



Institut für Ökologie

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# Mid-Term Programme Evaluation: World Heritage Leadership

## *Final Evaluation Report*

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**Client:**

IUCN Nature-Culture Initiative, on behalf of IUCN and ICCROM

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*Klagenfurt, July 2020*

***MID-TERM PROGRAMME EVALUATION:  
WORLD HERITAGE LEADERSHIP***

***FINAL EVALUATION REPORT***

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**List of Abbreviations**

ARC WH	Arab Regional Centre for World Heritage	PNC	People-Nature-Culture (Course)
AWHF	African World Heritage Foundation	SEAMEO-SPAFA	Southeast Asian Ministers of Education Organization - Regional Centre for Archaeology and Fine Arts
BMWHI	Blue Mountains World Heritage Institute	SMF	(World Heritage) Site Managers Forum
CCWG	Climate Change Working Group (ICOMOS)	SoC	State of Conservation (Report)
CHA Korea	Cultural Heritage Administration of Korea	ToC	Theory of Change
C2C	(UNESCO) Category 2 Centre	ToR	Terms of Reference
EIA	Environmental Impact Assessment	WH	World Heritage
ESMS	Environmental and Social Management System	WHC	World Heritage Committee
FP	Focal Point	WHCBS	World Heritage Capacity Building Strategy
FOEN	Federal Office for the Environment (Switzerland)	WHITRAP	World Heritage Institute of Training and Research in the Asia-Pacific Region
GA	General Assembly	WHL	World Heritage Leadership (Programme)
HIA	Heritage Impact Assessment	WII	Wildlife Institute of India
IA	Impact Assessment	UNESCO	United Nations Educational, Scientific and Cultural Organization
IAIA	International Association for Impact Assessment		
ICCROM	International Centre for the Study of the Preservation and Restoration of Cultural Property		
ICOMOS	International Council on Monuments and Sites		
IUCN	International Union for Conservation of Nature		
IPBES	Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services		
KLD	Ministry of Climate and Environment (Norway)		
LNC	Linking Nature and Culture (Course)		
M & E	Monitoring & Evaluation		
NFP	National Focal Point		
NOK	Norwegian Krone		
OECD-DAC	Organisation for Economic Co-operation and Development Development Assistance Committee		
OUV	Outstanding Universal Value		
PCA	People-Centred Approach		
PIU	Project Implementation Unit		

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# 1 EXECUTIVE SUMMARY

## *World Heritage Leadership Programme: Mid-Term Evaluation*

The World Heritage Leadership Programme (2016-2022) aims to take a new approach in capacity development to support the World Heritage Convention by strengthening the inseparable links between people, nature and culture. It is being delivered by IUCN and ICCROM in collaboration with ICOMOS and WH Centre and a large array of partner institutions. The Norwegian Ministry of Climate and Environment as the main donor of the Programme co-initiated the Programme. Other donors that have come on board are the Cultural Heritage Administration of Korea and the Swiss Federal Office for the Environment.

### *Framework of the evaluation*

As it entered its fourth year of implementation, the Programme commissioned an external mid-term evaluation covering the activities undertaken by IUCN and ICCROM from October 2016 to December 2019. The evaluation focuses on: (i) the current progress of the WHL Programme towards its intended goals and objectives, and the likelihood of achieving the overall targets; and (ii) suggesting improvements, drawing lessons learnt and providing actionable recommendations. The report at hand summarises the findings of the mid-term evaluation carried out between March and July 2020 in the fourth year of the Programme. The report is based on a review of relevant WHL documents, several (virtual) key stakeholder meetings, 25 key informant interviews and an online survey (N=56).

### *Background of the Programme*

The aim of the World Heritage Leadership Programme is to improve conservation and management practices for culture and nature through the work of the World Heritage Convention, as an integral component of the contribution made by World Heritage Sites to sustainable development.

The World Heritage Leadership Programme integrates aspects of previous programmes, such as the World Heritage Capacity Building Programme. It represents the most comprehensive capacity building

programme for WH Management, and is considered a main programme for the implementation of the World Heritage Capacity Building Strategy.

The Programme has adopted a new and transformative approach by taking a fully integrated approach to nature and culture, as well as a people-centred perspective on conservation. The Programme focuses on the most pressing challenges in managing World Heritage Sites and aims to:

- Set and test leading standards for conserving sites and ensuring their contribution to communities and sustainable development.
- Provide documented guidance to policy makers and practitioners on managing cultural and natural values in a holistic manner, through the provision of a single publication that integrates the ICCROM-led Managing Cultural World Heritage Manual and the IUCN-led Managing Natural World Heritage Manual.
- Establish a network of internationally recognised leadership sites to demonstrate leading practice and to provide platforms for learning and capacity building.
- Build international networks between nature and culture practitioners and institutions, that link on-the-ground practice with leadership at international, regional, national and local levels.
- Provide diverse training events, exchanges, and other capacity-building activities to support the work of site managers, stakeholders, and national heritage services in States Parties.

The key target groups and beneficiaries of the Programme encompass site managers and National Focal Points.

The Programme is organised into five thematic modules (Management Effectiveness, Resilience, Impact Assessment, Learning Sites, Leadership Networks) and one core activity (Programme Management).

The Programme operates in a highly complex institutional environment encompassing the Advisory Bodies, the World Heritage Centre, Category 2 Centres, and other partner institutions, NFPs, and site managers, as well as the WH Statutory Regulations.

## ***Key findings and conclusions***

### **Relevance**

The Programme is highly relevant from a strategic and beneficiary point of view. It directly contributes to the espoused paradigm shift of bringing nature and culture together and of taking a people-centred approach to capacity building at all levels. It is in line with and contributes to the developments in wider conservation practice (e.g. Post-CBD Framework). The Programme actively links its approach to managing World Heritage with other conservation agenda such as the CBD, environmental and sustainability issues.

As of now, the Programme has achieved the delivery of its activities with the broad involvement of the core institutions. It has also contributed to enhancing the connections between the World Heritage Committee and site managers through the Site Managers Forum as an outstanding achievement of the Programme. Although still in their pilot stages, beneficiary groups have assessed the existing draft manuals and guidelines as highly useful, and have confirmed that they address relevant issues. The full relevance of manuals/guidelines will become visible once the knowledge products have been finalised and broadly disseminated by the Programme. During the remaining time of the Programme, it should be clarified how knowledge products will be adopted, published, and made available for broad application. Once the manuals are finalised and officially endorsed by the relevant organisations, or the formal documents considered within the World Heritage Convention, they will have been granted legitimisation. This will make it easier for site managers to use them as a reference in their respective countries.

**Key aspect - Theory of Change:** The Programme has no explicitly agreed Theory of Change. However, a clear strategy, essential building blocks and elements that characterise a Theory of Change are widely agreed and available, and guide the implementation of the Programme. The Programme is implementing a wide range of activities and ensuring their level of excellence. However, some of the elements of a Theory of Change are missing, insufficiently linked to each other or not explicitly available. Thus the link between the activities, their outputs and how these contribute to the expected outcomes often remains unstated.

### **Effectiveness**

The Programme has followed a highly adaptive management approach, which is justified given its complex setting and highly innovative vision. At output and activity level, the Programme has been effective and work plans have been achieved. All the modules are generally proceeding as planned, although some modules are particularly well advanced (e.g. Impact Assessment or Management Effectiveness). However, developing an integrated nature-culture language and perspective within the Programme took more time than anticipated.

In order to fully appreciate the effectiveness at outcome level, SMART indicators are required, which have only been formulated for some of the outputs. For the final evaluation of the Programme and for targeted implementation, it would be advisable to define more specific interim goalposts clearly linking the deliverables (outputs) with the expected results (outcomes) and the objectives aspired to. This is particularly relevant for finally attributing the Programme's contribution to the overall objective of achieving improvements in conservation at site level.

It is noteworthy that at site level, site managers have reported changes in awareness, behaviour and practices as a direct result of training courses and collaboration with a community of practice in the context of the Programme. Several site managers have reported specific changes in site management and conservation practice (integration of nature-culture components in management plans, extended involvement of communities, improved cooperation with local stakeholders). This shows the importance and effectiveness of actively engaging with National Focal Points and site managers and through vibrant networks.

As of Year 4, the Programme has achieved major outcomes attributable to its activities, such as:

- An improved common understanding, cooperation and coordination between the UNESCO Advisory Bodies beyond the statutory work and between actors from the nature and culture sector.
- The Site Managers Forum within the frame of the annual meeting of the World Heritage Committee is a widely acknowledged achievement. As of 2020, it has been held three times. It has contributed substantially to increasing the visibility of site

managers, and has started a vibrant community of site managers who continue to communicate via WhatsApp groups. Furthermore, the Site Managers Forum has triggered an initiative to implement a regional subforum for Africa.

- The task groups which initially intended to work separately on the four modules have integrated themselves into a trans-modular coordination group, and aim to feed the results into a common knowledge framework.

These initial changes at site level indicate that the approach taken by the Programme is indeed effective, and has the potential to transform conservation practice in World Heritage Sites. For the remaining time of the Programme, one focus should be on delivering the training manuals and guidelines as legitimised documents to the target beneficiaries (site managers and National Focal Points).

With the establishment of excellent working relations with all Advisory Bodies and the nomination of a focal point at the World Heritage Centre, the Programme has made remarkable progress towards the legitimisation of its knowledge products.

### Impact

The Programme is starting to achieve an impact at both global and site level.

At a global level, WHL has started to influence wider conservation practice, as demonstrated by the work on the inclusion of links between nature and culture in the post-2020 Global Biodiversity Framework of CBD.

As reported by beneficiaries, site managers now adopt a more people-centred and place-based approach to the conservation of sites, a result attributed directly to the Programme. Partner institutions have worked jointly on manuals, and have thus learned to integrate cultural and natural perspectives with each other. Site managers and National Focal Points have participated in integrated training courses and have given feedback regarding the content of manuals from the practitioners' perspective; they exchange knowledge and practice through the Site Managers Forum and informal social media channels. The courses related to the place-based approach, the linking of culture and nature,

and the people-centred approach have triggered changes in mindsets at all levels and have started to show changes on the ground.

There are several vivid success stories for these changes which have occurred at the host sites of the courses (LNC17, PNC18). These include a broader involvement of local ethnic groups in site management, or the official recognition of the cultural and spiritual importance of (natural) World Heritage Sites. Site managers have also reported that due to the course the management has started to intensively engage with local communities in the site management. These direct and short-term impacts have the potential to contribute to a long-term conservation impact. They indicate that the Programme will have a broad potential impact on conservation practice and on the way in which World Heritage will be managed in the future if it succeeds in going beyond anecdotal success stories.

The likelihood of achieving the intended impacts will depend on the level of legitimisation of knowledge products and the effectiveness of dealing with existing barriers at Programme level (communication, dissemination, reflection process), national level (institutional barriers, low awareness) and cultural level (language, geographical distribution).

Whereas the initial focus of the Programme was on revising the guidelines and manuals of the World Heritage Convention, positioning these as instruments to bring about change in the WH system in the long term would be an added impact for this phase of the Programme.

### Efficiency

In this institutional environment, the Programme has been efficiently managed at output and activity level. Work plans have widely been completed as planned. So far the Programme has amalgamated coordination, execution and implementation as well as communication, which has placed a high workload on the Programme coordinator. This environment is appropriate for the initial phase of a programme, but is limiting for broad outreach activities. In the first half of the current phase, an initial delay and some re-planning and re-adjustment occurred. This is most probably attributable to the challenge of implementing a cross-institutional programme and the time needed to identify workable programme implementation arrangements; the absence of a Theory of Change stating what should be achieved by the Programme; and an

initial disparity between the mandate for each institution involved and the mandate for a person from that institution in the Programme.

The complexity of the Programme and its thematically broad scope have required continuous adaptations of workflows and processes, which have been excellently undertaken by means of adaptive management. The Programme could become even more efficient if some gaps in its management framework were to be addressed, for example by means of an explicit Theory of Change, a coherent communication strategy, and SMART indicators to measure the achievement of outcomes and objectives.

The Programme structure has to deal with the trade-offs between the administrative complexity of having multiple implementing partners and the adequate inclusion of all partners. The two executing bodies ICCROM and IUCN have separate budgets requiring separate reporting. This leads to higher administrative complexity, which potentially affects the efficient management.

The fact that 45% of the allocated budget has been spent after three years indicates that the spending is on track. The Programme has attracted additional funding from the Swiss Federal Office of Culture, and has secured additional funding from the Swiss Federal Office for the Environment (FOEN) (for the EoH Toolkit) and Cultural Heritage Administrative (CHA) of Korea (for one forum and 4 courses). This additional funding is linked to specific activities. To have a broader impact and enable a potential dissemination phase, the Programme still needs to explore how to ensure financial commitment from further donors to sustaining the Programme.

**Key aspect: Communication and information:** Within three years, the Programme management has managed to create a huge professional network of different actors, institutions, the Advisory Bodies, experts, and site managers. It includes capacity building institutions such as the ARC-WH, WHITRAP or AWHF Regional Category 2 Centres, external partners such as IAIA, and all the Advisory Bodies and the WH Centre. With the Site Managers Forum, the Programme has established an outstanding link to the World Heritage Committee. The Programme's approaches are widely presented at different events, such as the ICOMOS GA or working meetings.

This wide range of contacts requires a huge effort on behalf of the

Programme management. Due to the lack of a systematic communication strategy, the Programme increasingly reaches its capacity limits in trying to maintain all these links and communicate the relevant activities and content to the corresponding institutions. The networks are gaining momentum, and the target groups are increasingly asking for results.

For its remaining time, the Programme needs to enter a phase of higher visibility and outreach, and increased interaction at national and site levels. Consequently the roll-out of the knowledge products that have been successfully tested needs to be systematically planned by means of an appropriate dissemination and communication strategy.

#### Sustainability

The Programme envisions a massive cultural change and paradigm shift with potential impacts across all levels of the World Heritage family (global, regional, national and site level). These are new and challenging concepts that will take time to be absorbed by all levels of the WH system. It is important to acknowledge that this will extend beyond the time scope of the current Programme phase.

The sustainability of the current Programme phase depends on the long-term application of the knowledge products and the permanency of the partner network achieved. The resources of the current phase are adequate to finalise these deliverables, publish consolidated results and set the ground for scaling up the training and capacity building.

Hence for the remaining time, the Programme should focus on scaling up the legitimised Programme deliverables. The experience gained should be used to come up with approaches for how the knowledge products could be institutionalised, regionalised and regularly disseminated through capacity-building measures. Several stakeholders share a similar concern: How will the Programme disseminate content, the manuals and the knowledge framework to a broader public, and what should the corresponding online platform look like? The question of how to integrate the deliverables not only at a training level, but at an institutional level (e.g. through WH Centre or C2C), has not been sufficiently addressed so far. The Programme is in the position of having all the institutions on board which have the competence, mandate and interest to sustain and use these results (World Heritage Centre, ICOMOS, IUCN, ICCROM, various Category 2 Centres).

The Programme's networks will be further consolidated, and the knowledge framework as a key instrument needs to be finalised and made accessible. The current practice of linking training activities with case studies brought in by beneficiaries has the potential to further enhance the attractiveness of the Programme, and will ensure local usability of the knowledge.

A key issue for the remaining period and for the sustainability of the Programme should thus be the consolidation, proper validation and integration of the deliverables (such as the manuals, knowledge framework, syllabuses, the embedding of the Site Managers Forum as an element of the WHC Meetings, etc.).

### **Conclusions and recommendations**

The WHL Programme is following a very ambitious vision of implementing a paradigm shift at all levels (Advisory Bodies, national level and site level) by bridging the gap between nature and culture and between heritage sector practitioners, and by promoting a people-centred approach. The complexity of the overall objective is also reflected in the wide range of activities, content and stakeholders and partners involved at all levels.

Given the complex and broad scope of the Programme, there is still a need to increasingly seek to mainstream its activities, communication channels and networks. Bundling resources in the final phase of the Programme is most likely to be a key task for the remaining time.

The wide range of activities implemented by the Programme is proceeding well, and has shown concrete changes and positive impacts attributable to the activities of the Programme at a surprisingly early stage. It seems that the Programme has evolved from a mere Capacity Building Programme to a Change Programme. The guidance documents are perceived positively. The training courses have shown excellent initial results. Many target beneficiaries have emphasised the added value for site managers, many of them stating that they have already implemented the new knowledge at their sites. This indicates that the Programme addresses the right issues and is well on track. Furthermore, it underpins the fact that the Programme is indeed addressing the relevant issues on the ground.

### **Key recommendations for the current phase**

Based on the evaluation results, there are seven key recommendations for a further improvement of the Programme:

- **Recommendation 1: Fostering the big picture of the Programme.** The Programme management (IUCN – ICCROM) should foster the big picture of the Programme by introducing a fully-fledged and documented Theory of Change, including a coherent indicator system and feeding into a communication strategy.
- **Recommendation 2: Agreeing on a coherent indicator system.** The Programme management and the advisory group as well as the donors should agree on a coherent indicator system in close conjunction with the Theory of Change to define and measure programme progress and success.
- **Recommendation 3: Reconciling outputs and results with the regional or local level.** The Programme management should closely collaborate with the advisory group to focus on setting up and implementing a systematic approach for reconciling Programme outputs and results with regional specificities.
- **Recommendation 4: Legitimising and embedding results and outputs into the WH environment.** Before the end of this year, the Programme management should identify and implement a process for legitimising and embedding relevant results and outputs into the WH environment in close cooperation with relevant members of the advisory group and the WHC.
- **Recommendation 5: Strengthening partnerships and networks.** The Programme management should identify ways and resources to formalise the SFM by the end of the current phase in close cooperation with relevant stakeholders. A potential second phase should include measures for strengthening partnerships and networks on their way to more formalised settings.
- **Recommendation 6: Mainstreaming communication and dissemination.** The Programme management should elaborate a stringent communication strategy to mainstream the internal and external communication and ensure dissemination of its outputs and results during the remaining time of the Programme in close collaboration with the advisory group.

- *Recommendation 7: Adapting to new dynamics and requirements.*  
The donors and the Programme management should agree on ways and means to strengthen the resources for the management of the Programme in order to adapt it to new dynamics and requirements for the remaining time of the current phase (and a potential new phase).

### *A long-term perspective*

Based on the evaluation results and feedback from stakeholders, target beneficiaries and partners, the evaluation team sees a lot of potential for a second phase as well as justification for this. The Programme has already produced a wide range of promising materials and approaches which would benefit from being continued in a potential follow-up phase so that they can become more rooted in the World Heritage System. This could be achieved by fostering the institutional integration, the integration into existing capacity building institutions, and the wide dissemination and on-site application of the deliverables. A potential follow-up phase might consider the involvement of further donors to increase the funding basis, and might actively seek to expand its geographical scope towards Latin America.

The Programme has already started to influence wider conservation practice and might further strive to contribute to wider programming (e.g. CBD, UNESCO initiatives) to further increase its impact.

## 2 INTRODUCTION

This report presents the Mid-Term Evaluation findings (2016-2019) of the World Heritage Leadership Programme (WHL) (2016-2022). The Programme is jointly implemented by ICCROM and IUCN with financial support of EUR 2.2 million from the Norwegian Ministry of Climate and Environment.

The WHL Programme is primarily a capacity building programme that focuses on promoting a place-based, people-centred approach for managing World Heritage Sites. It strives to integrate nature and culture elements with the explicit consideration of communities by carrying out capacity building activities, creating networks and revising manuals. The Programme builds on the UNESCO Capacity Building Programme and previous projects such as the WH Capacity Building Programme implemented by IUCN.

So far, activities have taken place in Europe, Africa, the Asia-Pacific Region and Latin America.

The current Mid-Term Evaluation was conducted to assess the overall performance of the Programme, and to provide evidence-based recommendations on how to support the final phase of the Programme and on the outline of a possible second phase after 2022.

E.C.O. Institute of Ecology, based in Austria, was mandated as an external independent evaluation expert for this Mid-Term Evaluation commissioned by IUCN. This Mid-Term Evaluation is part of the contractual arrangement between the Norwegian Ministry of Climate and Environment and IUCN, which requires a mid-term review in Year 4 of the Programme.

### 2\_1 Purpose and objective of the evaluation

This evaluation assesses the relevance, effectiveness, efficiency, sustainability and impact of the World Heritage Leadership Programme (2016-2022) in order to assist IUCN and ICCROM as well as the Norwegian Ministry of Climate and Environment and other stakeholders in understanding the progress of the Programme so as to take corrective action where needed. This will serve the overall purposes of learning and

accountability. The evaluation identifies lessons learnt and recommendations. It relies on a generic, non-experimental evaluation design.

IUCN and ICCROM are the organisations in charge of the implementation of the WHL Programme. For them, the key purposes of the evaluation are to:

- Obtain practical recommendations at the mid-term of the Programme in order to be able to take corrective actions for the remaining time to improve the relevance, effectiveness, impact, efficiency and sustainability of the Programme.
- Draw lessons learnt through feedback from key stakeholders and beneficiaries on success stories and needs.
- Obtain input and orientation for a potential next phase of the Programme.

The main donor for the Programme is the Norwegian Ministry of Climate and Environment. From its perspective, the expected outcomes of the evaluation should be a measurement of the impacts of the Programme's activities and the basis for building up the next phase of the Programme (Minutes of the Donor Meeting 2019).

It was noted by the evaluation team that the evaluation should focus on practical recommendations to improve the Programme and increase its impacts. The evaluation should place special emphasis on the target user group level to identify impacts, changes and benefits on the ground, both from a cultural and natural heritage perspective. The evaluation should critically reflect the Programme implementation and the potential for change, and identify options for improvements for:

- The donors, in particular the Norwegian Ministry of Climate and Environment
- The Programme management, in particular the Programme Coordinator and the two Programme Directors (IUCN and ICCROM)
- The members of the advisory group, in particular UNESCO WH Centre and ICOMOS

## **2\_2 Evaluation scope and criteria**

The scope of the evaluation focuses on the activities undertaken by IUCN and ICCROM from October 2016 to December 2019. It focuses on two main tasks:

- Assessing the current progress of the leadership Programme towards its intended goals and objectives, and the likelihood of achieving the overall targets by completion; and
- Suggesting improvements and drawing lessons learnt to date. The evaluation will ensure the accountability of the consortium towards its donors and Programme stakeholders, and provide lessons learnt that will generate actionable recommendations to improve the Programme.

## **2\_3 Evaluation process**

The evaluation is based on the review of the related WHL Programme documents, supporting documents, and key informant interviews with the Programme implementation team, the Norwegian Ministry of Climate and Environment as well as with clients, stakeholders and beneficiaries across the countries targeted by the Programme.

The evaluators draw conclusions, formulate lessons learnt and articulate recommendations based on their assessment and analysis. To achieve its purpose, the evaluation answers major questions pertaining to the evaluation dimensions. The evaluation adopts both a retrospective and a forward-looking perspective, and formulates action-oriented recommendations on the basis of substantive findings, for example opportunities for raising the profile of the Leadership Programme and synergies.

The evaluation team complies with the OECD-DAC Quality Standards for Development Evaluation and the IUCN Managing Evaluations Guide.

The evaluation was completed by 31 July 2020.

## 3 OVERVIEW OF THE PROGRAMME

### 3\_1 Context of the WHL Programme

In 2011 the World Heritage Capacity Building Strategy (WHCBS; Decision 35 COM 9B) was approved by the World Heritage Committee at its 35th session (Paris, 2011). The Strategy was developed by ICCROM and IUCN in collaboration with ICOMOS, the World Heritage Centre, and other capacity building partners such as the UNESCO Category 2 Centres, to address the main challenges related to the management of World Heritage Sites.

The Capacity Building Strategy takes up key issues on the basis of the State of Conservation Reports (SoC). It strives to achieve a paradigm shift from training to capacity building, and to bring natural and cultural sectors together to improve the management of World Heritage Sites, an approach which has gained significant momentum in the past years. According to the WHCBS, the key themes to be addressed are:

- Disaster risk reduction
- Sustainable tourism
- Heritage impact assessment
- Management effectiveness
- Involvement of communities, NGOs, and other stakeholders in the management process
- Strengthening legal and administrative frameworks at the national level
- Better awareness of the World Heritage Convention in the general population
- Better integration of World Heritage processes into other related planning mechanisms

### 3\_2 Genesis of the Programme

The starting point was the World Heritage Capacity Building Strategy in 2011. This was not meant for a specific body, but for the wider World Heritage environment including the UNESCO Category 2 Centres (C2C), even before ICCROM and IUCN had the official mandate for capacity building and thus implemented a smaller two-year World Heritage Capacity Building Programme. The outcomes of this Programme were the starting point for further development towards the WHL Programme. In 2009 IUCN implemented a smaller programme to draft the WHL Capacity Building Strategy, which for the first time explicitly included a culture-nature component.

