems as they arise;

- ensuring that management measures are based on a clear understanding of the present **state of conservation** of the property and that priority is placed on protecting the OUV;

- anticipating potential factors affecting the property as well as future problems and opportunities, thereby providing guidance for **managers** to frame long-term strategic thinking, as well as day-to-day operations;

- strengthening collaboration and promoting joint action, particularly in properties with complex **governance** arrangements, where management responsibilities may be shared among several managers;

- transparently and continuously communicating how a property will be managed to retain its OUV:

- promoting continuity and maintaining commitments, particularly in contexts with high political pressure and/or staff turnover;

- promoting **management effectiveness** by collaboratively defining desired **outcomes** and subsequently **monitoring** whether they have been achieved or not.

5.2.2 BROADER POLICY AND PLANNING FRAMEWORKS

Before starting to plan for a specific **heritage place**, it is helpful to consider the broader **policy** and planning context, in particular the broader planning framework or hierarchy, which can extend beyond the heritage place.

Planning is required at various geographic scales and organizational levels, as well as in thematic areas, all of which can affect the management of the heritage place. At national, regional and local levels, spatial planning activities determine which areas of land and sea will be used for what purposes and outline strategies, rules and regulations for development. Management planning for heritage places should be seen as a part of these broader planning processes to ensure they are harmonized and not in conflict. As a result, several overlapping plans can coexist with a **heritage management plan**, as in the case of large areas, such as natural **protected areas**, cultural landscapes or urban settlements.

Broader planning **instruments** often go beyond the specific heritage place both in terms of scale and scope. However, it is important that heritage is considered within such planning because what happens around the heritage place can deeply influence its state of conservation. By way of example, a regional government may develop a tourism strategy at regional scale with visitor projections and tourism infrastructure proposals that would seriously affect the heritage place.

5.2.3 DEFINING MANAGEMENT OBJECTIVES FOR PLANNING

Planning is a continuous process, not a one-time event. If heritage places are to be conserved for future generations, long-term thinking is needed, combined with an understanding of the practical steps that need to be taken in the short and medium term. To understand the difference and harness planning for long-, short- and medium-term time-frames, it is necessary to clarify the following:

- The overall **management objectives** for the whole **management system**, which broadly define: what must be done to maintain the OUV of the World Heritage property as well as other important **heritage values**; what management measures are necessary to conserve the **attributes**; and how the property can contribute to **sustainable development** and what **benefits** it aims to generate (see **3.5**).

- The strategies (or strategic directions or goals) to guide the change and continuity of the heritage place over a twenty- or thirty-year time-frame, in view of anticipated future challenges and opportunities. Long-term thinking is also important to deal with issues that need to be addressed over a long period of time, involving more than one **management cycle**. For instance, any possible regeneration of coral reefs after bleaching events usually requires many years. Similarly, introducing **mitigation** and **adaptation** measures to deal with the effects of climate change on a cultural landscape will also require longer-term and more strategic management responses.

- The desired **outcomes**, that is, what needs to be achieved over a specific management cycle, which is the subject of a management plan and its time-frame.

Being clear about the distinction between long-, medium- and short-term steps requires a clear understanding of:

- the present situation at the heritage place, particularly with regard to heritage values and attributes and the factors affecting them;

- whether the management instruments need to operate on a more strategic or operational level;

- what actions need to be taken and the **outputs** it will produce;

- what the time-frame will be for carrying out the actions;

- what **inputs/resources** are needed;

- who will be responsible for the implementation of the defined actions, and how **monitoring and evaluation** will be carried out.

Once the time-frame for planning has been decided, appropriate actions can be identified for meeting the needs. For example, a long-term action may include revising relevant legislation or setting up a collaborative management structure, whereas short-term actions may include adopting emergency shelters for heritage places impacted by a **disaster** or hiring temporary staff for priority interventions.

In addition, planning is dependent on other processes of the management system for the heritage place. For example, the state of conservation will need to be actively monitored in order to know what factors are affecting the heritage place, and these can only be properly identified if there is a good understanding of its values and attributes. Therefore, planning is not a linear series of steps towards the preparation of a management plan; it is an iterative and dynamic process with different feedback loops, where different elements interact and inform each other.

National strategies and plans

Regional or broad-scale plans
(e.g. land-use plans, master plans)

Management plan specific for heritage place

Subsidiary plans
(e.g. disaster risk management plan or visitor management plan)

Work plans and action plans

Figure 5.1 The relationships between policies and plans at different levels. *Source:* adapted from Worboys et al. (2015).

5.2.4   LINKING TO COMPLEMENTARY PROCESSES

Heritage practitioners undertake many other processes that also contribute to maintaining the values of a heritage place, such as providing tourism and visitor services, mitigating **risks**, reducing impacts from disasters, carrying out research, fostering the engagement of local **communities** or facilitating educational activities. Many heritage places, therefore, have other thematic or subsidiary plans that address these issues, for example, a DRM plan (see **5.6**), tourism strategy and heritage interpretation plan (see **5.9**). It is very important that such plans sit under the umbrella of the heritage place's main management plan.

Any subsidiary or complementary plans will need to be carefully integrated within the management plan with the fundamental objectives of sustaining the OUV and other heritage values and aligning them in terms of time-frames and implementation. If they have diverging timelines, there is a risk that the plans include more actions than can be delivered with existing human **capacity** and financial resources.

There is also a risk that the timing of their implementation is not harmonized, preventing certain actions from starting until others are concluded and hindering them in achieving their desired outcomes. In order to avoid these problems, it is essential that there is strong coordination between managers and planning teams that link between the complementary planning processes and ensure they are mutually supportive.

The following aspects, therefore, are it is of great importance: who is involved in planning; what knowledge and information is used; what procedures are followed; what criteria are used to decide what is to be achieved; the best course of action to get there; and who has the power to decide on all these aspects. All this is dependent on many things, such as:

- the governance arrangements for the heritage place (see **4.1**, **4.2**, **4.3** and **4.4**);
- how effective other elements of the management system are (see EoH Toolkit 2.0);
- what approach is taken towards preparing the management plan (e.g. if developed directly by managers, government agencies or external consultants; see **5.2**);
- the resources available (if there is a need to look for extraordinary funding to develop the plan; see **5.4**);
- the purpose of the plan within the larger planning framework (see **3.1**, **3.2**, **3.3**, **3.4**, **5.1** and EoH Toolkit 2.0, Tool 6).

5.2.5 HOW TO LINK ALL THE PROCESSES AND TIME-FRAMES EFFECTIVELY

To link all processes and time-frames more effectively it can be useful if the **outputs** of the management planning can envisage a number of key instruments:

- A long-term strategy or strategic plan: a short document to tackle existing and anticipated management challenges that require a long-term perspective as well as sustained efforts over a long period of time (perhaps over twenty to thirty years).

- A management plan: a slightly longer document that identifies desired management outcomes for a shorter period of time (perhaps five to ten years). In addition, for serial and transboundary World Heritage properties, it may be necessary to have a management planning framework to guide management across the different component parts of the property.

- An operational or work plan: a much more detailed but practical document that specifies how to implement the management plan in detail. It lists exactly who will do what, in what way and with what funding over a one-to-two-year period. When a management plan itself covers a short period of time (three to five years), it may include a programme of actions (sometimes also called an action plan), directly showing how the plan is to be implemented.

- Subsidiary plans: in some cases, particular attention needs paying to specific areas of activity (from DRM to heritage interpretation) and in these cases additional plans might be written. However, they must all be well coordinated with the content of the main management plan.

The managers of each heritage place will need to decide which of these instruments are helpful in supporting management and conservation efforts.

Box 5.1 Examples of Management Objectives and Desired Management Outcomes

Distinguishing between management objectives and management outcomes is important. The examples given here are for highlighting the differences, where the objectives and desired outcomes do not directly correspond to each other.

Examples of management objectives

- To preserve the traditional building techniques associated with wooden architecture.
- To protect the mangroves along the coastline of the property.
- To maintain the historic green spaces within the city centre.

- To maintain the townscape character of the traditional human settlement.

- To maintain the wine-making industry as the key economic activity within the cultural landscape.

- To preserve the pilgrimage routes to the sacred places.

- To maintain the habitat necessary to the survival of the endangered species.

Examples of desired management outcomes

- Number of skilled craftspeople increased by at least 20% by 2026.

- Mangroves restored back to 60% of original extent by 2030.

- Historic garden within northern area of the historic urban centre fully rehabilitated by 2027.

- Overfishing of a particular species (state which one) significantly reduced by 2025 by working in collaboration with fishing communities.

- Interpretation of the property enhanced by working with rights-holders to improve the quality of guided visits within the property.

- Gazettement of the community-conserved areas within the buffer zone of the property completed.

- Visitor management enhanced through the construction of a new visitor centre.

REFLECTION QUESTIONS

- Have management objectives for the World Heritage property or heritage place been identified?

- Are the objectives clearly linked to the values and attributes of the property?

- Are the objectives specific enough to guide the management system for the property?

- How many different broad-scale plans affect your heritage place? Do they take heritage into consideration?

- Is it clear which is the main planning instrument that guides the management of the property?

- Is the management plan well integrated with those other planning instruments that influence the management of the property (including plans with a broad territorial scope, such as a land-use plan, regional tourism plan or a master plan)?

- Is the overall planning framework adequate to manage the property effectively?

- Is the planning framework adequate to manage any existing buffer zone(s) effectively?

- Who is involved in the planning process for the heritage place?

- What kind of subsidiary plans does your heritage place have?

- What is the time-frame of the management cycle at your heritage place? Is it connected with that of broader scale plans and especially with the time-frame of subsidiary plans?

- Is there sufficient time to develop and approve a new plan before the time-frame of the previous plan ends?

ADDITIONAL RESOURCES

- UNESCO, ICCROM, ICOMOS, IUCN (2023). Tool 6: Management planning framework; Tool 8: Management processes. Enhancing Our Heritage Toolkit 2.0. Paris, UNESCO.

- Spoelder, P., Lockwood, M., Cowell, S., Gregerson, P. and Henchman, A. (2015). Planning. G. L. Worboys, M. Lockwood, A. Kothari, S. Feary and I. Pulsford (eds), Protected Area Governance and Management, pp. 381–412. Canberra, ANU Press.

- UNESCO, ICCROM, ICOMOS, IUCN (2012). Section 3.2: Management planning. Managing Natural World Heritage, pp. 39–44. Paris, UNESCO.

- UNESCO, ICCROM, ICOMOS, IUCN (2013). Section 4.3: The three processes of a heritage management system. Managing Cultural World Heritage, pp. 82–102. Paris, UNESCO.

5.3 DEVELOPING MANAGEMENT PLANS

KEY POINTS

- The management plan is the product of the planning process and sets out what is to be achieved over a given period of time; it is an instrument to guide managers in implementing actions in a planned and orderly way and in making the best use of the resources available in doing so.

- Development of a management plan can be broadly defined as the process used to establish how to get from the present situation to a desired state in the future.

- The preparation of a management plan for a heritage place should be formally initiated and launched by an institution with the mandate to manage the World Heritage property, and a person or team should be identified and assigned responsibility for drafting the management plan.

- Collaboration between all managers and the participation of rights-holders and relevant stakeholders should start as early as possible in the planning process and continue throughout all stages of development.

- The starting point for any management plan must be a thorough understanding of the heritage place, as well as of the management system in place.

- Management objectives are very important as guiding principles for the whole management system over a long time-frame, therefore it is useful to complement them with desired outcomes, determining exactly what is to be achieved within the duration of the management plan being developed.

- A management plan should include a practical programme of actions that will ensure the desired outcomes will be achieved. It should detail what actions are to be implemented, who will be responsible for their implementation, when they are to be implemented, what human capacity and financial resources are needed and who will provide those resources.

- The management plan constitutes a commitment from managers in terms of how the heritage place is to be managed today and in the coming years, and should therefore be readily available and transparent, to ensure all actors are aware of the plan's desired outcomes.

- Many heritage places use subsidiary plans that need to be carefully integrated and harmonized within the management plan, and their implementation needs to be equally ensured.

Developing a **management plan** can be broadly defined as the process used to establish how to get from the present situation to a desired state in the future. **Managers** will need to ensure that **management planning** supports **management objectives** and that these are realistic in relation to the resources available.

5.3.1 HERITAGE MANAGEMENT PLANS

The management plan is the product of the planning process, which sets out what is to be achieved over a given period of time – it is an **instrument** to guide managers in implementing actions in a planned and orderly way and in making the best use of the resources available in doing so.

The quality of the process is as important as the content of the plan itself. This is because, if done in a participatory manner as is recommended, it offers opportunities for all **actors** to come together and coordinate and exchange diverse understandings and perspectives over the future of the **heritage place** and what should be done to protect it.

The status of the management plan will depend on the characteristics of the **management system** in place. In most cases, there will be a formal, legally binding management plan, approved by a relevant

authority; in some, however, the plan may be less formal and exist as a guiding document or an agreement between relevant actors. It remains important that the management plan is readily available and transparent, to ensure all actors are aware of the plan's aspirations.

The scope and contents of a management plan vary considerably, depending on the type of property. For example, a management plan for an archaeological site or a single building may focus largely on conservation and routine **maintenance** actions addressing the physical conditions of the place; whereas that for an urban settlement may have a more **policy**-oriented nature, establishing priorities on how to address certain challenges, particularly if the plan is to be implemented by different managers. Similarly, a nature reserve may need a very different plan from that for an inhabited protected landscape or a large marine **ecosystem** that includes a sustainable fishing zoning.

Management planning for serial properties should consider the needs of each component part as well as the property as a whole. The geographical and functional links between the component parts, as well as the **legal framework**, will dictate whether it is feasible to have one overarching management plan for the property as a whole or, alternatively, have an overarching management planning framework for the whole property and then different management plans for the individual component parts (or even for clusters of component parts). The latter approach can be particularly effective for a transnational serial property requiring intergovernmental agreements as the basis of coordination within the overall management system. In many cases, only plans at individual place level are likely to be legally binding, so the overarching management planning framework may fulfil more of a coordination function across multiple plans.

World Heritage property
serial and/or transnational

Overarching management planning framework

| Component management plan | Component management plan | Component management plan |

Figure 5.2. A transnational serial property would require intergovernmental agreements as the basis of coordination, with an overarching management planning framework for the whole property and different management plans for the individual component parts (or even for clusters of component parts).

Planning processes should strive to:

- ensure that a participatory and human rights-based approach is taken to the planning process, with the effective involvement of all managers, **rights-holders** and relevant **stakeholders** that includes appropriate considerations for setting the mechanisms and allocating the resources and time needed for such an approach;

- integrate the management of the property into the broader planning framework;

- formulate the content of the plan with an adequate and up-to-date information base.

Based on these approaches, all management plans should include:

- a comprehensive mapping of **heritage values** and **attributes** conveying those values;

- a baseline of the conservation state of the heritage attributes that takes into account the **state of conservation** at the time of inscription and the current state;

- a detailed understanding of the factors affecting the property and the management measures needed to respond to it;

- alignment with clearly agreed management objectives for the management system as a whole, which include a set of desired **management outcomes** to be achieved over the duration of the plan, supported by a programme of actions detailing how to do it;

- the addressing of ongoing or routine maintenance actions as well as one-off actions or single management interventions (examples might be building a visitor centre and enlarging a network of hiking trails or digitally recording built heritage interiors);

- identification of the resources required to implement the programme of actions and ensure that they are realistic;

- the setting of clear time-frames and accountabilities for the implementation of the programme of actions;

- clear guidance to assist managers in dealing with opportunities and eventualities that arise during the implementation of the plan, particularly if circumstances change considerably;

- the assigning of clear accountabilities for the programme of actions;

- a basis for **monitoring** the implementation of the plan and progress towards achieving defined desired management outcomes and the adjustment of planned actions as required;

- mechanisms for the periodic review and evaluation of the implementation and achieved outcomes to identify points of improvement for the future.
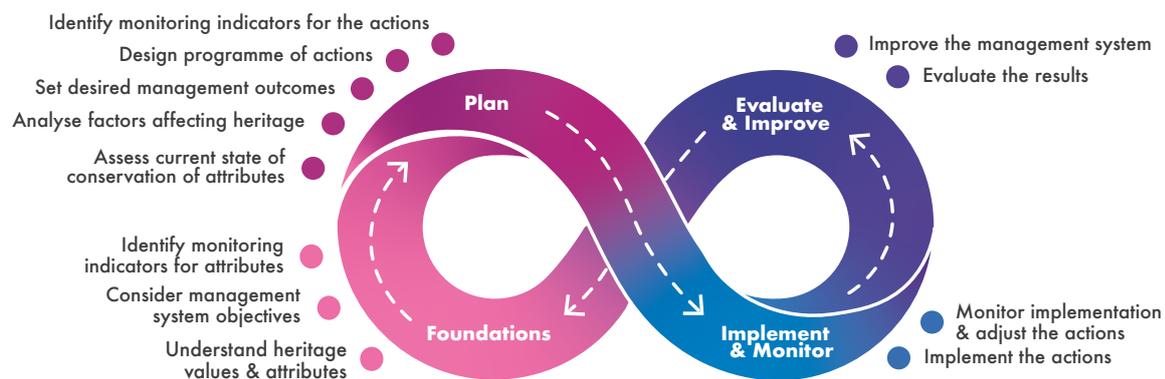
Figure 5.3 A diagram outlining an iterative management planning process.

The diagram Figure 5.3 shows that while the preparation of a heritage management plan is a critical step, it is only the beginning since the work continues with its implementation and **monitoring and evaluation**. These different processes combined – planning, implementation, monitoring and evaluation – constitute a **management cycle**, which is then repeated with the next management plan.

The following sections provide a general overview of the steps that can be followed when preparing a management plan. While the text refers to the preparation of the main management plan for a heritage place, the general approach can be used for preparing any plan, from broad long-term strategic plans (covering perhaps twenty to thirty years) through to subsidiary plans (i.e. **risk** management plan, visitor management plan or heritage interpretation plan).

5.3.2   WHO DEVELOPS THE PLAN?

The preparation of a management plan for a heritage place should be authorized by a relevant institution and have the support of the key decision-makers, who will have to approve its adoption and enable its implementation, monitoring and evaluation. In some countries, the development of a management plan is required by law, particularly for World Heritage properties, and can be triggered at the national level. However, the process of initiating and drafting the plan should be done at the property or local level and led by the managers with primary responsibility for conserving and managing the heritage place.

Typically, a person or team will be identified and assigned the responsibility of drafting the management plan, within a specified timescale and budget. While priority should be placed on involving in-house managers, external consultants may also be included in this role. The designated person or team should be chosen for their abilities to coordinate with all other **actors** and facilitate the drafting process while taking into account the in-depth knowledge about the existing management system and the heritage place.

For an effective planning process engaging all actors, but particularly for properties that are governed by multiple managers extending beyond one administrative area or country, a steering group or committee consisting of key representatives of the institutions involved should be established to oversee the planning process. When a steering committee is established, clear reporting and decision-making mechanisms between the team responsible for developing the plan and the committee must also be established.

5.3.3   ENSURING PARTICIPATION IN PLANNING

Governance arrangements determine who is responsible for leading the planning process and who must be involved. Collaboration between all managers and the participation of rights-holders and relevant stakeholders should start as early as possible in the planning process and continue throughout all stages of development.
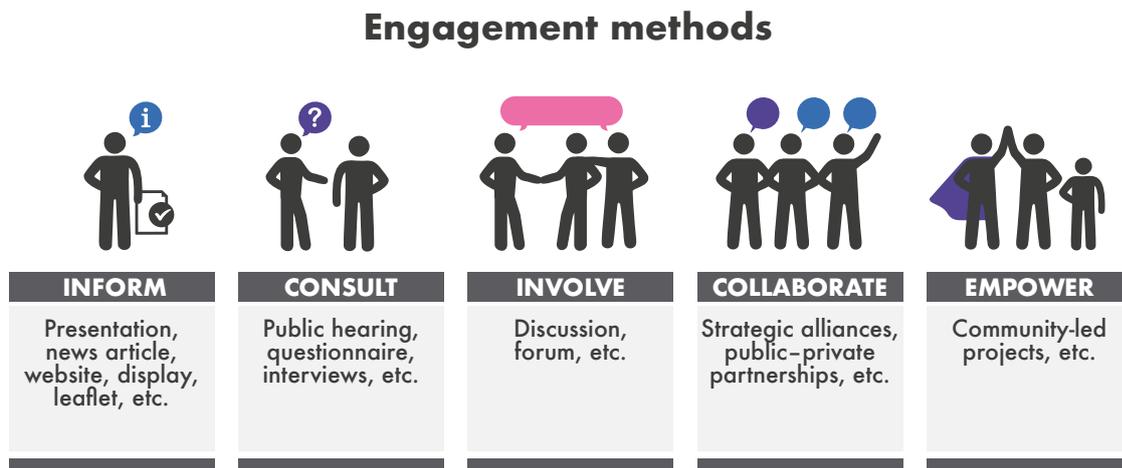
Engagement methods

INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
Presentation, news article, website, display, leaflet, etc.	Public hearing, questionnaire, interviews, etc.	Discussion, forum, etc.	Strategic alliances, public–private partnerships, etc.	Community-led projects, etc.

Figure 5.4 Engagement methods for rights-holders, local communities and other stakeholders. Engagement can take various forms throughout a planning process. Different approaches will be needed for different individuals and groups, but techniques that provide people with an active role are generally preferable to the passive provision of information. *Source*: *Guidance and Toolkit for Impact Assessments in a World Heritage Context (2022)*.

Regardless of who takes the lead in developing the management plan, all managers will need to be involved in the entire planning process. The plan will be much more effective if developed jointly by the people who are going to be responsible for its implementation. Implementation often depends on the planning process behind it: people may feel less committed to implement a plan they did not help develop.