The aspect of integrating culture and nature in World Heritage management and the involvement of communities are important elements in the Programme. In Norway, the integration of nature and culture is the cornerstone of environmental management. The WHL Programme was thus seen as an interesting method for Norway to engage in a bottom-up approach to working with the Convention, and Norway showed high interest in getting involved in the WHL Programme as a donor. As a follow-up to the WHCBS and as a main instrument for its implementation, IUCN and ICCROM launched the World Heritage Leadership Programme (WHL; 2016-2022) with substantial funding from the Norwegian Ministry of Climate and Environment.

The Programme was developed through a process of discussion between IUCN and ICCROM and together with the Norwegian Ministry of Climate and Environment. It includes the results of a consultative workshop held in Oslo in 2015 with ICOMOS, UNESCO World Heritage Centre and further representatives of the World Heritage sphere.

The Programme was officially launched at the IUCN World Conservation Congress in 2016 in Hawaii.

The Programme approach is strongly based on a People-Centred Approach (ICCROM 2015), which places the site manager and the local communities in a prominent position. The overall intention is to promote a place-based approach to bridge the gap between culture and nature, and to foster a change towards the conservation of complete sites with deliberate consideration of the local communities, rather than focusing on a purely OUV-focused conservation approach. Thus the design of this

capacity building Programme was intended to take real-world problems from site level as a basis for the framing of the Programme.

### 3\_3 Key Programme content

The WHL Programme aims to **improve the conservation and management practices for culture and nature** through the work of the World Heritage Convention, as an **integral component of the contribution of World Heritage Sites to sustainable development**. The Programme takes a **new and transformative approach**, in that it does not focus exclusively on work within the World Heritage Convention, but takes a wider view of the totality of conservation practice and of how by working through World Heritage Sites and the communities and specialists that support them, World Heritage can provide **new and better leadership** to achieve innovation, performance and excellence that will inspire wider practice. It takes a **fully integrated approach to nature and culture** from the outset, and **focuses on the most pressing challenges** where working through World Heritage offers the most compelling possibility of making a difference.

In accordance with Annex 1 of the Cooperation Agreement between the Norwegian Ministry of Climate and Environment, ICCROM and IUCN, signed on 31 August 2016, the Programme focuses on:

- Setting and testing the leading standards for conserving sites, and ensuring their contribution to communities and sustainable development, through engaging in World Heritage.
- Providing high-profile, widely translated documented advice on conservation policies and practices, notably by integrating the ICCROM-led Managing Cultural World Heritage manual and the IUCN-led Managing Natural World Heritage manual into a single new publication.
- Establishing a network of internationally recognised leadership sites, which will include the World Heritage Sites, that demonstrate leading practice, and that can provide platforms for learning and for capacity building.
- Building international networks between nature and culture practitioners and institutions that link on-the-ground practice with

leadership at international, regional, national and local levels.

- Providing diverse training events, exchanges, and other capacity-building activities to support the work of both the site managers and the stakeholders, and of the national heritage services in diverse States Parties.

#### *Main modules*

The Programme comprises five core modules and one core activity:

#### **Module 1: Effective management: Nature, Culture and Communities**

This module is the largest element of the Programme, and focuses on setting a new approach to World Heritage Site management taking account of both the natural and cultural character of World Heritage Sites. It includes measures on safeguarding the site contributions to sustainable development, the link to the global SDG Agenda, and the incorporation of local communities as relevant actors. The main objective is to *“improve the effectiveness of World Heritage Sites management worldwide”* (O.1.1.) by introducing a new approach to integrated conservation management and the presentation of nature and culture (R.1.1.1.). Therefore the Programme aims to elaborate a new resource manual on Managing World Heritage (Output 1A) and to apply adapted key tools and management effectiveness methodologies at all sites (Output 1B).

Furthermore, this Module will provide an integrated approach to the consideration of cultural and natural heritage and to supporting key educational and training partners (R.1.1.2). It will revise training materials, and where necessary new syllabus content will be developed to form the basis for short-term training courses, side events and an online capacity building platform (Output 1C). Furthermore, the Programme supports relevant institutions (e.g. universities, UNESCO Chairs, UNESCO C2C and Nordic institutions) in order to connect them to work on new standards and to disseminate the latest developments in the Convention (Output 1D).

#### **Module 2: Resilience**

This module explores how heritage can be better protected from disasters whilst contributing to the resilience of societies. The main

objective is to “adopt disaster risk management as a crucial and indivisible component of heritage policies and management strategies” (O.2.1.). Therefore disaster risk management should be established as a key component of the new approach to integration conservation management (R 2.1.1.) by reviewing and updating the Resource Manual on World Heritage and Disaster Risk (Output 2A).

A second objective of the module is for Disaster Risk Management Plans and strategies to be in place (O.2.2.) by supporting heritage sites at risk of disasters and by developing/revising a DRM plan (R.2.2.1). The Programme will carry out capacity building activities (Output 2B).

The third objective addresses the issue of ensuring that World Heritage Sites have effective climate change mitigation and adaptation strategies in place (O.2.3.) to ensure that climate change adaptation is established as a key component of the new approach (R.2.3.1). Therefore climate change adaptation will be included in the new manual on Managing World Heritage and the revised Resource Manual on World Heritage and Disaster Risk (Output 2C).

### **Module 3: Impact Assessment**

World Heritage Sites frequently face threats from development proposals negatively impacting their values. Thus support for States Parties and other actors is considered to be crucial.

The main objective is to ensure that Impact Assessment is undertaken systematically and effectively by States Parties to avoid damage from inappropriate development (O.3.1.) by defining international standards for impact assessment that take account of World Heritage Aspects (R 3.1.1.). The Programme will develop a toolkit for Impact Assessment and World Heritage which is agreed as an international standard (Output 3A).

Furthermore, the Programme supports States Parties in the effective use of Impact Assessments (R 3.1.2.) by implementing capacity building activities (Output 3B).

As a result, the Programme expects the number of State of Conservation Reports arising from threats related to impacts from development proposals to be reduced by 25% (R 3.1.3). Therefore a communication strategy for awareness raising will be developed and implemented (Output 3C), and training for impact assessment professionals will be carried out (Output 3D).

### **Module 4: Learning Sites**

In order to provide learning and training opportunities at site level, the Programme strives to establish a network of learning sites at which training courses are held (Output 4A).

### **Module 5: Leadership Networks**

This module aims to establish and promote a network of site coordinators and National Focal Points to create a space for direct exchange between practitioners. For this, the Programme strives to organise periodic World Heritage Leadership Forums (Output 5A) and to support the network of Nordic World Heritage Sites (Output 5B).

The Programme strives to support the network of professionals (O.5.2.) with a focus on promoting Nordic practice in the implementation of the World Heritage Convention (R.5.2.1). For this, the Programme provides for specific training courses and consideration of Nordic practitioners (Output 5C).

### **Core Activity: Programme Management and Development**

This sixth core activity determines the governance and management arrangements for the implementation of the Programme. This also includes specific requirements in respect of reporting, monitoring and evaluation, as well as stakeholder involvement and institutional integration.

### **3\_4 Donors**

The implementation of the Programme is funded by the Norwegian Ministry of Climate and Environment. During the implementation, additional funding was raised from the Swiss Federal Office for Environment (FOEN) (approximately USD 230,000) and the Cultural Heritage Administration of the Republic of Korea (CHA Korea) (USD 500,000 for four years). Some initial activities during the pilot phase were financially supported by the Swiss Federal Office for Culture.

The Programme was officially launched in October 2016 for a planned period of six years. In accordance with the Cooperation Agreement, the total budget is a minimum of NOK 25.2 million (approximately EUR 2.3

million) separated into six annual grants (excluding the contributions from Swiss FOE and CHA Korea). According to the financial reporting, approximately NOK 11.7 million had been spent (approximately 46%) by September 2019. Of this 47% was spent by ICCROM and 53% by IUCN. The two institutions report separately to the donor.

### 3.5 Implementation arrangements

There is a wide range of potential beneficiaries and target groups. According to the Kick-Off Skype and the outline in the Annual Report of Year 2, the key target groups have been narrowed down to:

- National Focal Points (NFP)
- Site Coordinators (persons in charge of carrying out the actual management of the World Heritage Site).

In order to adequately reach these target groups, the Programme cooperates with important intermediaries/partner institutions (see Figure 2) and organises key events to connect to the target groups (e.g. SFM within the framework of the annual meetings of the WHC).

The Programme is being implemented through a legal agreement between IUCN, ICCROM and the Norwegian Ministry of Climate and Environment. In accordance with Annex 1 of the Agreement, IUCN and ICCROM designate two WHL Programme Directors that are jointly responsible for the coordination and delivery of the Programme. A full-time Programme Coordinator based at ICCROM is appointed jointly by IUCN and ICCROM. Additional support from ICCROM and IUCN for Programme activities is expected.

#### Task teams

The original agreement (Annex 1) outlines the establishment of thematic task teams to support the individual modules. According to the information gathered in the Kick-Off Skype meeting, these teams were merged into one coordination group responsible for supporting the individual modules.

#### Annual partner meeting

An annual partner meeting is held to review the progress of the Programme and plan ahead. Since the start of the Programme four annual partner meetings (i.e. donor meetings) have been held (2017, 2018, 2019 and 2020).

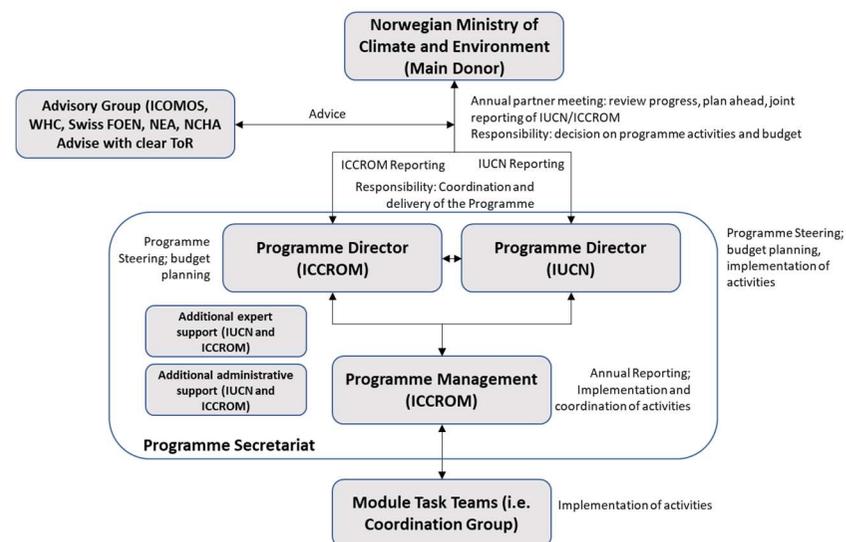


Figure 1: Organization of the implementation

#### Advisory group

An advisory group was established to meet annually to advise the Programme. It includes representatives from ICCROM, IUCN, ICOMOS, World Heritage Centre, Norway, other major donors to the Programme and other members (by invitation).

According to the available documentation, one advisory group meeting has taken place so far (September 2019).

#### Cooperation

For the delivery of workshops, training materials etc. the Programme collaborates with a wide range of partner institutions (see Figure 2).

Overview of stakeholders and key target groups

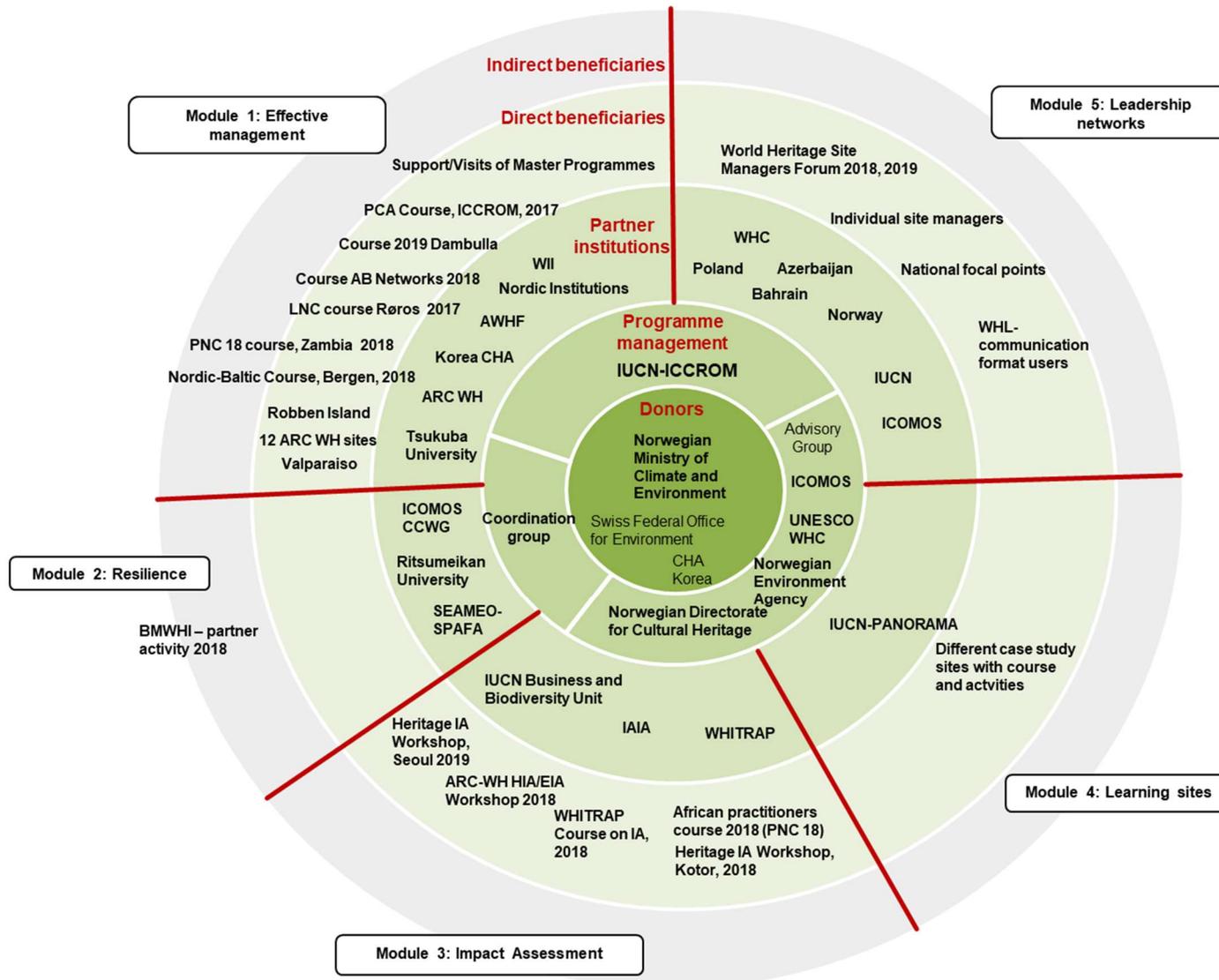


Figure 2: Overview of stakeholders involved, partners and key target groups

## 4 EVALUATION METHODOLOGY

### 4.1 Explanation of approach

#### Process of the Evaluation

The evaluation was conducted based on five steps:

- (1) Initial desk review and initial meetings with the Programme management to understand the intervention logic of the Programme.
- (2) Validation of initial findings through semi-structured key informant interviews
- (3) Online survey to collect feedback from a wider range of beneficiaries.
- (4) Conversations with key resource persons and (virtual) meetings/workshops to collect additional information, and
- (5) Presentation of preliminary findings and feedback in two online stakeholder meetings after submission of the draft report and one validation workshop (2 July 2020).

The findings from step 1 served to develop the stakeholder map and the Evaluation Matrix. Findings from step 2 served to establish an online survey and virtual workshop design (see process flow chart). Therefore

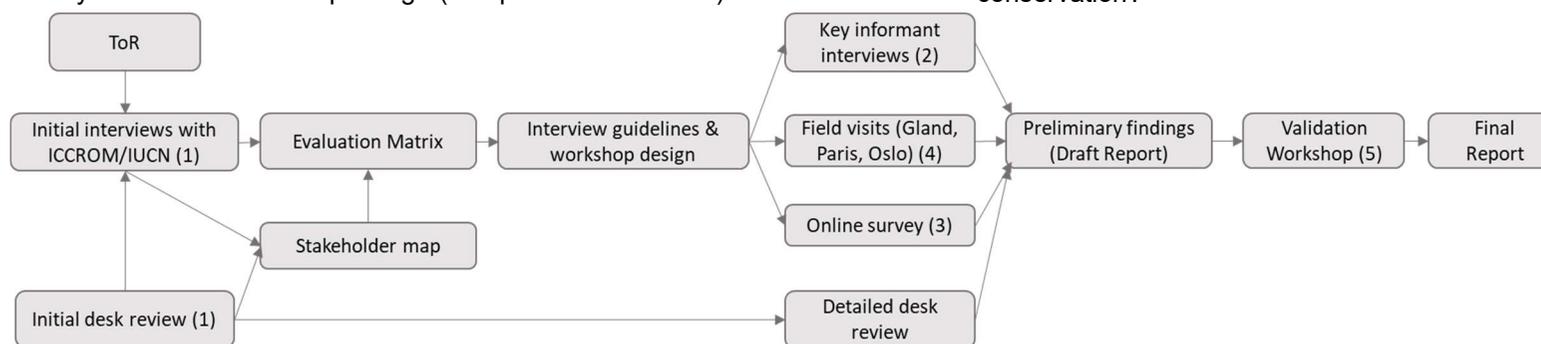


Figure 3: The evaluation approach

the main data sources for the evaluation comprise direct and virtual meetings, informal interviews, semi-formal interviews, online surveys and workshops, as well as an assessment of documents.

#### Scope of the Evaluation

The evaluation covers all modules and stakeholder groups of the Programme and the related activities documented in activity reports by ICCROM and IUCN from October 2016 – December 2019.

Amongst other activities, the Programme's interventions include workshops, training courses, the elaboration of guidelines and manuals, the organization of forums and meetings, as well as the development and testing of tools. The Programme delivers these interventions to a broad range of stakeholders at regional, national and site level in selected countries in Africa, Asia, Europe and Latin America. The evaluation covers all categories of interventions, and attempts to be representative regarding the geographic coverage, target groups and partners.

The thematic issues covered are included in the Evaluation Questions (EQ, see below).

The intervention logic of the Programme was assessed in terms of planned versus achieved inputs, activities, outcomes and impact. The overall intervention logic was assessed in line with the Evaluation Questions "Does the WHL have an adequate theory of change?" and "How does the WHL expect to lead to sustainable improvements in conservation?"

## 4\_2 Evaluation questions

According to the Terms of Reference, the following questions were answered within this process:

### *Relevance*

- To what extent do the WHL Programme's design and the implementation to date respond to the key needs and challenges that its target user groups and beneficiaries are facing? Are there needs unmet by the Programme? Is the WHL Programme a technically adequate solution to the problem at hand? What other solutions should the Programme consider?
- To what extent, and how effectively, are gender and social inclusion issues being addressed in the project?
- Does the WHL have an adequate Theory of Change? How does the WH Programme expect to lead to sustainable improvements in conservation?

### *Effectiveness*

- How is the WHL progressing towards its intended deliverables and accomplishments set for the entire Programme's cycle?
- What changes in awareness, behaviour, practices and performance (intended and unintended) have already occurred as a direct result of the WHL?
- What is the likelihood of achieving the intended outcomes? Are initial changes likely to lead to the expected subsequent changes and Programme outcomes? What can be done to make the Programme more effective?

### *Impact*

- What long term conservation effects, intended and unintended, are likely to occur as a direct result of the WHL? What is the likelihood of achieving the intended impacts?
- What can be done to increase impacts?

### *Efficiency*

- How efficiently has the Programme been managed and implemented? What should be done to improve efficiency? Could the results be achieved with fewer resources without reducing the quality and quantity? What should be done to improve efficiency?
- To what extent are risks well managed?
- Does the WHL have an appropriate monitoring and evaluation system to track progress, assess the contribution of WHL to changes in outcomes, measure impact, and foster learning?
- Has the communication strategy been appropriate in reaching out to relevant stakeholders?

### *Sustainability*

- If the Programme were to be extended (as is currently under discussion), would this be justified and what results could be anticipated? How would the Programme best adapt to increase its impact, and what sort of timelines and resource requirements might be anticipated to achieve different results?
- What is the likelihood that the target groups and beneficiaries endure after the project?
- How appropriate is the WHL's exit strategy?

The Evaluation Matrix (see Annex 7\_10) defines a set of sub-questions for each evaluation question. This helps to collect the information needed to answer the evaluation question and to identify corresponding data sources and key informants. All sub-questions asked will be documented in the Evaluation report.

## 4\_3 Assessment of results

### *Assessment of results of Evaluation Questions*

The results of the Evaluation Questions will be assessed in terms of the "degree of achievement". In order to be able to assess the degree of achievement for each of the Evaluation questions, we have formulated specific "Progress Indicators" as proxies. The Progress Indicator should not change during the evaluation.

The degree of achievement of each progress indicator will be assessed in three categories: fully achieved; partially achieved; hardly achieved (see Annex 7\_4).

### ***Communication with client***

To ensure proper communication with the client and to ensure that any additional data or contact requests are handled effectively, the Programme management nominated Ms. Eugene Jo (ICCROM) as the main contact person for the client.

The consultant conducted the evaluation as an external expert in close collaboration with the coordinators and stakeholders, as well as the target groups of the Programme.

## **4\_4 Overview of data collection methods and information sources**

### ***Document review***

The review of existing documents, strategies, plans and reports related to the Programme forms a core element of the evaluation. These formal Programme documents represent the key source of information for assessing the intervention logic of the WHL, and feed as hard facts into answering the interview questions. For information that cannot be provided through formal Programme documents, the Consultant used interviews with representatives of the Programme management and the donor to manage any potential information challenges. The ultimate purpose was to produce meaningful and evidence-based information.

The document list as indicated in Annex 7\_1 forms the basis of the evaluation. A full list of documents is available in Annex 7\_1).

### ***Selection of key informants for semi-structured interviews***

For the selection of key informants, the Programme management provided a list of potential interview partners. The selection of stakeholders to be interviewed was based on a stakeholder selection procedure as outlined in the inception report of the present evaluation.

The Programme Coordinator established initial contacts with the interview partners. As a follow-up, the evaluation team contacted the interview partner via email.

### ***Interviews***

Within the period 31 March to 24 April a total of 25 key informant interviews were carried out. These lasted between 45 and 120 minutes. All interviews were minuted for further analysis and followed the interview guidelines as presented in the inception report. The following key informants were interviewed:

#### Donor level

- Interview with Swiss FOEN as an additional donor

#### Programme management level

- Interviews with the different members of the coordination group, the Programme Directors and the Programme Coordinator

#### Partner level

- Interviews with ARC-WH and WHITRAP Category 2 Centres and IAIA as a partner for impact assessment.

#### Key target group/beneficiary level

- Interviews with 4 beneficiaries from Europe, 3 from Africa, 2 from the Arab region, 2 from Asia, 1 from Latin America and one from Oceania. The interview partners were from both natural and cultural backgrounds, and were selected in a gender-balanced way (7 female, 6 male).

### ***Online survey***

An online survey served to collect feedback on deliverables of the WHL Programme from participants in the different training activities and workshops (e.g. PCA Course 2017; PNC Course 2018, Nordic-Baltic Course). These participants represent the key target group (NFP and site managers) as defined by the Programme.

The online survey aimed to reach 60% of all workshop and training participants to obtain a representative picture. In total, 56 people

answered the online survey (51% female and 49% male).

The survey was carried out via Survey Monkey (online survey) between 4 April and 28 April. Invitations were sent to:

- participants in training courses,
- participants in the World Heritage Leadership Forum and
- further stakeholders as recommended by the Programme management or the donor
- via Facebook and a weblink.

The focus of the online survey was to assess to what extent the Programme deliverables address the needs of the key target group as perceived by the assumed beneficiaries of the Programme (site coordinators and NFP). The questions comprise “rating” questions as well as open questions. The analysis provides frequencies and trends without further statistical testing. For this purpose, the online survey addressed the questions as outlined in the Evaluation Matrix (see Annex 7\_10).

A detailed summary of the results is available in Annex 7\_3.