Legal requirements for public participation are often limited to consultation on the final draft of the management plan before it is approved. However, genuine participation takes different forms at different stages, involving actors in a variety of ways according to their rights, roles and responsibilities. For example, issue briefs might be developed and shared to consult on key matters or community focus groups convened to gauge and effectively incorporate their views. Too often, rights-holders may be heard but their views and proposals are not effectively included in the resulting management plans. When consulting rights-holders, remember that they also have the right to know how their **input** is being included in the plan. Where Indigenous Peoples are affected, the planning process must be adapted to ensure their full and effective participation, through their own freely chosen representatives and institutions and in a climate of mutual trust and transparency.

For participation to be meaningful it is necessary that communication and the draft plans are available to people in their own language and in a timely manner, with any meetings organized in a way that is sympathetic to people's needs. It is also crucial that people's contributions are taken seriously so that strong relationships are built among all actors, facilitating management over time.

As well as producing a more effective plan, participatory planning processes offer the following benefits:

- a better understanding of the heritage values and acceptance of the measures included in the plan;

- a mechanism for rights-holders and local **communities** to participate effectively in management and **decision-making processes**;

- opportunities to develop new ideas and thinking that can lead to innovation and new approaches to challenges;

- collaboration that can increase access to financial and other resources, and their effective, just and equitable use.

5.3.4 WHERE TO START?

The starting point for any management plan must be a thorough understanding of the heritage place, as discussed in **Part 3**, as well as of the management system in place. This will involve:

- understanding the **Outstanding Universal Value (OUV)** and other important heritage values of the World Heritage property, and the attributes that convey it;

- understanding the broader social, cultural, economic and environmental context;

- understanding the governance arrangements (including all the actors involved), applicable legislations and regulations, and the broader planning framework within which the management plan will be integrated;

- determining the current state of conservation of the property;

- analysing in detail the factors affecting the property, how they affect the property positively or negatively and what are the **impacts** on the attributes.

Gaining a detailed understanding of all these aspects is a lengthy and ongoing task, and not all of the information gathered will need to be included in the main text of the management plan. However, it is essential to inform the overall management planning process and ensure that the programme of actions included in the plan is effective. Since heritage places are affected by a range of factors, regular

monitoring of the situation is needed with adjustments where necessary and within defined criteria and at precise moments of the management cycle.

5.3.5 SETTING MANAGEMENT OBJECTIVES AND DEFINING DESIRED OUTCOMES ACCORDING TO THE TIME-FRAME OF THE PLAN

It is essential to have a clear understanding of what needs to be done to protect a heritage place, something which is influenced by its typology, size and range of heritage values. The sharing of this understanding becomes particularly important when multiple **managers** are involved. For this reason, the definition of objectives guiding the actions of the management system is very important (see **2.3**). These objectives may be relatively generic as they serve as guiding principles for the whole management system. That is why they need to be complemented with desired outcomes, determining what is to be achieved within the duration of the plan being developed.

Setting desired outcomes is dependent on the duration of the management plan. A management plan with a time-frame of 3-5 years is likelier to be of a more operational nature, containing more detailed actions in **response** to existing challenges – since managers are more certain about what may happen in the near future. For management plans with a longer duration (5-10 years), short- and medium-term desired outcomes can be important milestones or measures of progress to evaluate whether the implementation of concrete actions is delivering what was expected and the overall effectiveness of the management plan. For long-term plans, monitoring of the shorter-term **outputs** regularly offers timely opportunities to reassess if circumstances have changed over time and if adjustments are needed.

For example, in a heritage place that constitutes an outstanding example of a traditional settlement constructed in wood, one of the management objectives of the management system might be to maintain the traditional carpentry techniques used. However, if the number of carpenters with the required skills is decreasing and is insufficient to meet the demand for reparation or maintenance works, something needs to be done. Therefore, a desired outcome to be included in the next management plan could be to increase the number of carpenters trained in traditional building techniques by at least 20% in 5 years.

Ensuring that desired outcomes are aligned with management objectives is fundamental. The objectives provide the possibility to adopt long-term thinking in anticipating future challenges and opportunities, rather than responding to problems as they arise.

5.3.6 DEVELOPING THE PROGRAMME OF ACTIONS AND SUBSIDIARY WORK PLANS TO ENSURE IMPLEMENTATION

Once desired management outcomes have been clearly defined, actions need to be identified that will ensure that those outcomes are achieved. Any type of plan can be accompanied by a practical programme of actions to be implemented, detailing who will be responsible for their implementation, when they are to be implemented, what human **capacity** and financial resources are needed and who will provide those resources. The programme of actions should be included as a section of a management plan. For short- and medium-term management plans (i.e. 3-5 years), the programme of actions can be detailed enough to guide implementation. However, in the case of plans covering long time-frames (i.e. 5-10 years or more), it is difficult to plan in detail so far ahead and the programme of actions will likely include strategic provisions for what is to be implemented, rather than detailed actions. In such cases, the programme of actions will need to be complemented by more detailed annual or biennial work plans, linked to annual or multiyear budgeting processes.

The work plans help translate the strategic provisions of the management plan into an operational programme of actions. A sequence of work plans can be developed one at a time in response to the current situation and t in anticipation of he immediate period ahead. For example, a ten-year plan

might be accompanied by five biennial work plans that are developed and implemented one after another. Many institutions develop short-term work plans (i.e. generally 1-2 years) once there is certainty about the resources available and budgets have been approved. This offers an opportunity to reassess if circumstances have changed compared to the provisions included in the management plan and if adjustments are needed. The work plan can then detail a programme of actions that is feasible to implement; that will produce the outputs of the management plan, which measures the productivity of the management system.

Many heritage places use other important subsidiary plans (e.g. DRM plan, fire, invasive species, visitor management, interpretation) that need to be carefully integrated and harmonized with the management plan and must be executed. In these situations, work plans can play a critical role as an instrument to consolidate all of the programmes of actions included in the different plans and ensure that the overall number of actions to be implemented per year is evenly distributed, without creating an unrealistic workload or over-allocating budget.

For heritage places managed mainly by a single institution, the logic and flow of developing and implementing the management plan, as well as any subsidiary plans and subsequent work plans, should be relatively straightforward. However, many heritage places have complex governance arrangements, where the implementation of any plan requires the collective effort of different managers. It can also happen that managers hold responsibilities that extend beyond the World Heritage property, such as, for example, a nature conservation agency responsible for the management of a regional network of **protected areas** or a municipality that manages several conservation areas within a wider historic urban landscape. This can make implementation of any plan more complex. In such cases, the more detailed the programme of actions and subsidiary works plans are, the easier implementation will be.

5.3.7 FINALIZING THE DEVELOPMENT AND ADOPTING THE MANAGEMENT PLAN

The finalized management plan should be adopted and authorized by the relevant institution and key decision-makers. For World Heritage, some countries require management plans to be approved at the national level. Having a formal process to adopt and authorize the management plan will ensure the support of the key decision-makers and enable its implementation, monitoring and evaluation. It will also facilitate the allocation of necessary resources needed to implement the plan.

REFLECTION QUESTIONS

- Have all managers contributed to and been appropriately involved in the development of the management plan?

- Have all rights-holders and key stakeholders been identified and appropriately engaged in the development of the management plan?

- Are the management objectives clearly linked to the values and attributes of the property?

- Are the management objectives specific enough to guide the management system for the property?

- Does the management plan have a defined time-frame for its implementation? Why is this time-frame established?

- Are the desired outcomes and the programme of actions within the heritage place's management plan adequately detailed to guide implementation? If needed, are work plans developed to complement the programme of actions?

- Are clear priorities agreed upon, in line with the objectives for the heritage place, so that the plan includes a realistic programme of actions that matches the human resources and funds likely to be available?

- Are subsidiary plans (e.g. on tourism, DRM or threatened species recovery, etc.) consistent with the heritage place's provisions in the main management plan?

- Is the programme of actions in the management plan realistic in terms of available resources (budget, technical capacity, time-frames)?

- Is the management plan formally adopted/authorized by the relevant institution?

- If discrepancies exist between the provisions included in the management plan and those in other plans, is it clear that the provisions in the management plan should prevail?

ADDITIONAL RESOURCES

- IUCN Protected Areas Programme (2008). Management Planning for Natural World Heritage Properties, pp. 35. Gland (Switzerland), IUCN.

- UNESCO, ICCROM, ICOMOS, IUCN (2013). Appendix A: A framework for developing, implementing and monitoring a management plan. Managing Cultural World Heritage. Paris, UNESCO.

5.4 IDENTIFYING NEEDS AND ALLOCATING RESOURCES

KEY POINTS

- Different types of resources are needed for the management system to operate. Management planning can identify what the needs are and make effective use of existing resources by allocating them to priority actions.

- Management planning processes can help managers prioritize actions based on available funding and highlight where additional requirements are needed.

- Distinguishing between resources needed for ordinary, recurring management activities and resources required for specific management actions is essential to set out the needs.

- Adequate numbers of people need to be made available to protect and manage a heritage place. These human resources need to be equipped with the right competencies for the increasingly complex task of World Heritage management, together with the understanding of what capacities need to be strengthened and developed.

- Material and technological resources are fundamental to enable heritage professionals to do their jobs well. In particular, information management is critical for supporting planning, decision-making and monitoring processes.

- When developing the management plan, an estimation of implementation costs is needed and, in particular, detailed action plans need to be linked to annual budgeting processes to ensure they can be realistically implemented.

- Diversifying and combining different sources of funding is key for long-term financial sustainability.

5.4.1 WHAT RESOURCES ARE USED TO MANAGE THE HERITAGE PLACE?

Management planning can help make sensible use of existing resources by allocating them to priority actions to tackle pressing management challenges. The **management plan** should be realistic in identifying what can be achieved, although it can be useful to highlight where additional resources are required. The level and stability of resources available will significantly influence the ability to manage the **heritage place** effectively. However, not all problems arise from a lack of sufficient resources; often it is down to how they are allocated in relation to **management** needs or the timing or quality of those resources.

Different types of resources (sometimes also called inputs) are needed for the **management system** to operate: human **capacity**; financial resources; and material and technological resources (e.g. facilities, equipment and information systems). **Managers** need to carefully identify the overall resource needs to set out plans to secure them. While the resources needed may not always be available, this does not justify inaction, and what is crucial for ensuring **maintenance** of the **Outstanding Universal Value (OUV)** and **heritage values** should be prioritized in finding realistically appropriate management measures. These could include actions to strengthen cooperation and harness synergies among **actors** to increase available resources and multiply their effectiveness.

5.4.2 HUMAN CAPACITY

When considering the human **capacity** available for the protection and management of a heritage place, numbers of staff are often counted. This should be undertaken on the basis of the amount and type of work required and whether the human resources available are equipped with the right **competencies** for the tasks they are to perform. Determining whether staff have the necessary competencies is more difficult and involves a degree of professional judgement.

World Heritage management is becoming increasingly complex, which means that managers need to be sufficiently acquainted with a larger range of topics and new challenges, such as **biodiversity** conservation, community engagement, urban planning, material conservation, communication and interpretation, finance and administration, **monitoring and evaluation**, budgeting, personnel management and knowledge about the World Heritage Convention in general. The necessary skillsets continue to grow as management challenges expand – from dealing with the **impacts of climate change** to coordinating resource use among multiple managers and taking appropriate, culturally respectful consultation and participatory approaches – and managers have to be able to reach out to find the right expertise to address these challenges.

Capacity-building programmes are essential across a management team. Good training should be led by identifying needs – which includes an understanding of the profile of the person being trained and their levels of literacy and knowledge as well as their ability to apply learning at site level – and identifying staff opportunities and gaps. This can involve consideration of staff availability, equipment and facility needs, and budgetary resources. It is also worth distinguishing between *training* (i.e. teaching people how to do specific tasks) and *capacity development or building* (i.e. encouraging them to develop their competencies). Both training and other types of development should go hand in hand, encompassing acquisition of new knowledge and skills, professional judgement and critical thinking.

5.4.3 FINANCIAL RESOURCES

Financial planning is the process of defining costs and identifying ways to meet them. Management planning processes can help managers prioritize actions based on available funding and highlight where additional requirements are needed. Indeed, managers need financial stability in order to plan adequately and it becomes more challenging if there is no certainty about how much future funding will be available.

Government budget allocations are often the main source of funding for heritage places, particularly when they are under public ownership and management. However, in many countries, public funding for **heritage** has decreased, requiring managers to look for other funding sources. Other traditional funding mechanisms that support the conservation and management of World Heritage properties include project funding from bilateral and multilateral aid, tourism, contributions from NGOs and charitable foundations.

The following points can help towards achieving greater financial sustainability:

- Combining different sources of funding is a key element of long-term financial sustainability. This is because some sources of funding can be insecure or subject to fluctuations and so having diverse sources can minimize these risks.

- Financial administration needs to be improved to ensure that funding is allocated and spent in a way that supports identified needs and the achievement of desired **outcomes** included in the management plan. In many cases, funding is skewed towards recurrent costs, especially staffing, while critical operational needs remain underfunded. **Management effectiveness** assessments (see **Part 6**) can help in developing an understanding of the adequacy of the resources available and indirectly may also be useful in developing business, plans if necessary, that can embed the heritage **management objectives** within the planning process of the business plan.

- Financial planning has traditionally focused on meeting the direct operational and management costs, such as funding salaries, infrastructure, equipment and maintenance, required to establish and run a World Heritage property. However, indirect and opportunity costs are often substantial and can be incurred by a wide range of groups, including local **communities** and resource users, as well as public and private enterprises in a variety of other sectors. Making World Heritage

management truly sustainable economically would imply that all of these indirect and opportunity costs are accounted for and directed towards contributing to the management objectives.

- The programme of actions included within the management plan needs to include costed estimates for their implementation. This can be a useful way of assessing if the plan is realistic. Such an analysis of costs can suggest solutions, such as adjusting the timescales for implementation, or equally it can make the case for greater investment.

- Financial **decision-making** always needs transparency and the effective involvement of all managers.

- The full range of costs needs to be considered comprehensively, ensuring that those who bear the costs associated with the World Heritage property are recognized and that those who benefit from the heritage place make a fair contribution to its maintenance.

5.4.4   MATERIAL AND TECHNOLOGICAL RESOURCES

Material and technological resources, which include infrastructure, facilities, equipment and information systems, can easily be overlooked but are fundamental to enable heritage professionals to do their jobs well. The revolution in information technologies over the past decades has had profound effects on the management of heritage places; information management has become a critical tool to support planning, decision-making processes and monitoring and evaluation processes.

Adequate **monitoring** of management actions and the conservation status of the heritage place may need specific **instruments** and equipment. For example, if a property is facing continuous soil erosion and certain management actions have been implemented to prevent it, there need to be adequate equipment and technical resources to be able to measure the state of erosion and also monitor the effectiveness of the actions taken. If a heritage place is continuously pressured by illegal activities, a security system, including cameras or that can track such activities, may need to be installed.

Having an appropriate data management system is fundamental not only to document the conservation status of the heritage place itself, but also to keep track of the progress of implementation. The information needs to be kept in an integrated database that is updated continuously and accessible to all managers. Such a database system can also help in maintaining transparency of information to relevant actors and form the basis of participatory approaches.

Having a geographic information system (GIS) established to document the property and **buffer zone** boundaries, overlaid with other designations or land-use regulations that may apply to different components of the property, can also be extremely useful when determining the adequacy of different development projects or interventions to the heritage place. Such GIS maps can also be used actively in combination with meteorological and climate datasets and **risk** maps which can facilitate the recording of different factors affecting the property.

Technology is developing rapidly and it is important to have clear criteria for utilizing a specific type of technology that is aligned with the management objectives of the heritage place. This selection of specific technological tools needs to be made on the basis of how useful they can be over the longterm in ensuring information that is kept up to date continuously and affordably.

5.4.5   IDENTIFYING RESOURCE NEEDS DURING MANAGEMENT PLANNING PROCESSES

Resource needs can fluctuate over time, depending on the **state of conservation** of the heritage place and the factors affecting it. A heritage place that is not significantly affected by factors with negative **impacts** can operate with a certain level of resources; however, if negative impacts increase, more resources will be needed. As mentioned above, when developing the management plan, an estimation of the costs of implementing the desired outcomes and associated management actions is needed. This must take into account the full range of resources, namely:

- regular institutional running costs;

- staff and other human capacity;

- material and technological resources;

- regular maintenance works;

- one-off actions.

Without a realistic estimate, there is a risk of running into resource shortfalls and preventing the plan's full implementation. Consequently, the planning effort is diminished and the management plan may lose its credibility as an **instrument** to guide management. When the financial situation is challenging, it is best that the management plan distinguishes between a) actions that have the highest priority and for which secured funding and human capacity exists and b) actions that can only be implemented if additional resources are secured. The latter can then be used as a basis for fundraising initiatives.

The degree of detail about estimated costs depends significantly on the duration of the management plan. It is difficult to predict costs accurately more than a few years in advance. For a management plan covering a 5-10-year time-frame, it is likely that adjustments to the overall estimations will be required. These will be due to changes in factors affecting the property, in the social, economic, cultural and environmental context, and to the progress made in implementing the plan. In such cases, the management plan should be complemented with more detailed work plans linked to annual budgeting processes, for use by the managers responsible for the implementation of the plan.

Box 5.2 International Assistance (IA)

The World Heritage Convention was conceived and adopted as a framework for establishing international cooperation to support States Parties in identifying, protecting and conserving heritage located in their territories (Article 7 of the Convention).

In this context, the Convention includes provisions for International Assistance (IA) to States Parties for the protection, conservation, presentation and rehabilitation of cultural or natural properties inscribed or potentially suitable for inclusion on the World Heritage List. IA can be provided in various forms: assistance in the nomination process, guidance, technical cooperation, consultation with experts, dispatch of advisory monitoring missions or financial support. IA is intended to supplement national efforts for conserving and managing World Heritage and Tentative List properties when adequate resources cannot be secured at the national level.

States Parties are encouraged to engage in dialogue and consultation with the World Heritage Centre and the Advisory Bodies to plan and develop the IA request. IA requests are funded through the World Heritage Fund, which consists of compulsory and voluntary contributions made by States Parties to the Convention and any other resources authorized by the Fund's regulations (Article 15). The Operational Guidelines also set out the parameters for the eligibility and prioritization of IA requests. For instance, priorities are determined on the basis of the urgency of the necessary work and the resources available to the relevant State Party to safeguard the property through its own means.

In line with the Convention's provisions, maximum priority is accorded to emergency assistance for properties inscribed on the World Heritage List in Danger, followed by conservation and management – including training, research promotion and education – and then by preparatory assistance. Priorities can be further determined based on the Committee's decisions, UNESCO strategic regional programmes and follow-up to Periodic Reporting.

In granting IA from the World Heritage Fund, the World Heritage Committee also considers a range of parameters, which are detailed in the Operational Guidelines. The format used to request IA provides a helpful overview of parameters, funding ceilings, procedures, and deadlines for any State Party willing to submit an IA request. A careful reading of the format for IA applications and the assessment criteria assists in preparing robust and sufficiently detailed requests that allow for prompt assessment. Consulting the World Heritage Centre and the relevant Advisory Bodies in advance of and during the preparation of the requests can help ensure a smooth approval process.

A chart illustrating the phases of the assessment process and time-frames is presented in Annex 9 of the Operational Guidelines. For example, for Preparatory and Conservation and Management IA requests exceeding the US$5,000 budget ceiling, the deadline for submission is 31 October every year.

Documenting the implementation of the project, who has been involved and its achieved outcomes is essential for the monitoring and evaluation process of the IA, which is to be carried out within three months from the completion of the activities.

Some key considerations for drafting IA requests:

- Priority is given to requests for activities related to the World Heritage Committee's decisions on conservation and management.

- Priority is given to requests where synergies with other resources are demonstrated. For instance, if the State Party has financial or in-kind resources available from the state or local authority's budget or other sources of funding (e.g. donors) that will be used for the same proposal for which the IA request is made, they should be indicated in the budget breakdown.

- Consistency between objectives and proposed activities and between envisaged activities and budget lines is essential to avoid requests for clarification and approval delays.

- The overall time-frame should be consistent with the implementation calendar and realistic about the possibility of achieving all objectives in the envisaged implementation period.

- The role, tasks and contributions of each actor expected to be involved in the proposed activities should be clearly defined.

- Where IA has previously been given to the same property and with similar or related objectives, a summary of the results achieved through the earlier IA will assist in assessing the new request and its synergies with previously received assistance.

Adapted from: Operational Guidelines (2024).

REFLECTION QUESTIONS

- Has an adequate and realistic assessment of the financial implications of the programme of actions within the management plan been undertaken?

- Are the necessary financial resources, human capacity and technical resources available, or can they be acquired, to guarantee the effective implementation of planned actions?

- Are financial resources being allocated according to identified management priorities and in response to those critical factors impacting the attributes of the property?

- Have resourcing contingency measures been considered to account for unforeseen problems or emerging issues?

- Can cooperative agreements or partnerships be developed with external expertise and support to ensure the effective implementation of planned actions?

- Are staff numbers adequate to manage the World Heritage property and any existing buffer zone(s) effectively? If not, what are the main gaps and what are the reasons for those gaps? How can identified gaps be addressed?

- Are the competencies of the staff appropriate in relation to the values of the property? Do staff have the required competencies to fulfil their roles and responsibilities? Are those competencies aligned with current and future management demands? If not, what types of capacity-building are required?

- Are infrastructure and facilities (e.g. roads/access, fences, offices, personnel accommodation) adequate for the needs of the property?

- Is the necessary equipment available to staff to adequately carry out their duties (e.g. vehicles, computers, software, phones, desks, drones, sensors, etc.)?

ADDITIONAL RESOURCES

- UNESCO, ICCROM, ICOMOS, IUCN (2023). Tool 6: Management Planning Framework; Tool 7: Needs and Inputs. Enhancing Our Heritage Toolkit 2.0, Paris, UNESCO.

- Appleton, M. (2016). A Global Register of Competences for Protected Area Practitioners. Gland (Switzerland), IUCN.

- UNESCO Office Bangkok and Regional Bureau for Education in Asia and the Pacific (2021). Competence Framework for Cultural Heritage Management: A Guide to the Essential Skills and Knowledge for Heritage Practitioners. Paris and Bangkok, UNESCO.

- UNESCO, ICCROM, ICOMOS, IUCN (2013). Section 4.2: The three elements of a heritage management system. Managing Cultural World Heritage, pp. 66–82. Paris, UNESCO.

- UNESCO, ICCROM, ICOMOS, IUCN (2012). Chapter 4: Capacity. Managing Natural World Heritage, pp. 48–56. Paris, UNESCO.

- Kingston, N., MacSharry, B., de Lima, M. G., Belle, E. M. S. and Burgess, N. D. (2015). Knowledge generation, acquisition and management. G. L. Worboys, M. Lockwood, A. Kothari, S. Feary and I. Pulsford (eds), Protected Area Governance and Management, pp. 327–52. Canberra, ANU Press.

- ICCROM Courses.

- ICCROM Publications.

- UNESCO Urban Heritage Atlas.

5.5   IMPLEMENTING MANAGEMENT MEASURES

KEY POINTS

- The effectiveness of any management plan must be evaluated, based on its content and the extent to which it is implemented and desired outcomes are achieved.

- Implementation comprises two parallel functions: executing the actions planned and regular monitoring to track progress and make adjustments.

- Monitoring how a management plan is being implemented helps managers to check that work is being carried out as specified in the programme of actions and any related work plan.

Implementation is about ensuring planned actions take place. The effectiveness of any **management plan** is based not only on its existence and content but also the extent to which it is implemented to produce **outputs** and achieve desired **management outcomes**. As a lot of effort and resources are directed to preparing management plans and other planning **instruments**, it is assumed that implementation will naturally follow but this is not always the case. There can be many reasons why plans are never implemented, such as poorly formulated actions, insufficient resources, inadequate consultation and empowerment leading to weak buy-in, or lack of institutional and political commitment. Good practice requires that implementation includes two parallel functions: executing the actions planned and regular **monitoring** to track progress and make adjustments, if needed.

In order to support effective implementation, there are a number of issues that can be addressed during the planning process to ensure the management plan is a useful tool for protecting and conserving the **heritage place**:

- The commitment of all **managers** and relevant **actors** to implementing the plan can be better ensured if they have been involved in its development. Therefore, implementation is dependent on having previously undertaken a participatory planning process.

- A concise management plan is more likely to be implemented. This means that the plan should mainly contain information required for planning and implementation processes. Descriptive information about the heritage place and supporting information that is crucial for developing the plan can be provided in references or annexes.

- A plan needs to indicate who has responsibility to do what, particularly when implementation is dependent on multiple managers.

- Clear priorities can lead to the programming of actions in a logical sequence that ensures effective use of available resources. Such a sequence of work should be respected when implementing the programme of actions and allocating the resources, which need to be available at the time of implementation.

- A plan should have a precise time-frame so that it is clear when implementation is supposed to start and end, with precise dates for when planned actions are to be carried out.

- The implementation of actions will necessarily involve multiple steps of setting up administrative processes and gaining approval. The time-frame for implementation should take into consideration the time needed for approval, so that the programme of actions remains relevant even if it has been necessary to wait for lengthy administrative processes to take place.

- Periodic documentation of the implementation of the project, who has been involved and its achieved outcomes is essential for monitoring and evaluating the plan.

- Heritage places can be complex and there can be many aspects that make it challenging to track implementation, unless agreed mechanisms are in place to ensure that actions are completed. Therefore, it is helpful to give one manager responsibility for monitoring the implementation of the management plan and other subsidiary plans.

Many heritage places have other thematic or subsidiary plans addressing numerous other processes that also contribute to maintaining the values of a heritage place, such as providing tourism and visitor services, mitigating and adapting to **climate hazards** and reducing **disaster risks**, assessing **impacts** from development and change, carrying out research, fostering the engagement of local **communities** or facilitating educational activities. (For a DRM plan see **5.6**, for climate change see **5.7**, for impact assessment see **5.8**, for tourism strategy and **heritage** interpretation plans see **5.9**.) It is very important that any subsidiary or complementary plans and processes are carefully integrated within the management plan with the fundamental objectives of sustaining the **Outstanding Universal Value (OUV)** and other heritage values, and are aligned in terms of time-frames and implementation.

REFLECTION QUESTIONS

- Is it clear who is responsible for the implementation of the management plan?

- Are the details of implementation being adequately documented?

- Are the necessary resources available for implementing the plan?

- Are all managers committed to implementing the actions included in the management plan?

- Do planning instruments (e.g. management plan and work plans) include a logical and clear understanding of inputs, actions or activities, outputs and outcomes, and the links between them?

- If not, what aspects are missing? For instance, are annual (or multiyear) work plans organized by actions only, without a clear link to the outputs and outcomes those actions are intended to produce or deliver?

- Have desired management outcomes been identified as part of the planning processes?

- Have desired outcomes been defined in relation to the management objectives as well as the factors affecting the property?

- Where outputs have been identified, are they well defined and aligned with the management objectives and other desired outcomes for the World Heritage property?

- Do the outputs selected for monitoring collectively provide a good understanding of the productivity of the management system or are they limited to those that are the easiest to measure?

- Do the identified indicators enable the tracking of management productivity over time?

5.6 DISASTER RISK MANAGEMENT (DRM)

KEY POINTS

- Analysing risks in terms of how certain natural and/or **human-induced hazards** interact with different types of heritage places, their values and the attributes that carry those values, is critical.

- DRM provides general principles and a methodology that enables managers in reducing disaster risks and mitigating potential impacts to attributes of their heritage places.

- **Disaster risk** can be identified by taking account of **hazards**, potential impacts to attributes and people, levels of **exposure** of the **heritage place** and communities to specific hazards and vulnerabilities.

- Effective DRM needs continuous and iterative processes of planning, coordinating, implementing, monitoring and progressive improvement.

- **Managers** need to identify hazards, vulnerabilities and levels of exposure of their heritage place, so that they can prepare a **disaster risk assessment** and plan appropriate management actions for each of the three phases of the DRM cycle: pre-disaster (**prevention**/**mitigation**/**preparedness**), during **disaster** (emergency/**response**), and post-disaster (**recovery**).

- DRM objectives should be aligned with the World Heritage property's overall management objectives and consistent with the protection of the OUV.

- Embedding DRM planning within the overall **management system** for the World Heritage property is necessary to address disasters consistent with the protection of the OUV.

5.6.1 WHAT ARE DISASTERS?

In order to understand the **risk** of a disaster occurring and therefore be better prepared, it is necessary to understand the key components that come together to cause a disaster. These concepts can be analysed for a particular **heritage place** in order to understand how likely it is that a disaster will occur with negative **impacts** on the **heritage** and the people there. To understand the processes of **disaster risk management (DRM)**, it is useful to understand some key concepts with specific definitions in the field.

- **Disaster:** a disaster occurs as a result of a community suffering a serious disruption leading to human, material, economic and environmental losses. It is caused by a hazardous event that takes place in particular circumstances of **vulnerability** and **exposure**.

- **Disaster risk:** the probability of something happening that will have a negative impact upon a World Heritage property and other assets such as people, capital assets, livelihoods/economy and environment.

- **Hazards:** these are processes, phenomena or human activities that could cause death, injury, damage, socio-economic disruption or environmental degradation. Some **hazards** are natural in origin, such as geological events or severe weather events, while some are caused by humans, such as arson, vandalism or deliberate destruction. They may have natural or human causes, or both, as in the case of **climate change**. Hazards may occur singularly, in a sequence or combined. Examples include extreme weather events, flooding, volcanic eruption and other seismic activities, landslides, etc.

- **Exposure:** the risk of a disaster is determined by the exposure to a hazard. The vulnerability of a **heritage place** may increase its exposure. For example, increased urbanization in a flood plain may make a heritage place more vulnerable by increasing the number of residents who are exposed to the hazard of flooding.

- **Vulnerability:** this describes the characteristics and circumstances of an individual, community, heritage place or individual **attribute** that make it susceptible to the negative impacts of a hazard. Vulnerability includes sensitivity to harm and lack of **capacity** to cope and adapt. It creates conditions

for a hazard to become a disaster. Vulnerability may be linked to inherent structural weakness or inappropriate past interventions that may make a heritage place susceptible to a particular hazard like flooding.

- **Response:** actions taken directly before, during or immediately after a disaster in order to save lives, reduce health impacts, ensure public safety and meet the basic subsistence needs of the people affected.

There is no such thing as a **natural disaster**, only **natural hazards**

We make **choices** as to where we inhabit, how we build and what research we do

Risk is the combination of **hazard, exposure** and **vulnerability**

Death, loss and **damage** is the function of the context of hazard, exposure and vulnerability

Figure 5.5 Disaster risk is widely recognized as the consequence of the interaction between a hazard and the characteristics that make people and places vulnerable and exposed. *Source*: *UNDRR Global Assessment Report on Disaster Risk Reduction* (2019).

Disaster risk for heritage is a product of the interplay between hazard, exposure and vulnerability. Hazards trigger disasters but various factors determine exposure and vulnerability. It is critical to analyse risk in terms of how certain hazards interact with different types of heritage places, their values and the attributes that carry those values. In most cases this will entail an analysis of the full spectrum of recognized **heritage values** of a site. In the case of a World Heritage property, it is all three pillars of **Outstanding Universal Value (OUV)** that must be considered and appropriately prioritized – so not just the values themselves but equally their integrity and authenticity, as well as the capacity to protect and manage those values. A deeper analysis will normally be required to appreciate the susceptibility to risk of the various attributes that underpin heritage values. A single disaster **response** may address multiple threats to different **attributes** and values.

5.6.2 CONSIDERING DISASTER RISKS IN HERITAGE MANAGEMENT

Among the **factors affecting heritage places**, **natural** and **human-made hazards** represent disaster risks. The interaction between rapidly developing urbanization and climate change is mutually reinforcing. This causes risks to increase, by influencing exposure and aggravating vulnerabilities to more frequent and intense hazards, from altered weather patterns to the erosion of built structures. The **cumulative impacts** of different factors increase the risk of disasters at heritage places and therefore action is needed to strengthen **resilience** and ensure greater protection for heritage places and the people who live in and around them.

Disaster risk management (DRM) provides general principles and a methodology that **managers** can apply to a specific heritage place to reduce risks. This methodology aims to reduce existing risks and prevent new ones, while strengthening a heritage place's disaster **preparedness**, response and **recovery** practices. DRM for heritage places aims to do this by working in four areas to:

- reduce vulnerabilities;
- enhance resilience;

- protect attributes to maintain heritage values;
- maintain services and **benefits** of the heritage place.

While **management** cannot eliminate a hazard, it can help to proactively reduce vulnerabilities and enhance resilience so that the disaster risk is lower. In the event of a disaster, **mitigation** and preparedness measures in place will contribute to achieve the best possible **outcomes** for people and heritage places. Heritage can also be part of reducing disaster risks, where Indigenous, local and **traditional knowledge** systems and nature-based solutions can reduce vulnerability and enhance resilience in place-specific considerations, while ensuring better protection for the heritage itself. Furthermore, natural and cultural heritage can play an important role in post-disaster recovery, contributing to healing and social cohesion.

Much like the heritage **management processes**, effective DRM is a continuous and iterative process of planning, coordinating, implementing and progressive improvement summarized in the following sequence of actions (5.6.3–5.6.6).

5.6.3 ASSESSING DISASTER RISKS AND RESILIENCE

Before any disaster happens, risks posed by hazards need to be identified and assessed. A wide understanding of the hazards triggering, and the factors contributing to, specific disasters relevant to the heritage place is required. Hazard trends should also be assessed. Information needs to be collected from a wide range of sources, including community, traditional and/or Indigenous knowledge. All of this information needs to be collected from the elements of the heritage place (see **Part 3**).

Plausible **scenarios** should be developed, with planning informed by worst-case scenarios. From this a systematic assessment of risks and prioritization can be made, based on the likelihood of a hazard occurring versus its potential impacts. The levels of exposure and response capacity of both heritage values and human **communities** should also be factored in.

Lastly, it is important to understand the cause-and-effect relationships between disaster risk and indirect influences, such as development choices within the heritage place and at wider scales, and the influence of **impact assessment** measures.

5.6.4 PREPARING FOR DISASTER SO THAT IMPACTS ARE AVOIDED OR MITIGATED

Having assessed the potential impacts of certain disaster risk scenarios for the heritage place, it is vital to proceed to the next phase of deciding what actionable steps can be taken to avoid or mitigate impacts. It is important to have a full understanding of the range of available measures and interventions and then tailor these to different heritage values and attributes.

Engaging with the broadest range of **actors** is critical not only to gain the best available knowledge and expertise but also to ensure that the disaster risk prevention and mitigation measures have the backing of the communities who will be called upon to actively support disaster responses and post-disaster recovery. In this regard, it is important to recall that World Heritage properties need support that ranges from local to global, and to stress the importance of broad engagement and the opportunity to marshal support at all levels in coping with disasters. It is essential to respectfully empower **rights-holders** and embed Indigenous, local and/or traditional knowledge and practices into response strategies.

5.6.5 RESPONDING DURING AN EMERGENCY AND RECOVERING AFTER A DISASTER

The fast-moving chaos that accompanies some disasters can be extremely difficult to cope with. Therefore, it is important to plan in advance for the type of structured, disciplined and short chain-of-command systems that are needed in an emergency and ensure that heritage managers are fully

acquainted with these measures. Structured multi-agency responses are typically needed during an emergency and managers must ensure that good coordination is in place across heritage, emergency response, humanitarian and other sectors. The expertise and resources that are available or which can be mobilized across these sectors need to be harnessed toward cohesive DRM.

Actions taken immediately following an emergency or incident must be carefully considered to prioritize protection of life and property but equally to safeguard heritage values in the short and medium term. Forethought is needed in relation to heritage to guarantee long-term recovery and protection and avoid any unintended consequences from poorly considered or hasty post-disaster actions. This includes deciding who should be involved in the preparation and implementation of the DRM plan; ensuring that **governance** arrangements support the plan's authority; clarifying and respecting physical boundaries and jurisdictional mandates; and mobilizing the resources necessary to execute the plan.

5.6.6 DEVELOPING AN EFFECTIVE DRM PLAN

The processes of information gathering, outreach and analysis need to come together in a single, cohesive DRM plan for the World Heritage property. This should clearly describe the assessment of disaster risk and resilience, disaster preparedness and mitigation measures, and outline emergency response and recovery, as discussed above. DRM planning processes take similar steps to **management planning** processes and, therefore, it is important to ensure that these processes are coordinated and work towards mutually beneficial objectives.

In order to ensure that the plan is effective and can be implemented, consideration needs to be given to the day-to-day mechanics of operationalizing it and measuring effectiveness. Crucially, capacities need to be built among all actors in parallel, including sharing knowledge and practice.

5.6.7 EMBEDDING DRM INTO THE HERITAGE MANAGEMENT SYSTEM

As the DRM process is a crucial contribution to the **maintenance** of heritage values, the DRM plan needs to sit under the umbrella of the heritage place's main **management plan**. A DRM plan for the heritage place can be considered as a subsidiary or complementary plan that needs to be carefully integrated within the management plan, keeping in sight not only the fundamental objectives of sustaining OUV and other heritage values but also alignment in terms of time-frames and implementation to check it can be delivered with existing human capacity and financial resources. There is also a risk if the timing of implementation of all plans is not harmonized, which could prohibit certain actions from starting until others are concluded and obstruct the achievement of desired **outcomes**. In order to avoid these problems, it is essential that there is strong coordination between managers and planning teams that link between the complementary planning processes to ensure they are mutually supportive.

5.6.8 MANAGING DISASTER RISK AND BUILDING RESILIENCE FOR WORLD HERITAGE: STEP-BY-STEP GUIDANCE FOR DRM PLANNING

For World Heritage properties and other heritage places, managers can use the forthcoming resource manual on *Managing Disaster Risk and Building Resilience for World Heritage* for detailed measures. The manual takes into account the emerging challenges of climate change that are amplifying the frequency and intensity of many types of disasters and adopts the heritage place approach for the management of World Heritage properties, which recognizes **wider settings** and their intrinsic linkages between nature and culture. A wider perspective helps to understand how values, vulnerability and capacity interact as World Heritage properties cope with and then rebound from disasters. The updated manual benefits from a deeper understanding of heritage values and the attributes that carry them. It also explores the scope of heritage to support post-disaster recovery and societal healing and emphasizes the important role and potential that World Heritage properties can play in building resilience to impact, through the provision of **ecosystem services** and nature-based solutions.

Figure 5.6 A diagram showing the relationships between policies and plans at different levels and how the management plan specific for the heritage place and its subsidiary plans should be interlinked with them to ensure effective implementation. *Source*: adapted from Warboys et al. (2015)

The manual sets out a clear methodology for identifying, assessing and then mitigating disaster risks to World Heritage properties, which strengthens the capacity of managers and enhances their skills in managing disasters. It advocates well-considered DRM planning as a key tool to anticipate, plan and prepare for disasters.

REFLECTION QUESTIONS

- Does your heritage place have a DRM plan in place?

- Is the DRM plan embedded in or connected with the overarching management plan for the heritage place?

- Does the risk assessment for the DRM plan include scope, scale and trends with respect to hazards with the potential to impact on your heritage place?

- Do you need to access expertise outside of the heritage sector to properly assess disaster risk for your heritage place?

- Have you considered and planned for the full cycle of a disaster and its impacts (before, during and after the disaster event)?

- Are there clear, rapid and appropriate response measures in place with relevant external authorities to guarantee an effective disaster response within your heritage place?

ADDITIONAL RESOURCES

- UNESCO, ICCROM, ICOMOS, IUCN (forthcoming). Managing Disaster Risk and Building Resilience for World Heritage.

- UNESCO, ICCROM, ICOMOS, IUCN "Paris, UNESCO. (2010). Managing Disaster Risks for World Heritage.

- ICCROM (2020). inSIGHT. A Participatory Game Capturing Community Held Knowledge for Disaster Resilience and Sustaining Heritage. Rome, ICCROM.

- ICCROM, ICOMOS, USAR, OCHA, INSARAG (2023). Guidance Note on Urban Search and Rescue at Heritage Sites.

- ICOM Emergency Preparedness and Response.

5.7   CLIMATE ACTION

KEY POINTS

- Due to its long term and all-pervasive nature, climate change impacts affect many World Heritage properties and its multiplier effect in increasing vulnerability to disaster risks requires at-scale system thinking to find innovative and holistic solutions.

- Within DRM, special emphasis is placed on climate change as a hazard due to its fast-moving and all-pervasive nature with global impacts and the multiplier effect.

- World Heritage properties, especially natural, mixed and large-scale cultural landscapes, are places that can significantly contribute to climate mitigation by safeguarding natural ecosystems that are carbon sinks and, when feasible and consistent with protecting the OUV, by undertaking actions to enhance carbon sequestration in natural systems.

- Climate adaptation should respond to the hazards that are directly and indirectly influenced by climate change and the exposure of OUV and attributes to these hazards and their related vulnerability (physical, social, economic, institutional, etc.)

- Climate mitigation and adapatation measures should have minimal impact on heritage values, including customary land management practices, the livelihoods of Indigenous Peoples and local communities, and be consistent with obligations under the Convention to maintain the OUV above all.

- Climate action refers to efforts taken to combat climate change and its impacts, which include climate change adaptation, climate change mitigation, knowledge-sharing, capacity-building and raising awareness.

5.7.1   HOW DOES CLIMATE CHANGE AFFECT WORLD HERITAGE?

Climate change is one of the most pressing threats for the planet, human societies and, so too, for World Heritage properties and other **heritage places**. According to the Third Cycle of **Periodic Reporting**, fast-moving **climate change impacts** are affecting cultural World Heritage properties, for example, by exposing **heritage** structures to extreme weather events, shifting hydrological regimes and/or accelerating the retreat of coastlines. The **IUCN** World Heritage Outlook periodically assesses the conservation prospects for all natural and mixed World Heritage properties, and in the third assessment update of 2020, climate change was assessed as a high or very high threat in a third of all natural World Heritage properties – up from 26% in 2017 and from 15% in 2014.

Paradoxically, the promising potential and **capacity** of nature to attenuate climate change is hampered by climate change-driven **ecosystem** degradation. For example, coral reef systems, which are important carbon sinks, are facing an unprecedented series of mass bleaching events associated with global warming. These impacts are not just localized but trigger other impacts, acting in a domino effect with the potential to affect associated ecosystems and beyond. Coral reefs as a natural coastal defence can act as a buffer for coastlines. However, their capacity to reduce coastal flooding and erosion by dissipating wave energy can be decimated or lost due to global warming.

Hence, climate change is both a direct threat and a threat multiplier, exacerbating the **vulnerability** of World Heritage properties towards environmental degradation and **biodiversity** loss. Climate change and invasive alien species are closely linked threats in many World Heritage properties. Such multiplier threats can trigger ecosystem fragmentation and be further worsened by a lack of ecological connectivity. It is therefore important to embrace at-scale system thinking to find innovative and holistic solutions to address **climate change impacts**.

The unparalleled global profile and network of World Heritage can mobilize significant levels of political and public support for climate action. World Heritage can, and should be, an exemplar to showcase collective advocacy and increase awareness on the impacts of climate change on human societies, cultural and biological diversity, and **ecosystem services**.

A dedicated strategy and a **policy** document on climate change and World Heritage have been in place for almost two decades, complemented by a policy on **sustainable development** adopted in 2015 along with other resources. In 2023, the Policy Document on Climate Action for World Heritage was adopted by the UNESCO General Assembly of **States Parties** to the World Heritage Convention providing four goals:

> 1. Assessing climate change risks to World Heritage;
>
> 2. Climate change **adaptation**;
>
> 3. Climate change **mitigation**;
>
> 4. Knowledge sharing, capacity-building and awareness-raising.