### *Field missions and workshops*

To minimise travel and take into consideration Covid-19 restrictions, the consultant had to cancel all field visits and on-site workshops. These were replaced by online meetings via Skype, Jitsi or ZOOM with all relevant stakeholders. Consequently there was limited opportunity to discuss and validate observations with the client and the stakeholders.

The following meetings were held:

- Norwegian Ministry of Climate and Environment: 26 March 2020
- Norwegian Directorate of Cultural Heritage: 7 April 2020
- Norwegian Directorate of Environment: 8 April 2020
- ICOMOS: 8 April 2020
- UNESCO World Heritage Centre: 23 April 2020
- ICCROM: Interviews with Joe King (8 April 2020) and Eugene Jo

(6 April 2020)

- IUCN: Interview with Tim Badman, 6 April 2020

Originally it was planned to carry out field missions to Norway (Norwegian Ministry of Climate and Environment, Norway Cultural Heritage Directorate, Norway Environment Agency), Paris (UNESCO World Heritage Centre, ICOMOS), Rome (ICCROM) and Gland (IUCN). The final validation workshop took place on 2 July 2020 by means of a virtual meeting. This workshop served to discuss the findings of the report and the final recommendations.

The findings of the workshop were included in the final report and served to confirm any necessary adaptations and to explicitly and precisely define the actions needed.

### *Data analysis and reporting*

The analysis of the data collected follows the evaluation matrix that was agreed in the inception report.

A draft version of the final report on the evaluation was presented for discussion after completion of the data collection and analysis. The corresponding comments and feedback will be integrated by the team and finally presented to IUCN and ICCROM in July 2020.

## **4\_5 Methodological limitations**

### *COVID-19 adaptations*

Due to the current situation regarding COVID-19, the team was forced to cancel all field trips as indicated in the original proposal. As an alternative, Skype/Zoom/Jitsi meetings were held to adequately discuss and reflect on the perspectives of the different stakeholders. Consequently the discussions with the Advisory Bodies, the Programme management and the Norwegian donor were less intense than they would have been otherwise. The results are derived purely from phone interviews, online meetings, and a document analysis.

## 5 EVALUATION FINDINGS

The following section includes the conclusions regarding the evaluation criteria as a whole, followed by the corresponding assessment of the related Evaluation Questions. These sections are separated by “Status” (current situation) and “Conclusion” (interpretation of the status).

Recommendations derived from the assessment of the evaluation criteria and evaluation questions are summarised in Chapter 6.

### 5\_1 Relevance

The WHL Programme is highly relevant from a strategic and beneficiary point of view. It directly contributes to the espoused paradigm shift of bringing nature and culture together and of a people-centred approach to capacity building. As of now the Programme has achieved delivery of its activities with the broad involvement of the core institutions that are supposed to implement the WHCBS. The overall relevance of the Programme is further emphasised by the inclusion of a culture-nature aspect in the post 2020 CBD Framework, and further initiatives that have emerged in the past years. It has also contributed to enhancing the connectivity between WHC and the site managers through the Site Managers Forum. The manuals and guidelines were assessed as being highly useful by National Focal Points and site managers.

*“This (Nature/Culture) is a great achievement of the Programme itself. It is true that for many, many years, we used to work in parallel, but not so much in cooperation. This is a great achievement, to have one focus.” (Programme partner statement)*

However, the relevance of manuals/guidelines is affected by the fact that they have not yet been formally adopted and displayed on the official website / official platforms. This makes it difficult for public sector stakeholders / National Focal Points to officially use these manuals in their respective countries. The relevance of these achievements should be consolidated by (1) linking SMF to WHC, (2) formally adopting the most relevant guidelines and manuals and translating them into the 6 languages of WHC, and (3) furthermore, the Programme could

communicate its relevance better if it had an explicit and documented Theory of Change, including the core problem and key barriers that it would like to address.

*“Here, the link between nature and culture is very important, we saw that we can strengthen this link. In our region, there are two main issues: management and development. As these are two main modules, we jumped in.” (Programme partner statement)*

#### 5\_1\_1 EQ1: Responding to needs and challenges

**EQ1. To what extent does the WHL Programme’s design and to-date implementation respond to the key needs and challenges that its target user groups and beneficiaries are facing? Are there needs unmet by the Programme?**

*Sub-questions: How are elements of the WH Capacity Building Strategy (2011) reflected in the Programme and the activity design? Are the needs and challenges as expressed in the Programme documents and the situation analysis of the capacity strategy reflected in the Programme content (target groups, components, measures, content of training)? To what extent are key stakeholders aware of the key challenges and needs addressed by the Programme? How do beneficiaries rate the practical relevance of the tools developed by the project and the training activities? What gaps and needs are mentioned by target user groups and beneficiaries in terms of (1) content (2) mode of delivery and (3) frequency? To what extent are these gaps and needs reflected in the Programme activities? How do the coordination group and site coordinators assess the practical relevance of the guidance documents and training activities (content, mode of delivery, participants)?*

#### **Status**

- The thematic modules of WHL relate to the key problems reported by States Parties as stated in the State of Conservation Reports (2008) which formed the basis for the UNESCO Capacity Building Strategy (Situation Analysis): Heritage Impact Assessment (Module 3 Impact Assessment), Management Effectiveness (Module 1 Management Effectiveness) and Disaster Risk Reduction (Module 3 Resilience). Furthermore, the site-based

approach of WHL addresses the challenge of community involvement in the management process.

- The WHL Programme implements the shift from training to capacity building as proposed by the WH Capacity Building Strategy. (Understanding of Capacity Building according to the WH CBS: “Capacity building – whether of practitioners, institutions or communities and networks – is seen as a form of people-centred change that entails working with groups of individuals to achieve improvements in approaches to managing cultural and natural heritage” (p.4)
- The WHL Programme embraces the second proposed paradigm shift “Connecting Capacity Building for Cultural and Natural Heritage” (p.4), which emphasises the cooperation between natural and cultural heritage actors by creating joint opportunities, and proposes one normative instrument. By creating joint networks for cultural and natural heritage professionals, the WHL contributes to the implementation of this proposed paradigm shift.
- The CBS identifies specifies its key target audiences (practitioners, institutions, networks, and communities). WHL targets these audiences to a different extent. So far, site managers (practitioners) have represented the key target group.
- The CBS names ICCROM as the key institution for the implementation of capacity building activities. Furthermore, it lists further key institutions such as States Parties, Advisory Bodies (IUCN, ICOMOS), WHC, Category 2 Centres, University Programmes, Regional Training Partners, UNESCO Chairs and UNITWIN Networks, and the Forum UNESCO-University and Heritage (FUUH).
- Currently the WHL Programme involves the Advisory Bodies, the WHC, three Category 2 Centres (WHITRAP and ARC WH and the African World Heritage Fund (AWHF)) and several University Programmes in different roles in the Programme. As of now, the Programme has succeeded in delivering its activities with the broad involvement of the core institutions that are supposed to implement the CBS in accordance with the UNESCO CBS Strategy.
- The WHL Programme contributes to Actions 1.1., 1.4, 3.3., 3.6.,

4.1., 4.3., 4.4., 4.5., 4.6. (potentially learning sites), 5.2., 5.3, 6.1, 6.3, 7.2., 9.1 and 9.2. Goal 10 is highly linked to ICCROM and many of its actions are aligned with the activities of the WHL Programme. Consequently the WHL Programme is amongst the main instruments for implementing the actions as defined by the CBS.

- According to almost all the interviews, the Programme strongly contributes to overcoming the barriers between natural and cultural heritage, and thus creating a better mutual understanding and appreciation. This approach can be found throughout the Programme design in the form of mixed teams, an integrative manual approach (knowledge framework), course application procedure etc. Thus the Programme is seen as a catalyst to bringing the two spheres together.
- According to several interviews, the Impact Assessment Manual is a major advancement in both cultural and natural sites, and is followed closely by most actors. Several interviewees stated that Impact Assessment is amongst the key challenges for site management across all countries and types of sites, and there are frequent requests from all sides. Furthermore, the interviewees indicated that the manual is highly relevant and a major improvement on the previous situation (e.g. strong feedback from ICOMOS members, positive evaluation by Swiss donor and Norwegian partners). Certain concerns were expressed regarding the “flexibility” of the guideline, as the OUV is not negotiable and this could open up “political abuse” of it. Furthermore, different expectations and perspectives on IA are obviously discussed in a contradictory way. Critical points are the language/wording, the reflection process, and the narrowed scoping.
- The Management Effectiveness module is equally appreciated. In particular the adaptation of the EoH Toolkit in a cultural heritage context is highly appreciated, as demonstrated in the field testing. Several interviewees mentioned this as being a major improvement and very relevant tool, particularly for cultural heritages which had no such tool.
- The Learning Sites module is seen as the weakest part of the Programme. The expectations of the site managers have partly not

been met, and the big picture remains a little unclear. However, the importance of the case studies in terms of testing global knowledge on the ground (reality check) as well as knowledge transfer between site level and national level is key. To a certain extent, the connection between the tools/manuals and the training activities remains unclear for the target groups.

- The training activities and courses (the capacity building activities) seemed to be the most relevant and obvious parts for the site manager, and have helped them a lot in their day-to-day management. They are frequently regarded as turning points for their management. Limitations have been stated due to language issues and some organizational obstacles (application process, separation of participants to different locations, duration of courses).
- The Site Managers Forum is seen as an outstanding and widely acknowledged achievement of the Programme. It makes site managers visible in the spheres of the WH, and provides opportunities to exchange ideas on different levels, contribute to knowledge generation, learn and build capacity.
- The interviews and the online survey indicate the wish to further include specific regional needs (e.g. sustainable development) and overall aspects of general World Heritage Management procedures.
- In particular the regional course held in Africa was highlighted as highly effective for meeting the regional needs, as the case studies discussed there were all located in an African context.

### Conclusion

- The Programme aims for a paradigm shift of bringing nature and culture together and incorporating a people-centred approach to capacity building for site managers and NFPs which, reportedly, is highly relevant from a site management perspective and in line with the developments in the wider conservation practice (e.g. Post-CBD Framework). The Programme actively links its approach to the wider environment.
- The IPBES report states that nature and its vital contributions to

people are deteriorating worldwide. The Sustainable Development Goals cannot be achieved without transformative changes in societies allowing for enhanced and more effective nature conservation. This, however, requires the integration of societies' values and cultural norms into conservation concepts. Moreover, local communities manage and conserve vast areas of land rich in intact biodiversity. Their rights and traditions in using nature can be a valuable contribution to biodiversity conservation and the conservation of cultural values. So far, World Heritage Sites have been managed either as cultural or natural world heritage. Adopting a people-centred view as promoted by WHL not only contributes to integrating both aspects in the management of sites, but also has the potential to establish good practice learning sites for the post-Aichi CBD framework.

- Essentially the WHL is a very appropriate Programme that tackles the needs of the target groups on the ground, a fact that was confirmed both by the interviews and the online survey. The practical application of the results on the ground furthermore indicates that real needs are being targeted appropriately.
- The Programme works on modules / themes that were identified as needs by assessing State of Conservation reports. To achieve its outcomes and deliverables, the Programme collaborates with a wide array of stakeholders from the cultural and natural sectors at local, national and international level. It thus contributes to the espoused paradigm shift of bringing nature and culture together and of a people-centred approach to capacity building.
- According to the feedback provided from National Focal Points and Site Coordinators, the content provided through workshops and training is relevant for their site work.
- Since the Programme does not yet have an approved and implemented communication strategy and outreach approach, broad awareness by the beneficiaries has not yet been fully achieved. Partner institutions are fully engaged through the working groups that were established for the elaboration of deliverables.
- The Programme Management and donors frequently exchange

views on the key challenges and needs to be addressed by the Programme. However, informal exchanges are more frequent than formal ones. Some pending decisions would benefit from more frequent formal meetings and a more structured communication approach. The Programme has followed an adaptive management method, and as far as possible has integrated gaps and needs indicated by the beneficiary groups into its deliverables. As a result, site managers assess the content of training activities and courses as being highly relevant for their day-to-day work.

### 5\_1\_2 EQ2. Adequacy of the solution

**EQ2. Is the WHL Programme a technically adequate solution to the problem at hand? What other solutions should the Programme consider?**

*Sub-questions: Do the stakeholders have a common understanding of the problem to be solved? Do activities of the Programme contribute to the solution of the problem as stated in the Programme document and by stakeholders? Which elements and contents of the project (training activities, workshops, conferences, manuals) contribute to the solution and to what extent (from a target user group perspective)? How do target user groups assess the usefulness of the materials provided? Do the proposed guidelines and manual adequately reflect the situation and problems on the ground? Which further solutions/improvements would support the site coordinators? How do target user groups assess the usability of platforms and digital communication offerings? Are there additional recommendations and solutions that should be integrated into the Programme (from the perspective of various stakeholder groups)?*

#### **Status**

- The promotion of a combined nature-culture approach is highly appreciated by the target groups and reflects the situation on the ground. The people-centred approach was confirmed as improving day-to-day management on the ground, and has already led to improved management on the ground.
- According to the training activities and courses, the topics and methods are frequently regarded as excellent. The way in which

the training courses are implemented provides practical benefits for the participants. In particular, the interaction between different practitioners and resource persons is highly appreciated. Some interviewees also mentioned that the organization of regional courses reflecting the regional needs and contexts (e.g. PNC 18) offers an increased practical benefit, whereas purely international courses serve more as an eye-opener and as inspiration.

- Triggered by the Covid-19 crisis, digital solutions are increasingly being requested to improve the joint implementation of the Programme. Suggestions by interviewees include broadcasting the SMF, organising webinars, central provision of digital information, or new communication tools. Programme participants confirmed that they have intense exchanges through informal channels such as WhatsApp or Facebook.
- Comprehensive, consolidated and easy-to-understand guidance and manuals are highly needed. However, at the current stage no assessment of the appropriateness of the manuals can be made. Throughout all the modules, the established working groups are highly professional, motivated and consensus oriented. Site coordinators stated that they would appreciate the guidelines being formally adopted by for example WHC, as they can then use them as reference points when working across their own institutions at country level.
- The new guidance on Impact Assessment is highly in demand by stakeholders throughout all levels. There is a high demand for updated guidance, however with the requirement that it be checked on the ground, e.g. by case studies.
- The intention of preparing a knowledge framework with the ABC of management providing one single key source of information is highly needed by the target groups. Currently the existing information is difficult to access and widely spread. So far, the big picture of this knowledge framework is not so clear to the different stakeholders.

#### **Conclusions**

- Essentially, the WHL is a technically adequate solution to the

problems at hand, tackling the major needs of the target groups and some of the main challenges of recent times. Capacity building activities, the elaboration of guidelines and manuals, and the established partnerships and networks contribute equally to the good feedback.

- By addressing all levels starting from the Advisory Bodies, involving regional partners (e.g. UNESCO C2C), and at the same time involving site managers, who are ultimately in charge of the implementation of the Convention, the Programme has created an excellent set-up for triggering change.
- Though the stakeholders have a common understanding of the overall challenges, to some extent they focus on different aspects and have various perspectives on potential ways to approach challenges. As the implementation of the Programme is currently in its mid-term, and at the same time suffers from restricted dissemination and limited exchange of information, the big picture still remains a little unclear. The training courses prove to be excellent solutions but require a high (financial) effort from all sides.
- The relevance of manuals / guidelines will finally be determined by the way the results are formally adopted and displayed on an official website / platform. This makes it difficult for public sector stakeholders / Focal Points to officially use these manuals in their respective countries, and will become a relevant issue once the results are ready to be channelled through official websites or platforms.

### 5\_1\_3 EQ3. Gender and social inclusion

#### **EQ3. To what extent, and how effectively, are gender and social inclusion issues being addressed in the project?**

*Sub-questions: In what way do Programme documents reflect social inclusion and gender aspects? Which training activities included a gender and social inclusion aspect? Are different social, geographical and gender groups adequately represented in the training courses and project set-up? Are social and human rights issues as well as diversity issues implemented as expressed by the target-user group? Which outputs deliberately include social inclusion / gender topics?*

#### **Status**

- The Programme document (Annex 1) outlines the fact that its content was screened in accordance with the IUCN Social Safeguards following the procedure and standards of the IUCN Environmental and Social Management System. It notes that the Programme should ensure that participation in the Programme is balanced in terms of age, gender and region by the corresponding selection of participants. Furthermore, the Programme will monitor diversity in its activities and apply a gender-response focus in the work on the manuals, tools, and standards. It is noted that there is a potential risk in the implementation of learning sites as this may impact local communities and social groups.
- The final reports on the training activities and the evaluation of the courses include an analysis of participants by gender, geographical origin and nature or culture background, as required by the Agreement.
- Deliberate attention was paid to the selection of training participants taking gender, geographical balance, and culture-nature background into account.
- The knowledge framework outline and the other draft documents include a reference to indigenous communities and gender aspects to a certain extent. However, the people-centred approach inherently includes gender- and diversity-related aspects.
- A wide range of the different experts and members of the Programme team are female. Africa is more male, the Arab region male, Asia female, and Europe female. In general, a high participation of female experts is observed.
- The composition of the coordination team includes nine female and two male experts. The team comprises mainly members from Asia and Europe. No members are of an African or Latin American origin.

#### **Conclusion**

- Gender and social inclusion aspects are reflected both in the selection of the course participants and in general terms in the

elaboration of the draft content.

- In line with IUCN ESMS standards, the Programme has to ensure that participation in the Programme is balanced in terms of age, gender and region. However, this does not play a major role as the nature of the Programme does not include an explicit field component. The Programme monitors diversity in its activities and applies a gender-response focus in the work on the manuals, tools and standards.
- The selection of the course participants was undertaken in a gender sensitive way and participation was monitored in relation to gender. Training manuals and guidelines are screened for gender sensitivity.
- The Programme is also aware of the regional cultural differences of Programme participants. As manuals are to be globally applicable, they also have to be universal in terms of gender sensitivity. Therefore gender integration and integration of vulnerable social groups per se was not addressed as an issue.

#### 5\_1\_4 EQ4. Theory of Change

##### **EQ4. Does the WHL have an adequate theory of change? How does the WH Programme expect to lead to sustainable improvements in conservation?**

*Sub-questions: Does the Programme have an explicit Theory of Change? Is there a specific standard for what a Theory of Change should look like? Which elements of the Theory of Change can be identified within the Programme documents? Is there a common understanding between all actors of how sustainable improvements are to be achieved (and of the ToC)? Is there a common Theory of Change (either formal or informal)? How does the Programme intend to change the system? Is the "sustainable improvement" adequately defined in the Programme documents?*

##### **Status**

- A theory of change is basically understood as the process for how changes should happen, both in a logical and chronological flow. With the aim of achieving a paradigm shift, all subsequent aspects

are interlinked.

- Information about the needs and key problems as a basis for the Programme implementation can be derived from some of the side documents rather than from the core documents. Essentially the Programme very much refers to the needs and objectives and proposed fields of activities provided by the World Heritage Capacity Strategy.
- By following the vision stated in the World Heritage Capacity Building Strategy, the Programme has a formally documented vision of the paradigm shifts to which it would like to contribute: (1) overcoming the divide between nature and culture and (2) establishing a people-centred approach to capacity development.
- The core basis is the "Programme Modules, Results and Outputs" document (Annex 1). Based on a general text on the new approach and aims, this sets out the objectives for each of the five modules, with corresponding results and key outputs (activities), in a clear and logical manner.
- The Programme documents are centred around inputs, activities and outputs as well as outcomes. The Programme documents do not explicitly state which drivers and barriers are to be the focus of Phase I of the Programme, what the intervention logic is between these barriers, the inputs, and the expected outputs and outcomes.
- Furthermore, many documents (e.g. PowerPoint presentations) highlight the "focus", "the key messages", the "new approach", the "aims", the "outputs" and the "activities" in different words, combinations and settings.
- The indicators are a mixture of quantitative figures and qualitative/narrative descriptions within the work programme. Their range of itemization and the likelihood of achievement are quite broad.

##### **Conclusion**

- Essentially no explicit Theory of Change is presented or documented. However, the Programme contains significant elements of a typical Theory of Change throughout the planning and communication documents.

- It can be stated that even without an explicit ToC, the Programme appears to be working in the right direction, addressing the main management challenges, developing appropriate methods and tools, and bringing together the right people. Obviously the Programme intends to change the system by raising the profile of site managers/coordinators and of those people who implement the Convention on the ground, and by fostering mutual awareness between culture and nature experts. In addition, the development and promotion of the new approach via training activities, common materials, guidance and standards (manuals and knowledge framework as the backbone for future capacity building) should ensure broad changes from the bottom up. Professional networks for knowledge sharing and exchange are considered essential for this.
- The implicit Theory of Change is based on the hypothesis that connecting site managers with the statutory elements of the convention, connecting site managers amongst themselves, connecting the different elements/institutions/people involved in culture and nature at all levels, and connecting the site managers with the surrounding communities, will lead to better management, and finally to better conservation of World Heritage Sites.
- The WHL Programme is based on a well-documented strategy and on a clearly structured set of targets and activities. There is a bundle of different elements which form a Theory of Change.
- At the same time, there is no outline of the big picture to coherently illustrate the complete process from the paradigm shift to the key problem. This might be one relevant reason why the programme partly lacks a consistent (external) perception by the participants and actors.
- The expected impact at Programme level, i.e. the contribution of the Programme towards the paradigm shifts, is not yet explicitly stated. It remains unclear what the Programme wants to achieve at site level, at the level of the institutions managing the sites, and at the level of the wider stakeholder groups with regards to the paradigm shifts during the duration of the Programme. A coherent set of indicators would have been useful.

## 5.2 Effectiveness

The Programme has followed a highly adaptive management approach. This is justified, given its complex and highly innovative vision. At output and activity level the Programme has been very effective and work plans have been achieved. All modules are generally proceeding as planned, some are further ahead (IA, EoH), and others are somewhat behind for different reasons (knowledge framework, Learning Sites).

It will become possible to determine the level of effectiveness of the Programme at outcome level once SMART indicators and means of verification have been explicitly stated. The overall objective of achieving improvements in conservation at site level is very ambitious and broad – to understand the effectiveness of the Programme some interim goalposts are necessary that clearly link the deliverables with the objectives.

*“We can see a lot of good things, but there is still something missing, clearer sentences, messages on some things are needed to make them easier to understand. [...] The nature of the programme is quite abstract. [...] but how it will be put to life, to see the practical use, is quite descriptive, hard to grasp.” (Programme partner statement)*

At site level, changes in awareness, behaviour and practices have already occurred as a result of training courses and the content of manuals / guidelines. This was achieved mainly through engaging with FPs and SMs during the elaboration of the content, as well as through building highly effective and vibrant networks. Reportedly the cooperation between nature and culture bodies has improved. This is a major success. The work of the Advisory Bodies has been strengthened, and they have worked jointly on topics where they had never done so before beyond their statutory work. However, the elaboration of deliverables required a common understanding. This took more time than anticipated.

*“Before the course, the cultural value of our site was not recognised at all. Since the course, my institutions work so closely with the communities. All the traditions [...]. We realised it is also a spiritual site, not only a natural WH site. So, we opened it up for spiritual groups. Everyone has come to accept that this is also a spiritual site. Also, our employees got interested [...]. An interest we never had, all the interaction with the communities, bringing them into the management cycle.” (Site manager Statement)*

### 5\_2\_1 EQ5. Progress towards deliverables

#### **EQ5. How is the WHL progressing towards its intended deliverables and accomplishments set for the entire Programme cycle?**

*Sub-questions: Is the achievement of the defined deliverables feasible within the given project duration? Are deliverables clearly defined in terms of type, quality, quantity, timing? What are the mechanisms and procedure to identify, agree and document changes in deliverables and accomplishments? What changes in the Programme activities have occurred, how are they integrated into the planning, and how do they contribute to the achievement of the final deliverables? Are all deliverables and accomplishments delivered on time? Which activities have been discarded, changed, and added? Have deviations been appropriately integrated into the overall Programme? What are barriers to the delivery of accomplishments? Have the annual work plans been accomplished?*

#### **Status**

The Programme document specifies deliverables linked to individual modules and the corresponding results. Few deliverables are specified in terms of type, quality, amount, and timing. Some deliverables allow for a broad range of interpretation, giving the Programme flexibility and adaptive potential to react to new developments and opportunities. On the other hand, progress is subject to subjective interpretation. Many activities are interlinked and apply to several deliverables, thus indicating highly interlinked and integrated activities but making it challenging to detect progress.