5.7.2   HOW DOES CLIMATE CHANGE INFLUENCE DISASTER RISK?

Climate change and increasingly extreme weather events have caused a surge in **disasters** caused by **natural hazards** over the past 50 years. From 1970 to 2019 worldwide, weather and **climate hazards** accounted for 50% of all disasters, 45% of all reported deaths and 74% of all reported economic losses thus leaving an increasing number of people more vulnerable each year, particularly society's poorest and most marginalized groups.

Climate change in relation to environmental degradation can be both a consequence and a driver of disasters, by directly reducing ecosystem functionalities and capacities as a natural protection and coping mechanism in reducing and adapting to **disaster risks**. For instance, UNESCO estimates that about half of all natural World Heritage properties prevent disasters such as floods or landslides.

The forthcoming resource manual *Managing Disaster Risk and Building Resilience for World Heritage Properties* places a special emphasis on climate change due to its long-term and all-pervasive nature of impacts affecting so many World Heritage properties and its multiplier effect in increasing vulnerability to disaster risks. For example, an increase in soil moisture may impact archaeological remains and historic buildings, thereby increasing their vulnerability to natural events such as earthquakes and floods. Climate change is also causing increasing frequency and intensity of hydrometeorological **hazards** such as hurricanes, floods, storms and wildfires, thereby impacting heritage.

In fact, climate change is creating a staggeringly diverse array of impacts on World Heritage properties. Increased temperature may thaw permafrost, causing destabilization of heritage buildings and infrastructure. Variability in precipitation and humidity may result in increased efflorescence by capillary action in walls, frescoes, wall paintings, mosaics and statues or cause wet-frost that may damage porous materials. Intensified wind or changes in its direction may increase abrasion and degradation of rock art and damage to archaeological sites and historic buildings. Climate change may also affect traditional practices due to changes in the distribution of flora and fauna. Thawing permafrost, noted above for its impacts on cultural heritage, is also profoundly impacting natural systems. Climate-driven changes in precipitation patterns, surface and ground water systems are impacting traditional grazing practices in many heritage places.

Increased temperature and extreme events due to climate change can also adversely affect visitor safety, forcing the closure of properties, which in turn impacts revenue and other business operations associated with World Heritage properties. Due to high-intensity rainfall, increased instances of urban flooding have been reported in recent decades in nearly every part of the world, inundating many historic

centres. Heavy rains may cause heritage to remain submerged in water, thereby causing irreplaceable loss to the foundations of historic built structures. Tropical wetlands are affected by repeated fires and, despite being a fire-adapted environment, these types of ecosystems are becoming less resilient, weakened further by external factors like land degradation and land-use change combined with long drought periods. Floods are becoming a highly recurrent phenomenon and some historic cities appear to be gradually sinking. Rising sea levels are damaging historic buildings despite increased investments in floodgate systems.

As global populations grow in number and density and are located in ever more risk-prone areas, communities are all the more vulnerable, particularly those with less resources and/or living in remote locations, many of which are in and around World Heritage properties. While certain areas in the world have increasing population and density, others are being emptied and abandoned.

Climate change exacerbates disaster risks across almost the entire spectrum and therefore DRM should factor in climate-related adaptation and mitigation actions as a cross-cutting dimension. Heritage is given a better chance to combat climate change if we can build the **resilience** or health of ecosystems and society generally.

5.7.3 CLIMATE ADAPTATION

Climate adaptation actions aim to minimize climate impacts on **Outstanding Universal Value (OUV)** and other **heritage values**. The Intergovernmental Panel on Climate Change (IPCC) provides a fuller definition: '*in human systems, climate adaptation is the process of adjustment to actual or expected climate and its effects, in order to moderate harm or exploit beneficial opportunities. In natural systems, it is the process of adjustment to actual climate and its effects; human intervention may facilitate adjustment to expected climate and its effects.*'

Climate adaptation should relate to the hazards that are directly and indirectly influenced by climate change and the **exposure** of various World Heritage values to these hazards and their related vulnerability (physical, social, economic, institutional, etc.) This reflects not only the importance of addressing all components of **climate risks** (hazards, exposure, vulnerability, **response**), but also makes clear that climate change adaptation cannot be seen in isolation from other risk factors such as poverty, urbanization, pollution and insecurity. World Heritage properties may also be impacted by improper adaptation responses to climate change (e.g. maladaptation).

Therefore, addressing non-climate threats and pressures on World Heritage properties warrants special emphasis because doing so effectively can help build properties' resilience and ability to adapt to climate change. In circumstances where the impacts of climate change are intensifying and increasing in frequency, action on other pressures will become increasingly important in sustaining the resilience of World Heritage properties and protecting their OUV and other heritage values.

5.7.4 CLIMATE MITIGATION

It is important to note that **disaster mitigation** is different in its scope compared to climate mitigation. Mitigation of climate change, according to the IPCC refers to '*a human intervention to reduce emissions or enhance the sinks of greenhouse gases,*' while disaster mitigation refers to reducing the impacts of the disaster in a heritage place. That said, World Heritage properties, especially natural, mixed and large-scale cultural landscapes, are among those places that might significantly contribute to climate mitigation by safeguarding natural ecosystems that are carbon sinks and, when feasible and consistent with protecting OUV, by undertaking actions to enhance carbon sequestration in natural systems.

Recent studies have shown that well-managed, large-scale forested natural World Heritage properties in the tropics act as more effective carbon sinks than those protected forests outside the World Heritage

system. A further study has shown that several large natural forested World Heritage properties are failing to realize their potential as carbon sinks due to threats and poor protection and **management** standards. This illustrates the huge potential of such places to support mitigation efforts provided they are well managed. In historic cities for example, climate mitigation measures could be taken in relation to visitor management or transportation by improving systems that utilize renewable energies and promoting pedestrian movement, cycling paths and other means to reduce the carbon footprint within the World Heritage property.

It is important to stress that all mitigation measures should have minimal impact on heritage values, including customary land management practices, the livelihoods of Indigenous Peoples and local **communities** and be consistent with obligations under the Convention to maintain the OUV above all.

REFLECTION QUESTIONS

- Is your management plan considering climate hazards affecting your heritage place?

- Have you done a climate risk assessment for your heritage place?

- Have you identified the potential impacts of climate hazards on your attributes of OUV?

- Are you knowledgeable about future climate scenarios for your heritage place and/or wider region?

- Is there a climate adaptation strategy within your country or region that would be applicable to your heritage place?

- Have you developed measures for climate mitigation and climate adaptation at your heritage place?

ADDITIONAL RESOURCES

- UNESCO, ICCROM, ICOMOS, IUCN (forthcoming). Managing Disaster Risk and Building Resilience for World Heritage.

- UNESCO (2023). Policy Document on Climate Action for World Heritage.

- UNESCO (2023). Appendix: Glossary of Key Terms Policy Document on Climate Action for World Heritage.

- UNESCO, WRI, IUCN (2021). World Heritage forests: Carbon sinks under pressure. Paris, UNESCO; Washington, DC, WRI; Gland, IUCN.

- UNESCO, IUCN (2022). World Heritage Glaciers: Sentinels of Climate Change. Paris, UNESCO; Gland, IUCN.

5.8   IMPACT ASSESSMENT

KEY POINTS

- Impact assessment examines whether and how a proposed policy, plan or project impacts on the environment and on heritage places.

- Impact assessment on a World Heritage property should address the OUV specifically, as well as other heritage/conservation values.

- States Parties have an obligation to notify the UNESCO World Heritage Centre in advance of considering any proposed action that may have an impact on World Heritage.

5.8.1   WHAT IS IMPACT ASSESSMENT?

The practice of **impact assessment** has spread around the world since the 1970s and there is a system for it in nearly every country in the world. The **World Heritage Committee** is increasingly requesting **States Parties** to carry out impact assessments in order to meet their obligations and make better informed decisions that prevent the negative **impacts** and the optimize positive **benefits** that can come from proposed actions. Impact assessments come in different forms but the two that are most commonly carried out at a **heritage place** are **Strategic Environmental Assessments (SEA)** and **Environmental and Social Impact Assessments (ESIA)**:

- **Strategic Environmental Assessment (SEA)**: this looks at the potential positive and negative impacts of policies, plans or programmes that could affect a heritage place. By taking a strategic overview on a large landscape scale and considering **cumulative impacts**, such assessments have the advantage of being proactive in considering **heritage** before any specific changes are being proposed. This can provide a framework when considering individual projects, developments and uses in and around World Heritage.

- **Environmental and Social Impact Assessment** **(ESIA; also referred to as Environmental Impact Assessment or EIA)**: these are assessments of the potential positive and negative impacts of a specific project on the environmental and social aspects of a place, including heritage. If an assessment of a project looks largely at the potential impacts on **heritage values**, then it is often referred to as a **Heritage Impact Assessment (HIA)**.

In the context of any type of impact assessment, the term 'environment' is used in its broadest sense and includes physical, biological, social and cultural aspects of a place. So any of these assessments can be applied to natural and cultural heritage places and should consider the full range of **heritage values**, the **attributes** that convey them and the interplay between these attributes. In the context of World Heritage it is important that there is a focus on identifying and assessing negative and positive impacts on the attributes that convey the **Outstanding Universal Value (OUV)** of the World Heritage property.

There is an advantage to using the different types of impact assessment as complementary processes. An SEA can provide a strategic framework that already includes heritage considerations, which can be applied to assess individual projects in an ESIA/HIA. For example, an SEA can help ensure that a new regional land-use plan takes heritage values into consideration, defining appropriate uses for different areas in and around a World Heritage property. Subsequently, that land-use plan can be used to ensure that only suitable projects are proposed for each area and ESIA/HIAs can then assess those individual project proposals to ensure they are aligned. Such an approach is also useful for reducing the number of individual ESIAs/HIAs and or understanding the cumulative impacts of multiple projects within and around the same heritage place.

5.8.2 HOW IS IMPACT ASSESSMENT CONNECTED TO THE HERITAGE MANAGEMENT SYSTEM?

There are a range of factors that can affect a heritage place, many of which are planned in advance, such as creating infrastructure or buildings, new forms of biological resource use or new activities that create pollution. Impact assessment is a methodology that helps inform **decision-making** at places where there is a proposed action with potential impacts that can be evaluated in advance. By ensuring that an impact assessment fully takes into consideration OUV and other heritage values, it can help improve planning, as well as inform good decision-making about whether a proposed action should take place or not. Paragraph 172 of the Operational Guidelines requests that the World Heritage Committee be notified in advance of any significant project that might affect a World Heritage property before any irreversible decisions or actions are taken. Impact assessments are mandatory for World Heritage (Operational Guidelines, paragraph 118bis) and support States Parties in meeting their obligations under the Convention, reassuring the Committee that there will be no negative impacts on the OUV.

It is important that impact assessment takes a holistic approach to World Heritage and benefits from applying a heritage place approach. Impact assessment needs to consider the type, size and characteristics of the proposed action, the sensitivity of the receiving environment and the types of likely impacts. Since World Heritage properties are of international importance, impact assessment is required not only for large development projects, but also for any proposed action that may affect the property's OUV, regardless of that action›s size or location within the property, the **buffer zone** or **wider setting**. Individual cases of smaller proposed actions may not require standalone impact assessment but may need to be checked collectively as a series of actions to identify indirect and cumulative impacts on a property.

The current state of the World Heritage property, its OUV and attributes, constitutes the baseline of impact assessment, which should compare the future of the World Heritage property with and without the proposed action. The baseline can also be used as a reference point to monitor the situation during and after implementation of action, to ensure the heritage is protected.

Analysis of the **management system** of the heritage place is needed for impact assessment. The consistency of the proposed action with existing policies and legislation – national, regional and local policies and land-use plans relating to heritage and the attributes that support the World Heritage property's OUV – needs to be reviewed. This allows a critical understanding not only of how the proposed action might affect the management system, but also the **capacity** of that management system to implement any proposed **mitigation** measures and monitor the actions implementation. Any previous Advisory or **Reactive Monitoring mission** reports and impact assessments related to the World Heritage property should also be reviewed to understand any key **management** concerns.

If there are any SEAs that were previously prepared for plans and policies that set the context for the proposed action, these can help identify: strategic-level alternatives and why they have been eliminated or chosen; expected mitigation measures; reasons why previous actions have been permitted or refused; and cumulative impacts that could be exacerbated or reduced by the proposed action.

Throughout the entire impact assessment process, the aspects of participation and proactive problem-solving are crucial. It is important that **rights-holders**, local or other associated **communities**, **managers** and any relevant **stakeholders** are included appropriately through a range of engagement methods that can be used throughout the assessment. The process of impact assessment is an opportunity to consider a proposed action in advance and think creatively about whether it seems appropriate to the heritage place and if it has any potential contribution to **sustainable development**. A proactive and innovative problem-solving approach can help think 'outside the box' to identify alternatives that might be better for avoiding negative impacts while also gaining positive impacts. The more participatory the impact assessment process, the more likely that successful problem-solving takes place. These need to be based on the **governance** arrangements of the heritage place, through different **legal frameworks** and analysis of **actors**.

Carrying out an impact assessment is generally easier and more effective where there is a robust management system with effective governance measures – data collection is more straightforward, public input is more easily facilitated and impacts are easier to monitor and manage. However, even if a World Heritage property does not have a well-functioning management system, impact assessment can help to improve proposed actions. For example, the baseline information collected through the impact assessment process can be used for other management purposes; it can act as a catalyst for stakeholders to come together and promote more participatory decision-making; and it can help to define what type of proposed actions are appropriate for the World Heritage property.

5.8.3   GUIDANCE AND TOOLKIT FOR IMPACT ASSESSMENTS IN A WORLD HERITAGE CONTEXT

For World Heritage properties and other heritage places facing increasing pressure from diverse types of development projects within and around the sites, assessing the impacts of such projects, before deciding to proceed with their implementation, is essential to prevent damage to World Heritage and identify sustainable options.

The Guidance and Toolkit for Impact Assessments in a World Heritage Context is the reference that explains the process with practical tips and tools, including checklists and a glossary. It provides a framework for conducting impact assessments for both cultural and natural heritage sites. The Guidance fosters cross-sectoral, multidisciplinary collaboration to identify solutions for both protecting World Heritage sites and supporting good quality and appropriate development.

REFLECTION QUESTIONS

- Are managers clear on the obligations of States Parties to the World Heritage Convention to inform the UNESCO World Heritage Centre concerning any proposed actions with the potential to impact a World Heritage property?

- Is it clear which institution is responsible for deciding that SEAs, EIAs and HIAs are carried out for the World Heritage property?

- Does the screening process for various impact assessment processes include heritage considerations?

- Do those involved in carrying out SEAs, EIAs and HIAs have access to information about the values and attributes of the heritage place and its state of conservation so that this can be used in assessments?

- Are impact assessment processes established to be carried out for any proposed action that may affect the property's OUV regardless of its size or location?

ADDITIONAL RESOURCES

- UNESCO, ICCROM, ICOMOS, IUCN (2022). Guidance and Toolkit for Impact Assessments in a World Heritage Context. Paris, UNESCO.

5.9   TOURISM AND VISITOR MANAGEMENT

KEY POINTS

- The World Heritage Convention encourages States Parties to present heritage to the public to foster stronger appreciation and support for its conservation.

- Visitation and tourism have to be actively managed to bring benefits to local communities, while ensuring that the heritage is protected.

- Sustainable tourism is characterized by participation, inclusiveness and shared responsibility of rights-holders and tourism stakeholders.

- Indigenous Peoples and local communities should play a critical role in tourism planning and implementation.

- A significant proportion of tourism-derived income should be directed back to support heritage protection and management.

- Heritage interpretation is essential at any heritage place and can be understood as any meaningful activity that helps people increase their understanding of the heritage place.

5.9.1   WHY IS IT IMPORTANT TO CONSIDER THE VISITORS TO HERITAGE PLACES?

The World Heritage Convention is based on the premise that some **heritage places** are important to the entire world, therefore **States Parties** should create programmes that strengthen people's appreciation and respect for these outstanding places. The success of the Convention is evident in the large numbers of people who have been inspired to visit World Heritage properties to understand more about the world's natural and cultural diversity. Visitation, when effectively managed, helps promote cross-cultural exchange and contributes to the well-being and livelihoods of local **communities**.

However, visitors can also have negative **impacts** on the heritage place and its **communities**, from damage to the physical fabric of the heritage place through over-use, to social disruptions, to contributing to global environmental problems, such as carbon emissions from air transport, waste production, and the spread of invasive species. Visitation needs to be managed at multiple levels to avoid these negative impacts, especially in the case of mass tourism. **Managers**, therefore, need to be aware of the trends in visitation to their own heritage place so that they can identify **management** measures for promoting forms of tourism that: is compatible with sustaining **heritage values** and **Outstanding Universal Value (OUV)**; instrumental in celebrating cultural and biological diversity; helps to improve quality of life within communities; reduces negative environmental impacts; and supports conservation efforts.

This requires coordination with multiple **actors** and broad-scale approaches that position the entire heritage place within a likely broader tourism destination. This is because tourism is a complex activity that includes travel, accommodation, visits and activities in a range of locations, frequently outside the boundaries of individual World Heritage properties. That is why those working with tourism often differentiate between a tourism destination (e.g. the wider region, landscape or town) and visitor attractions (an individual location of interest to visitors, e.g. a monument, museum, geological feature or viewpoint), because different approaches can be taken at each level. Understanding the current form of visitation to distinguish the various types of visitors is very important. This can include tracking whether the visitors are from the local and domestic sphere or international, or understanding the different focus of the visit, whether it is tourism, educational purposes or religious pilgrimages, etc.

5.9.2   HOW TO APPROACH VISITOR MANAGEMENT

Heritage managers should ensure that visitation and tourism strategies are fully aligned with **management objectives** for the heritage place, both from a conservation and **benefits**-sharing perspective. While such strategies will necessarily be shaped by local circumstances, there are some important shared principles for any heritage place:

- **Decision-making on tourism at a heritage place needs to be participatory.**
  Tourism affects and involves many people within and around a heritage place, therefore any planning and **decision-making** on tourism requires meaningful engagement from various actors. Heritage managers and particularly **rights-holders**, including Indigenous Peoples, need to be fully involved in any planning affecting them, through their own representative institutions, in order to prevent negative impacts of tourism on their societies, traditional livelihoods and cultures.

- **Tourism planning should support the protection and interpretation of OUV and other heritage values of the place.**

  The conservation of an agricultural landscape can be supported, for instance, by encouraging visitors to eat locally produced foods. If a historic town is at risk of depopulation and consequent vacant historic houses, then tourism could focus on providing employment opportunities and incentives by creating home-stay accommodation run by the local residents. Tourism activities initiated and driven by Indigenous Peoples and local communities can highlight traditional practices and provide memorable tourism experiences; for example, a heritage place that protects traditional fishing can use this as a tourism asset to generate additional income for local people. In some heritage places, community empowerment through tourism services and interpretation has been achieved through the accreditation of guides and tours. Measures need to be taken to ensure that tourism will not negatively affect the **state of conservation** of the heritage place, for example, by prohibiting or restricting access to sensitive areas (e.g. sacred sites or protected habitats) or limiting the numbers of people who can access those areas; or providing visitor access such as boardwalks or grouped transportation options to manage access routes; enhancing visitor experiences without impact through the use of virtual tourism and information technology, etc.

- **Tourism should contribute directly to local aspirations for sustainable development and benefit sharing.**

  Tourism benefits should be retained as much as possible at local levels to ensure **benefits** are optimized and equitably shared. Tourism strategies should recognize that heritage places need to be carefully protected and managed to continue generating a wide range of benefits. Income from tourism can be generated in many ways, including tourism taxes, donations from tourism businesses, ticket sales, etc. A significant proportion of this needs to be re-invested back into the heritage place, by ensuring that managers can use financial mechanisms to collect and retain tourism revenue and apply it directly to **management** and **maintenance** needs. Too often, heritage managers and local communities bear all the costs of maintaining heritage places but do not see any of the tourism benefits that stay at site level.

- **Tourism should provide visitor experiences that are specific to the heritage place.**

  Visitor experience at a heritage place can be engaging and memorable if it is based on the specificities of the place and a clear understanding of its **heritage values**. Local products and tourism activities that truthfully relate to the place and its heritage, and cannot be purchased or experienced elsewhere, help convey a sense of place to visitors.

- **Indigenous Peoples and local communities' rights, aspirations and concerns need to inform visitor management.**

  Indigenous Peoples and local communities should have the opportunity to tell their stories about the place through their tourism enterprises so that visitors have a better understanding of their

connection with the land and seascapes and of their traditional practices. Recognizing that visitation and tourism can have many negative sociocultural impacts, it is critical to ensure that contact with local communities and Indigenous Peoples is desired and that tourism-related activities do not result in commercialization and commodification of cultural practices, disruption of traditional occupations and livelihoods, rapid changes in social structures, eviction and displacement of local people, and increased crime. Therefore, careful considerations need to be made and rights-holders' concerns should be at the core of tourism planning and visitor management.

- **Visitation should be managed based on the heritage place's carrying capacity and appropriate uses that help maintain its heritage values.**

  Heritage places will have limits as to the numbers, patterns, spatial and temporal distributions of visitors. This is a nuanced issue and requires expert analysis and research. However, a range of visitor management mechanisms, strategies and tools are available to heritage managers to ensure use limits are not exceeded, since any excess may result in unacceptable negative impacts on the **attributes** of the heritage place as well as to local communities.

- **Development related to tourism and interpretation should be subject to impact assessment processes.**

  Facilities and infrastructure development to support tourism and interpretation of the heritage place should be considered in the same way as other forms of development. These changes should also be subject to appropriate impact assessment processes and decisions need to be based on the heritage values of the place.