#### Module 1 Management Effectiveness

- The outputs of Module 1 are still in progress. Considerable progress has been made since 2019 in the development of the knowledge framework which incorporates the new resource manual (1A). The Enhance our Heritage Toolkit adaptation as a key tool applicable to all sites (1B) has undergone field testing (Arab Region, South America, Africa). With additional funding from Swiss FOEN, it has undergone substantial progress and shown promising results.
- According to the Programme, biennial flagship courses and at least two short courses (up to one week per year) are supposed to be held. The courses LNC-17 in Roros/Norway and PNC-19 in Victoria Falls/Zambia, an AB Networking Activity in 2018, and the Nordic-Baltic Course on World Heritage Procedures in Bergen/Norway 2018 were successfully held and positively evaluated by participants. In addition, the LNC-17 Course in Trento was held but attributed to output 1E. Within the first three years, one Flagship course (LNC-17) and three short courses were held. Including the LNC17 course, this adds up to four courses. In 2019, PNC-19 in Dambulla/Sri Lanka was held as the second flagship course forming part of the Year 4 reporting period.
- So far, the Programme has been supposed to organise three (or two if LNC17 is included here) additional short courses to meet the final output of 12 short courses for the total implementation period.
- Output 1C includes an unspecified number of side events held at the WHC Meeting, ICOMOS GA or the IUCN WCC. Side events organised by the Programme at the World Heritage Committee, IUCN WCC (World Conservation Congress), and ICOMOS triennial General Assembly focused on nature, culture and communities. The Programme successfully organised side events at the WHC Meetings 2017, 2018 and 2019, and participated in the ICOMOS GA in 2019. Subsequently, the Programme was planning to organise side events at the WHC meeting in 2020, ICOMOS GA 2020, and IUCN WCC 2020, but due to the COVID-19 situation all meetings scheduled for 2020 have been postponed.

- Output 1C includes the development of an online platform to provide online courses and other self-learning resources. This activity is linked to the knowledge framework and has not yet materialised as the materials are still being developed.
- Output 1D includes at least three teacher seminars for WH-related Master's programmes, the establishment of an unspecified number of university partnerships, and the holding of teaching sessions. The teacher seminars were postponed to a later stage of the Programme. So far 9 teaching sessions have been held, and initial partnerships established with Ritsumeikan and Tsukuba University in Japan.
- Output 1E refers to integrating governance, rights-based approaches, local engagement, and sustainable development into the manuals. This was addressed by the PCA17 Rome/Trento Course, a rights-based syllabus development and a governance workshop in Delhi 2017. So far, the corresponding aspects have been integrated into the manuals and course curricula.

#### Module 2: Resilience

- A first draft of the resource manual on Resilience and Disaster Risk Management (Output 2A) was completed by the end of 2019 and is currently under revision. Aspects of climate change (Output 2C) were integrated in cooperation with the ICOMOS Climate Change Working Group (CCWG) and based on a scoping study. The contribution of ICOMOS CCWG has not been reflected in the reports so far.
- Output 2B refers to capacity building activities to support at least one World Heritage Site per year in developing or revising a DRM plan (Result 2.2.1). The number or type of capacity building activities is not stated in the documents. According to the available information, the Programme is still exploring pilot sites. A pilot course in Brunei in cooperation with SEAMEO-SPAFA was planned but had to be postponed due to the COVID-19 situation. The revision of the DRM Plans has not yet started, as this was to be aligned with the course activity.

#### Module 3: Impact Assessment

- The development and preparation of an Impact Assessment Toolkit (3A) is quite advanced. A first review of the draft, which was elaborated in cooperation with IAIA, has been completed and has received very positive feedback. According to ICOMOS, they received more feedback than usual on the draft after sharing it amongst their members due to the high interest. All three Advisory Bodies (ICCRUM, ICOMOS and IUCN) intend to adopt the guidance as the official guidance.
- The impact assessment-related capacity building activities (3B) are not further specified in the Programme. A one-week course was merged with PNC18 in Zambia and accounts for IA related capacity building. The course on Impact Assessment held in cooperation with WHITRAP Category 2 Centre represents the main course activity for Module 3. Associated activities (IA Workshops in Montenegro and Seoul) further contributed to the capacity building and can be indirectly attributed to Output 3B.
- Output 3C provides for the preparation and implementation of an Impact Assessment Awareness Raising Strategy amongst States Parties. The Programme participated twice in the Annual Conference of the International Association for Impact Assessment (IAIA). It was planned also to participate in the 2020 Conference in Seville, and to host a workshop session and a training event. This was postponed to May 2021 due to COVID-19.
- Output 3D refers to a two-day training activity for professionals to advise States Parties on Impact Assessment. This has not taken place so far; it was scheduled to take place during the IAIA 20 Conference in May 2020 which was postponed due to the COVID-19 situation.

#### Module 4: Learning sites network

- Output 4A refers to the establishment of a network of learning sites for capacity building, training and knowledge sharing. After a long explorative phase, this idea did not materialise. In 2019, the Programme agreed to shift it to an online solution by establishing a sub-community on the IUCN-led Panorama Solutions Platform. The corresponding activities started in early 2020 with plans to

launch the sub-community by October 2020.

#### Module 5: Leadership networks

- The Programme is supposed to organise a high-profile World Heritage Leadership Forum preferably in the Nordic countries at least every three years (Output 5A). So far, the Programme has not implemented such a Forum. However, it classes the organization of two World Heritage Site Managers Forum Events in Bahrain and Azerbaijan as major Forum activity.
- Output 5B refers to the support for networking of Nordic World Heritage Sites without further specification in the Programme document. The Programme has participated in several activities such as the Meeting of Norwegian World Heritage Site Representatives (2017), Nordic World Heritage Conferences (2017, 2018), Roros LNC 17 (see also Output 1C), and Norwegian World Heritage Meeting (2018).
- Output C refers to the training and inclusion of Nordic Practitioners in the WH Evaluation, monitoring and capacity building activities. This output is not further specified. So far, 2 Nordic experts have received support for carrying out missions in 2019. Furthermore, the Nordic-Baltic Course in Bergen focused on the training of Nordic experts (see also Output 1C).

#### **Conclusion**

- The work is proceeding well according to the proposed working Programmes and is on course to achieve the deliverables towards the end of the Programme cycle.
- In general terms the Programme has caught up well after a delayed start.
- The interdisciplinary dialogue and finding a common approach, language and understanding (in terms of culture and nature) needed more time than anticipated. This was necessary in order to develop a common view, but is a lengthy process where progress is difficult to see. According to the stakeholder interviews this was widely achieved.
- At output level, the achievement of the deliverables is feasible in the remaining time of the Programme. However, some deliverables need to be more clearly defined in terms of the expected quality, quantity and timing. For all deliverables there is a respective plan available. At outcome level the expected results are formulated very broadly. To assess whether the Programme is on track, the identification of at least one SMART Indicator and/or the corresponding means of verification would be useful to determine whether the Programme is effectively achieving its expected outcomes and contribution to the intended change. At the level of objectives, the headlines of the Modules are mentioned without further specification of what should be achieved by whom and how.
- The knowledge framework is considered as the backbone not only of Output 1A. The intention is to integrate all relevant knowledge and for the manuals to have a coherent structure for content on World Heritage Management. However, there are different perspectives and perceptions of the exact scope, purpose, function, and dissemination of the knowledge framework. Due to this different understanding of the knowledge framework, the exact linkages between the knowledge framework and the manuals sometimes remained unclear both for the evaluators and for several interview partners. This is a challenge for progress, as the work on the knowledge framework and the manuals takes place simultaneously and needs to be well synchronised. It would be advisable to jointly agree on specific work steps, the final design and the place for dissemination for the knowledge framework.
- There is an internal working paper on the knowledge framework which was shared with the advisory group and in the Donor Meeting. This focuses on the content and its structure, but insufficiently addresses the strategy for how the KF will be made accessible and legitimised. The interviews created the impression that the discussions about the nature of the knowledge framework, which goes far beyond the original work Programme, consume quite a lot of time and energy.
- In addition to the main activities, there has been very intense stakeholder engagement across the nature and cultural sectors. The amount of time and effort required to achieve good

cooperation between the cultural and natural realm – even at Programme level – has been much greater than initially planned for. However, the investment in a joint working structure and the agreement on a common language have proven to be highly effective. Without such common ground, joint elaboration of manuals would not have been feasible.

- There are three larger changes/deviations from the original Programme document:
  - The individual manuals are no longer considered as stand-alone documents but feed into a general knowledge framework, which was not part of the original Programme. This is also reflected in the change from modular task teams to a general coordination group.
  - Module 4 (Learning Sites) has been redefined from a site-based approach to an online solution (Panorama Solutions Sub Community).
  - Module 5 (Leadership Networks) did not provide for the World Heritage Site Managers Forum within the frame of the WHC Meetings. The World Heritage Leadership Forum as listed in the Programme document has been reinterpreted. This is remarkable as it has become one of the outstanding achievements of the Programme.
- Most deliverables are in progress and have mostly been delivered on time. Some activities have been constantly postponed to a later stage (e.g. learning sites, teacher seminar) or have not yet been addressed (e.g. DRM Planning support for six sites, as this activity also included a fundraising component).
- COVID-19 is likely to result in the postponement of the implementation of site-based activities and training courses.
- Though there was a delay in the early stage of the Programme, the Programme succeeded in catching up most of this by means of good project management, intensive work on content, and good partnership.
- Difficulties in assessing progress arose due to the unclear specification of indicators, the replanning of activities, changes in the specification of deliverables, and activities referring to multiple deliverables.
- There is no clear distinction between the activities carried out by the Programme and activities carried out by partners (e.g. EoH Toolkit Testing funded by Swiss FOEN), even though partnering activities are to some extent indicated separately in the reports.
- The unspecific character of some outputs and deliverables in combination with the very comprehensive and wide scope of objectives makes it difficult to see progress and achievements for the Programme management, the donor and the partners. A joint specification and agreement on what will comprise a successful completion with the donor will be helpful.

### 5\_2\_2 EQ6. Occurrence of Changes

**EQ6: What changes in awareness, behaviour, practices, and performance (intended and unintended) have already occurred as a direct result of the WHL?**

*Sub-questions: Was there a baseline assessment e.g. a knowledge attitude and practice study? What type of change occurred on-site/ during practical work on pilot sites? Which aspects of the Programme are planned to be implemented by site coordinators and NFPs? Which aspects of the Programme/which acquired knowledge is being used in practice? Which aspects of the training activities were included in the practical work of site coordinators and NFP? To what extent?*

#### **Status**

- The adoption of the people-centred approach was reported as a direct result of the WHL activities. As a direct consequence of the courses, site managers focused increasingly on the involvement of local communities and stakeholders. Furthermore, the courses led to an increased awareness of cultural values in natural WH Sites and vice versa.
- As a further direct result of the WHL activities, participants started to network amongst themselves by creating subgroups (e.g.

WhatsApp) for a constant site manager-based knowledge exchange on practical issues.

- The cooperation between nature and culture bodies has improved. This is a major success. The work of the Advisory Bodies has been strengthened, and they have jointly worked on topics which they never used to work on before beyond their statutory work.
- Participants generally considered the Programme positive and helpful in terms of including what they had learned in their practical daily work.
- Several participants reported that the WHL reinforces WH site managers in understanding themselves and the World Heritage's role and importance. Therefore several participants noted improved communication with officials and decision makers and easier access to funding as a direct result of participating in the training activities and workshops.
- In the case study sites where the training took place, the site management has benefited significantly from the course. There are several success stories available.
- In one of the sites, the area now includes a cultural component, so it is also regarded as a religious site. The relationship with the communities has been promoted, and now the site emphasises its spiritual element.
- Another site now includes the local indigenous people in its management. The WHL Course triggered better communication between the local authorities, a nature component is now integrated in the new management plan, and it is planned to include local culture in the OUV.
- Site managers pointed out the following as concrete changes:
  - Integration of natural and cultural values in management plans and OUV.
  - Increased community involvement. Considering people as an element of the WH site.
  - Integration of a governance aspect into the South African Management Effectiveness Toolkit.

- As an outcome of the course in Victoria Falls, the participants started the development of a sub-forum of the WHL Site Managers Forum, the African Site Managers Forum. The course has triggered a sense of ownership amongst site managers.
- The Programme did not carry out a baseline assessment such as a knowledge practice study, but extensively relied on the knowledge of a wide range of experts from different levels, both that of the IUCN, ICCROM, ICOMOS and the knowledge shared by the participants during the training courses.
- As to the guidelines and tools, the target audience is not very well informed about the status of the elaboration. However, this will be important to them for breaking down the global knowledge to the regional or local level.

### *Conclusion*

- Though the Programme is still in the middle of implementation, its impact has already been very positive and has led to concrete positive changes in the management of sites in very different cultural contexts in Asia, Africa and Europe.
- These anecdotal success stories both indicate the relevance and appropriateness of the approach for practical site management and support the approach of focusing on site managers as direct implementers of the Convention. It appears that the WHL Programme is triggering changes at ground level.
- The raising of the profile of site managers, including a better understanding of their role in the system of the World Heritage Convention, seems to empower site managers and make it easier for them to connect to officials, public authorities and funding agencies.

### 5\_2\_3 EQ7. Likelihood of achieving outcomes

**EQ7. What is the likelihood of achieving intended outcomes? Are initial changes likely to lead to the expected subsequent changes and Programme outcomes? What can be done to make the Programme more effective?**

*Sub-questions: To what extent have specific outputs/deliverables contributed to the achievement of the intended outcomes for each module? What initial changes were observed by the different stakeholders? What additional actions or developments did they trigger? How do stakeholders assess the suitability of the developed outputs for achieving the outcomes as defined in the Programme document? Are key persons and institutions involved in the development of the guidance documents? What aspects should be further considered to achieve the intended outcomes?*

#### Status

- The main deliverables, the different manuals and the knowledge framework are at different stages of development. After a period of finding a “common language”, the Programme partners and experts involved have very good and professional teamwork.
- The IA Manual is a major step forward and a document that is highly needed. It is considered a significant update of previous guidelines. However, there are significant concerns raised regarding the basic assumptions presented in the IA Manual by the IAIA or the Norwegian Environmental Agency, and regarding the practical applicability on the ground (ARC-WH). This could make the process of reflection more time-consuming than planned.
- The IA Manual received above-average interest in the first review cycle, indicating high interest. ICOMOS has already discussed formally adopting the revised IA Manual.
- The knowledge framework, the Management Effectiveness guidance and the Resilience Manual have not yet been shared with a broader range of stakeholders, and it is too premature to assess the suitability.

#### Conclusion

- The Programme Coordination has proved to be highly effective and efficient in adjusting the Programme activity plan and keeping track of the changes and annual work plans that have been accomplished.
- The likelihood of achieving the intended outcomes is quite high. Initial changes were necessary and provided an appropriate response to the dynamics of the Programme (adaptive management). In combination with the lack of a commonly agreed ToC and mainly informal communication channels, they caused different levels of delays in accomplishing the results. This delay might conceal the risk of failing a comprehensive reflection process and of neglecting the necessity to regionalise the results.
- To date, it is unclear for many Programme participants what the intended outcomes really are, how they are interlinked to each other and how they will be made usable. This is because they are insufficiently specified in terms of time, quantity, quality, and user target group.

### 5\_3 Impact

Site managers have started to adopt a more people-centred approach to the conservation of sites. Partner Institutions have worked jointly on manuals and learned to integrate the cultural and natural perspectives with each other. Site managers and NFPs have participated in integrated training activities and have given feedback on the content of manuals from the practitioners’ perspective; they exchange knowledge and practice through the Site Managers Forum and informal channels on social media. All these direct and short-term impacts of the Programme have the potential to contribute to a long-term conservation impact that is visible on-site, but also takes place due to the respective national stakeholders collaborating across the nature/culture sectors.

*“Apart from my own experience, it has influenced the way of managing our site. We have changed it. For example, we now deeply involve the communities in all our processes, the decision-making This was not the case before [...]. This is working very very well.” (Site manager Statement)*

After only three years of implementation, the evaluation was able to confirm the occurrence of concrete changes in awareness, behaviour and practices (e.g. community involvement, culture-nature components in management plans) and improved cooperation and exchange between nature and culture at all levels (e.g. initiative to establish an African Site Managers Forum). The outstanding achievement so far is the widely appreciated Site Managers Forum, which succeeded in linking site managers with the Convention.

*“Here people sit together, talk to each other, share thoughts, that is fascinating. There was this clear need to establish communications beyond States Parties. Everything the Convention decides falls back on-site managers, now they get more attention. “(Statement by a site manager about the Site Managers Forum)*

These anecdotal success stories indicate a potential broad impact of the Programme. To be able to achieve this impact, the WHL Programme must further lead the way on how to bridge the institutional divide between nature and culture. It must identify and sustainably implement ways of formalising the joint outcome of the Programme, legitimising it at the level of NFPs and site managers, and integrating it into the UNESCO work processes.

Practical examples of impacts on site could, for example, be enabling better visibility / accessibility of natural and cultural monuments while still taking account of their visitor capacities; enhanced management effectiveness and improved conservation status through improved site-level monitoring; stronger integration of communities in site management and conservation; better integration of social, environmental and cultural standards in site management.

The likelihood of achieving the intended impacts will depend on the level of consolidation the Programme achieves and the ability of the Programme to consider the existing barriers at programme level (communication, dissemination, reflection process), at national level (institutional barriers, low awareness) and at cultural level (language, geographical distribution).

### 5\_3\_1 EQ8. Long-term conservation effects

**EQ8. What long term conservation effects, intended and unintended, are likely to occur as a direct result of the WHL? What can be done to increase impacts?**

*Sub-questions: What are the explicitly named expected impacts and conservation effects as defined by the Programme? How do stakeholder and target groups assess the likeliness of achieving the defined conservation effects? What barriers and obstacles are identified by the stakeholders? What concrete effects were observed after the on-site training activities? Which aspects improved? Which ones did not? To what extent is institutional support available for delivering the content to the relevant beneficiaries? Did the Programme involve the relevant and responsible key institutions connecting to the relevant beneficiaries? Which institutions plan, or have planned, to integrate the guidance documents into their regular training activities?*

#### Status

- According to the Programme concept, there is a cluster of approaches which should contribute to improving conservation effects:
  - WHL seeks to improve the conservation and management practices for culture and nature through the work of the World Heritage Convention, as an integral component of the contribution of World Heritage Sites to sustainable development (Annex 1)
  - WHL seeks to ensure the contribution of WHL to communities and sustainable development through setting and testing leading standards for conserving sites. (Annex 1)
  - WHL seeks to provide widely translated advice on conservation policies and practices by integrating the Cultural and Natural World Heritage management manuals into one single document. (Annex 1)
  - WHL seeks to demonstrate leading practice and provide platforms for learning and capacity building by establishing recognised leadership sites. (Annex 1)

- WHL seeks to build international networks between nature and culture practitioners and institutions linking on-the-ground practice with leadership at international, regional, national and local levels. (Annex 1)
- WHL seeks to support the work of site managers, stakeholders and national heritage services through the provision of training, exchanges, and other capacity building activities. (Annex 1)
- Due to the parallel development of content and simultaneous testing on the ground via the training courses and field testing, the on-site impact and improvements in conservation practice have materialised earlier than expected.
- As regards the stakeholders' perception, they see a high dependence on the corresponding national regulations. Several interviewees perceived low awareness and support amongst States Parties. Minor adaptations can be made by the site manager, but larger shifts depend on the corresponding authorities and require awareness raising, formalization and legal changes for their implementation. National Focal Points were viewed controversially, depending on their position: there are either key enablers or main bottlenecks.
- The stakeholders regard the main obstacles as being the institutional separation between nature and culture, and the legal limits for implementing cooperative nature-culture based approaches.
- The Programme has hardly any specific impact indicators. However, it has clearly achieved an impact at the level of the target beneficiaries (site managers).

### Conclusion

- The long-term conservation effects were not explicitly defined by the Programme. Given the generally stated, practical applicability of the results and training content and the reported anecdotal improvements at site level, an improvement in the conservation status is likely to occur as a direct result of the WH. Key informant interviews confirm that all parts of the Programme have a high practical relevance and are supported by a very active and

interesting Programme community.

- With a view to the wider environment, the Programme contributes to the post 2020 CBD strategy, and thus has an indirect effect on conservation topics.
- The guidelines and manuals are significant contributions to fostering the conservation of the sites by a wide range of stakeholders. As a direct consequence of the training activities, the Programme has already proved it is able to improve conservation practice on-site.
- The Programme activities have triggered the formation of informal networks of site managers, which they are constantly using for the exchange and sharing of information, leading to a better management of the sites.
- The Programme needs to be aware that training and capacity building as such do not have a direct impact on conservation, but rather an indirect one, which could become visible for instance in changes in the SoC reports. Consequently, follow-ups with participants are highly relevant.
- Significant question marks might be the lack of a strategy to integrate results into the WHC procedures, and the weakening of standards within some guidelines or manuals (e.g. as discussed within IA).

### 5\_3\_2 EQ9. Likelihood of achieving impacts

#### EQ9. What is the likelihood of achieving intended impacts?

*Sub-questions: What are the assumptions made in order to achieve the impact through the outcomes of the Programme? What risks are perceived by stakeholders that might lead to not achieving the expected impact?*

#### Status

- At the sites where training courses were held, the corresponding site coordinators reported significant, sometimes major, changes triggered by the Programme (e.g. inclusion of the local/indigenous culture and improved cooperation with local municipalities, official

recognition of the spiritual importance of World Heritage Sites, and increased community involvement).

- Several participants in courses mentioned that the course was an “eye-opener” and has fundamentally changed the way they manage and see the World Heritage Site. The Site Managers Forum has triggered an initiative to start an African Site Manager Subforum.
- Several interviewees stated that cooperation between nature and culture bodies has improved. This is a major success. The work of the Advisory Bodies has been strengthened, and they have jointly worked on topics which they never used to work on before beyond their statutory work.
- The Programme Activities have triggered the development of a widely connected, vibrant WhatsApp community, which serves for building networks amongst site managers. These groups are widely used for informal exchange, quick questions, or problem solutions.
- The close cooperation with different C2C Centres (AWHF, WHITRAP, ARC-WH) provides a promising basis for achieving a broader impact.
- The courses held so far indicate that the design and focus of the courses does indeed trigger improvements and changes in the management on the site, leading to better management of the WH Sites, which is expressed as an overall objective of the Programme.

### Conclusion

- As this is a capacity building Programme by its nature, impacts on the ground are basically to be achieved indirectly through personal training activities and empowerment, thus contributing to a better and holistic management on the ground that is based on an enabling environment on different levels.
- As the interviews revealed, the perception of having a potentially major impact on the ground – both via the guidelines and manuals, and via the training activities and exchanges of experiences in

networks – has largely been underlined.

- As the Programme borders on two phases (content generation – dissemination), the main impacts will occur after the various guidelines and manuals have actually been applied in practice.
- The Programme needs to further acknowledge that the Site Coordinators are usually embedded in the public administration structure, which limits the implementation of substantially new approaches.

### 5\_4 Efficiency

Given the complex and innovative nature of the Programme, it has been efficiently managed. The work plans have widely been achieved and 45% of the total grant has been spent accordingly. The existing reporting arrangements allow for a consistent tracking of activities and expenses. However, the reporting only provides limited information regarding the links between activities and their contribution towards achieving the Programme objectives and results.

In addition, the Programme has managed to attract substantial additional funding from the Swiss Federal Office for the Environment and the Korean Cultural Heritage Administration.

So far, it has amalgamated the coordination, execution, implementation, and communication. This setting is adequate for the start of the Programme, but has limitations regarding scaling-up and outreach, particularly as there is no concrete communication strategy available.

*“The project management is very good, not too much micromanagement and not too broad.” (Interview statement)*

In the first half of the current Phase, there were delays, and frequent re-planning and adaptations were necessary. This was adequately managed by an adaptive management approach. A good communication basis with all partners of the Programme has been confirmed.

The initial challenges are most probably attributable to three main reasons: (1) the challenge of implementing a cross-institutional Programme and the time needed to identify workable programme

implementation arrangements; (2) the absence of a ToC, which necessitated several rounds to agree on what really should be achieved in the course of the Programme; and (3) an initial disparity between the mandate of each institution engaged and the mandate of a person from that institution in the Programme.

The mandate of institutions involved at Programme management level should be clarified and should match their official mandates. This goes hand in hand with the question: Which institution should adopt the manuals/guidelines and which institution should publish/disseminate them, and which institutions should ensure that manuals are regularly updated?

**5\_4\_1 EQ10. Efficiency of Programme management**

**EQ10. How efficiently has the Programme been managed and implemented? What should be done to improve efficiency? Could the results be achieved with fewer resources without reducing the quality and quantity? What should be done to improve efficiency?**

*Sub-questions: How many resources have been assigned to different activities (PM, coordination of activities, internal workshops, training, individual modules)? Have additionally raised funds been used in an appropriate way? How did the spending evolve during the project lifespan? How did the joint implementation of ICCROM and IUCN influence efficiency? How are tasks, responsibilities and decision-making organised between IUCN and ICCROM? What recommendations for improvement have been identified by different levels (target user groups, institutional partners, project management unit, advisory group, donor)?*

**Status**

- According to the financial reports presented, the Programme has spent NOK 11.7 million (47% of the available budget) of the total budget of NOK 25.2 million during the period from 2016-2019.
- Within the first three years of the Programme, the WHL Programme spent 43% of the total budget. This is shared almost evenly between IUCN and ICCROM.

	Total budget	Of which spent	Balance	Percentage spent	Percentage of total grant
<b>ICCROM Total</b>	€ 804,885.96	€ 505,965.96	€ 298,920.00	62.86	
<b>IUCN Total</b>	€ 634,975.00	€ 507,579.59	€ 127,395.41	79.94	
<b>Total Budget Year 1-3</b>	€ 1,439,860.96	€ 1,013, 545.55	€ 426,315.41	70.39	45.48

Table 1: Total budget and proportion spent in Years 1-3

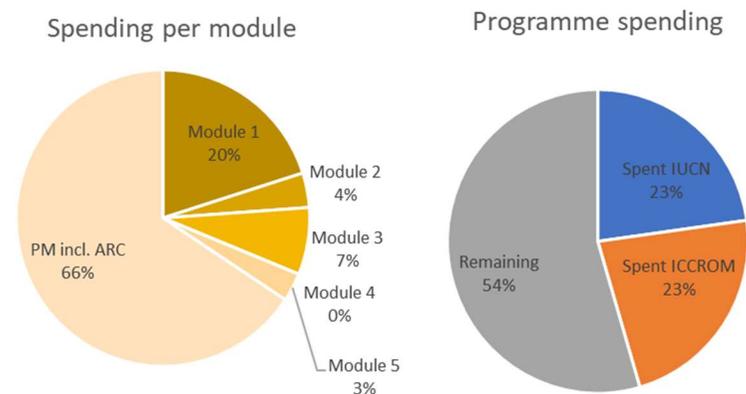


Figure 4: Programme spending per module and total amount spent

- About 66% of the total grant was spent on project management covering the salaries of the Programme staff at ICCROM and IUCN and the related administrative costs (Administrative Recovery Costs).

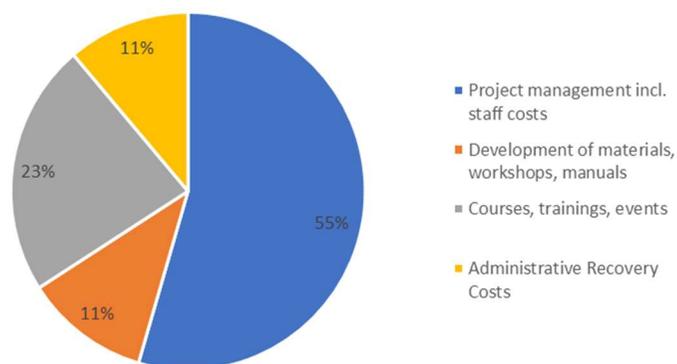


Figure 5: Spending in per cent per type of activity

- About 20% of the total spending is linked to Module 1 (Management Effectiveness) in which most courses were held, which includes development of the knowledge framework and the EoH Toolkit.
- Module 2 (Resilience: 4% of total spending) and Module 3 (Impact Assessment, 7% of total spending) represent a smaller share of the expenses. The focus was on developing the revision of the DRM Manual (first draft was ready by autumn 2019) and the Impact Assessment Guideline (revised draft was ready in early 2020).
- The implementation of Module 4 (Learning Sites) did not start within the first three years. However, from Year 4 onwards, the Panorama Solutions Platform is being developed for presenting case studies.
- Module 5 (Nordic Involvement) accounts for 3% of the total spending, comprising selected events and meetings.
- Close to a quarter of the budget was directly allocated to training courses, workshops, and events with a broader external audience.
- PCA17 and PNC18 have been co-financed by the Swiss Federal Office for Culture.
- The Swiss Federal Office for the Environment (FOEN) is contributing CHF 230,000 for two years on the EOH activity. The Korean Cultural Heritage Administration (CHA) is contributing

USD 500,000 for four years to hold four PNC courses and a final forum in Korea through ICCROM.

- The Programme Management is located at ICCROM in Rome, and supervised by two Programme Directors (at ICCROM and IUCN).
- The Programme Management and the Programme Directors oversee the preparation of the annual work plan, the allocation of the budget and the corresponding reporting.
- The Programme has three two-year working plans which are discussed and approved within the Annual Donor Meetings. Any adaptations are discussed transparently during these meetings.
- Each activity in the budget is assigned to the institution in charge (either ICCROM or IUCN), which is then responsible for its implementation and the corresponding financial documentation.
- Even though being main bodies of the WH Convention, ICOMOS and the WH Centre have no fixed corresponding budgets. However both are represented in the advisory group of the Programme. ICOMOS has low visibility in the Programme but contributes substantially to the Programme. A separate contract was under preparation during the evaluation period.
- According to several interviews, the Programme Management has found a good balance between macro- and micromanagement.
- Given the wide range of activities and networks, the Programme Management is currently operating at its limits at the expense of the information and communication activities.
- From the outside perspective, the interviewees confirmed that there is excellent project management. They do not have a deeper insight into the resource efficiency, but this has never been a topic of concern. Specifically, the Programme coordinator Eugene Jo is regarded as a key person and as having outstanding skills to coordinate this Programme. A few questions arose about the scope of the Programme, the various directions it takes, and the workload.

### Conclusion

- The Programme management in general is highly efficient, which can be attributed to the outstanding work of the Programme Coordinator.
- A large proportion of the budget is allocated for staff costs at IUCN and ICCROM. This is justifiable as the Programme staff are deeply involved both in the management and coordination, and also in the development of the content. However, the financial documentation available is not sufficiently detailed to allow for a more detailed assessment of activity-based costing.
- Given the dynamic implementation and the wide scope of activities of the Programme, several adaptations, rescheduling of activities and changes were necessary. This requires considerable effort on behalf of the Programme management to restructure and readjust the planning. This has been managed to full satisfaction so far.
- The financial commitment of further donors (Swiss FOEN and Korea CHA) has enabled the in-depth testing of relevant tools (Output 1B), thus gaining additional quality and ensuring close linkage with IUCN. Through the commitment of Korea CHA, courses in addition to those planned allow for a broader promotion of the proposed paradigm shift in an Asian context.
- The additional donors selectively contribute to the quality of the Programme and its increased visibility. However, the differentiation between activities attributed to WHL and the additional donors is not very visible. It might be advisable to clearly define how WHL and Norway as the main donor should be made visible in these sub-activities.
- The Programme management is flexible in terms of reacting to changes and in respect of new developments, and is capable of dealing with these adaptations and correcting the directions when necessary.
- The joint implementation by IUCN and ICCROM and the separate budgets increase the complexity of the Programme management.

- The fact that no budget was foreseen for the contributions by ICOMOS has caused some difficulties, which have been resolved to the satisfaction of ICOMOS.

### 5\_4\_2 EQ11. Risk Management

#### EQ11. To what extent are risks well managed?

*Sub-questions: Does the Programme have a strategy/list/matrix/analysis of potential risks and how to deal with them? What risks have occurred so far? How did the management respond to these? To what extent is the management aware of potential risks? What potential risks may occur in the further process?*

#### Status

- According to Annex I of the Contract, the Programme presents low and readily mitigated risks in terms of implementation. The risks are to be managed by implementing specific activities via the normal protocols of IUCN and ICCROM.
- Annex 1 sees risks in relation to the embedding of new standards and concepts related to nature-culture connections, and the different technical components of the Programme within the work of the World Heritage Convention (Annex 1).
- According to the interview partners, only a few risks are seen, which might not really affect the success of the Programme if it is continued as hitherto. A risk might occur if the existing partnerships and project management were to change to a significant degree, as the continuity and the common understanding might be lost.
- On a Programme level, there is a risk of results not being formalised and integrated into the WHC and furthering the work of ICOMOS, IUCN or ICCROM. This would massively limit the broad application. The Programme views the maintenance of open and consultative arrangements and direct engagement in the Programme from WHC and ICOMOS, as well as from Norway and other State donors who contribute to the Programme, as a strategy to minimise this risk. (Annex 1)

- Risks on a technical level are seen for example in the large number of results on a global scale, which are not fostered accordingly and tailored to specific, local needs. This would limit the broad application.
- Existing institutional barriers – not necessarily within the Advisory Bodies or partners – at national level represent a risk for the long-term implementation of the proposed paradigm shift. Many countries have a de facto separation of culture and nature mandates in their corresponding national administration and legislation. This aspect was emphasised various times by respondents to the online survey and the site managers interviewed.
- A current risk is seen in the Covid-19 crisis, which might delay some work but might also turn out to drive digital and virtual forms of exchange (of data, communication) forward.

### Conclusion

- The Programme document clearly recognises risks related to the embedding of new standards and concepts within the different technical components of the WH Convention. Even though there is no formal risk management strategy, the highly efficient coordination and adaptive management was able to absorb smaller risks (e.g. delays).
- The Programme management is implicitly aware of the main risks and is capable of mitigating minor issues by means of effective adaptive management.
- There is no specific risk management plan. As risks were not deliberately formulated, there is low awareness regarding risks.
- The biggest risk so far – and a totally unforeseeable one – is the COVID-19 situation, which challenges the approach of field testing and on-the-ground validation processes. The Programme might increasingly invest in the establishment of formal channels for digital meetings and dissemination of content. It will be crucial not to lose contact with the networks that were initially established. Appropriate time and budget should be allocated to promote cyber meetings and workshops, virtual training classes and a digital

solution for the Site Managers Forum.

- There is a certain risk of becoming overstretched due to the wide range of different activities and the broad scope, which need to be matched with the available human and financial resources.
- At the current stage, there is a risk that the documents and deliverables elaborated are insufficiently grounded through feedback loops, as there is the constant issue of quick release versus further validation. The Programme needs to concentrate its efforts on the accelerated adoption and release of documents that have been elaborated so far. There is high demand from the partner and beneficiary side for access to the materials.
- The underlying risk of combining nature and culture, the related tensions and the need for clarification amongst the Programme management, experts involved and Advisory Bodies has been underestimated. This has led to unplanned discussions in order to find a common language and understanding, resulting in an effect on the planned progress.
- The fact that institutional structures are often rather strictly separated between nature and culture, and that this might affect the application of the new approaches, has been underestimated.

### 5\_4\_3 EQ12. Monitoring & Evaluation system

**EQ12. Does the WHL have appropriate monitoring and evaluation system to track progress, assess contribution of WHL to changes in outcomes, measure impact and foster learning?**

*Sub-questions: How is the M&E System of the Programme organised? Are there concrete indicators and baseline information available? To what extent is the system capable of tracking progress and measuring impacts? Do the reporting procedures allow for a coherent tracking of progress? To what extent are the advisory group, the donor and the project management able to provide information on the progress, outcomes and impacts based on the monitoring information provided? To what extent have recommendations been integrated into further planning and management?*

### Status

- Annex 1 of the contract requires a monitoring and evaluation plan including the following actions:
  - An annual report on the Programme, presented to the advisory group and the annual meeting of ICCROM, IUCN and Norway. This reports on the execution of the Programme, the extent of achievement of actions, the progress on outcomes and the necessary adaptations.
  - A report on each capacity building activity, including participant feedback, and a report on diversity of participants broken down by gender, age, and region to confirm that diversity is required by the Programme document and has been appropriately addressed.
- The Programme is intended to commission an external mid-term review of the Programme at the start of Year 4, with a report by Q3 of Year 4. The recommendations are to be included for the final two-year work Programme (2020-2022). This review should present recommendations for actions related to the long-term sustainability of the Programme.
- The Programme commissioned the Mid-Term Review by February 2020.
- The Programme presented the interim and annual reports as planned.
- The first formal advisory group meeting took place in September 2019. Previously only informal meetings with members of the advisory group had taken place.
- The annual reports present activities of the Programme according to the work plan, without including interpretation or comments on potential impacts and outcome.
- The Donor and the advisory group members are generally satisfied with the reporting procedures, and have stated that they have a sufficient overview of the ongoing progress and the Programme activities. However, it was mentioned that the actual progress towards the individual results and outcomes is not very clear.

### Conclusion

- The Programme has implemented the M&E System as specified in the contract. This includes annual (separate) financial reporting, interim and annual reporting, and the corresponding presentation and discussion during the advisory group and donor meetings.
- The annual reports provide a comprehensive overview of activities carried out by the Programme. The reports allow the implementation of the agreed work plans to be tracked. The accompanying financial reports provided a detailed documentation of the expenses of the Programme separately for IUCN and ICCROM.
- The reports link the workplan to specific outputs and results. They allow for a systematic tracking of activities and an assessment of which activities have been implemented according to the agreed work plans. Due to the broad formulation of results and the lack of associated indicators at result and objective level, the reports do not allow for a coherent assessment of the extent to which the individual activities contribute to the progress towards the corresponding results. Furthermore, the link between the results and the overall Programme objective is blurred.
- The broad scope of objectives, outputs and results, and the partial absence of quantifiable indicators as well as the various changes in planning and implementation, hinder the coherent monitoring of specific progress towards the desired results. Consequently achievements, outcomes and impacts are not easily recognisable by the Programme management, the donor and the advisory group.
- The role of monitoring and evaluation is somewhat hidden in between the lines of the Programme set-up, and is not explicitly integrated as part of a learning and planning cycle. However, during the discussions in the donor and advisory group meetings the lessons learnt are discussed and integrated in the planning.
- As the Programme has components of knowledge generation as well as capacity building, the formulation of differentiated indicators at objective level would be helpful.

- The Programme has already shown anecdotal behavioural changes at the level of site management, but does not have an approach and indicators to systematically monitor these changes. The definition of specific indicators would be helpful to evaluate the final impact of the Programme.

#### 5\_4\_4 EQ13. Communication Strategy

##### EQ13. Has the communication strategy been appropriate in reaching out to relevant stakeholders?

*Sub-questions: Does the Programme have a deliberate communication strategy? How is the communication with different target groups organised? Which target groups have not been adequately reached so far? Which content is communicated to whom? Which information is available to stakeholders/beneficiaries? Does the communication strategy include all the relevant target groups as defined by the Programme? Are participants in training courses and activities aware of results and developments within the framework of the project? How is it planned to disseminate the newly developed guidance? What formats for communication are defined in the strategy? Which ones have the greatest outreach?*

##### Status

- The communication node of the Programme is represented by the operational Programme management, notably by Eugene Jo. Communication channels are mainly email, meetings, social media, telephone calls, and videoconferences. The information available to stakeholders and beneficiaries is mostly limited to informal exchanges and the updates presented on the WHL Facebook Page, which currently has more than 2000 members. Course and SMF announcements are mainly published via the Facebook Group and through the Websites of IUCN and ICCROM, and shared by partners of the Programme.
- The Programme provides information to the advisory group and Advisory Bodies by means of the annual technical report, within the frame of the advisory group meetings, and during individual working meetings. There is a constant exchange between the different actors within the framework of ongoing work.
- The Programme does not have an explicit communication strategy.
- The target groups as expressed by the Programme (Site Coordinators and National Focal Points) follow the Programme mostly with great interest, but find it difficult to follow. They mostly follow the Facebook updates and receive information within the framework of events such as the Site Manager Forum at the WH Convention Meetings.
- Some interview partners stated that the reflection process between the partners in terms of the elaboration process for the manuals sometimes lacks transparency, as the review process and how comments are dealt with remained unclear.
- Programme partners mainly feel fine with the existing information exchange. Sometimes a more pro-active role is desired, in order to have the possibility of linking relevant Programme information with their organization's activities. Several interviewees also pointed out that they wished for a more formal, periodic update, such as via a Programme Website or a newsletter. In particular, employees of public administrations expressed the wish to receive formal information which can further be shared within their official communication channels.
- Regarding the communication with site managers, more information and increased direct contact is required. There is an observed lack of information about the big picture of the Programme and the respective guidelines and tools to be developed. However, all site managers were aware of the aspect of linking culture and nature as a main element of the Programme. Though the opinion prevails that the target groups of the Programme have essentially been reached, there are still a large number which could not be activated. This has to do with long distances or the fact that information via Focal Points did not reach site level. Geographical imbalances (Latin America not reached) and language restrictions are further issues.
- The Programme has carried out a user group analysis for developing a user-friendly platform (N=95).
- All participants strongly link the Programme to capacity building and training, underpinning the strong and widely accepted role of

ICCROM (and IUCN) as an important capacity building body.

- The Programme strives to disseminate the results by means of the knowledge framework Web platform, which integrates all the information and outputs of the Programme on one central platform.
- Showcases are to be made accessible via the Web platform “Panorama Solutions”, which is currently in the making. The original approach to establish a network of recognised learning sites has been discarded.
- Most of the respondents of the online survey stated that they have general information about the Programme (31%) or have been actively involved in one or more activities of the Programme (27%). 22% stated that they were well informed about the different objectives, modules, and activities, and 20% said they were familiar with the idea and background of the Programme.

### Conclusion

- The Programme does not have an explicit communication strategy. Up to now, the Programme has not yet defined which content and results should be communicated to whom at which time. Nevertheless, communication (in a broader sense) within the Programme is regarded as good and mainly based on the outstanding performance of one person.
- The information level of the different partners is fragmented. Generally a lot of partners and stakeholders have a high interest in receiving more, continuous and updated information.
- The lack of formal communication leads to a rather low visibility of the Programme, even though all the beneficiaries and partners that got in touch with the Programme at any stage are following the Programme with great interest.
- Based on the results of the online survey, an effective outreach and communication strategy aimed at the beneficiaries needs to be an integral part of any scaling-up activities.
- So far, there has been a greater focus on producing the materials rather than disseminating them. Apart from the need to improve internal information exchange, the role of UNESCO WH Centre in

Paris will be central for a broader outreach and should be adequately reflected in the preparation of the communication strategy.

### 5\_5 Sustainability

Since this Programme is a massive cultural change undertaking with a potential impact across all levels of the WH Family (global, regional, national and site levels), the Programme is just at the beginning. Resources for the current phase are adequate to publish the existing deliverables and scale up the training. However, this would only be a starting point and a way of really achieving conservation impact at site level. All institutions indicate high commitment to continuing, and the broad partnership across all levels is a good basis.

*“The WHL gave a voice to site managers and those in public authorities working with WH beyond the academic and States Parties world. Nothing like this existed before. Finally, an opportunity to bring the Convention/WHC to hear the voice of site managers.” (Site manager Statement)*

*“WHL brought the element of network: We have our own WhatsApp group. We share experiences, we share documentation, we share questions and use it for social issues (birthdays). We are always in touch via WhatsApp and Facebook.” (Site manager statement)*

For the rest of Phase I, it will be essential to finalise, consolidate and approve the products (Programme deliverables) for broad dissemination, and to make them available and accessible for the wider WH Community. At the time of the evaluation these were mostly available as (tested) drafts which partly received excellent feedback, but have not yet been finalised. Thus appropriate approaches as to how the content could be institutionalised and regularly disseminated through capacity building measures (e.g. via C2C) will greatly determine to what extent the final results will be applied in practice. Furthermore, the Programme’s networks and partnerships will be further consolidated (and potentially formalised) and used as digital learning sites, and importantly, a knowledge framework integrating culture and nature needs to be elaborated.

Linking training with cases that can be brought to the table by site managers and Focal Points has the potential to further enhance the attractiveness of the Programme.

### **5\_5\_1 EQ14. Justification and focus of extension**

***EQ14. If the Programme were to be extended (as is currently under discussion), would this be justified and what results could be anticipated, how would the Programme best adapt to increase its impact, and what sort of timelines and resource requirements might be anticipated to achieve different results?***

*Sub-questions: Which elements of the Programme are worth upscaling and extending? Which are the elements that have the strongest support from the donor and the Programme partners? Are the additional donors interested in continuing with their involvement? Which institutional partners show strong commitment? Which activities and partnerships are the most promising in terms of being continued or intensified?*

#### **Status**

- The Programme has often been said to be a tipping point/catalyst in the development of the partnerships, the integration of site managers, the linkage of nature and culture, or the development of tools and manuals that are highly relevant for responding to the challenges of our time.
- Taking this into account, this holistic approach proved to be very resource- and time-consuming. The emerging lively networks are keen on getting results, exchanging experiences and contributing to the global knowledge with local case studies.
- The elements of Impact Assessment are very high on the agenda across all levels. Impact Assessment including a Strategic EIA is highly needed and is in very high demand.
- It has been frequently stated that capacity building is a long-term process (e.g. 10 years has been mentioned), and as the

Programme has finally gained momentum, it would be highly appreciated if it could proceed somehow and keep the momentum going.

- There is strong interest and high commitment from Swiss FOEN to continuing the cooperation, and they would like to focus on specific aspects and components, but not including major contributions. The Korean CHA could not be reached for an interview.
- Currently there are no further donors involved. For a future phase, the Norwegian Ministry for Climate and Environment has strongly requested additional donors for baseline funding too.
- Several countries recognise the necessity and usefulness of the Programme without making financial commitments.

#### **Conclusion**

- A potential extension of the Programme would be justified. After a rocky start, the Programme has become more than a Capacity Building Programme. It is contributing to the elaboration of key content, the development of the WH partnerships including closing the gap between nature and culture, and the empowerment of the rather neglected local level. It has created a lively environment which is very resource-intensive.
- There is very high commitment and willingness to continue the cooperation amongst all the partners interviewed (AWHF and Korean CHA could not be reached). The continuation of the cooperation with the Category 2 Centres is very promising. The need for further development and empowerment on a local level is obvious.
- The elaboration of content is well underway but needs further regionalization. The “co-evolution” of content and training activities has led to a certain imbalance, and should be reflected in more detail.
- The integration of some of the partners was a major subject of discussion at the beginning of the Programme. For any future planning, the Programme structure and appropriate organizational integration of WHC and ICOMOS are key to success.

### 5\_5\_2 EQ15. Endurance of target groups and beneficiaries

#### EQ15. What is the likelihood that the target groups and beneficiaries endure after the project?

*Sub-questions: Which communication channels and platforms are most likely to remain active in future? To what extent are beneficiaries from the WHL network satisfied with, and motivated to stick to, the networking and exchange opportunities provided? Will the exchange and cooperation between institutional project partners continue after the lifespan of the project? Are there joint activities or formal agreements? What formal arrangements between the Programme partners exist? Are results of the Programme being integrated into regular procedures of partners? What arrangements have been made to continue with the Leadership Forum within the WHC Meetings? Which partners show interest in maintaining courses and activities as triggered and promoted by the Programme?*

#### Status

- Reportedly the Site Managers Forum within the frame of the World Heritage Committee Meetings is a crucial element of the network of site managers. However, as of now it lacks formal recognition by the Convention, and its implementation is linked to the commitment of the country hosting the WHC Meeting.
- Networks are differently organised in the various regions of the world. The Nordic countries already have very close collaboration. Similarly, Africa has started to form a regional network with the involvement of AWHF (yet to be confirmed). In particular, UNESCO Category 2 Centres such as WHITRAP and ARC-WH are potentially important regional actors.
- WHITRAP offers a series of courses aligned with and including some of the results of the WHL Programme.
- The Korean CHA has become increasingly active by funding a series of 4 PNC Courses over four years.
- It was mentioned frequently that networks need to be formalised in some way, as a self-maintaining approach will hardly work. However, what can be seen is that most of the activities have contributed significantly to fostering informal networking, as exemplified by several WhatsApp or Facebook groups.

#### Conclusion

- With the Site Managers Forum within the framework of the Meetings of the World Heritage Committee, the Programme has established a major forum for site managers, which is widely acknowledged and appreciated. Reportedly there is broad support for the Site Managers Forum being continued.
- The likelihood is that the target groups and beneficiaries will endure after the Programme, but this is not certain yet. All the stakeholders and partners are highly motivated to contribute to the Programme and its outputs and activities, and are becoming more and more linked to each other on various levels. Thus this very inspiring atmosphere is a very good precondition for creating enduring partnerships beyond the Programme period.
- However the networks, and essentially the SMF and the informal networks established during the training activities, are still fragile. A major strong effort is needed to keep the networks running and mainstreamed, which is not adequately indicated and provided for by the existing Programme plan.
- The formalization of these networks needs to take account of the officially responsible institutions. The recognised gap between the statutory level and the site level seems to be a major barrier which needs to be overcome to develop a long-term solution.