5.9.3   HERITAGE INTERPRETATION

Heritage interpretation is essential to ensure that visitors to World Heritage properties have meaningful experiences that deepen their understanding and appreciation for the conservation of these outstanding places. Heritage interpretation is often a common ingredient of many heritage-related activities, for example, environmental education, guided tours, events and festivals, story-telling, exhibitions, site and museum displays, and experiential or hands-on activities. Such activities can go beyond simply providing information and can make respectful connections between people and places. More importantly, when heritage interpretation is planned well on the basis of learning, communication, psychology and behaviour theories, it can support a change in a person's attitudes, fostering an increased appreciation of the heritage. That appreciation can then be the springboard for behavioural changes to support ongoing heritage use and enjoyment, as well as its conservation for the future. Therefore, heritage interpretation, when fully understood, planned and executed, has a significant contribution to play towards the goals of the World Heritage Convention and can build strengthened public support for a heritage place. Heritage interpretation led by local residents contributes to sustainable tourism that reinforces place-based identity and provides benefits for local communities.

REFLECTION QUESTIONS

- Is there a good understanding of the scope of impacts of tourism (both positive and negative) on the heritage place, the limits of acceptable change and the carrying capacity of the place, so as to ensure heritage protection?

- Are there mechanisms in place to share tourism benefits with local communities and to support conservation actions for the heritage place?

- Does the heritage place have a heritage interpretation plan to guide the implementation of visits and other activities? Is that plan based on a clear understanding of the range of values of the heritage place?

- Have other ways of presenting the heritage place to the public beyond physical visits (virtual presentation, educational material, outreach programmes, etc.) been considered?

- Who is currently visiting the heritage place and why? Who is currently being excluded from visiting the heritage place and why?

ADDITIONAL RESOURCES

- UNESCO World Heritage Sustainable Tourism Toolkit.

- ICOMOS (2008). ICOMOS Charter on the Interpretation and Presentation of Cultural Heritage Sites.

- ICOMOS (2022) ICOMOS International Charter for Cultural Heritage Tourism.

- Leung, Y-F., Spenceley, A., Hvenegaard, G. and Buckley, R. (eds) (2018). Tourism and Visitor Management in Protected Areas: Guidelines for Sustainability. Best Practice Protected Area Guidelines Series No. 27. Gland (Switzerland), IUCN.

- Borges, M. A., Carbone, G., Bushell, R. and Jaeger, T. (2011). Sustainable Tourism and Natural World Heritage: Priorities for Action, pp 29. Gland (Switzerland), IUCN.

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- UNESCO, BfN (2021). Paris, UNESCO. Visitors Count! Guidance for Protected Areas on the Economic Analysis of Visitation.

- WHIPIC (2024). Handbook for Interpreting and Nominating Sites of Memory. Sejong, WHIPIC.

- Silberman, N. (2022). World Heritage: 50 Years and Moving Forward. An Anthology of World Heritage Interpretation and Presentation. Sejong, WHIPIC.

5.10 MONITORING

KEY POINTS

- Monitoring a World Heritage property or other heritage place is a long-term systematic process of collecting and analysing data to gather insights about the current condition of the attributes.

- A monitoring programme to assess the state of conservation of a heritage place needs to indicate the state of conservation of the attributes, including any trends and changes in those conditions, together with the outputs derived from implementation of management actions, as well as signalling when it is necessary to take action regarding different actors in time to ensure preventive measures.

- World Heritage properties need to report to the World Heritage Committee about the property through Periodic Reporting and/or Reactive Monitoring, for which effective monitoring processes at the property level can help.

5.10.1 WHY MONITOR?

As stated at the outset of the manual, the fundamental task of **heritage managers** is to ensure that **heritage places** are conserved so that current and future generations can experience and benefit from them, both now and well into the future. Since heritage places evolve over time to adapt to new demands and circumstances, it is necessary to track changes in order to assess whether their **heritage values** are being maintained. The only way to know this is by assessing the 'health' of the **attributes** that convey and embody those values.

Monitoring a heritage place is therefore a long-term systematic process of collecting and analysing data to gather insights about the **state of conservation** of the attributes as well as their likely future. This involves assessing whether contextual and ecological conditions are changing, whether rates of physical deterioration are stable or increasing, and if there is loss or reduction of certain elements or characteristics, in terms of size, numbers, frequency, functions or distributions.

Monitoring also involves tracking the **outputs** of actions taken on the basis of the **management plan**. Outputs are measures of productivity resulting from the implementation of planned actions, routine work and **management processes**. Different types of outputs can be expected across the **management cycle**, which can include:

- plans and/or strategies, policies, and **instruments** resulting from planning process;

- physical works carried out on the ground;

- material products or goods produced;

- volume of work and activities undertaken;

- data and information derived from management processes;

- services provided.

One main advantage of **monitoring** is to detect signs of problems at an early stage, in order to take preventive actions. For example, when monitoring the condition of a defensive wall in a historic settlement, signs of bulging will likely prompt **maintenance** works or light repairs. Likewise, when trying to control a particular invasive species, monitoring its distribution will allow managers to know when they will need to deploy more people to manually remove it before it spreads too much. These examples show how monitoring can avoid larger problems in the future.

Monitoring also helps detect changes that are only or generally noticeable over long periods of time. Comparison of photographic material helps to understand the melting of glaciers over the past decades and how this problem is increasing because of higher average temperatures and other **climate change**

effects. Monitoring is also important to identify other slow changes, such as urbanization of green spaces, densification of urban areas or deterioration of the physical fabric due to wind erosion or pollution.

Some changes become apparent through the combination of data, such as the total area of uncultivated plots in a cultural landscape, the number of secondary residences in an historic village or the total number in species population combined with the number of development permits issued. Through the analysis of these data, managers can evaluate the extent and severity of the problem and identify the most appropriate actions based on the information available.

A good monitoring programme will also facilitate other monitoring processes and reporting requirements. Local **communities**, governments and donors need to be kept informed of how resources are being used and that expected results are being achieved. Monitoring can also help identify challenges that require additional funding. High-quality data will help convince decision-makers and donors of the importance of a project. However, monitoring and reporting should not be confused. Whereas reporting is a 'snapshot' taken at a moment in time, **monitoring the state of conservation** is a systematic, continuous process, the main purpose of which is to help managers in their daily work. The information generated through this process can and should be used to facilitate reporting obligations, but being aware of this fundamental difference is critical. Otherwise, there is a risk that monitoring is only carried out for reporting purposes, reducing the advantages it offers, when used properly, as a sort of alarm system.

5.10.2 HOW TO DESIGN AN EFFECTIVE MONITORING PROGRAMME?

A monitoring programme to assess the **state of conservation** of a heritage place needs to provide answers to two questions:

- What is the state of the attributes and the trends in condition?

- Is it necessary to take action and, if so, when?

In order to answer these complex questions a monitoring programme needs to be designed, and it will need to be reviewed over time. The art of developing such programmes involves selecting a few **indicators** that capture as much information over time as possible about the state and trends of the attributes, without costing too much time or money to monitor. Although well-selected and well-defined indicators are one of the key elements of an effective monitoring programme, monitoring is more than a collection of appropriate indicators.

10 Make adjustments based on lessons learned
9 Use monitoring data to inform management decisions
8 Monitor against that baseline
7 Establish a baseline
6 Develop a data management system
5 Develop monitoring protocols
4 Identify response to a threshold being crossed
3 Agree on indicator thresholds
2 Develop a set of indicators for attributes and outputs
1 Use attributes as a basis for monitoring
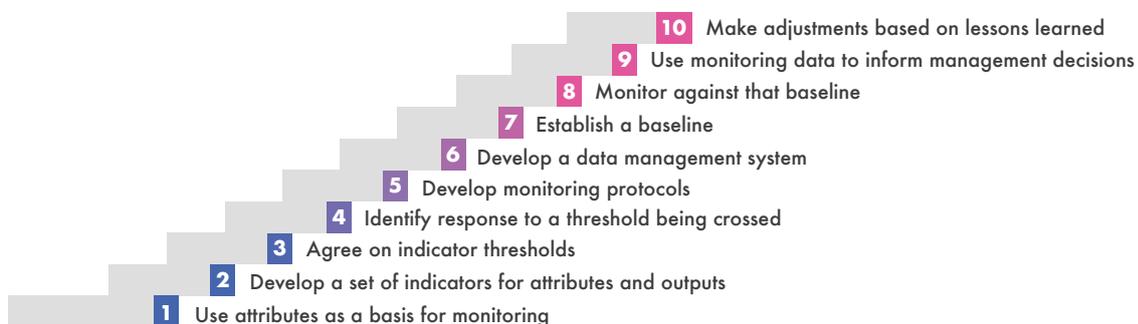
Figure 5.7. A step-by-step process for developing a monitoring programme.

Use attributes as a basis for monitoring: A monitoring programme for a World Heritage property should focus on its **Outstanding Universal Value (OUV)** and specifically on its attributes, while also recognizing other heritage values and attributes of the place. A monitoring programme that focuses on specific attributes is more likely to detect changes in the condition of important attributes before it is

too late. This manual has already discussed the identification of heritage values and attributes that also need to underpin good monitoring programmes (see **3.1**).

Since the number of attributes of a heritage place may be quite extensive, it is likely that decisions will need to be made about which ones to monitor; otherwise, there is a risk of designing a monitoring programme that is too complex and too costly and which, therefore, might not be used. Identifying which attributes to focus on requires a thorough understanding of all the attributes, their interlinkages and the range of values they convey, in order to make a selection of those that will help gather the best information about the overall health of the heritage place. It is also necessary to understand the **factors affecting the heritage place** and how they impact (or could potentially impact) the attributes.

Develop a set of indicators for attributes and outputs: Once there is a clear understanding of what needs to be monitored, it is necessary to start defining *how* to monitor it and when active **management** measures may be needed. The next step involves defining a set of indicators that will monitor the condition of the specific attributes selected. For example, indicators to monitor an endangered species might be the breeding population size or the extent of its habitat, whereas for a historic village the indicator might be the size of resident population or number of abandoned houses if changing demographics is a main factor affecting the property.

Monitoring indicators may also be based on collecting the outputs delivered from implementing the actions, such as reduction in visitor numbers due to a revised access route. This type of output indicator can also provide valuable information about management needs and the **impacts** on the attributes of the property.

It is better to focus on a smaller number of critical indicators that are clearly linked to the most important attributes of the heritage place and to measure them well and consistently. This allows resources and time to be given to priorities, rather than attempting to monitor too many indicators badly. Indicators might need to be chosen on the basis that they can be measured over time to provide specific quantitative or qualitative information related to the attributes of the heritage place. Indicators should:

- have a clear, predictable and verifiable relationship with what is being assessed;
- be able to measure or capture changes in the condition of what is being assessed;
- reflect long-term changes rather than short-term or localized fluctuations;
- be able to identify current problems as well as detect new ones;
- focus on changes that will have direct implications for conservation and management;
- be cost-effective in terms of data collection, analysis and interpretation;
- be simple to measure and interpret;
- be easily understood by non-specialists.

Agree on indicator thresholds: It is important to define indicator thresholds; these are the clearly defined points at which the measurements of an indicator show that there are changes in condition that require action. This is particularly important to detect when things are going wrong. Monitoring alone will not help protect a heritage place if it does not prompt action when necessary.

Thresholds should be determined as much as possible for each indicator, along with indications of the likely preventive **responses** if those thresholds are crossed. Conservation efforts should aim at keeping the condition of the attributes and, by default, the indicators within acceptable ranges of variation in order to preserve a healthy status over the long term. Furthermore, a precautionary approach should be used to ensure early and timely action to prevent irreversible impacts. For example, if the 20%t threshold of abandoned houses is exceeded in a historic town, this will signal there can be potential

problems, such as increased risks of fires or collapse or decreased security. It may also be a sign of social change, depopulation or declining economic conditions.

Identify response to a threshold being crossed: If those thresholds are crossed, action is required. Managers need to know what to do if such situations occur, in terms of trying to tackle the underlying cause as well as having management responses to the potential new problems that have arisen.

Develop monitoring protocols: A good monitoring programme will also detail the monitoring protocols for each indicator, namely, the methods that will be used to collect data (e.g. sampling, interviews, surveys, observations) and the frequency of data collection (e.g. monthly, quarterly, annually), as well as information about who will be responsible for collecting the information and the material and equipment needed.

The frequency of monitoring should be based on the robustness or fragility of the attributes, their susceptibility to change and the factors affecting their state of conservation. Therefore, frequency may need to change if the situation changes.

Develop a data management system: Data collected will need to be compiled into a data **management system** to facilitate analysis and inform conservation and management decisions. This is particularly important if different data collection methods are used and if different departments or units (sometimes even different **organizations**) are involved. On occasion, problems become apparent only by cross-referencing the data collected.

The choice of data collection methods and technologies should be informed by the financial and material resources available, as well as by human **capacity**. In many cases, simple and inexpensive monitoring methods will be sufficient and more reliable. In other cases, modern technologies may be needed and can offer cost-effective solutions. In all cases, non-destructive data collection methods should be preferred.

Establish a baseline: A baseline is a set of data describing the attributes and provides a starting point against which comparisons can be made in order to assess if conditions are stable, are improving or are getting worse. Baseline references for the state of conservation may be documentation (e.g. photographs, laser scans, etc.) or they may be the qualitative or quantitative status of the indicator, such as the population count of an endangered species, or a description of the conservation conditions of an abandoned building.

Monitoring of World Heritage properties should take as a baseline the conditions at the time of inscription in order to compare changes over time. However, if the property is already in a fragile state of conservation at the time of inscription, then the desired state of condition of the attributes should be identified. While the state of conservation of a property should never become worse than it was at inscription, management actions should support improvement in the condition of the attributes.

Monitor against that baseline: Once the monitoring programme has been defined, it is important that the monitoring activities take place according to the established protocols. Institutional commitment to monitoring is fundamental and it should be seen as an essential part of management responsibilities. Monitoring is an ongoing activity and needs constant and long-term investment.

Since monitoring can be costly, effective monitoring programmes can be built on partnerships between managers and other **actors**, such as universities. In such cases, the monitoring programme should still respond to management needs as a priority over academic research agendas. A well-designed data management system is critical so that managers have easy access to the data collected and in formats that will facilitate their work.

Use monitoring data to inform management decisions: Interpreting data collected from a monitoring programme and using it to inform management decisions is probably the most difficult part of **monitoring the state of conservation** of the heritage place. Posing these simple questions may help:

- Does the data point to a small or big change in the condition of the attributes or the factors affecting that condition?

- What is the trend of that change? Is that change in the desired direction (for example, a decrease in the number of vacant buildings in a historic settlement or an increase in the number of uncultivated fields in a cultural landscape or a reduction of the areas affected by an invasive species or an increase in the population of an endangered species)?

- If the trend is in the opposite direction to the desired one, why is that happening? Were the management measures implemented insufficient or is more time needed to see the full effect of those measures? Are additional measures necessary? What adjustments are needed?

Managers need to understand the changes occurring and reflect on whether the management measures put in place are generating the expected **outcomes**, detect what is working and what is not, and any unanticipated consequences of those measures. In this way, managers can correct the measures taken or devise new ones that are more efficient.

Make adjustments based on lessons learned: Monitoring programmes will be imperfect when first developed, particularly since the correct information is not always immediately available. Therefore, it is critical to periodically review and improve them based on lessons learned and as experience is gathered. Improvements may also be needed in view of new knowledge about the place, new technologies or awareness about new threats. However, it is important to keep in mind that changing indicators too often will make it difficult to obtain data tracking trends over time.

5.10.3 MONITORING, PERIODIC REPORTING AND REACTIVE MONITORING: WHAT ARE THE DIFFERENCES?

For the purposes of this manual, regular and continuous monitoring to assess the 'health' of the attributes and other aspects of a heritage place, and inform day-to-day management, constitutes an essential **management process**, which must be undertaken systematically and over the long term at all heritage places. For World Heritage properties this process must be distinguished from the need to report to the **World Heritage Committee** about the property through **Periodic Reporting** and **Reactive Monitoring**.

All World Heritage properties need to report to the World Heritage Committee every six to eight years through the Periodic Reporting exercise. This is the process that collects information to get an overview of all properties inscribed on the World Heritage List. If the heritage place is also designated under other international (or regional) conventions, such as the Global Geoparks, or contains recognition of Intangible Cultural Heritage, it will be subject to other reporting obligations as well.

Reactive Monitoring is more of an ad hoc process that is applied only to World Heritage properties considered under threat and which demand urgent attention by the international community. Reactive Monitoring relates to the state of conservation of the property, it focuses mainly on the threats that triggered the attention of the World Heritage Committee and it is designed to be applied for limited periods of time, until the situation improves. Therefore, Reactive Monitoring is fundamentally different and does not replace the need for the systematic monitoring of the heritage place, which aims to generate insights about the health of the attributes and other aspects including informing everyday management.

As mentioned previously, effective monitoring processes at the property level will help with Periodic Reporting and Reactive Monitoring. Therefore, they should be seen as complementary processes but operating at different scales and serving different purposes. A well-designed monitoring programme should also, in many cases, help avoid Reactive Monitoring processes by alerting managers to problems at an early stage.

Box 5.3 Periodic Reporting

Periodic Reporting is one of the two types of reporting envisaged in the World Heritage Convention (Article 29), the other being Reactive Monitoring. It is a self-reporting process carried out on a regional basis over a six-year cycle to get an overview of the overall management status of all World Heritage properties.

Periodic Reports provide information on the legislative and administrative provisions that States Parties have adopted and other measures that they have taken to apply the Convention, including the state of conservation of their World Heritage properties (Operational Guidelines, paragraph 199). The World Heritage Centre coordinates and facilitates the Periodic Reporting process at the global level. However, Periodic Reporting is carried out on a regional basis to promote regional collaboration and to enable the World Heritage Committee to be able to respond to the specific characteristics of each region.

Hence, Periodic Reporting is very helpful if it is led as far as possible by the States Parties in each region and involves the participation of relevant institutions and regional expertise, as it provides a mechanism for regional cooperation and the exchange of information and experiences between States Parties concerning common challenges in implementing the Convention. 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.

Periodic Reporting is a valuable tool for national authorities and managers too because it provides a periodic review of the effectiveness of the management systems put in place to protect World Heritage properties within a country.

Depending on their nature, management issues identified through this process may need to be addressed at the national or subnational level or, if site-specific, at the property level. While an analysis and assessment of the outcomes of the Period Reporting exercise is carried out by the World Heritage Centre for each region and presented to the World Heritage Committee, an appraisal at the national level of the results of the exercise is highly beneficial to addressing problems or challenges at the appropriate level and to improving overall the implementation of the provisions of the Convention.

Periodic Reporting is based on a questionnaire structured into two sections. Section I refers to the legislative and administrative provisions that the State Party has adopted and other actions it has taken for the application of the Convention, together with details of the experience acquired in this field. This particularly concerns the general obligations defined in specific articles of the Convention. The compilation of this part of the questionnaire falls under the relevant National Focal Point's responsibility. Section II refers to the state of conservation of specific World Heritage properties located on the territory of the State Party concerned. This section should be completed for each World Heritage property and falls under the relevant managers' responsibility. The questionnaire is accessible online for National Focal Points and World Heritage appointed managers.

Over time, successive reports will build up a valuable record of the progress made in implementing the Convention at the national level and in managing the properties. Regular monitoring of the state of conservation of a World Heritage property is an essential part of its management system. Integrating Periodic Reporting into it helps streamline these different monitoring processes. At the property level, carrying out Periodic Reporting also offers the opportunity to reappraise management effectiveness

more comprehensively and set the grounds for a review and, if needed, revision of governance arrangements, legislation and planning mechanisms. As the Periodic Reporting process requires the commitment of managers and National Focal Points to provide the information and go through the analysis, this could be considered in management plans as part of the programme of actions with the allocation of adequate resources.

The timing for each round of reporting is agreed upon by the World Heritage Committee, and States Parties are informed by the World Heritage Centre when reports are due. During the six-year Periodic Reporting cycle, States Parties report region by region in the following order:

- Arab States
- Africa
- Asia and the Pacific
- Latin America and the Caribbean
- Europe and North America

After the full cycle of reporting, the regions are assessed again in the same order (Operational Guidelines, paragraphs 199–207). A period for reflection and evaluation is installed after each cycle. This pause allows the Periodic Reporting mechanism to be assessed and revised as appropriate before a new cycle is initiated. Periodic Reports are submitted to the UNESCO General Conference through the World Heritage Committee.

Adapted from: Operational Guidelines (2025), Managing Cultural World Heritage (2013)

Box 5.4 Reactive Monitoring

Reactive Monitoring is a statutory process of reporting to the World Heritage Committee about any perceived threats to a World Heritage property's OUV, integrity and authenticity. The process has been introduced to assist States Parties to effectively manage and remove threats from properties.

Depending on the seriousness of the threats and the timeliness of information, Reactive Monitoring may simply generate an exchange of information among the World Heritage Centre, he State Party and the Advisory Bodies providing written technical advice. Conversely, it may need to be examined by the World Heritage Committee (under Item 7) during its sessions.

The State Party providing information on major events or interventions affecting World Heritage properties to the World Heritage Committee, World Heritage Centre and the Advisory Bodies, represents a useful cooperation mechanism. It aims to avoid potential threats to properties and it is also a requirement of the World Heritage Convention, regulated by paragraph 172 of the Operational Guidelines. Under this paragraph, States Parties are invited to inform the World Heritage Committee of their intention to undertake, in an area protected under the World Heritage Convention, in its buffer zone or wider setting, any major restorations or new constructions that may affect the OUV of the property. Notice should be given as soon as possible and before making any decisions that would be difficult to reverse. This timely information facilitates the offering of technical advice by the World Heritage Committee, through the Advisory Bodies and the World Heritage Centre, and cooperation with States Parties to avoid adverse impacts on those properties. States Parties may request technical advice or advisory missions for such purposes: this can be done at any time and is not necessarily dependent on a World Heritage Committee's 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 and avoid threats to or negative impacts on it.