### 5\_5\_3 EQ16. Exit Strategy

#### **EQ16. How appropriate is the WHL's exit strategy?**

*Sub-questions: Does the Programme have an exit strategy? Which efforts contribute to maintaining the results and outcomes beyond the project period? Are they adequate?*

#### **Status**

- The Programme has not formulated an explicit exit strategy
- There are ongoing discussions between ICCROM and IUCN on how to maintain the knowledge platform.
- It is planned for Panorama Solutions, the Web platform for the case studies, to act as a permanent basis for case studies.

#### **Conclusion**

- There is hope and an expectation that with the adoption of the results and the formal integration into WH Procedures, the results will become the generally applied standard.
- The training courses are to be continued within the general scope of work of ICCROM and IUCN.
- There is an expectation that the formal inclusion of the Site Managers Forum as an integral part of the WHC Meeting will be achieved.
- All the institutions involved in capacity building (e.g. C2C) should refer to the knowledge framework as the backbone for designing capacity building activities.
- A clear exit strategy for the maintenance and upkeep of the web platform beyond the life of the Programme still needs to be devised.

## 6 KEY RECOMMENDATIONS

The following section comprises key recommendations concluded by the evaluation team. The recommendations are based on the findings from the analysis of the evaluation criteria and the evaluation questions.

Apart from the consolidated key recommendations presented here, more specific recommendations can be derived from the individual sections of the evaluation criteria and questions.

Furthermore, the fruitful key informant interviews included a wide range of different recommendations. The evaluation team deliberately screened the interview documentation, and summarised the relevant additional recommendations for further use by the Programme in a separate document.

### 6\_1 Key recommendations for the current phase

#### **Recommendation 1: Fostering the big picture of the Programme**

*For the remaining time of the current phase, and as a first priority in terms of urgency and importance (i.e. as soon as possible), the Programme management (IUCN – ICCROM) should foster the big picture of the Programme by introducing a fully-fledged and documented Theory of Change. The Theory of Change should be supplemented by a coherent indicator system (see Recommendation 2) and feed into a communication strategy (see Recommendation 6).*

- A draft structure for further consideration by the Programme has been elaborated. It reflects the way in which the evaluation team perceives the Programme logic (see Annex 7\_7).
- A Theory of Change is understood as the process by which changes should happen in a logical and chronological flow. All subsequent aspects are interlinked with the aim of achieving a paradigm shift. Thus the Theory of Change provides a consistent perception of the Programme for all actors, and serves as a basis for its communication.

- Currently there is no formal or explicit Theory of Change presented or documented in the Programme. The causal connections within the hierarchical target system are not fully clear. However, the Programme contains significant elements of a typical Theory of Change, which are stated throughout the planning and communication documents.
- The evaluation team recommends that the Programme management should take stock of the existing elements and combine these into a coherent and holistic concept.
- Based on the above, the Programme management should further discuss and refine the Theory of Change with the main actors of the Programme (including all Advisory Bodies and the WH Centre), potentially with a wider scope with regard to preparation for a potential follow-up phase. Throughout this process, the identification of measurable indicators that distinguish between short- and mid-term outcomes/results during the Programme's duration and a potential second phase, as well as long-term impacts to which only a programme can contribute, would be key to monitoring the success (see also Recommendation 2).
- According to the understanding of the evaluators, in its external communication the Programme management should aim to disseminate examples of good practice and standardised tools to multipliers that represent the site managers and National Focal Point levels. These examples of good practice should, for example, illustrate how to involve communities, how to link nature and culture, how to use the standardised tools to implement good practice at target group level, and how these actions contribute to the big picture.

#### **Recommendation 2: Agreeing on a coherent indicator system**

*In line with Recommendation 1, the Programme management, the advisory group and the donors should agree on a coherent indicator system in close conjunction with the Theory of Change, in order to define and measure the progress and success of the Programme. The ToC and indicators should be available within the next three months.*

- The Programme contains a mix of quantitative and qualitative/narrative indicators, above all at output/activity level. Definitions at impact level are sometimes rather vaguely formulated, and sometimes take account of a long-term approach which often goes beyond the capacities of the Programme.
  - For the final evaluation of the Programme and for targeted implementation, it would be advisable to define more specific interim goalposts clearly linking the deliverables with the objectives. This is particularly relevant for finally assessing the overall objective of achieving improvements in conservation at site level.
  - The Programme management should reflect on the outputs and specify them more precisely together with the donor, and agree on clear indicators of achievements for the remaining Programme duration. This should include underlining the existing indicators, improving the abstract ones, and formulating new ones if needed. The basically well-structured modules should be better linked to the proposed achievements. The distinction between short- and mid-term outcomes/results at Programme level and long-term outcomes (which can be achieved only by a follow-up or in the long-term perspective) would be key for monitoring the success.
  - The initial impacts which have emerged at the different levels, and particularly on-site, could be collected in a systematised way to use them as proof that the content and ways of capacity building do indeed achieve an impact on the ground.
  - The Programme should consider indicators at three levels:
    - Site level: Indicators linked to expected changes at site level (e.g. number of sites that have actively included communities in site management, or have revised their management plans)  
→ Conclusions regarding the concrete impacts at site level
    - Institutional level: Indicators linked to expected changes in the World Heritage System (e.g. manual adopted as main guidance for Impact Assessment by the AB, or role of site manager reflected in the Operational Guidelines)
      - Conclusions regarding the influence on the WH Convention as an institutional framework.
  - Heritage practitioners level: Indicators linked to the expected changes with regards to the target group (e.g. percentage of site managers adopting new practices after training) as a follow-up to the training activities carried out by the Programme.
    - Conclusions regarding the behavioural changes and changes in practice at practitioners level.
  - It is recommended that follow-up surveys or meetings be organised with training participants at least one year after the training to identify success stories, behavioural changes, or changes in conservation practice. This could take place by means of an online survey or virtual meetings, and by using existing networks (e.g. WhatsApp groups). This will allow the Programme to obtain an indication of the final change on the ground. It is proposed that a qualitative approach be followed for this. This will also assist in identifying regional differences in the applicability of results and regional implementation barriers.
  - The Programme should consider the standardised evaluation reports (e.g. SoC reports) to assess the long-term conservation impact of its activities.
  - Apart from rather technical indicators, the Programme has the advantage of being able to underpin its relevance by making use of concrete success stories for awareness raising, promotion and communication.
- *Examples for indicators at different levels are proposed by the evaluation team in conjunction with the Theory of Change in Annex 7\_7.*

### **Recommendation 3: Reconciling outputs and results with the regional and local level**

*Within the next six months, the Programme management should closely collaborate with the advisory group and focus on setting up and implementing a systematic approach for reconciling Programme outputs and results (i.e. knowledge product deliverables) with regional specificities.*

- As the evaluation has identified, the Programme results and outputs (guidelines and tools) are of a high relevance to the WH site manager and the National Focal Points. The Programme not only intends to develop new and updated guidance promoting a new (place-based and people-centred) approach in the management of World Heritage Sites, but at the same time also engages in broad training activities.
  - The Programme uses training courses and workshops to validate and test elements of guidance, which is highly beneficial. At the same time, this represents a challenge: content is disseminated unsystematically before it is fully ready.
  - The emerging and lively networks are keen on getting results, exchanging experience and contributing to the global knowledge with local case studies. Linking training activities with case studies from site managers and Focal Points has the potential to further enhance the usability of knowledge adapted to the regional level.
  - A barrier of the Programme can be seen in the large number of results based on the premises of a rather global and universal design, and which accordingly are not fostered and tailored to specific, local needs.
  - The Programme management should revise the programme process plan and consider integrating a phase which deals with the “regionalisation” of the globally worked out results (e.g. EIA, DRM, etc.), ideally systematically linked with the training activities and courses in close collaboration with the advisory group and interested donors. The Programme management should target the cooperation with the networks that facilitate training (e.g. C2C, UNESCO Chairs and WH-related master Programmes) to ensure long-term integration of the content developed.
- The Programme management should set up a separate implementation plan for field testing, ground truthing and adoption of the key deliverables in collaboration with the target audience at local level.
  - The Programme management should plan to translate the most relevant outputs into the 6 languages of the WHC.
  - In the context of the previous two bullet points, the Programme management should closely collaborate with the advisory group and interested donors to consider further strengthening the role of Category 2 Centres with regard to the regionalisation of content by offering regional courses. Representatives of C2C also indicated the interest in translating manuals and materials into regional languages (i.e. Chinese, Arabic).
  - The knowledge framework is intended to serve as the backbone of all future capacity building activities, and will integrate all WH-related knowledge in a common language and a coherent framework. The findings indicate that there are different perspectives on the exact purpose, scope and dissemination of the knowledge framework. Thus the Programme management should closely collaborate with the advisory group and interested donors to work on developing and documenting a commonly agreed understanding of the knowledge framework and on the corresponding alignment of its written content with the activities.

### **Recommendation 4: Legitimising and embedding results and outputs into the WH environment**

*Before the end of this year, the Programme management should identify and implement a process for legitimising and embedding relevant results and outputs into the WH environment in close cooperation with relevant members of the advisory group and the WHC.*

- The elaboration of the different deliverables is proceeding well and in general terms is clear to all partners, even though working progress differs between the different modules. The resources of the current phase are adequate for finalising the deliverables, publishing consolidated results and laying the ground for scaling up the training and capacity building. This is an excellent starting point.

- The legitimisation and adequate integration of the results is key for their further broad application. The optimal way to integrate, formalise and disseminate the deliverables into existing structures still remains unclear.
- As to the perception of the stakeholders, there is a strong dependence on the national regulations. Several interviewees perceived low awareness and support amongst States Parties. Minor adaptations can be made by the site manager, but larger shifts depend on the corresponding authorities and require awareness raising, formalisation and legal changes for their implementation. Once the manuals are finalised and officially endorsed by the relevant organisations or considered to be formal documents within the World Heritage Convention, it will become much easier for beneficiaries to use them as a reference in their respective countries.
- The Programme management should cooperate with all the Advisory Bodies and the WH Centre to seek clarification on the intended status of the elaborated deliverables (guidelines, manuals, knowledge framework, training syllabuses) in the setting of the World Heritage Convention and the management of World Heritage Sites respectively.
- Furthermore, the Programme management should lead the above discussion with a view to ensuring the long-term sustainability of the results. The evaluation team recommends that consideration be given to integrating all the outputs into the formal environment of the WHC (e.g. in the Operational Guidelines) and of other relevant partners such as ICOMOS and IAIA.
- For a potential second phase, the Programme management should closely collaborate with the relevant members of the advisory group to identify the potential for alignment and synergies with other Programmes and initiatives (e.g. the UNESCO World Heritage Sustainable Tourism Programme), which should also be considered in the context of the knowledge framework.

#### **Recommendation 5: Strengthening partnerships and networks**

*The Programme management should closely collaborate with relevant stakeholders to identify ways and resources to formalise the SFM by the end of the current phase. A potential second phase should include measures for strengthening partnerships and networks on their way to more formalised settings.*

- Within three years, the Programme management has succeeded in creating a huge professional network of different actors, institutions, the Advisory Bodies, experts, and site managers. It includes capacity building institutions such as the ARC-WH, WHITRAP or AWHF Regional Category 2 Centres, external partners such as IAIA, and all the Advisory Bodies and the WH Centre. With the Site Managers Forum, the Programme has established a contact point to the World Heritage Committee Meeting. The SMF is currently a formal part of hosting the World Heritage Committee meeting, and the host country supports 20-25 participants from LDCs and SIDS countries; the Programme has actively pushed to have this adopted. Most of the Programme activities have contributed significantly to fostering informal networking, as exemplified by several WhatsApp or Facebook groups.
- Essentially all stakeholders and partners are highly motivated to contribute to the Programme and its outputs and activities, and are becoming more and more linked to each other on various levels. In several areas the networks are gaining strong momentum (e.g. the African initiative for establishing an African Site Managers Forum). Thus this very aspiring atmosphere is a very good precondition for the partnerships enduring after the Programme.
- It was mentioned frequently that networks need to be formalised in some way, as self-maintaining approaches will hardly work. The formalisation of those networks needs a joint effort to be undertaken, including the officially responsible institutions. The recognised gap between the statutory level and the site level seems to be a major barrier which needs to be overcome in order to find a long-term solution.
- The evaluation team recommends fostering the good existing cooperation with the partners involved, and thus providing continuity

in collaboration. The Programme management should closely collaborate with the relevant stakeholders to

- promote the successive linking of the SMF to the WHC as well as possible, and encourage partnerships with relevant organisations (e.g. Youth Forum).
- try to formalise the SMF in collaboration with the relevant organizations in a long-term perspective, and seek geographical balance.
- consider formalising the partnerships with partner organizations to create more tangible institutional bonds (e.g. MoUs or partnership agreements).
- support the initiative for the establishment of an African Regional Site Managers Forum and explore the options to establish similar subforums in other regions.
- A major effort is needed to keep the networks running and mainstreamed, which is not adequately indicated and foreseen by the existing Programme plan. This could lead to the necessity to include further resources and/or a corresponding sharing of tasks and responsibilities to ensure continuity and further strengthen the still fragile networks.

#### **Recommendation 6: Mainstreaming communication and dissemination**

*The Programme management should elaborate a stringent communication strategy to mainstream the internal and external communication and ensure dissemination of its outputs and results during the remaining time of the Programme in close collaboration with the advisory group.*

- The Programme has made a large investment in developing updated guidance materials, and has implemented several highly successful training courses to gather feedback. The optimal situation would be if all the institutions that have the competence, mandate and interest to sustain these results were on board (World Heritage Centre, ICOMOS, IUCN, ICCROM, Category 2 Centres).

- Following the period of building initial networks, connecting and integrating existing networks in new ways, and internal coordination of the development of the results, the Programme is about to enter – and needs to enter – a phase of higher visibility and outreach and of increased interaction with national and site level. Consequently the roll-out needs to be carefully and systematically planned.
- However, and by way of example, several interviews showed a similar concern: how will the Programme disseminate the content, manuals and the knowledge framework to a broader relevant public, and what should the corresponding online platform look like?
- The question of how to integrate the deliverables not at a training programme level, but at an institutional level (e.g. through WH Centre or C2C), has not been addressed sufficiently so far. This is essential for ensuring the long-term impact and the sustainability of the results. It is recommended that attention be drawn to clarifying this question within the current fourth year of the Programme.
- The question of the integration of the outputs of the Programme into the dissemination channels managed by the UNESCO World Heritage Centre remains unclear to the evaluation team. Given the key role of the WH Centre as the main focal point for States Parties, this seems to be a main aspect for the legitimisation of the results and for broad dissemination in the WH Community.
- The evaluation recommends identifying the barriers and existing limits for communication.
- The Programme management should coordinate with the Advisory Bodies and the advisory group to prepare a communication strategy that differentiates between internal and external communication measures. Such a communication strategy should clearly state the purpose of the communication measures to be taken, define the sender and receiver, and outline the content planned as well as the communication channels to be used. Additionally, for the internal communication a set of meeting formats and their respective purpose should be defined, as well as the participants, including their functions.
- The Programme should start a discussion about how to establish additional formal means of communication to reach public

authorities, States Parties, and public agencies. It is difficult to share the current form of news via social media within the networks of public authorities. To gain further visibility, it is advisable to create a periodic newsletter (once or twice a year) which can be shared and forwarded in formal networks. Further digital solutions and central platforms (messengers, broadcasting of training activities, etc.) should be provided to inform, integrate and reach a higher proportion of the target group and stakeholder group.

→ *The evaluation team has prepared a set of aspects to be considered in terms of both internal and external communication in Annex 7\_8*

### **Recommendation 7: Adapting to new dynamics and requirements**

*By October 2020, the donors and the Programme management should agree on ways and means to strengthen the resources for the management of the Programme, in order to adapt it to new dynamics and requirements for the remaining time of the current phase (and a potential new phase).*

- Within three years, the Programme management has succeeded in creating a huge professional network of different actors, institutions, the Advisory Bodies, experts, and site managers. At the same time, a cluster of content elements (DRM, IA, Framework, EoH) has been developed or revised, and target-oriented capacity development activities have been implemented.
- This wide range of contacts, thematic fields and training environments in a complex environment requires a huge effort on the part of the Programme management, which has been implemented so far in an excellent way. Within the current phase the Programme has been able to establish an efficient working structure, which is satisfying for all Advisory Bodies and the WH Centre. Being able to synchronise the Programme management with the content development and communications in the “prototyping and design phase” of the Programme has been a strength.
- The Programme is now in the process of starting to disseminate the newly developed content and further cement the freshly established

networks. In several areas, the networks are gaining momentum (e.g. the African initiative for establishing an African Site Managers Forum). Furthermore, the target groups are increasingly asking for results. It appears that the Programme has evolved from a mere Capacity Building Programme to a Change Programme.

- Due to the high dynamic in the Programme and its evolution, the management is increasingly reaching its limits. For the remaining time of the current phase, the workload in terms of communication, dissemination and consolidation of content can be expected to grow further.
- This leads to the necessity to include further resources and/or a corresponding sharing of tasks and responsibilities, in order to ensure continuity and further strengthen the still fragile networks.
- The evaluation team proposes continuing with the implemented structure and staff configuration, but encourages the Programme management to try to attract “helping hands” with an option of calling for assistance/services from Advisory Bodies/institutions in the countries/working groups. Alternatively, or maybe in a next phase, the Programme management should closely cooperate with the donor to discuss the pros and cons of separating the project management into administrative and content elements.
- A separate public relations responsibility or resource allocation would be helpful for dealing with the expected increase in managing the dissemination, publication and communication of the content that are about to be finalised. However, consideration needs to be given to the fact that this requires the allocation of adequate resources for the management.
- In the upcoming phase (2020-2022), the Programme should focus on finalising the key deliverables towards the end following a clear plan associated with the respective budget allocation, in order to spend the remaining budget in a targeted and output-oriented way.

## 6\_2 *Considerations for a potential further phase*

In general, the WHL Programme has successfully started a dynamic and comprehensive paradigm change for World Heritage Management, which has already shown early impacts on the ground. Based on the interview results as well as the positive feedback received through the online survey, the evaluation team sees a lot of potential for a second phase as well as justification for this.

In any case, as this is a capacity building programme promoting a paradigm change, it is recommended that the initial changes be allowed to take further root in the World Heritage System in order to increase the impact of the promising results that have been developed in the current phase.

To support a potential future programme design, a few lessons learnt can be derived from the findings of the evaluation:

- Any future phase must include a broader funding basis with additional donors, ideally from different geographical regions. This is necessary to both broaden and multiply the impact, reduce the financial burden of individual donors, and allow the geographical regions that are still under-represented to be reached better.
- The Programme management and the current donor should also consider whether they would prioritise structural funding (donors contributing to the basic structure) or additional funding (e.g. to implement courses). Additional donors for structural funding might increase the coordination effort, whereas additional donors should have clear guidelines on how the donor of the structural funding is to be acknowledged appropriately. In any case, additional donors are most probably the backbone of any future phase.
- The Programme should decide at a fairly early stage on the strategic direction of a potential future phase. This includes the decision on whether to focus on promoting pilot actions and good practice at site level (with a strong emphasis on site managers using and applying the results of the current phase), or alternatively to focus on the dissemination and outreach of the Programme to promote the systematic integration of the results at States Parties and institutional level, with a strong emphasis on decision-makers and public and capacity building institutions such as Category 2 Centres (multipliers). Both strategic directions are relevant and legitimate, but each require a different programme design.
- A discussion about the programme structure in cooperation with all four Bodies of the Convention, predefining the explicit roles, tasks and expectations within the Programme, is considered important. In combination with the broad involvement of supporting/financing institutions at the very beginning of the planning phase, this will ensure broad support. Within the current phase the Programme has been able to establish an efficient working structure, which is satisfying for all Advisory Bodies and the WH Centre. However, options for a simpler programme structure in a potential follow-up phase should be discussed. This could be a steering committee with an appointed programme management at any of the Advisory Bodies.
- The pros and cons of separating content development and programme management should be considered and further discussed as the Programme complexity increases. Once the Programme starts on a larger roll-out and wide dissemination, the amount of interactions and communication efforts will substantially increase and will go beyond the capacity of a single programme coordinator involved in both content development and programme management.
- The integration of the WHL into larger programming, including areas which are intensively discussed but not covered so far (e.g. links to the UNESCO World Heritage Sustainable Tourism Programme), should be discussed and coordinated with the World Heritage Centre in particular.
- Towards the end of the current Programme phase (2022), all the results and deliverables will be agreed, well tested and available. A subsequent phase could focus on the larger roll-out and specifically address integration into the capacity building programmes of C2C, universities, UNESCO Chairs and training centres that focus on WH management.
- The Programme might consider a training-of-trainers approach and the institutional reinforcement to carry out regionalised capacity

building with reference to the content developed during this phase. Consideration should be given to focussing on supporting and establishing linked training institutions to carry out corresponding training in future (e.g. how to set up national or regional capacity building programmes, how to organise a PNC course, how to teach the materials, how to set up national/regional site manager forums).

- The role of UNESCO Category 2 Centres in a future phase could be strengthened. In the current phase, they have proved to be valuable partners and a valuable link to the World Heritage Community and States Parties in different geographical regions.
- Further legitimisation: Discussion should be given to which results, elements or approaches should be further rooted in formal documents or decisions of the Convention (e.g. Inclusion of results into established modalities and reforms underway such as amendments to Annex 5 & 6 of the WH Operational Guidelines). It will be helpful to define this at a fairly early stage to allow for sufficient time for this step.
- It will be crucial to go beyond the site manager/coordinator as such, and raise awareness amongst the corresponding States Parties and public administrations to support the site managers in the application of the new approach. Several interviewees outlined a fairly low awareness by States Parties and public authorities regarding the integration of culture and nature, despite this being a Programme that is regularly reported on during the World Heritage Committee Meetings. This might include awareness raising amongst States Parties at first, with a second step being a training-of-trainers concept for NFPs and key actors at national level. In the long run, this includes the institutionalisation of the paradigm shift at national level, which goes far beyond merely awareness raising (e.g. regulations, legislation, incentives). Due to constant staff changes in the institutions, these define their work through the legal, strategic and policy framework.
- A potential next phase should include a concrete exit strategy involving the donors, the Advisory Bodies and the World Heritage Centre.

## 7 ANNEX

### 7\_1 List of key documents

Name	Type
Cooperation Agreement between IUCN, ICCROM and the Norwegian Ministry of Climate and Environment signed on 31 August 2016	Contract
World Heritage Leadership Programme Annex 1	Contract
World Heritage Leadership Programme Work Programme 2016-2018 Annex 2	Contract
Interim and annual technical reports 2016, 2017 and 2018	Internal Report
Financial statements of ICCROM and IUCN for Year 1, 2 and 3	Internal Report
Donor meeting minutes 2017, 2018, 2019	Internal Report
Advisory Group Meeting Minutes 2019	Internal Report
Project activity reports	Internal Report
World Heritage Leadership Knowledge Framework (Draft), September 2019	Internal Working Paper
Draft Manual for Impact Assessment	Internal Draft
CBD Draft Recommendation: Possible elements of work on the links between nature and culture in the Post-2020 Global Biodiversity Framework, September 2019 (CBD/SBSTTA/23/L.2)	Supplementary Document
World Heritage Capacity-Building Strategy (WHCBS) Decision 35 COM 9B).	Supplementary Document
WHC/19/43.COM/6	Supplementary Document
WHC/18/42.COM/6	Supplementary Document
WHC/17/41.COM/6	Supplementary Document
UNESCO 2015: Policy for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention. Resolution 20 GA 13	Supplementary Document
People-Centred Approaches to the Conservation of Cultural Heritage: Living Heritage. ICCROM Guidance Note	Supplementary Document

## 7\_2 Questionnaire for key informant interviews

Name(s) of the interviewee(s):
Position:
Organization/Sector/Division/Unit :
Country
Interviewer:
Interview date:

### **Framing questions**

- What is the nature of your involvement in the WHL Programme?
- According to you, and before going into more details, what were/are, in broad terms, the main achievements or main issues faced by the Programme?
- Could you describe the partnerships and dynamics at play in the WHL Programme?
- How sustainable do you think the interventions outcomes and built networks would be?

### **Main topics**

- To what extent do you think the programme results have been achieved so far? Which ones have not been reached so far? What are the underlying reasons?
- What were the main successes, main challenges and lessons learned?
- What were key enablers and bottlenecks for good/low progress?
- Which impact do you think will the WHL Programme have on the WH Site Management?
- What are main enabling factors or obstacles for this impact to materialize?
- To which extent does the Programme contribute to Gender

Equality (Contents, mainstreaming, actions)?

- What are the outstanding outputs so far? Can you name three achievements/actions that are worth to be replicated?
- How do you assess the cooperation with the individual WHL partners and with the WHL Programme?
- Are the project interventions likely to be further supported by the Ministry or agency?
- Have the partnerships created synergies so far? Which ones?

### **Closing question**

- On what aspects do you think there was/is room for improvement and how?
- Any recommendations for the future? Comments on any other aspects not covered during the interviews.

### **Linking question**

- Is there anyone else in your organization to complement what we have discussed?

### **Wrap-up**

Remind the interviewees to send any evidence related to the information mentioned during the interview

### **End of Interview**

Thank the interviewees for the time and contributions. Inform on when the Final Evaluation Report will be available. Give your personal email. Make sure you have the interviewee details.

Remark: There was a set of specific sub-questions directly related to the corresponding stakeholder group (as indicated in the evaluation matrix) as an underlying guidance for all interviews. This set served as a checklist and as source of specific in-depth questions of topics not covered by the interviewee during the interview.

### 7\_3 Online survey results

#### **Summary**

The online survey was created via Survey Monkey and open for submissions from 4 to 28 April 2020. The purpose was to collect feedback on deliverables of the WHL Programme from participants in the different modules and courses. Therefore the survey was shared via the Programme Facebook page. Participants had to answer 25 questions, and 4 additional questions for the statistics (professional background, site, age and gender).

56 people answered the online survey – 51% female and 49% male. 4% were under the age of 30. 19% of the participants came from natural sites, 53% from cultural sites, 26% from mixed sites and 2% were not involved in any of the three. Most of the participants were site managers (18 or 38%) or came from public authorities (8 or 17%). 5 people or 10% were consultants, 4 people (8%) National Focal Points. The rest were WH stakeholders or community members, coming from International Organisations and/or NGOs. 9 or 19% had another background and 9 people did not give an answer.

#### **Relevance**

Most of the participants were fully satisfied with what the Programme offers. Participants are mostly fully satisfied with the training activities and workshops, with an average satisfaction of 50%. The best-ranked workshops were the *Heritage Impact Assessment Workshop* in Lebanon 2019, the *WHITRAP Course on Impact Assessment for Heritage* in China 2018, and the *BMWHI Adaptive Management Course for Protected Area Conservation in the Asia-Pacific* in Australia 2018. Participants were not satisfied or hardly satisfied with the *Heritage Impact Assessment Workshop* in Montenegro in 2018 and the University guest lectures in Cottbus, Trento, Torino, Bocconi and Buyeo (50% of the participants were partly satisfied or hardly satisfied).

34 people think the practical relevance of the training activity they participated in fully applies (60%); three think it hardly applies (5%). 28 people think the activity and its content address the need and challenges from their practical work (50%); four think it does not address their needs (7%).

Most participants highlighted group tasks, practical experiences, networking, and case studies as positive. Some participants mentioned that they implemented the lessons learnt directly into their management plan or management in general. The practical exercises and approach with nature and culture being linked were mentioned as valuable aspects of the course. Discussions were fruitful and constructive. It was helpful to share personal experience in an international context and learn from others and their experience. Connecting with responsible persons from ICCROM, IUCN and UNESCO was particularly appreciated. The linkage between natural and cultural sites, management and governance of the sites, heritage impact assessments for WHS and sustainable development (sustainable tourism) was positively noted.

Participants missed a focus on natural sites. More knowledge on the WH system is desirable. The topics of marginalised or minority groups were insufficiently covered. The timetabling of the training activities and workshops was very tight. Learning about traditional knowledge, such as building, would be preferred. One participant suggested the provision of pre-reading materials. Some participants missed examples or case studies from regions/sites such as Africa and Saudi Arabia. Participants wished to reflect more on challenges and issues.

38 people were fully satisfied with the quality of the information and materials provided (75%); one was not satisfied with the quality of the materials (1%).

21 people stated that issues of gender and diversity were explicitly addressed during the activity/activities (42%); four did not think that gender and diversity issues were explicitly addressed (8%).

90% would recommend the activities to a colleague (no one would not recommend the activities).

#### **Effectiveness**

Most of the respondents have general information about the Programme (31%) or have been actively involved in one or more activities of the Programme (27%). 22% are well informed about the different objectives, modules and activities, and 20% are familiar with the idea and background of the Programme.

Mainly respondents think that the Programme is focused on capacity

building and the improvement of site management. The holistic approach to conserving nature and cultural heritage was considered positive. The sustainable development of World Heritage Sites also plays an important role within the Programme. Some answers also highlighted the contribution to communities with a people-centred approach. The Programme also strengthens the inclusion of site managers in the WH management and enables them to improve/excel their respective focus area through learning about certain challenges as well as methods to overcome these.

72% of participants said they had benefited through the creation of a broader understanding of the site in terms of its natural and cultural values. 68% said they had benefited from the interaction with different local stakeholders. On average, 60% of participants benefited from the Programmes' activities in the following areas:

- Understanding of the WH Convention and its requirements
- Management processes and effectiveness
- New ideas for practical work
- New tools and methods to improve everyday work
- Involvement in a broad network of experts and site managers

All respondents observed a change at their site as a direct result of the activities set and the training activities provided. Since the Programme is very young, most of the respondents have only started implementing the tools, such as Heritage Impact Assessments. Results need to be monitored within the next years. The stakeholder involvement in particular improved, but also the self-understanding and role of the World Heritage Sites became clearer to participants in training activities and workshops.

### Impact

30 participants noted that the Programme had a positive effect on their practical work. 8 people think there was partly a positive effect.

All the topics of the training activities and workshops are relevant for participants. The highest ranked were *Site management* and the *Involvement of different stakeholder groups and communities*. *The Exchange with other site managers and National Focal Points* is partly important (on average).

Participants ranked the training activities and workshops as the most

efficient tool to communicate the ideas and content of the Programme. The second most important are the communication. In addition to the proposed answers, respondents mentioned the importance of webinars, visits by experts and regional events, as well as best practice examples and the exchange with others involved in the WH management.

Most of the respondents mentioned the lack of legal bases to implement WH issues and financial resources. The limited financial resources in particular are a problem since this leads to fewer human resources. This seems to be a general issue. The Programme helps to raise awareness through the involvement of governments and decision makers. This is a longer process and needs time. For some sites, climate change and the accompanying problems (e.g. strong winds) are the greatest constraint.

### Efficiency and sustainability

All the elements of the Programme mentioned should be upscaled. 30 people would like more guidance in the elements of the Programme, and one fewer. 16 people are neutral. 32 people would like more courses and 2 fewer. 12 people are neutral. 14 people feel sufficiently informed about the World Heritage Leadership Programme (29%). Three people did not feel sufficiently informed (6%). The rest (64%) felt partly informed about the Programme. 38 people are interested in attending a leadership course for becoming a trainer to organise and coordinate courses yourself. One is not interested. The rest are partly interested. All the participants are interested in receiving more information about the WHL Programme, its activities and results.

### **Conclusion**

In general, participants considered the Programme to be positive. It has an impact on their daily life as practitioners. The content of training activities and workshops has had an impact on management structures, and overall people are satisfied with the structure and issues addressed.

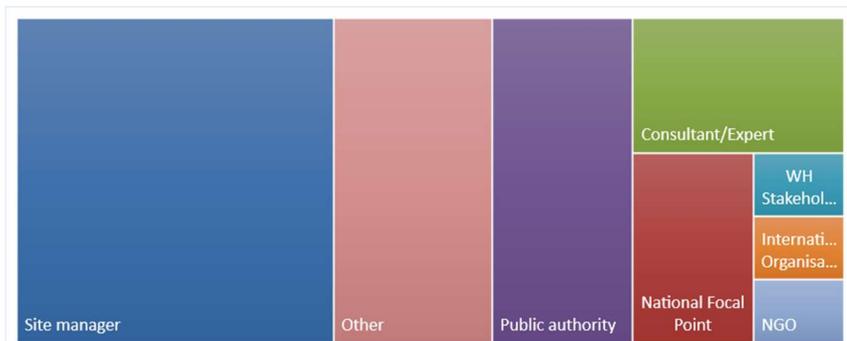
However, some answers are contradictory, such as the fact that participants noted there was too little attention paid to natural sites, but on the other hand they are looking for more intense learning about cultural heritage. It could be concluded that there is still potential to further develop the training activities and workshops as well as the materials provided, but the direction in which the World Heritage Leadership Programme is evolving is right. Most of the respondents

mentioned the lack of financial resources and legal frameworks. This seems to be a general issue. The Programme helps to raise awareness and strengthen the WH sites in this context. These developments need time.

**General**

The online survey was created via Survey Monkey and open for submissions from 4 to 28 April 2020. The purpose was to collect feedback on deliverables of the WHL Programme from participants in the different modules and courses. Therefore the survey was shared via the Programme Facebook page. Participants had to answer 25 questions, and 4 additional questions for the statistics (professional background, site, age and gender).

56 people answered the online survey – 51% female and 49% male. 4% were under the age of 30. 19% of the participants came from natural sites, 53% from cultural sites, 26% from mixed sites and 2% were not involved in any of the three. Most of the participants were site managers (18 or 38%) or came from public authority (8 or 17%). 5 people or 10% were consultants, 4 people or 8% National Focal Points and the rest were WH stakeholders or community members, came from International Organisations and/or NGOs. 9 or 19% came from another background and 9 people did not give an answer.



**Relevance of the Programme**

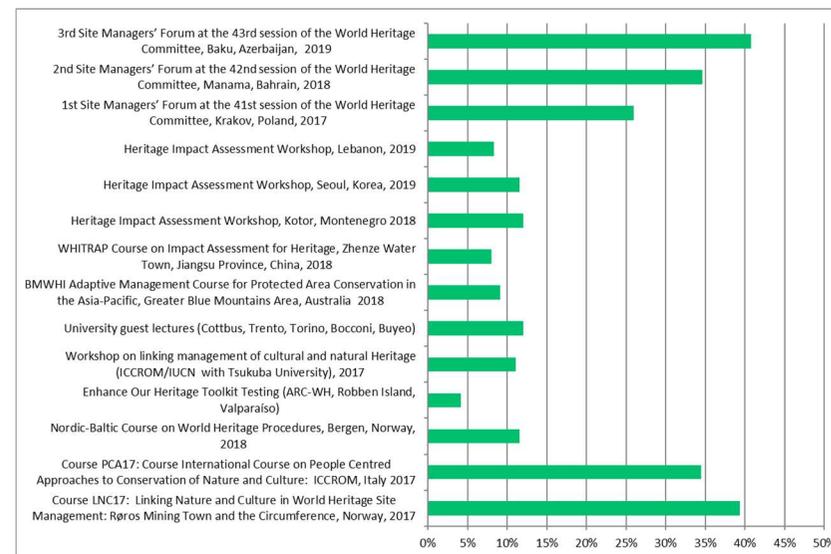
**F1: The Programme covers a wide range of training activities and**

**workshops. In which one(s) did you participate?**

Most of the participants were fully satisfied with what the Programme offers. 23% of the survey participants did not answer the question. Some also participated in other courses, especially the following:

- SC17- 20th International course on Stone Conservation, Mexico City, 2018 (one)
- PNC19 Asian Regional Course on Promoting People-Centred Approaches to Conservation of Nature and Culture – Dambulla, Sri Lanka, 2019 (eight, fully satisfied)
- PNC18 African Regional Course on Promoting People-Centred Approaches to Conservation of Nature and Culture, Mosi-o-Tunya/Victoria Falls, Zambia from 14 to 24 August (13, satisfied to fully satisfied)

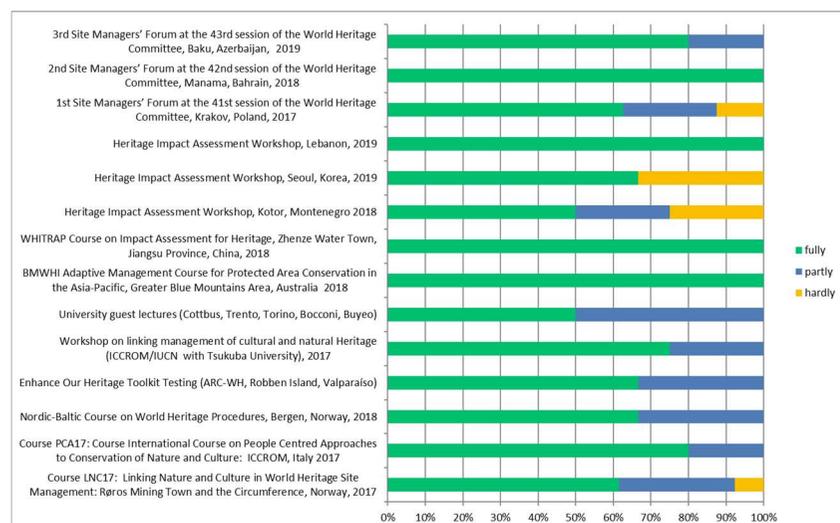
All the others participated in at least one of the following training activities and/or workshops:



**How satisfied were you with the activity?**

Participants are mostly fully satisfied with the training activities and workshops, with an average satisfaction of 50%. The best-ranked

workshops were the *Heritage Impact Assessment Workshop* in Lebanon 2019, the *WHITRAP Course on Impact Assessment for Heritage* in China 2018, and the *BMWHI Adaptive Management Course for Protected Area Conservation in the Asia-Pacific* in Australia 2018. Participants were not satisfied or hardly satisfied with the *Heritage Impact Assessment Workshop* in Montenegro in 2018 and the University guest lectures in Cottbus, Trento, Torino, Bocconi and Buyeo (50% of the participants were partly satisfied or hardly satisfied).



## F2: How do you rate the practical relevance of the training activity you participated in?

Average: Partly applies

34 people think the practical relevance of the training activity they participated in fully applies (60%); three think it hardly applies (5%).

## F3: To what extent did the activity and its content address the need and challenges from your practical work?

Average: between partly and fully

28 people think the activity and its content address the need and

challenges from their practical work (50%); four think it does not address their needs (7%).

## F4: Which aspects were particularly valuable?

Most participants highlighted group tasks, practical experiences, networking and case studies as positive. Some participants mentioned that they implemented the lessons learnt directly into their management plan or management in general. The practical exercise and approach linking nature and culture were also mentioned as valuable aspects of the course. Discussions were fruitful and constructive. It was helpful to share personal experience in an international context and learn from others and their experience. Connecting with responsible persons from ICCROM, IUCN and UNESCO was particularly appreciated. The linkage between natural and cultural sites, management and governance of the sites, heritage impact assessments for WHS and sustainable development (sustainable tourism) were positively noted.

### Selection of statements:

- *“Most important: The deep understanding of why and how, and the many examples and ways on how to implement Nature-Culture approaches into management and policies. And the many how-to guides are useful tools. The network is of high value, and very inspiring. Important to me.”*
- *“The programme attempted a balance between theoretical and practical aspects related to people-centred approaches to conservation of nature and culture. Each aspect of the programme had its value and connected with a diverse group of participants. As a consultant to Government and practicing architect-designer working on a UNESCO World Heritage Site, I was particularly interested in discussing complex challenges related to sites and investigating the potential of future collaborations with professionals working in the World Heritage sector. I was also interested in exploring the role of heritage in contemporary society and connecting it with critical global concerns under UN SDG. In this context, I found my conversations with resource persons and participants extremely inspiring and relevant. Each participant contributed to the proceedings. The site visits and group work were particularly valuable as everyone explored complex challenges and struggled to find solutions.”*

- *“The need to manage a site in a holistic manner was valuable even if it is only one characteristic (nature or culture) that constitutes the OUV of the property.”*
- *“The Programme has been a very rewarding experience for me. The presenters were very knowledgeable and passionate on the subjects they covered. One of the greatest successes of the Programme is the way that it put together a strong pool of local expertise in Sri Lanka who have specialized knowledge and experience in the heritage sites that we were focusing on.”*
- *“The Programme provided a great platform for peer learning and support among a very global and diverse group of 20 participants from across 16 different countries, from which I benefited hugely. It made use of real case studies from participants’ own experiences for discussion and review. These case studies were geographically, historically and thematically diverse, and covered a range of issues pertaining to the integration of nature and culture in heritage conservation. After finishing the Programme, I have continued to read up on various subjects related to the case studies we discussed. Overall, the Programme was fantastic. It provided a real basis for international cooperation and mutual learning. I could not recommend it more.”*

### Was there anything missing?

Participants missed a focus on natural sites. More knowledge on the WH system is desirable. Marginalised or minority groups were not covered, which could be valuable. The timetabling of the training activities and workshops was very tight. Learning about traditional knowledge, such as building, would be preferred. One participant suggested the implementation of pre-reading material. Some participants missed examples or case studies from regions/sites such as Africa and Saudi Arabia. Participants wish to reflect more on challenges and issues.

- Selection of statements: *“For me, as a Russian participant, it was important to get at least some information about international activity in this area, since we have a certain lack of information, it rarely directly reaches people working at Sites.”*
- *“Though time was extremely limited, I suggest future training activities and workshops go further and create an experience where the participants can intimately experience the place consciously and sub-consciously – through an anthropological-*

*ethnographical immersive lens, and use that experience to enrich the journey further. Though staying in a luxurious hotel is an honour for everyone, I personally feel we could have explored a grassroots approach, which could have far a reaching socio-economic-ecological impact on the visitors and the residents.”*

### F5: How satisfied were you with the quality of the information and materials provided?

Average: Partly - fully satisfied

38 people were fully satisfied with the quality of the information and materials provided (75%); one was not satisfied with the quality of the materials (1%).

### F6: Did the activity/activities you participated in explicitly address issues of gender and diversity?

Average: Partly

21 people think that issues of gender and diversity were explicitly addressed during the activity/activities (42%); four did not think that gender and diversity issues were explicitly addressed (8%).

### F7: Would you recommend this type of activity/activities to a colleague?

Average: Fully

90% would recommend the activities to a colleague (no one would not recommend the activities).

### Effectiveness of the Programme

#### F8: How well are you informed about the background of the World Heritage Leadership Programme, its purpose and activities?

Most of the respondents have general information about the Programme (31%) or have been actively involved in one or more activities of the Programme (27%). 22% are well informed about the different objectives, modules and activities, and 20% are familiar with the idea and background of the Programme.

### F9: What – in your opinion – is the general idea behind the World Leadership Programme?



Mainly respondents think that the Programme is focused on capacity building and improving the site management. The holistic approach to conserving nature and cultural heritage was considered to be positive. The sustainable development of World Heritage Sites also plays an important role within the Programme. Some answers also highlighted the contribution to communities with a people-centred approach. The Programme also strengthens the inclusion of site managers in the WH management and enables them to improve/excel their respective focus area through learning about certain challenges as well as methods to overcome these.

#### Selection of statements:

- *“The idea is to improve conservation and management of cultural and natural sites, guided by the World Heritage Convention and SDG goal.”*
- *“The idea behind the Programme is to improve conservation and management practices for culture and nature through the work of the World Heritage Convention, as an integral component of the contribution of World Heritage Sites to sustainable development.”*
- *“The idea is to invite people or the local community to take care and be responsible for their site concerning the management (conservation and protection) in order to have sustainable development and to take their own decisions.”*
- *“The idea is to create leading standards for conserving sites and ensuring their contribution to communities and sustainable*

*development through engaging in World Heritage.”*

- *“In my opinion, the general idea is to provide the target people with the skills and expertise needed to help them to respond to unanticipated challenges and to improve their organisation from good to great.”*
- *“The general idea is to help bring heritage experts from World Heritage Sites in the world to share knowledge and learn from different Programmes that are prepared as workshops to help heritage experts understand what is expected of them.”*
- *“The World Heritage Leadership Programme aims to evaluate and reimagine the role and relevance of the conservation sector for the contemporary context. It aims for a nature-culture merger through the lens of innovation and excellence. This is an important Programme and if heritage/conservation can provide solutions for contemporary challenges (UN SDG) it will redefine and revitalise the sector. As an innovator working with traditional knowledge systems and a heritage site, I hope the Programme nurtures ‘innovation’ and ‘excellence’ as core traits in its DNA. This would need constant reflection, imagination, implementation, and incorporation of the feedback. Heritage should become an authentic foundation for providing solutions for 21st century.”*
- *“Raising the skills level of practitioners involved in the WHS management in order to achieve the best conservation and sustainable development of the world heritage.”*
- *“The World Leadership Programme is a ground-breaking project that plays an important role in promoting a fundamental change in how conservation is understood and implemented all over the world in the 21st century. In the face of environmental change and recent trends in global protectionism, World Heritage becomes more and more important to us, not just for fostering social and economic growth but for shaping what is at stake for the future of humanity amid emerging challenges and uncertainties. This transformation can only be realised through leadership development that supports aspiring leaders in providing insight into the complex and contingent nature of heritage conservation and taking collaborative approaches on a global scale.”*
- *“Building ambassadors in different regions to address heritage preservation issues within the communities.”*
- *“It is meant to equip World Heritage communities, practitioners and*

*beneficiaries with enough information about management of World Heritage Sites.”*

**F10: In which areas did you particularly benefit from the activity you participated in?**

72% of participants benefited through a broader understanding of the site in terms of its natural and cultural values. 68% benefited from the interaction with different local stakeholders. On average 60% of participants benefited from the Programmes' activities in the following areas:

- Understanding of the WH Convention and its requirements
- Management processes and effectiveness
- New ideas for practical work
- New tools and methods to improve everyday work
- Involvement in a broad network of experts and site managers

Only 2% did not benefit in one of the above-mentioned areas.

**F11: In your opinion are there any areas of your daily work where training would be helpful beside the above mentioned?**

The most important areas mentioned by respondents that would be helpful beside the above mentioned (ranked as Area 1):

- Balancing sustainable development and conservation at WHS
- Developing the network of protected areas (global networking)
- Training for policy makers (Government authorities; policy/strategy development)
- Management and monitoring systems and practical examples from the stakeholders (but also research methods on the issues)
- Risk assessment and preparedness
- Heritage Impact Assessment (HIA) – Cultural impact and environmental impact assessment (Impact Assessment of Heritage; assessing the impacts that affect heritage site values and attributes due to natural and human-induced actions)
- Human resources management
- Community participation
- Patrimoine Mondial et Sécurité
- Cultural learning (innovation and traditional knowledge) from several case studies
- Heritage entrepreneurship

- Universally sound approaches for sustainable management of heritage sites
- Discussion with authorities
- Tools and methods to improve everyday work
- Communications and connections
- Risk management and response
- Mediation in complex projects and creating international projects
- Training on resilience
- Decision process at institute level
- Local community engagement, involvement, and participation in heritage properties
- Understanding the tangible and intangible aspects of World Heritage Sites
- More interaction with site managers,
- Decolonisation of heritage
- The Coptic Monasteries of Wadi al-Natrun / Egypt
- Syria

The second important areas that would be helpful beside the above mentioned (ranked as Area 2):

- Natural capital
- Sustainability of the heritage
- Sustainable tourism in WHS
- Innovation, Heritage and United Nations Sustainable Development Goals
- HIA
- Implementation of enhancement activities
- The engagement of the stakeholders in the process of monitoring
- Plan d'Affaire Site du Patrimoine Mondial
- Management plan
- Development of regional legislation
- Community
- Teaching and research materials
- More on traditional knowledge systems
- Practical involvement in such work, such as an internship
- Learning from other / similar cases
- Technology applications in heritage
- Action Programme at city level
- Cultural and spiritual values of nature

- Understanding of WH and its requirements
- Community involvement
- Heritage vs economy and integrating between heritage and economy
- More site visits
- Documentation
- Disaster management planning
- First Aid to Cultural Heritage, the site where am working has significant archaeological collections (cultural) of both tangible and intangible cultural heritage which needs to be preserved in times of crisis in the advent of natural disasters and human destruction.
- Saudi Arabia

The third important areas that would be helpful beside the above mentioned (ranked as Area 3):

- Climate change and impacts on keeping or losing a natural site
- Promoting the value of the heritage
- Heritage benefits sharing
- Sustainable tourism
- Organization of coordination of site managers in the country
- Training on impact assessment of a natural site
- Distance mentoring to get help for unfamiliar problems
- Heritage, Climate Change, Disasters, Resilience (new methods and procedures)
- Traditional knowledge, traditional management systems
- Risk preparedness and resilience of WHPs in the event of global pandemics
- Promotion and marketing of Local Heritage Sites
- Living cultural landscapes. Living heritage at important precincts
- Global traditional use of wild food plants (e.g. crops)
- Resource management
- Restoration of WH properties or OUVs
- Developing business plans for the benefit of the community

**F12: Are there any changes (e.g. improved management, better understanding, improved stakeholder involvement, reduction of conflict) that have occurred at your site as a direct result of the activities set and training provided?**

All the respondents who answered the question (42) noted a change at

their site as a direct result of the activities set and training provided. Since the Programme is very young, most respondents started implementing the tools, such as e.g. Heritage Impact Assessments. The results need to be monitored within the next years. Especially the stakeholder involvement improved, but also the self-understanding and role of the World Heritage Sites became clearer to participants in training activities and workshops.