The Reactive Monitoring process can be triggered by information received by the World Heritage Centre from the States Parties. It can also be activated by information received from third parties about the state of

conservation of a property or about major projects that are likely to adversely impact its OUV. In all cases, the World Heritage Centre will verify this information and seek clarifications and further information from the State Party on the nature and seriousness of the threats while also consulting the Advisory Bodies. Only when emerging threats, are considered to be serious enough to negatively impact the OUV, the integrity and/or the authenticity of a property, does this enter into the established formal reporting process.

Exceptional circumstances resulting in negative impacts on the property (e.g. a traumatic event, such as a disaster or a conflict) or previous World Heritage Committee's decisions, for instance, at the time of inscription of the property on the World Heritage List, can also activate Reactive Monitoring. Hence, the World Heritage Centre, jointly with the Advisory Bodies, prepares and submits a 'State of Conservation' report to the World Heritage Committee. These reports include a draft decision, which can suggest or request from the State Party suitable management measures to address specific issues, often within a specific time-frame, as well as updated information on the implementation of the required management measures. Such updated information is submitted to the World Heritage Committee through the World Heritage Centre, using a standard format (Annex 13 of the Operational Guidelines) and respecting the deadlines set out in the Operational Guidelines (paragraph 169).

Note that both the reports that are submitted by the State Party in response to requests made by the World Heritage Committee and the reports that are prepared by the World Heritage Centre and the Advisory Bodies to inform the Committee are called State of Conservation reports (SOC reports). To avoid confusion, the report provided by the State Party is often called the 'State Party SOC report' to distinguish it from the 'SOC report' submitted to the World Heritage Committee. It is essential that both the national and the local management authorities act upon World Heritage Committee decisions concerning the state of conservation of a property and that all relevant actors cooperate in implementing these decisions. The World Heritage Committee's decisions may require revisiting elements of the management system or management plan or actions that are ongoing, and see whether they can comply with the World Heritage Committee's recommendations or if there is the need to adopt additional management measures to address them. This may have consequences for established management mechanisms, planned objectives, actions and resources, which may then have to be reassessed. Ways must then be found to address the concerns of the World Heritage Committee and report to them within one or two years and then regularly, until such time that the World Heritage Committee is satisfied with the outcome.

The World Heritage Committee may request that a Reactive Monitoring or advisory mission be carried out to investigate the circumstances of the threats and to gather updated information on the state of conservation of the property, especially if there has been little recent information about it.

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 World Heritage 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 (Operational Guidelines, paragraph 173).

The outcomes of the mission feed into the State of Conservation report prepared by the World Heritage Centre with the Advisory Bodies. On this basis the World Heritage Committee adopts its decisions. In exceptional cases, it may consider inscribing the property on the List of World Heritage in Danger (often referred to as the Danger List) or other serious action.

Adapted from: Operational Guidelines (2025), Managing Cultural World Heritage (2013), Managing Natural World Heritage (2012).

REFLECTION QUESTIONS

- Does the heritage place have a clearly defined monitoring programme in place?

- What has been the basis for developing indicators to monitor the condition of the attributes at your World Heritage property or other heritage place?

- Do existing indicators cover the attributes that provide a good understanding of whether or not the OUV of the property is being maintained? Do they relate to tangible as well as intangible attributes?

- Where possible, have thresholds been identified?

- Are the indicators sufficient to enable an assessment of the overall condition of the property or place?

- Are the capacities necessary to implement an effective monitoring programme available at the heritage place?

- If not, are there opportunities to develop collaboration or partnerships, for example, with universities, to ensure effective monitoring programmes are in place for the heritage place?

ADDITIONAL RESOURCES

- UNESCO, ICCROM, ICOMOS, IUCN (2023). Tool 11: Tool 11: Outcomes – Monitoring the state of conservation. Enhancing Our Heritage Toolkit 2.0. Paris, UNESCO.

- UNESCO, ICCROM, ICOMOS, IUCN (2013). Section 4.3: The three processes of a heritage management system. Managing Cultural World Heritage, pp. 82–102. Paris, UNESCO.

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6. EVALUATING RESULTS AND IMPROVING THE MANAGEMENT SYSTEM
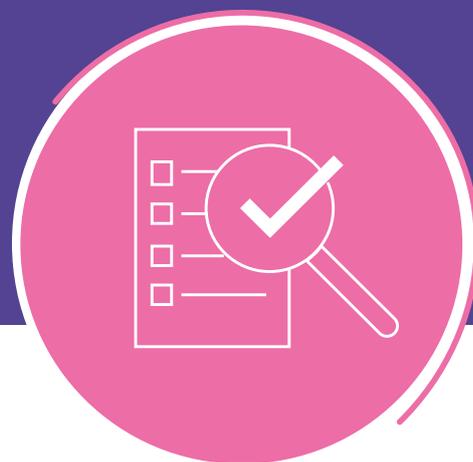
6.1 THE NEED TO FOCUS ON RESULTS

KEY POINTS

- The management system for World Heritage aims for results that will protect and conserve the heritage place, contribute to the sustainable development of the place and bring benefits to those who are associated with it, and continuously improve the system as a whole through its processes.

- Management effectiveness assessments can help identify what is working well in the management system, what can be done better and what improvements are required to respond to existing and emerging challenges. In this way, managers can increase the performance of the management system and ensure it is delivering the best results.

- Regular monitoring of the implementation of the plan can provide feedback on the progress being made and help managers identify any such challenges as they arise.

- The information collected and lessons learned from implementation monitoring should be used to assess progress, make course corrections and inform the next planning cycle.

The ultimate purpose of the **management system** is to achieve positive results for the **heritage place** and in particular ensuring:

1. the **Outstanding Universal Value (OUV)** and other **heritage values** of the heritage place are maintained (see **3.1**);

2. all the **management objectives** are being achieved (see **5.2**) – including the delivery of services and **benefits** and contribution to **sustainable development** (see **3.5**).

A focus on results is therefore needed, to critically ascertain whether the management system is delivering what it set out to achieve, maintaining the aspects of the system that are effective and continuously improving the system where it is not achieving the desired results.

On a regular and continuing basis, it is therefore essential that there are mechanisms to reflect on the **outputs** and **outcomes** that have been achieved, not only to plan the next steps, but also plan and promote changes in the management system that will benefit both heritage and people. In the **management cycle**, this work is proposed to focus on two different priorities. Firstly, it should evaluate the outputs and outcomes that have been achieved to see how the situation may have changed and identify what has worked or not. Secondly, it should consider what sorts of improvements to the system should be promoted. To understand whether the different elements of the management system are interacting in the best possible way, it is necessary to check the health of the management system as a whole, at regular intervals.

6.2 EVALUATING RESULTS AND IMPROVING THE MANAGEMENT SYSTEM

Once **outputs** and **outcomes** have been collected through regular and continuous **monitoring** processes they need to be evaluated, to assist the continued work of managing World Heritage and other **heritage places**. Evaluation must be used positively to support **managers** and be seen as a normal part of the process to determine whether the **management system** is achieving its objectives; it therefore should be conducted with transparency and the use of credible datasets.

Evaluation needs to be integrated into the **management process** and ways of engaging with managers, **rights-holders** and **stakeholders** need to be established not only to carry out meaningful evaluations, but also potentially build further cooperation and support for managing World Heritage. Data collection and monitoring will be fundamental for robust evaluations to take place, and cost-effective, meaningful monitoring programmes with appropriate indicators for both outcomes and outputs need to be established from the onset of planning. Evaluations will provide the opportunity to look for common threads and identify where data can be drawn together to find trends, themes and lessons over time. They should also be used to shape improvements for the future, with the conclusions being communicated and used as a basis of making change.

6.3 WHAT IS A MANAGEMENT EFFECTIVENESS ASSESSMENT?

Management effectiveness assessments help check whether the **management system** is performing in the best possible way or if adaptations are required – either because of inherent weaknesses or because circumstances have changed over time. The purpose of these assessments is to help all those involved in the **management** of a **heritage place** to come together to reflect on the different elements of the management system, thereby providing a feedback process of continuous learning and improving.

Such assessments should, therefore, be incorporated into the **management cycle** and ideally can help in the preparation of a new or updated **management plan**. In this way, the findings and recommendations from the assessment can inform future plans, resource allocation and management measures.

World Heritage properties and other heritage places constantly face challenges and threats, which require strategic, sustained and long-term management measures to make sure they maintain their **Outstanding Universal Value (OUV)** and other **heritage values**. A management effectiveness assessment is defined as the evaluation of how well a World Heritage property or other heritage place is being managed – primarily, the extent to which the OUV and other heritage values of the property are being maintained and **management objectives** are being achieved.

An effective management system depends on the type, characteristics and needs of the World Heritage property or other heritage place and its social, economic and environmental context. It is critical to evaluate the management system on a regular basis to ensure that management is effective, to better understand what is and what is not working, and to plan any necessary changes as efficiently as possible. Management effectiveness assessments include an appraisal of whether and how management plans and other planning **instruments** are being implemented and whether desired **outcomes** are being achieved.

Assessments of management effectiveness have emerged as an important tool for assisting **managers** and other **actors** to:

- understand weaknesses and challenges related to the different elements of a management system;
- improve the way resources are allocated;
- plan for the effective management of potential threats and opportunities;
- understand whether management measures are achieving management objectives and desired outcomes.

Weak elements in a management system may not be noticed because the managers are used to them or they are offset by the strength of other elements. While it would be unrealistic to expect that every element of a management system is perfect, the goal is to make the best use of the management instruments and processes available, considering the social, cultural, political, economic and environmental context in which the heritage place is embedded.

6.4 *ENHANCING OUR HERITAGE TOOLKIT 2.0* – ASSESSING MANAGEMENT EFFECTIVENESS OF WORLD HERITAGE PROPERTIES AND OTHER HERITAGE PLACES

The manual *Enhancing Our Heritage Toolkit 2.0* (EoH 2.0) offers a detailed **management effectiveness** methodology that is suited to the specific needs of World Heritage properties but can be applied to all other natural and cultural **heritage places**. It contains twelve tools that can be used separately or collectively to evaluate the effectiveness of a **management system**. Each tool has a specific purpose and includes guidance to help **managers** engage in full and open discussion about the most critical elements of the management system. To facilitate their use, the tools are accompanied by worksheets and prompt questions to help compile information in a systematic way and to help managers identify opportunities for improvement and necessary actions. Together, the tools offer an iterative methodology that will enable managers to identify what is working well and what can be done better.

EoH 2.0 has three important qualities:

1. It is the only management effectiveness methodology specifically tailored to all types of heritage places. It has been developed to suit cultural and natural heritage places and, while there is a focus on World Heritage properties, it can be applied to all heritage places, regardless of designation(s) at international, national and/or local levels.

2. It is a fully self-assessed methodology. EoH 2.0 is designed to be used directly by managers – generally without external support, validation or information sharing, unlike some of the other methodologies, which are externally led (such as the **IUCN** World Heritage Outlook) or need a level of external validation (such as the IUCN Green List), or share information with external **actors** (such as the **Periodic Reporting** exercise).

3. It is the most detailed and comprehensive management assessment methodology. EoH 2.0 contains a set of twelve practical tools tailored to make in-depth assessments of critical elements of the management system for a World Heritage property or other heritage place. It uses a participatory process to better understand the underlying reasons why certain elements of the management system may not be working as effectively as they could be.
Assessment findings should lead to improvements in the management system. The long-term goal is to repeat the assessment at regular intervals to allow managers to track progress over time. A one-off assessment, while beneficial, is only a diagnosis at a given moment. Assessments are only worth the time and energy needed to undertake them if they lead to improvements in **management** measures to identify gaps and challenges.

The results of the follow-up actions and recommendations defined to address the gaps and challenges throughout the assessment can only be measured after implementation, which requires time. This is why **management effectiveness** assessments should be embedded in the **management cycle** and linked with scheduled timings for revisions of the **management plan**. If there is a great array of gaps and challenges, it will not be possible to address them all in a single management cycle, and longer periods of time will be required. This reinforces the need to repeat the assessments at regular intervals in order to evaluate how management effectiveness is progressing.

Therefore, all assessments must conclude with the development of an action plan or strategy to prioritize and implement findings and follow-up actions. Some of these actions can be included in the next management plan; others may require dedicated efforts, for example, if related to changes in the boundaries or in the **legal framework**.

Figure 6.1 The twelve tools from the manual *Enhancing our Heritage Toolkit 2.0* can be used separately or collectively to evaluate the effectiveness of the management system. The tools can be used to analyse the most critical elements of the management system. The social, economic, cultural and environmental context together with services and benefits of the heritage place are overarching aspects that can be drawn out by using the tools collectively.

ADDITIONAL RESOURCES

- Hockings, M., Leverington, F. and Cook, C. (2015) Protected area management effectiveness. G. L. Worboys, M. Lockwood, A. Kothari, S. Feary and I. Pulsford (eds), Protected Area Governance and Management, pp. 889–928. Canberra, ANU Press.

- UNESCO, ICCROM, ICOMOS, IUCN (2023). Tool 12: Review of management effectiveness assessment findings. Enhancing Our Heritage Toolkit 2.0. Paris, UNESCO.

FIGURES

- Figure 1.1 The World Heritage Management System.

- Figure 2.1 The interconnectedness of governance, management processes and results.

- Figure 3.1 A World Heritage property's OUV is based on the criteria it meets, its integrity and authenticity, and its protection and management.

- Figure 3.2 More than ever before, heritage conservation requires a nuanced and dynamic understanding of the contexts of heritage places which will all be shaped by particular social, economic, cultural and environmental dynamics.

- Figure 3.3 The number of properties examined each year on their state of conservation through the Reactive Monitoring process is continuously increasing. *Source*: World Heritage Centre State of Conservation Information System.

- Figure 3.4 The impact on a historic urban environment created by sound and vibration from a proposed action. An impact is the interaction of the factor with an attribute of the World Heritage property. In this example, the vibration from the factor may have an impact on the buildings that constitute the attribute of a World Heritage property and weaken their structural stability. *Source*: *Guidance and Toolkit for Impact Assessments in a World Heritage Context (2022)*.

- Figure 3.5 This list is used to understand the range of factors that can potentially affect World Heritage properties. For a full list visit the World Heritage website. *Source*: UNESCO World Heritage Centre.

- Figure 3.6 All the attributes conveying OUV should be included within the boundary of the property to guarantee its wholeness is encompassed, and the boundary must be equipped with legal and regulatory measures to ensure its protection.

- Figure 3.7 The construction of wind turbines or industrial facilities located outside the property may still result in indirect impacts, such as the obstruction of an important viewshed or increasing air and water pollution in the ecosystem.

- Figure 3.8 Heritage values and benefits should be understood as complementary and the management system for the heritage place should be designed to ensure both, in ways that are mutually supportive and without compromising OUV.

- Figure 3.9 Here the Sustainable Development Goals have been positioned to highlight the ways in which economic and social targets (which include cultural heritage) are embedded within their environmental context (which includes natural heritage and cultural uses). Success is dependent on progress in all spheres and cannot be built on individual goals without consideration of their impacts on other targets, such as heritage. *Source*: Stockholm Resilience Centre.

- Figure 4.1 A hypothetical analysis of the actors of a heritage place in terms of their relative power and interest. Such analysis can be a helpful first step in understanding their influence on decision-making. Consideration of the current state of play can lead to reflection on which actors need to be supported in their roles and responsibilities towards the heritage place – and where caution might be needed.

- Figure 4.2 Different types of governance for heritage places. *Source*: adapted from Borrini et al. (2013) publication Governance of Protected Areas: From Understanding to Action.

- Figure 5.1 The relationships between policies and plans at different levels. *Source*: adapted from Worboys et al. (2015).

- Figure 5.2 A transnational serial property would require intergovernmental agreements as the basis of coordination, with an overarching management planning framework for the whole property and different management plans for the individual component parts (or even for clusters of component parts).

- Figure 5.3 A diagram outlining an iterative management planning process.

- Figure 5.4 Engagement methods for rights-holders, local communities and other stakeholders. Engagement can take various forms throughout an impact assessment. Different approaches will be needed for different individuals and groups, but techniques that provide people with an active role are generally preferable to the passive provision of information. *Source*: *Guidance and Toolkit for Impact Assessments in a World Heritage Context (2022)*.

- Figure 5.5 Disaster risk is widely recognized as the consequence of the interaction between a hazard and the characteristics that make people and places vulnerable and exposed. *Source*: UNDRR Global Assessment Report on Disaster Risk Reduction, 2019.

- Figure 5.6 Disaster risk is widely recognized as the consequence of the interaction between a hazard and the characteristics that make people and places vulnerable and exposed. *Source*: *UNDRR Global Assessment Report on Disaster Risk Reduction* (2019).

- Figure 5.7 A step-by-step process for developing a monitoring programme.

- Figure 6.1 The twelve tools from the manual *Enhancing Our Heritage Toolkit 2.0* can be used separately or collectively to evaluate the effectiveness of the management system. The tools can be used to analyse the most critical elements of the management system. The social, economic, cultural and environmental context together with the services and benefits of the heritage place overarching aspects which can be drawn out by using the tools collectively.

- Box 3.1 - Statement of Outstanding Universal Value

- Box 3.2 - State of Conservation

- Box 3.3 - List of World Heritage in Danger

- Box 4.1 - Principles of Good Heritage Governance

- Box 5.1 - Examples of Management Objectives and Desired Management Outcomes

- Box 5.2 - International Assistance (IA)

- Box 5.3 - Periodic Reporting

- Box 5.4 - Reactive Monitoring

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GLOSSARY

TERM	DEFINITION
Actors	Refers broadly to all the people, and the institutions and groups they represent, involved directly and indirectly with a World Heritage property or heritage place. Three broad categories of actors are defined in relation to the management of a World Heritage property or heritage place: managers, rights-holders and stakeholders. See also Communities, Managers, Rights-holders, Stakeholders.
Adaptation **(to climate change)**	The ability of a system to adjust to climate change (including climate variability and extremes), to moderate potential damages, to take advantage of opportunities or to cope with the consequences. The potential to adjust in order to minimize negative impacts and maximize any benefits from changes in climate.
Advisory Bodies	The three international organizations that are named in the Convention to advise the World Heritage Committee in its deliberations: ICCROM, ICOMOS and IUCN. The Advisory Bodies have the following functions: • advise on the implementation of the World Heritage Convention in the field of their expertise; • assist the Secretariat in preparing the Committee's documentation, the agenda of its meetings and in implementing the Committee's decisions; • assist with the development and implementation of the Global Strategy for a Representative, Balanced and Credible World Heritage List, the World Heritage Capacity-Building Strategy, Periodic Reporting and the strengthening of the effective use of the World Heritage Fund; • monitor the state of conservation of World Heritage properties (including through Reactive Monitoring missions at the request of the Committee and Advisory missions at the invitation of the States Parties); • review requests for International Assistance and attend meetings of the World Heritage Committee and the Bureau in an advisory capacity. ICOMOS and IUCN are responsible for evaluating properties nominated for inscription on the World Heritage List, in consultation and dialogue with nominating States Parties, and present evaluation reports to the Committee. ICOMOS examines properties nominated under criteria from (i) to (vi), IUCN of properties nominated under criteria from (vii) to (x), whilst both organizations evaluate properties nominated under a combination of criteria including at least one among (i) to (vi) and one among (vii) to (x). ICCROM provides expert advice on how to conserve and manage listed properties, and it offers a variety of capacity-building opportunities to professionals charged with their care.

TERM	DEFINITION
Ascertained danger	Specific and proven imminent danger to the property: it is one of the two cases that determines whether a World Heritage property is to be inscribed on the List of World Heritage in Danger. The Operational Guidelines define the criteria of ascertained danger differently for cultural and natural properties. In the case of cultural properties, ascertained danger includes: • serious deterioration of materials; • serious deterioration of structure and/or ornamental features; • serious deterioration of architectural or town-planning coherence; • serious deterioration of urban or rural space, or the natural environment; • significant loss of historical authenticity; • important loss of cultural significance. In the case of natural properties, ascertained danger falls under the following criteria: • A serious decline in the population of the endangered species or the other species of Outstanding Universal Value for which the property was legally established to protect, either by natural factors such as disease or by human-made factors such as poaching. • Severe deterioration of the natural beauty or scientific value of the property, as by human settlement; construction of reservoirs that flood important parts of the property; industrial and agricultural development, including use of pesticides and fertilizers; major public works; mining; pollution; logging; firewood collection, etc. • Human encroachment on boundaries or in upstream areas that threatens the integrity of the property.
Attributes	Attributes are the elements of a heritage place that convey its heritage/conservation values and enable an understanding of those values. They can be physical qualities, material fabric and other tangible features, but can also be intangible aspects, such as processes, social arrangements or cultural practices, as well as associations and relationships that are reflected in physical elements of the property. For cultural heritage places, attributes can be buildings or other built structures and their forms, materials, design, uses and functions as well as urban layouts, agricultural processes, religious ceremonies, building techniques, visual relationships and spiritual connections. For natural properties, they can be specific landscape features, areas of habitat, flagship species, aspects relating to environmental quality (such as intactness, high/pristine environmental quality), scale and naturalness of habitats, and size and viability of wildlife populations. Attributes, and the interactions between them, should be the focus of protection, conservation and management actions. The term 'attributes' is particularly used for World Heritage properties and a clear understanding of the attributes that convey their Outstanding Universal Value is critical for their long-term protection. The spatial distribution of those attributes and respective protection requirements should inform the boundary of the property and other management actions.
Benefits	The advantages that flow to people from the existence and protection of heritage places. These advantages involve the provision of something that people need or want (e.g. a source of income or livelihood, safety, sense of place, regulation of climate, spiritual enrichment, cognitive development, recreation, aesthetic experience, wellbeing, etc.) as well as the provision of tangible goods (e.g. clean water, firewood, raw materials, food, shelter, communal spaces, etc.), including ecosystem services.
Biodiversity	The variability among living organisms from all sources, including, among other things, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part, and diversity within species, between species and of ecosystems.

TERM	DEFINITION
Buffer zone	For World Heritage properties, a buffer zone is defined as an area surrounding the property that has complementary legal and/or customary restrictions placed on its use and development in order to give an added layer of protection to the property. This should include the immediate setting of the property, important views and other areas or attributes that are functionally important as a support to the property and its protection. The area constituting the buffer zone should be determined in each case through appropriate mechanisms.
Capacity	A combination of all the strengths and resources available within a community, society or organization that can reduce the level of risk or the effects of a disaster on a heritage place in a sustainable manner. Capacity may include physical, institutional, social or economic means as well as skilled personal or collective attributes such as leadership and management.
Climate change	Climate change refers to a change in the state of the climate that can be identified (e.g. by using statistical tests) by changes in the mean and/or the variability of its properties, and that persists for an extended period, typically decades or longer. Climate change may be due to natural internal processes or external forces, or to persistent anthropogenic changes in the composition of the atmosphere or in land use.
Climate change impacts (adverse effects of climate change)	The effect of climate change on natural and human systems associated with a heritage place. Depending on the consideration of adaptation, one can distinguish between potential impacts and residual impacts.
Climate hazard	The harmful effect of climate change on livelihoods and ecosystems is known as climate hazard. Climate hazards can be caused by gradual climate variability or extreme weather events. Some hazards are continuous phenomena that start slowly, such as the increasing unpredictability of temperatures and rainfall. Others are sudden but relatively discrete events, such as heatwaves or floods.
Climate risk	The likelihood of harmful effects of climate change occurring and also the measure of the probability of harm to life, property, the environment, and natural and cultural heritage place that would occur if a hazard took place. Risk is estimated by combining the probability of events and the consequences that would arise if the events took place. It denotes the result of the interaction of physically defined hazards with the properties of the exposed heritage place i.e. their sensitivity or social vulnerability.
Communities	All forms of groups of people who possess a direct connection to the heritage place. They may range from Indigenous or traditional Peoples to groups of local peoples who live or work in the heritage place, or who hold associations with it. That connection may be tangible as well as intangible or spiritual and often has endured over time.
Competencies	The proven ability to do a job, often defined in terms of the required combination of skills, knowledge and attitude that enable an individual to deliver work consistently and responsibly.
Corrective measures	Measures that need to be put in place and implemented to achieve the Desired State of Conservation for the removal of a property from the List of World Heritage in Danger (DSOCR). Corrective Measures are intended to be prepared at the time that the property is inscribed in the List of World Heritage in Danger, through a collaborative process, involving the State Party, the Advisory Bodies and the World Heritage Centre. Corrective measures are adopted by the World Heritage Committee alongside with the Desired State of Conservation statement.
Cumulative impact	A cumulative impact results from the environmental impacts of a project combining with the same environmental impacts of other past, existing or reasonably foreseeable future projects or activities including those that may be enabled by the project.
Customary framework	The set of customs, norms and practices that are repeated by members of a particular group for such an extent of time that they are considered to be mandatory. These customs, norms and practices are usually rooted in local or Indigenous tradition, religion or culture beyond the formal statutory legislation.
Customary law	Law consisting of customs that are accepted as legal requirements or obligatory rules of conduct; practices and beliefs that are so vital and intrinsic a part of a social and economic system that they are treated as if they were laws.

TERM	DEFINITION
Decision-making/decision-making processes	The formal and informal processes of taking decisions, selecting a course of action or making choices about the identification, protection and management of a World Heritage property or other heritage place, its buffer zone(s) and wider setting.
Desired State of Conservation for the Removal from the List of World Heritage in Danger (DSOCR)	A statement outlining the state of conservation which needs to be achieved in order to remove a World Heritage property from the List of World Heritage in Danger. A DSOCR is intended to be prepared at the time that the property is inscribed on the List of World Heritage in Danger, through a collaborative process involving the State Party, the Advisory Bodies and the World Heritage Centre. The Desired State of Conservation statement is adopted by the World Heritage Committee alongside corrective measures. It addresses the specific dangers that the 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 Desire State of Conservation has been reached. A Guidance Note on the preparation of the Desired State of Conservation has been prepared and can be accessed at the following URL: https://whc.unesco.org/en/soc/.
Direct impacts	A direct impact is the result of a cause-and-effect relationship between a project and a specific attribute of World Heritage or other environmental components.
Disaster	A serious disruption of the functioning of a community or a society due to hazards interacting with conditions of exposure, vulnerability and capacity, causing widespread human, material, economic or environmental and heritage lossess and impacts, which exceed the ability of the affected community or society to cope using its own resources.
Disaster risk	The risk of a hazard turning into a disaster commonly expressed as a function of exposure, the conditions of vulnerability that are present, and the magnitude and frequency of a hazard event. It signifies the possibility of adverse effects on a heritage place in the future.
Disaster risk assessment (DRM)	A qualitative or quantitative approach to determine the nature and extent of disaster risk by analysing potential hazards and evaluating existing conditions of exposure and vulnerability that together could harm people, property, services, livelihoods, heritage and the environment on which they depend.
Disaster risk management	Designing, implementing, and evaluating strategies, policies and measures in order to: • improve the understanding of disaster risk; • foster disaster risk reduction; • transfer, and promote continuous improvement in disaster preparedness, response, and recovery practices. It is aimed at preventing new disaster risk, reducing existing disaster risk and managing residual risk, contributing to the strengthening of resilience and reduction of disaster losses to a heritage place.
Disaster risk reduction	The concept and practice of reducing disaster risks to a heritage place, through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events.
Ecosystem	A functional unit consisting of living organisms, their non-living environment and the interactions within and between them. The components included in a given ecosystem and its spatial boundaries depend on the purpose for which the ecosystem is defined: in some cases they are relatively sharp, while in others they are diffuse. Ecosystem boundaries can change over time. Ecosystems are nested within other ecosystems, and their scale can range from very small to the entire biosphere. In the current era, most ecosystems either contain people as key organisms or are influenced by the effects of human activities in their environment.
Ecosystem services	Ecosystem services are processes by which the environment produces benefits useful to people, akin to economic services. They include provision of clean water and air, pollination of crops, mitigation of environmental hazards, pest and disease control and carbon sequestration.

TERM	DEFINITION
Enforcement	A range of procedures and actions taken by a state and its competent authorities to ensure that persons or organizations failing to comply with laws or regulations are brought back into compliance or punished through appropriate action.
Environmental and Social Impact Assessment (ESIA)	An Environmental and Social Impact Assessment (ESIA) refers to a project-level assessment that is focused on identifying and assessing the potential effect of a proposed project on the environment and society.
Exposure	The state of being in a place or situation where people, infrastructure, economic, social, cultural and natural assets could be adversely affected.
Factors effecting the heritage place	Everything that can affect positively and/or negatively the values and attributes of the heritage place and its state of conservation. Negative factors are usually called threats. How factors affect a property must be analysed through a series of parameters, namely the underlying causes that are the source of the factor, their origin (if originating within or outside the property), the current and potential impacts deriving from the factor, and the extent and severity of the impacts on the attributes of the heritage place.
Geodiversity	The variety of rocks, minerals, fossils, landforms, sediments and soils, together with the natural processes that form and alter them. It includes past and present geological and geomorphological features and processes that record the history of the Earth and the evolution of life forms as represented in the geological record, including fossils of plants and animals and their habitats.
Governance	The interactions among structures, processes and traditions that determine how power and responsibilities are exercised, how decisions are taken and how different actors have their say in relation to the identification, protection and management of the World Heritage property or the heritage place.
Hazard	The potential occurrence of a natural or human-induced process, phenomenon or activity that may cause loss of life, injury or other health impacts, as well as damage and loss to property, infrastructure, livelihoods, service provision and environmental resources associated with a heritage place.
Heritage	All inherited assets that people value for reasons beyond mere utility. Heritage is a broad concept and includes shared legacies from the natural environment, the creations of humans and the creations and interactions of humans and nature. It encompasses built, terrestrial, freshwater and marine environments, landscapes and seascapes, biodiversity, geodiversity, collections, cultural practices, knowledge, living experiences, etc.
Heritage Impact Assessment	A Heritage Impact Assessment (HIA) is an activity-specific or project-level assessment that is focused on identifying and assessing the potential effect of a proposed activity or project on the heritage/conservation values of a natural and/or cultural heritage place. In the context of World Heritage properties, a Heritage Impact Assessment should be particularly focused on identifying and assessing negative and positive impacts on the attributes that convey the Outstanding Universal Value of the World Heritage property.
Heritage place	A heritage place is a specific area or site, perhaps a large area such as a whole region or landscape or a small area such as a feature or building, which is valued by people for its natural and/or cultural heritage significance.

TERM	DEFINITION
Heritage Values	The qualities for which a heritage place is considered important to be protected for present and future generations. Values are determined by a range of social and cultural factors. What is valued by one section of society may not be valued by another, or may be valued for different reasons, or one generation may value it but it may not be valued by the next. Heritage places may have a range of values: aesthetic, architectural, biological, ecological, historic, geological, social, spiritual, etc. These values are embodied in and conveyed by the attributes of the heritage place.
Human-induced hazard	Human-induced hazards (anthropogenic hazards) are induced entirely or predominantly by human activities and choices. This term does not include the occurrence or risk of armed conflicts and other situations of social instability or tension, which are subject to international humanitarian law and national legislation.
ICCROM	The International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM) is an intergovernmental organization created to promote the conservation of all forms of cultural heritage worldwide. Its headquarters are located in Rome, Italy. Its mission is to provide Member States with the best tools, knowledge, skills and enabling environment to preserve their cultural heritage in all of its forms, for the benefit of all people. It achieves this by working with institutions and professionals on the ground, nationally and internationally along three lines of action: • studying and promoting cultural heritage conservation; • mobilizing and coordinating expertise to address critical issues of conservation; • providing the training and research tools for implementation to strengthen the professional community.
ICOMOS	The International Council on Monuments and Sites (ICOMOS) is an international non-governmental organization bringing together cultural heritage professionals from across the world. Its headquarters are located in Charenton le Pont, near Paris, France. ICOMOS was founded in 1965 after the adoption of the Venice Charter, in order to promote the doctrine and the techniques of conservation. It advises the World Heritage Committee by carrying out technical evaluations of properties with cultural values proposed for inscription on the World Heritage List, as well as with comparative studies, technical assistance and reporting on the state of conservation of inscribed properties. In order to tackle the numerous facets of immovable cultural heritage and to develop the necessary scientific knowledge and methodological approaches for its protection, conservation and interpretation, ICOMOS has established scientific international committees on various cultural heritage themes and issues. The international scientific committees are ICOMOS technical bodies. As such, they undertake research, develop conservation theory, guidelines and charters, foster training for better heritage conservation, promote international exchange of scientific information and carry out common projects.
Impact (of factors affecting the property)	The effects or consequences of a factor on the attributes of the heritage place, both in terms of the attributes' state of conservation and their ability to convey the heritage/conservation values. An impact is the difference between a future environmental condition with the implementation of a development project and the future condition without it. Note that for there to be an impact, there must a source of impact (e.g. noise from an industrial site), a receptor or attribute of the World Heritage property that is affected (e.g. residents living nearby) and a pathway or route by which the harmful action or material is able to reach the receptor (e.g. the air). Impacts can be positive or negative, as well as direct or indirect, current or potential, and originate within the heritage place, any existing buffer zone(s) or even beyond it.

TERM	DEFINITION
Impact assessment	Impact assessment is the process of identifying, predicting and evaluating the potential environmental impacts of proposed actions prior to major approval decisions being taken and commitments made. It is undertaken for the purpose of avoiding or mitigating adverse impacts and enhancing beneficial impacts. More generally, impact assessment can be appreciated as a way of thinking and planning that can be applied to all scales of activity. Impact assessment can be applied to development proposals at various levels – projects, plans, programmes and policies.
Indicator	A quantitative or qualitative variable that provides reliable means to measure: a) achievement of expected results in the case of monitoring and evaluation processes; b) the condition of the attributes of a World Heritage property over time in order to compile a picture of its overall state of conservation.
Indirect impacts	Indirect impacts are impacts on the environment that are not a direct result of the project, often produced away from or as a result of a complex pathway. Sometimes referred to as 'second-' or 'third-level' impacts, or 'secondary' impacts.
Inputs/Resources	The financial, human (physical and intellectual), material and technological resources used to manage a heritage place.
Instruments	The set of documents and means used by actors to assert the recognition of and implement their responsibilities, rights and interests over the heritage place. The term applies to: • national legislation, regulations, policies, strategies, guidelines and agreements; • planning documents such as master plans, development plans, land-use plans; • legally binding or formally approved management plans; • customary rules, obligations and traditions; • technical and other forms of advice; • legal contracts, financial resources and incentives.
International Assistance (IA)	A system designed to support States Parties to the Convention in their efforts to identify, protect and conserve the world's natural and cultural heritage. International Assistance embodies the spirit of the World Heritage Convention, meant as a system of international cooperation and assistance to support States Parties in their efforts to identify and conserve and identify the World Heritage properties located in their territories, particularly when included on the List of World Heritage in Danger. The Operational Guidelines detail the procedures for International Assistance. This mechanism applies to properties inscribed or potentially suitable for inscription on the World Heritage List. International Assistance should be seen as supplementary to national efforts for the conservation and management of World Heritage and Tentative List properties when adequate resources cannot be secured at the national level. International Assistance is primarily financed from the World Heritage Fund, established under the World Heritage Convention. The Committee determines the budget for International Assistance on a biennial basis. The World Heritage Committee coordinates and allocates types of International Assistance in response to State Party requests. These types of International Assistance, described in the summary table set out below, in order of priority are: • emergency assistance; • conservation and management assistance (incorporating assistance for training and research, technical cooperation and promotion and education); • preparatory assistance.

TERM	DEFINITION
IUCN	The International Union for Conservation of Nature (IUCN) is an international membership association composed of both government and civil society organizations. It harnesses the experience, resources and reach of its member organizations and the input of its experts to promote nature conservation and accelerate the transition to sustainable development. The headquarters of the IUCN Secretariat are located in Gland, Switzerland. Created in 1948, IUCN has evolved into the world's largest environmental network: IUCN experts are organized into six commissions dedicated to species survival, environmental law, protected areas, social and economic policy, ecosystem management and education and communication.
Legal framework	The set of legal instruments including the constitution, legislation, regulations, policies and contracts concerning the protection and management of a heritage place. This includes instruments adopted specifically for the protection of heritage as well as adopted for other purposes but that are used to help protect the heritage place.
List of World Heritage in Danger	The collection of the World Heritage properties that are inscribed on the List of World Heritage in Danger by the World Heritage Committee in accordance with the Operational Guidelines, because they are threatened by ascertained or potential serious and specific danger, therefore requiring major operations and technical assistance under the Convention for their conservation. This list shall contain an estimate of the costs of operations necessary to remove the threats. The Committee may at any time, in case of urgent need, make a new entry in the List of World Heritage in Danger and publicize such entry immediately.
Maintenance	The continuous protective care of a place and its setting.
Major boundary modification	A change to the boundaries of a World Heritage property that impacts significantly on its size and/or on its Outstanding Universal Value. A major boundary modification is necessary when a property is proposed to be extended in the territory of another State Party. A major boundary modification aims at strengthening and complementing through additional attributes the Outstanding Universal Value of the initial World Heritage property but does not seek to modify the nature of the agreed OUV or the criteria. Any major boundary modification follows the same process and timeline as new nominations (including the requirement to be previously included on the Tentative List). This provision applies to extensions as well as reductions.
Management	The *combination* of processes, activities and actions taken in relation to decision-making, planning, allocating resources, implementing and monitoring to protect a heritage place for present and future generations.
Management cycle	The cycle of planning, implementation, monitoring and evaluation related to management planning processes and time-frame defined for the management plan for the World Heritage property or other heritage place.
Management effectiveness	How well a World Heritage property or other heritage place is being managed – primarily the extent to which management is protecting the Outstanding Universal Value and the other important values of the property, and achieving defined management objectives.

TERM	DEFINITION
Management objectives	The primary aims that will guide the management of a heritage place and ensure that its values are maintained over the longterm. Management objectives first need to be defined in relation to the values of the heritage place before addressing other objectives (such as visitation or sustainable development) that are also important but not essential to maintain its significance. These objectives will form a basis for the development of management strategies, plans, policies and actions. Management objectives should not be confused with outcomes, although the two concepts are interdependent. While management objectives can be seen more as guiding principles which are not time bound and indicate the broad goals to which management aspires, outcomes need to be defined in relation to what is to be achieved within a defined time-frame.
Management plan	The main planning instrument to guide the management of a World Heritage property or other heritage place. The management plan should be the product of clear management planning processes. The context and nature of a management plan vary considerably, depending on the type of property or heritage place and the characteristics of its management system. All management plans should nevertheless include clearly defined outputs and outcomes to be achieved and associated monitoring indicators, what actions to take and what the time-frames will be. This must later be translated into appropriate and effective annual (or multiyear) work plans. Sometimes the management plan can have a different name (e.g. conservation plan, safeguarding plan) but have the same purpose. The management plan can be accompanied by a number of other plans or related instruments, which derive from or support it, such as disaster risk management plans, sustainable tourism/visitor management plans or strategies, interpretation plans, business plans, etc.
Management planning	The process used to establish how to get from the present situation (here) to a desired state or point in the future (there). This requires a clear understanding of the present situation and deciding what is to be achieved, within a specific budget, what actions to take and what the time-frame will be. Planning for a World Heritage property or other heritage place can involve many different types of planning at various geographic scales and organizational levels. The management plan is the main product of the management planning process for a World Heritage property. As a process, management planning does not end with the production of the management plan but continues through its implementation, monitoring and evaluation. The management plan can be accompanied by a number of other plans or related documents that derive from or support it, such as conservation plans, disaster risk management plans, sustainable tourism or visitor management plans or strategies, interpretation plans, business plans, etc.
Management processes	The series of processes that together contribute to the management of the World Heritage property. In broad terms, the following processes are considered: • decision-making processes; • planning processes; • implementation processes; • monitoring and evaluation processes. These broad processes in themselves can involve other processes (e.g. visitor management, community engagement, human and financial resource management) to effectively manage the World Heritage property. Processes should be based on a range of accepted procedures, standards and benchmarks so there is a clear idea of what the process entails, what is expected to deliver and the extent to which established or accepted processes are being followed.

TERM	DEFINITION
Management system	The combination of institutional structures, instruments and processes that together should ensure the effective protection of the World Heritage property or other heritage place for present and future generations. An effective management system depends on the type, characteristics and needs of the heritage place and its social, economic and political context. Therefore, management systems may vary according to different cultural perspectives and the resources available, as well as other factors, and may incorporate traditional, formal and informal instruments, practices and processes. In recognizing such diversity, any management system should be based on: • a thorough shared understanding of the property and its values by all actors involved; • a respect for diversity, equity, gender equality and human rights and the use of inclusive and participatory decision-making and management processes; • a cycle of planning, implementation, monitoring and evaluation; • the development of mechanisms for the involvement and coordination of the various activities between different actors; • the allocation of necessary resources; • capacity-building; • an accountable, transparent description of how the management system functions.
Managers	The institution(s) or other type(s) of entity(ies) and group(s), as well as the individuals working within them, with legal or customary authority or recognized responsibilities for managing the heritage as a whole or in part. Rights-holders with recognized responsibilities for managing the property or heritage place or heritage resources within the place may be considered as managers.
Minor boundary modification	Change(s) to the boundary(ies) of a World Heritage property that do(es) not have a significant impact on the extent of the property nor affect(s) its agreed Outstanding Universal Value. Minor modifications of the boundaries of World Heritage properties are necessary to establish buffer zones or might be used to include within the World Heritage property areas encompassing attributes supporting the agreed Outstanding Universal Value. Proposals for minor boundary modifications are submitted according to an ad hoc format (Annex 11 of the Operational Guidelines) to the World Heritage Committee through the Secretariat. The relevant Advisory Bodies carry out an evaluation on whether the proposal can be considered a minor modification or not. The World Heritage Committee may approve such a modification or it may consider that the modification to the boundary is sufficiently significant as to constitute a significant boundary modification of the property, in which case the procedure for new nominations will apply.
Mitigation (for Impact Assessment)	The action of reducing the severity, seriousness or painfulness of something. It aims to prevent negative impacts from happening and to keep those that do occur within an acceptable level. Mitigation measures are first identified and, as appropriate, adopted during project feasibility studies when considering alternatives and design options to avoid or reduce impacts. They then become part of the project implementation plan to address impacts that are expected to occur during construction, operation, decommissioning and closure. Mitigation can include both structural measures (e.g. design or location changes) and non-structural measures (e.g. institutional and policy instruments; provision of community services; training and capacity-building). Where impact assessment typically explores a range of mitigation measures within a mitigation hierarchy (from avoidance to offsetting), not all of these options are appropriate in a World Heritage context. In fact, avoiding negative impacts entirely or minimizing them to acceptable levels are the only types of mitigation that should be considered. Note that 'mitigation' usually applies to dealing with negative impacts. Projects may well also have positive impacts, especially if designed with preserving or enhancing biophysical or social values in mind.
Mitigation (of climate change)	Strategies and policies to reduce the sources or enhance the sinks of greenhouse gases.

TERM	DEFINITION
Mitigation (of disasters)	The lessening or minimizing of the potential adverse impacts of a hazard on a heritage place.

Mitigation includes anthropogenic intervention to reduce negative or unsustainable uses of ecosystems or to enhance sustainable practices through structural and non-structural measures. |
Monitoring	Collecting and analysing data to check that the management system of a heritage place is operating effectively and delivering the right results, and to identify remedial measures in the event of shortcomings or new opportunities.
Monitoring the state of conservation (of the World Heritage property or the heritage place)	Collecting information to assess the state of conservation of the World Heritage property and the factors affecting it. Monitoring is based on a set of indicators defined in relation to the attributes of the property, which can be measured so as to give an indication of trends over time. Monitoring should be undertaken regularly, according to a time-frame that is appropriate to the robustness or fragility of the attributes and their susceptibility to change.
Monitoring and evaluation (M&E, in terms of the management cycle)	The processes used to assess whether plans, projects or programmes are implemented effectively and deliver desired results. Monitoring focuses on tracking progress and implementation of planned interventions, actions or activities within established time-frames and allocated funds. Evaluation assesses the efficiency and results of interventions, typically after they have been implemented. Together M&E allows managers to track results, suggest corrections or improvements during implementation, and assess success.
National Focal Point	The governmental organization primarily responsible for ensuring the implementation of activities related to the Convention within their country, and which act as the communication channel between the Secretariat (World Heritage Centre), national public authorities and other stakeholders. The National Focal Points represent the point of contact between the Secretariat and the States Parties.
Natural hazard	Natural processes or phenomena occurring in the biosphere that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption or environmental damage associated with a heritage place.
Organization	Refers broadly to any group of people working together for a purpose. The term is used to refer to both traditional (or customary) and legal types of organizations. On the other hand, the term is distinct from that of 'social group', which is defined as a group of people who share similar characteristics and may collectively have a sense of unity but that was not formed in order to achieve a particular aim.
Outcomes	The intended and unintended short- and medium-term achievements of the implementation of management responses, interventions, activities or actions and the outputs derived from them. It is important to distinguish between desired and actual outcomes. Desired outcomes are defined during planning processes and reflect what managers wish and expect to achieve over a period of time, usually defined in the management plan. Actual outcomes reflect what has really been achieved after implementation.
Outputs	The tangible products, goods and services produced as a result of the implementation of an intervention, activity or action.
Outstanding Universal Value (OUV)	Cultural and/or natural significance that is so exceptional as to transcend national boundaries and to be of common importance for present and future generations of all humanity. As such, the permanent protection of this heritage is of the highest importance to the international community as a whole.
Periodic Reporting	A statutory requirement of the World Heritage Convention that requests States Parties to submit a report usually every six years on the legislative and administrative provisions they have adopted and other actions that they have taken for the application of the Convention, including the state of conservation of the World Heritage properties located on their territories.
Policy	Principles of action adopted or proposed by organizations, businesses, NGOs, civil society organizations or individuals.

TERM	DEFINITION
Potential danger	A threat which could have deleterious effects on the inherent characteristics of a World Heritage property: it is one of the two cases set out in the Operational Guidelines that determines whether a World Heritage property is to be inscribed on the List of World Heritage in Danger. The Operational Guidelines define 'potential danger' differently for cultural and natural properties. In the case of properties inscribed according to at least one criterion among (i) to (vi), potential danger includes: • modification of juridical status of the property diminishing the degree of its protection; • lack of conservation policy; • threatening effects of regional planning projects; • threatening effects of town planning; • outbreak or threat of armed conflict; • threatening impacts of climatic, geological or other environmental factors. In case of properties inscribed on the World Heritage List according to at least one criterion among (vii) to (x), potential danger is defined according to the following criteria: • a modification of the legal protective status of the area; • planned resettlement or development projects within the property or so situated that the impacts threaten the property; • outbreak or threat of armed conflict; • the management plan or management system is lacking or inadequate, or not fully implemented; • threatening impacts of climatic, geological or other environmental factors.
Preparedness	The knowledge and capacities developed by governments, professional response and recovery organizations, communities and individuals to anticipate effectively, respond to, and recover a heritage place from, the impacts of likely, imminent or current hazard events or conditions. Preparedness includes issuance of timely and effective early warnings and the temporary evacuation of people and property from threatened locations. Preparedness falls within the broader field of mitigation.
Prevention	The outright avoidance of adverse impacts of hazards and related disasters on a heritage place. Prevention (i.e. disaster prevention) expresses the concept and intention to completely avoid potential adverse impacts through action taken in advance.
Protected Area	A clearly defined geographical space recognized, dedicated and managed, through legal and other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values.
Reactive Monitoring	The statutory process of reporting by the Secretariat, other sectors of UNESCO and the Advisory Bodies to the World Heritage Committee on the state of conservation of specific World Heritage properties that are under threat. Reactive Monitoring is meant to address to perceived threats (be they ascertained or potential) to a World Heritage property that may adversely impact on its OUV (including integrity and/or authenticity). Reactive Monitoring is meant to address perceived threats (be they ascertained or potential) to a World Heritage property that may adversely impact on its OUV (including integrity and/or authenticity). The Reactive Monitoring process has been designed over time by the Committee to ensure that all possible measures could be taken to prevent the deletion of any property from the World Heritage List and to offer technical cooperation as far as possible to States Parties. It provides the State Party the opportunity to invoke a concentrated and focused attention by all stakeholders within their national scope and internationally, to deal with a specific threat posed on the World Heritage property.

TERM	DEFINITION
Reactive Monitoring mission	Technical visits to threatened World Heritage properties aiming to ascertain their conditions. These missions are part of the statutory reporting by the Secretariat and the Advisory Bodies on the state of conservation of specific properties that are under threat (Reactive Monitoring process). They are requested by the World Heritage Committee to ascertain, in consultation with the State Party concerned, the condition of the property, the dangers to the property and the feasibility of adequately restoring the property or to assess progress made in implementing such corrective measures, and include reporting back to the Committee on the findings of the mission). The terms of reference of Reactive Monitoring missions are proposed by the World Heritage Centre, in line with the decision adopted by the World Heritage Committee and consolidated in consultation with the State Party and the relevant Advisory Body(ies). Reactive Monitoring missions are usually jointly carried out by the World Heritage Centre and the Advisory Bodies in consultation with the State Party concerned. Experts for such missions shall not be nationals of the country where the property is located. It is, however, encouraged that, where possible, they be from the same region as the property. The costs of the Reactive Monitoring missions are borne by the World Heritage Fund. The report of the mission, compiled jointly by the Secretariat and the Advisory Body(ies), will be presented to the Committee along with the State of Conservation report. This report shall include: • an indication of threats or significant improvement in the conservation of the property since the last report to the World Heritage Committee; • any follow-up to previous decisions of the World Heritage Committee on the state of conservation of the property; • information on any threat or damage to or loss of Outstanding Universal Value, integrity and/or authenticity for which the property was inscribed on the World Heritage List.
Recovery	The restoring or improving of livelihoods and health as well as the economic, physical, social, cultural and environmental assets, systems and activities of a disaster-affected community or society that is associated with a heritage place; aligning with the principles of sustainable development and "build back better", to avoid or reduce future disaster risk.
Re-nomination	The nomination of a property already inscribed on the World Heritage List for different reasons and/ or criteria. Any re-nomination follows the same process and timeline as new nominations and can include a different proposed boundary for the property being re-nominated. Although it follows the same process and timeline, a renomination has a different rationale than a major boundary modification.
Resilience	The capacity of social, economic and environmental systems associated with a heritage place to resist, absorb, accommodate, adapt to, transform and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions through risk management.
Response	Human actions, including policies, strategies, and interventions, to address specific issues, needs, opportunities, or problems. In the context of ecosystem management, responses may be of a legal, technical, institutional, economic or behavioral nature and may operate at various spatial and timescales.
Rights-holders	Actors socially endowed with legal or customary rights with respect to heritage resources. In the case of Indigenous Peoples, they have the right to free, prior and informed consent before approval of designating a place affecting their lands or territories and other resources as heritage, and need to participate in its governance and management.
Rights-holders and stakeholders engagement	Active and recognized consultation, participation and involvement of rights-holders and stakeholders in decision-making and management of the World Heritage property or other heritage place.

TERM	DEFINITION
Risk	The combination of the probability of an event resulting from interactions between natural or human-induced hazards and vulnerable conditions, and its negative consequences on people, livelihoods, species or ecosystems, infrastructure or economic, social or cultural assets.
Risk assessment	A methodology to estimate the nature and extent of risk by analysing potential hazards and evaluating existing conditions of vulnerability that together could potentially harm exposed people, property, services, livelihoods, the environment and the heritage place on which they depend.
Scenario	A plausible and often simplified description of how the future of a heritage place may develop, based on a coherent and internally consistent set of assumptions about key driving forces (e.g. rate of technology change, prices) and relationships. Scenarios are not just predictions or projections and sometimes may be based on a 'narrative storyline' based on additional information from other sources.
Serious and specific danger	The danger that threatens World Heritage properties and determines the possibility for them to be inscribed on the List of World Heritage in Danger by World Heritage Committee's decision. These dangers include the threat of disappearance caused by accelerated deterioration; large-scale public or private development projects; destruction caused by changes in the use or ownership of the land; major alterations due to unknown causes; abandonment; the outbreak or the threat of an armed conflict; and calamities and cataclysms. The Operational Guidelines further detail and articulate the serious and specific danger as two categories: ascertained and potential danger.
Stakeholders	In a World Heritage context, stakeholders are those who possess direct or indirect interests and concerns about heritage resources, but do not necessarily enjoy a legally or socially recognized entitlement to them. In impact assessment, stakeholders are individuals or groups that may be affected by a project or someone or an organization that represents such people. Collectively, the two are sometimes referred to as 'interested and affected parties'.
State of conservation	The state of conservation refers to the conditions (including, but not limited to, physical state, authenticity and integrity) of a World Heritage property, its vulnerabilities, affecting factors and the conservation measures in place to maintain its Outstanding Universal Value. In the World Heritage context, the term 'state of conservation' is often used to refer to the statutory process of Reactive Monitoring regulated by the Operational Guidelines. Information on the state of conservation of a property might be brought to the attention of the UNESCO World Heritage Centre, the Advisory Bodies and the World Heritage Committee through State of Conservation reports transmitted by the State Party concerned to fulfil the requirements of paragraphs 169 and 172 of the Operational Guidelines, or by other sources, as per paragraph 174, within the Reactive Monitoring processes.
State of Conservation report	A document prepared by the States Parties, at the request of the World Heritage Committee, according to a standard format as part of the Reactive Monitoring process, in case a property is threatened. It can also be used to describe the working document on the state of conservation of a World Heritage property, jointly prepared by the World Heritage Centre and the Advisory Bodies for consideration by the World Heritage Committee. In the latter, it includes a summary and an assessment of the information provided by the State Party on the property, outcomes of field missions and proposed recommendations for the State Party to address the factors affecting the property, as well as a draft decision for the World Heritage Committee to consider in its deliberations.

TERM	DEFINITION
States Parties	The countries that have ratified the World Heritage Convention. By ratifying the Convention, States Parties commit themselves to undertake actions directed to: • identifying, knowing, protecting and promoting the cultural and natural heritage located on their territories; • adopting a general policy aiming to give their cultural and natural heritage a function in the life of the community; • integrating the protection of that heritage into comprehensive planning programmes; • setting up services for the protection, conservation and presentation of the cultural and natural heritage with an appropriate staff and possessing the means to carry out their functions; • developing scientific and technical studies and research to counteract the dangers that threaten their cultural or natural heritage; • taking the appropriate legal, scientific, technical, administrative and financial measures necessary for the identification, protection, conservation, presentation and rehabilitation of their heritage; • fostering the establishment or development of national or regional centres for training in the protection, conservation and presentation of their cultural and natural heritage; • encouraging scientific research in this field. As members of the international community and while respecting the sovereignty of each State, States Parties to the Convention also recognize their duty to collectively contribute to the protection of the properties inscribed on the World Heritage List. Therefore, upon request by other States Parties to the World Heritage Convention, they may provide their help in the identification, protection, conservation and presentation of the cultural and natural heritage located on the territory of those countries. Each State Party to the World Heritage Convention undertakes not to take any deliberate measures that might damage, directly or indirectly, the cultural and natural heritage situated on the territory of other States Parties to the Convention. States Parties identify and nominate sites on their national territory to be considered for inscription on the World Heritage List. Once inscribed, States Parties assume the primary responsibility for the protection of those properties and to do all they can to achieve this purpose. They are also requested to report periodically on the state of conservation of those properties as well as on the provisions they have adopted to implement the Convention.
Strategic Environmental Assessment (SEA)	Strategic Environmental Assessment applies impact assessment to strategic levels of decision-making, such as policies, plans and programmes. It is generally understood as impact assessment that aims to mainstream biophysical, social, cultural, economic and health issues in strategic decision-making. Its purpose is to inform planners, decision-makers and affected publics on the sustainability of such decisions, to facilitate the search for the best alternative and to enhance the credibility of the consequent decisions.
Sustainable development	'Development that meets the needs of the present without compromising the ability of future generations to meet their own needs' (defined by the Brundtland Commission and multilaterally agreed by the UN Conference on Environment and Development – Rio 1992). The *Policy for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention*, adopted by the General Assembly of States Parties to the World Heritage Convention in 2015, details how the concept is to be used and translated into practice for World Heritage properties and other heritage places.
Traditional knowledge	The knowledge, innovations and practices of both Indigenous and local communities around the world that are deeply grounded in history and experience. Traditional knowledge is dynamic and adapts to cultural and environmental change, and also incorporates other forms of knowledge and viewpoints. Traditional knowledge is generally transmitted orally from generation to generation. It is often used as a synonym for Indigenous knowledge, local knowledge or traditional ecological knowledge.
Vulnerability	The characteristics and circumstances of an individual, community, system or asset associated with a heritage place that make it susceptible to the negative impacts of a hazard. Vulnerability includes sensitivity to harm and lack of capacity to cope and adapt.

TERM	DEFINITION
Wider setting	The wider setting of a World Heritage property may relate to the property's topography, natural and built environment and other elements, such as infrastructure, land-use patterns, spatial organization and visual relationships. It may include related social and cultural practices, economic processes and other intangible dimensions of heritage, such as perceptions and associations. The wider setting might also play an essential role in protecting the authenticity and integrity of the property, and its management is related to its role in supporting the Outstanding Universal Value.
World Heritage Centre	The UNESCO World Heritage Centre is a technical administrative body within UNESCO, established in 1992 and appointed by the Director-General of UNESCO. It acts as the Secretariat of the World Heritage Convention, is the focal point and coordinator within UNESCO for all matters related to World Heritage, and ensures the day-to-day management of the Convention. The main tasks of the World Heritage Centre are: • the organization of the meetings of the General Assembly and the Committee; • the implementation of decisions of the World Heritage Committee and resolutions of the General Assembly and reporting to them on their execution; • the receipt, registration, checking the completeness, archiving and transmission to the relevant Advisory Bodies of nominations to the World Heritage List; • the coordination of studies and activities as part of the Global Strategy for a Representative, Balanced and Credible World Heritage List; • the organization of Periodic Reporting and coordination of Reactive Monitoring; • the coordination of International Assistance; • the mobilization of extra-budgetary resources for the conservation and management of World Heritage properties; • the assistance to States Parties in the implementation of the Committee›s programmes and projects; • the promotion of World Heritage and the Convention through the dissemination of information to States Parties, the Advisory Bodies and the general public.
World Heritage Committee	The main decision-making body of the World Heritage Convention, it consists of representatives from 21 of the States Parties to the Convention elected for terms up to six years, but voluntarily reduced to 4 years to ensure equitable representation. The Committee meets at least once a year. It is one of the key implementing actors of the World Heritage Convention, allocates financial assistance from the World Heritage Fund and has the final say on whether a site shall be inscribed on the World Heritage List. It examines reports on the state of conservation of inscribed sites and decides on the inscription or removal of properties on the List of World Heritage in Danger. The main functions of the Convention, in cooperation with States Parties, are to: • decide, on the basis of Tentative Lists and nominations submitted by States Parties, which cultural and natural properties of Outstanding Universal Value are to be inscribed on the World Heritage List and therefore protected under the Convention; • examine the state of conservation of properties inscribed on the World Heritage List through processes of Reactive Monitoring and Periodic Reporting; • decide which properties inscribed on the World Heritage List are to be inscribed on, or removed from the List of World Heritage in Danger; • decide whether a property should be deleted from the World Heritage List; • 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; • 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; • seek ways to increase the World Heritage Fund; • submit a report on its activities every two years to the General Assembly of States Parties and to the UNESCO General Conference; • review and evaluate periodically the implementation of the Convention; • revise and adopt the Operational Guidelines.

TERM	DEFINITION
World Heritage Convention	The Convention Concerning the Protection of the World Cultural and Natural Heritage is an international treaty adopted by UNESCO in 1972 that defines the kind of natural or cultural sites which can be considered for inscription on the World Heritage List for their Outstanding Universal Value for all humankind. Commonly known as the World Heritage Convention, it establishes how the international community as a whole is responsible for the protection of such heritage and sets out the duties of States Parties in identifying potential sites that may be eligible for inscription onto the World Heritage List and their role in protecting and preserving them. By signing the Convention, each country pledges to conserve not only the sites situated on its territory that have been recognized as being of Outstanding Universal Value, but also to protect its national heritage and to be involved in international efforts to protect, conserve and promote the heritage of humankind.
World Heritage Fund	A trust fund established according to article 15 of the World Heritage Convention in conformity with the provisions of the Financial Regulations of UNESCO to assist in the protection of properties forming part of the World Cultural and Natural Heritage of Outstanding Universal Value. The Fund for the Protection of the World Natural and Cultural Heritage of Outstanding Universal Value, commonly known as World Heritage Fund, consists of compulsory and voluntary contributions made by States Parties to the Convention, and any other resources authorized by the Fund's regulations. These include resources received from UNESCO, UN organisations, public or private bodies or individuals, funds raised for the benefit of the Fund, any other source acceptable to the World Heritage Committee. The Fund may be used for purposes defined by the World Heritage Committee and may include studies, provision of expertise and skilled labour, training activities, low-interest or interest- free loans or, in exceptional cases and for special reasons of non- repayable subsidies for the protection, conservation, presentation and rehabilitation of the World Natural and Cultural Heritage.

CONTACT INFORMATION

Name and address	Brief details	Responsibilities within the Convention
ICCROM International Centre for the Study of the Preservation and Restoration of Cultural Property Via di San Michele, 13 00153 Rome Italy Tel: +39 06 585 531 E-mail: iccrom@iccrom.org www.iccrom.org	ICCROM (International Centre for the Study of the Preservation and Restoration of Cultural Property) is an intergovernmental organization with headquarters in Rome, Italy. Established by UNESCO in 1956, ICCROM's statutory functions are to carry out research, documentation, technical assistance, capacity-building and public awareness programmes to strengthen conservation of immovable and movable cultural heritage.	The specific role of ICCROM in relation to the Convention includes: • being the priority partner in training for cultural heritage; • monitoring the state of conservation of World Heritage cultural properties; • reviewing requests for International Assistance submitted by States Parties; • providing input and support for capacity-building activities.
ICOMOS International Council on Monuments and Sites International Secretariat 11, rue du Séminaire de Conflans 94220 Charenton-le-Pont France Tel: +33 (0)1 41 94 17 59 E-mail: secretariat@icomos.org www.icomos.org	ICOMOS (International Council on Monuments and Sites) is a non-governmental organization with headquarters in Paris, France. Founded in 1965, its role is to promote the application of theory, methodology and scientific techniques to the conservation of the architectural and archaeological heritage. Its work is based on the principles of the 1964 *International Charter on the Conservation and Restoration of Monuments and Sites* (the Venice Charter).	The specific role of ICOMOS in relation to the Convention includes: • evaluation of properties nominated for inscription on the World Heritage List; • monitoring the state of conservation of World Heritage cultural properties; • reviewing requests for International Assistance submitted by States Parties; • providing input and support for capacity-building activities.
IUCN International Union for Conservation of Nature Rue Mauverney 28 1196 Gland Switzerland Tel: +41 22 9990000 E-mail: worldheritage@iucn.org www.iucn.org	IUCN (International Union for Conservation of Nature) was founded in 1948 and brings together national governments, NGOs and scientists in a worldwide partnership. Its mission is to influence, encourage and assist societies throughout the world to conserve the integrity and diversity of nature and to ensure that any use of natural resources is equitable and ecologically sustainable. IUCN has its headquarters in Gland, Switzerland.	The specific role of IUCN in relation to the Convention includes: • evaluation of properties nominated for inscription on the World Heritage List; • monitoring the state of conservation of World Heritage natural properties; • reviewing requests for International Assistance submitted by States Parties; • providing input and support for capacity-building activities.
UNESCO World Heritage Centre 7, Place de Fontenoy 75352 Paris 07 SP France Tel: +33 (0)1 45 68 11 04 whc.unesco.org	Established in 1992, the World Heritage Centre is the focal point and coordinator within UNESCO for all matters relating to World Heritage. Ensuring the day-to-day management of the Convention, the Centre organizes the annual sessions of the World Heritage Committee, provides advice to States Parties in the preparation of site nominations, organizes International Assistance from the World Heritage Fund upon request and coordinates both the reporting on the condition of sites and the emergency action undertaken when a site is threatened. The Centre also 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.	

Managing World Heritage

The objective of this manual is to provide a broad overview of heritage management that is useful for a range of heritage places around the world that need integrated approaches to their protection and management. It is based on the premise that a World Heritage property will be a part of a larger heritage place, which can be important for many heritage-related reasons. *Managing World Heritage* is an ongoing and urgent challenge that requires the 'heritage place approach', an integrated method of management that can guide the evolution of properties over time within their wider social, economic and environmental contexts. Special attention has been directed towards aligning and clarifying terminology between different manuals and documents and careful thought given to how key terms may be translated and defined in different languages, to ensure that the content is applicable to diverse realities on the ground.

The manual serves as a resource for capacity-building and awareness-raising about the management of World Heritage properties. It will form the basis of related capacity-building activities provided by UNESCO, the Advisory Bodies and the UNESCO Category 2 Centres, and can also be used independently for self-directed learning. It is intended to support implementation of the World Heritage Convention itself, along with the Operational Guidelines.