#### Selection of statements:

- *"I gained a better understanding so far. But I have just started using some of the tools provided and will see the result in future."*
- *"Gaining a new perspective of the need to integrate both natural and cultural aspects in management was what I learned."*
- *"As I work with government, we (Administration Board) had a conversation with some of the stakeholders, in which we explained that the WH belongs to them and improved stockholder involvement in conservation and management."*
- *"We published new and up-to-date research materials."*
- *"We've just been revising the comprehensive management plan for the World Heritage Site. Specially, the idea that what is required for the management of the World Heritage Site is not only to specialise OUV but also to include all the attributes is effective for us."*
- *"We were able to secure funding for our local community to implement conservation and ecocultural tourism project."*

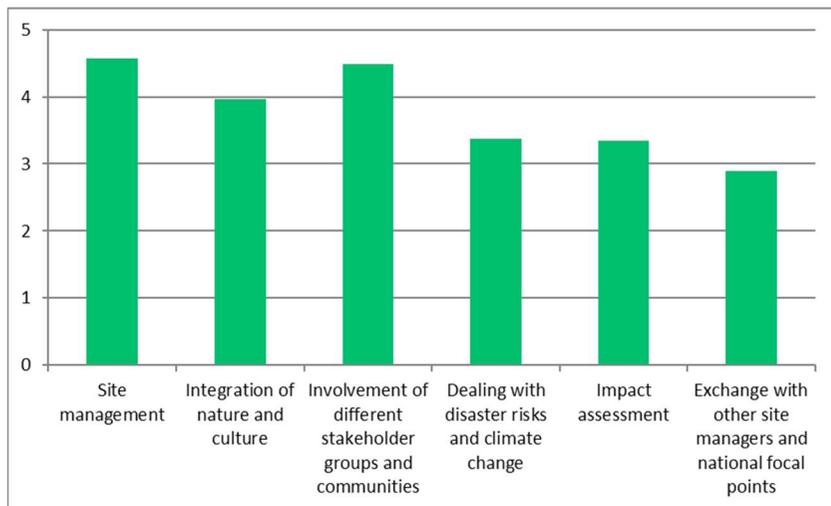
**Impact of the Programme**

**F13: The Programme strives to support WH Professionals in their practical work to improve site management and finally ensure the conservation of the site. Based on your experiences with the Programme, to what extent do you think this will be achieved by the Programme activities?**

30 participants noted that the Programme had a positive effect on their practical work. 8 people think there was partly a positive effect.

**F14: Which topics are most relevant for your work?**

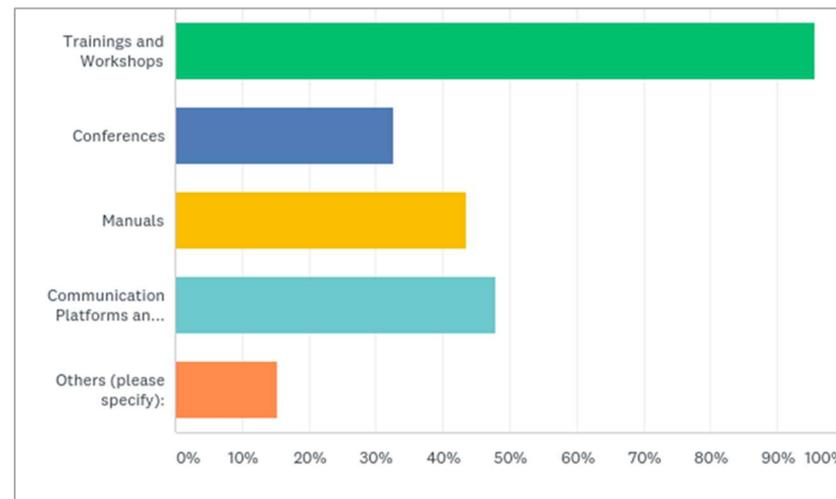
All the topics of the training activities and workshops are relevant for participants. The highest ranked were *Site management* and the *Involvement of different stakeholder groups and communities*. *The Exchange with other site managers and National Focal Points* is partly important (on average).



**F15: From your point of view, which activities are most efficient to communicate the ideas and content of the Programme?**

Participants ranked the training activities and workshops as the most

efficient tool to communicate the ideas and content of the Programme. The second most important are the communication platforms and what they offer. In addition to the proposed answers, respondents mentioned the importance of webinars, visits by experts and regional events, as well as best practice examples and the exchange with others involved in the WH management.



**Others:**

- Webinars (2x)
- Visits by Experts
- Regional events
- Best practice examples, exchange of challenges and solutions
- Exchange Programmes for practical learning purposes

**Selection of statements:**

- *“I see immense potential in this Programme. I believe innovation, excellence and leadership are fundamental traits for nurturing in the activities and here we need critical reflection. Lessons from other non-heritage fields can inspire the activities and this should be deliberated upon.”*

**F16: Can you name any local and/or national constraints and constraints which may negatively affect the on-site application of the tools, methods and ideas provided by the Programme? How did you overcome these?**

Most of the respondents mentioned the lack of legal bases to implement WH issues and financial resources. The limited financial resources in particular are a problem since this leads to fewer human resources. This seems to be a general issue. The Programme helps to raise awareness through the involvement of governments and decision makers. This is a longer process and needs time. For some sites, climate change and the accompanying problems (e.g. strong winds) are the greatest constraint.

Selection of statements:

- *“Every conservation approach should be approved and adopted within the national legislation. In this way you are confident that it can be applied. Otherwise, it will stay only in theory.”*
- *“Staff are insufficient (quantitative and qualitative) due to e.g. our budget consisting of limited grants.”*
- *“The gap in the level of comprehension between heritage specialists (practitioners, sites managers, conservators, experts, etc.) and governments and decisions makers is a constraint. Solution: raise awareness and share the experience with stakeholders.”*
- *“The main constraint is overlapping of tasks of different authorities related to managing coastal activities, so as a marine protected areas authority we initiated the Marine Protected Areas Council which involves members of the different related authorities to eradicate the conflict and work in harmony.”*
- *“Lack of co-ordination between different stakeholders is a problem, which can be overcome by increased participation and discussion.”*
- *“In the last 3 months, the coronavirus pandemic has negatively impacted our work and demonstrated the faultiness in society. Fear, stigma, xenophobia, rumours have emerged as serious challenges, and our work related to the UNESCO World Heritage Site nomination dossier and stakeholder consultation has been indefinitely put on hold. We have now focussed on exploring effective communication to address these fears and stigmas and explore 'what works'. Music has emerged as an important medium for us in the indigenous context. Which brings us to the question of*

*cognition, human behaviour, pedagogy, semantics, semiotics and syntactics. These are all important from the perspective of designing a Programme or multiple Programmes suited for different user groups.”*

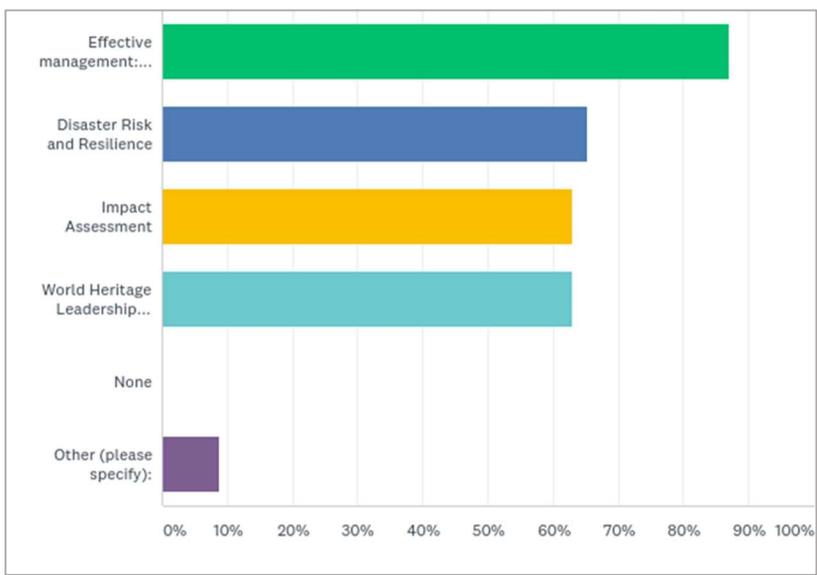
- *“Climate changes are the greatest constraint which had a negative effect on-site. This occurred because of strong wind and wave action, which goes directly to the monuments which are located closely to the oceans. Still a big challenge in Kilwa ruins. We have tried to rescue some ruins by constructing a wall to prevent wave action going directly to the monuments. Next we will plant mangrove trees as a mitigation measure for the open areas to prevent the speed of wave action going directly to the ruins.”*
- *“A particular challenge is the general perception that people have in terms of the negative effect of heritage conservation on economic development. Intergovernmental organization can introduce a substantial change which incentivises and leads to a synergistic relationship between cultural heritage, the environment, and social and economic development at national and local levels. For example, apart from World Heritage, UNESCO Global Geoparks and Biospheres can serve as a tool in the process of advocating for policy change that recognises social and environmental values of heritage conservation towards sustainable development.”*

**Efficiency and Sustainability of the Programme**

**F17: From your point of view, which of these elements of the Programme should be upscaled and/or extended?**

All the elements of the Programme mentioned should be upscaled. Furthermore, the following elements should be extended too (specified “Others”):

- Understanding the definition of the words we use: nature, culture, community, leadership
- Disaster response
- Different topics are most important for different objects
- Restoration and conservation/Preventive conservation



**F18: Would you like more or less guidance in the elements of the Programme?**

30 people would like more guidance in the elements of the Programme and one less. 16 people are neutral.

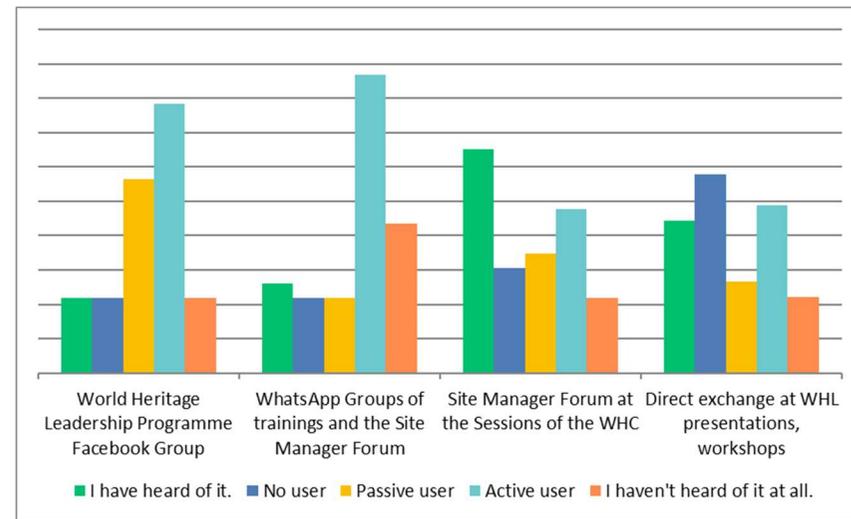
**F19: Would you like more or less courses in the elements of the Programme?**

32 people would like more courses and 2 less. 12 people are neutral.

**F20: Which communication channels and platforms do you use?**

**F21: Do you feel sufficiently informed about the World Heritage Leadership Programme?**

14 people feel sufficiently informed about the World Heritage Leadership Programme (29%). Three people do not feel sufficiently informed (6%). The rest (64%) feel partly informed about the Programme.



**F22: Would you be interested in attending a leadership course for becoming a trainer to organise and coordinate courses yourself; to spread the results and impacts of the Programme?**

38 people are interested in attending a leadership course for becoming a trainer to organise and coordinate courses yourself. One is not interested. The rest are interested to some extent.

**F23: Are you interested in receiving more information about the WHL Programme, its activities and results?**

All participants are interested in receiving more information about the WHL Programme, its activities and results.

**F24: Are there any additional recommendations and solutions that should be considered by the Programme? Would you like to add something?**

- More workshops/presentations/courses around the globe, organised near or at a WH site.
- I would like you to continue this amazing Programme.
- I am interested in attending a course aimed at site managers, a leadership course for becoming a trainer.
- Expand WHL training and activities to more professionals!
- Design training and activities initiated by the WHL programme in

- French for professionals in French-speaking countries.*
- *Make use of site managers as resource persons, facilitate direct communication between sites and site managers!*
- *Local level and country level training programme!*
- *Help interested participants in your Programmes by giving them opportunities for sponsored college training to help further their understanding in issues involving World Heritage Sites!*
- *Rights-based approaches are missing in this survey. Are they included in each module? Because they should be.*
- *The Programme is still unknown to many, the audience should be increased. And I feel we have been exposed to many components within a very limited time. It would be great if there were different levels (basic, advanced) and it was offered in different places; so that returning participants can gain additional expertise.*
- *Leadership is a critical subject for our time, and I would like to be personally involved in enriching and contributing to this Programme. From my interactions with the resource persons in Sri Lanka and earlier with Scott Perkin in India, I see a critical role for innovation in this Programme. In this I envision heritage and conservation providing real world solutions for contemporary challenges (UN SDG).*
- *Organizing a session in the Middle East and particularly in Lebanon!*
- *Include heritage professionals from Africa in the planning and implementation and review of the Programme because the issues and challenges that sites in Africa face are unique and specific to Africa, and require input from the people affected in order for the WHL Programme to be even more relevant to more people.*
- *Establishment of the Africa Site Managers forum!*
- *I was fully satisfied with the PNC 19 programme that I have attended in Sri Lanka, I have observed that the course is very tight with presentations and actual course work, but less on take home work to encourage implementation of lessons learned and monitoring of these, just to ensure follow up work and impact based assessment approach for continuous improvement and learning.*
- *Just to congratulate organisers and I can only say keep moving.*
- *WHL should support local training at the WHS*
- *Always respond quickly to any report made by a site manager, and always communicate and engage site managers*

- *I hope there will be another course in Zambia related to heritage preservation.*
- *Training of local communities living within World Heritage Sites.*
- *I request that the age limit be extended to 40.*
- *Include World Heritage and the impact of development. Engage management of Heritage institutions to share ideas about the Programme.*
- *Providing training for periodic reporting and linking the results to conservation management plans that have been prepared or new one for sites that do not have them.*
- *There should be an equal opportunity for participation by all site managers in all courses offered. Similar courses should be rotated in all parts of the world*

### Conclusion

In general participants considered the Programme to be positive. It has an impact on their daily life as practitioners. The content of training activities and workshops has an impact on management structures, and overall people are satisfied with the structure and issues addressed.

However, some answers are contradictory, such as the fact that participants noted that there was too little attention paid to natural sites, but on the other hand they are looking for more intense learning about cultural heritage. It could be concluded that there is still potential to further develop the training activities and workshops as well as the materials provided, but the direction in which the World Heritage Leadership Programme is evolving is right. Most of the respondents mentioned the lack of financial resources. This seems to be a general issue. The Programme helps to raise awareness and strengthen the WH sites in this context. These developments need time.

#### 7\_4 Assessment of progress by module

The following assessment is primarily based on the document review refined by the discussions with key informants.

Objective	Result	Output	Status (green good progress; yellow medium progress, red no progress)
<b>MODULE 1: Effective management: Nature, Culture and Communities</b>			
1.1. Improve the effectiveness of World Heritage Sites management worldwide	1.1.1 A new approach to integrated conservation, management and presentation of nature and culture, based on practice developed through work in World Heritage Sites, and their wider landscapes, defined by 2020.	1A New resource manual	Draft knowledge framework available.
		1B Key tools and ME methodologies apply to all sites	EoH Toolkit draft available and tested. Testing continues, additional funding, on site beneficiaries (ARC-WH Testing Sites, Valparaiso, Robben Island)
	1.1.2 All ICCROM's and IUCN's World Heritage capacity building activities provide an integrated approach to the consideration of cultural and natural heritage by 2020 and key educational and training partners are supported to introduce similar changes into their curricula and activities	1C Revised training materials (materials, courses, side events, platform)	Link to knowledge framework, several courses held, integrated syllabus available, further courses with Korea CHA secured
		1 D Support of postgraduate platforms (seminars, joint teaching sessions, partnerships)	9 lectures and seminars held at universities, support of 2 UNESCO Chair Submissions
1.2. Promote good governance and strengthen local engagement in World Heritage: Leading practice on engaging with communities, stakeholders and rightsholders in culture and nature.	1.2.1 All key policy and guidance on World Heritage provided by IUCN and ICCROM promotes strong local engagement and a commitment to delivering benefits to local communities as a hallmark of how World Heritage Sites are managed and as an integral contribution to supporting Sustainable Development, and incorporates appropriately leading international standards regarding governance.	1 E Standards and guidance included in resource manual (comm. representative at local level, local involvement in listing, capacity building mechanisms, indigenous support)	1 PCA course held, inclusion of rights-based approaches in manuals, 1 associated course in China
<b>MODULE 2: Resilience</b>			
2.1. Disaster Risk Management is adopted as a crucial and indivisible component of heritage policies and management strategies for World Heritage sites	2.1.1 Disaster Risk Management is established as a key component part of a new approach to integrated conservation, management and presentation of nature and culture within World Heritage Sites (see also result 1.1.) by 2020.	2A Resource manual on disaster risk (manual, case studies, good examples)	Revised draft available

<p>2.2 World Heritage Sites have effective Disaster Risk Management plans and strategies in place, (coordinated with international systems for disaster response).</p>	<p>2.2.1 Each year at least one World Heritage Site most at risk from disasters is supported in developing or revising a DRM plan, which is integrated into larger DRM frameworks at local and national levels.</p>	<p>2B. Capacity building activities, including ongoing mentoring, are developed, and are implemented to help professionals from chosen sites to develop proper DRM plans (based on ongoing ICCROM courses). The Programme will also be able to respond and provide short, targeted capacity building to States Parties in the aftermath of emergency situations.</p>	<p><b>Partnership with SEAMEO-SPAFA and Ritsumeikan University for training workshops established; two associated courses held (BMWHI-Australia, Ritsumeikan University)</b></p>
<p>2.3. World Heritage Sites have effective strategies for mitigation and adaptation to climate change.</p>	<p>2.3.1 Climate Change Adaptation is established as a key component part of the new approach to integrated conservation, management and presentation of nature and culture within World Heritage Sites (see also result 1.1.) by 2020.</p>	<p>2C. Guidance on climate adaptation is included within the new manual on Managing World Heritage, and in the revised Resource Manual on World Heritage and Disaster Risk (to be renamed World Heritage, Disaster Risk and Resilience), and case studies of best practice are gathered and disseminated.</p>	<p><b>Included in the manual in cooperation with ICOMOS CCWG</b></p>
<p><b>MODULE 3: Impact Assessment</b></p>			
<p>3. 1. Impact Assessment is undertaken systematically and effectively by States Parties to avoid damage to World Heritage Sites from inappropriate development and to understand opportunities to contribute to conservation and sustainable development.</p>	<p>3.1.1. International standards for Impact Assessment are defined that consider World Heritage, including OUV and all aspects of nature and culture.</p>	<p>3A. A toolkit for Impact Assessment and World Heritage, covering culture and nature, and the specific assessment of impacts of development on OUV, and benefits of World Heritage to society is agreed as an international standard.</p>	<p><b>IA Toolkit/Guidance developed (revised draft available)</b></p>
	<p>3.1.2 States Parties are supported in creating effective legal, institutional, and professional measures to ensure the effective use of Impact Assessment, and performance is monitored.</p>	<p>3B. Capacity building activities are developed and implemented to train professionals involved in IA based on work already being carried out by ICCROM, universities, and other actors in this area (States Parties seeking direct advice from the Advisory Bodies on impact assessment or asked to carry out impacts assessments should be invited to participate and should be financially supported if needed).</p>	<p><b>2 impact assessment workshops (Kotor, Seoul) and one WHITRAP Course held on impact assessment; associated activities (Summer school in Cottbus, regional course in Lake Ohrid area)</b></p>
	<p>3.1.3 Number of State of Conservation Reports arising from threats related to impacts from development proposals is reduced by at least 25%.</p>	<p>3C. Communication strategy to raise awareness amongst States Parties of the need to undertake impact assessments to identify, evaluate and assess alternatives to both mitigate the potential environmental, social and heritage impacts and enhance benefits of development proposals;</p>	<p><b>Participation in 2 IAIA Conferences (2018, 2019)</b></p>
		<p>3D. Two-day training activity to expand the network of professionals that can advise States Parties on impact assessment in relation to the specific expectations of the World Heritage Convention. Professionals undertaking this training and successfully completing it should be included in a roster of accredited professionals made available to States Parties.</p>	<p><b>(planned for 2020/21)</b></p>

MODULE 4: Learning Sites			
4. 1 Identify innovative and more effective solutions to conservation challenges through a network of learning sites that fosters knowledge sharing	4.1.1. By 2018, at least 3 pilot projects are identified to generate and test ideas that can contribute to addressing some of the key challenges identified in other modules of the Programme	4A. A pilot network of learning sites with long term partnership with IUCN, ICCROM (and ICOMOS) provide ongoing learning and case studies on developing integrated management practice for nature and culture to test ideas for developing new integrated conservation approach (also presented as result 1.1.). These World Heritage learning sites should provide case examples of the effective delivery of benefits to communities, and inclusion of communities in World Heritage management, implementing the new Sustainable Development Policy for World Heritage. Effective networking will be achieved between the learning sites and with other World Heritage Sites through activities to secure communication and interaction between sites (including evaluating options including site twinning, or other forms of site network, including the experience in the Nordic countries of national, regional and global site networks).	<b>Redefinition; shift to IUCN Panorama Solutions Platform</b>
MODULE 5: Leadership Networks			
5.1. Exchange and collaboration between Nordic and international heritage leaders is fostered.	5.1.1 Aspects of Nordic practice that are leading international examples are shared, and international experience leads to improved Nordic practice.	5A. A high-profile World Heritage Leadership Forum which would lead Nordic and international practitioners / leaders to discuss a key issue facing World Heritage today is held at least every three years and supports the implementation of the priorities of the Programme.	<b>Not yet held; organization of site managers forum within the frame of the WHC Meetings ((2017), 2018, 2019)</b>
		5B. Networking of Nordic World Heritage Sites is supported regionally and internationally.	<b>Participation in the meeting of Norwegian WH Site representatives (2017), international course in Roros (2017), involvement in Nordic World Heritage Conference 2017 and 2018 and the Nordic World Heritage Meeting 2018</b>
5.2. The work of the World Heritage Advisory Bodies is supported by networks of trained professionals, which are regionally and thematically diverse.	5.2.1 Nordic practice benefits the implementation of the World Heritage Convention via the work of the Advisory Bodies and is also strengthened by greater exposure to international World Heritage work.	5C. Nordic practitioners are trained and included appropriately in World Heritage evaluation, monitoring and capacity-building Programmes.	<b>2 Nordic experts supported in carrying out IUCN evaluation missions</b>

Figure 6: Assessment of progress by module

### 7\_5 *Activities by output as presented in the annual reports*

Output No	Description	Location	Year	Training/Course	Workshop	Lecture/Speech	Networking/Event
1A	Workshop on introduction of WHL and linking Resource Manuals on Management of Cultural Heritage and Natural Heritage	Delhi	2017				
1A	Integrated Management Manual Workshop, IUCN, January 2018	Gland	2018				
1B	11 Sites Pilot Testing of EoH Toolkit with ARC WH (3 Workshops)	Arab region	2018/19				
1B	Pilot Testing of EoH Toolkit Robben Islands	South Africa	2018				
1B	EoH and Green List workshop (Associated)	Switzerland	2018				
1B	EoH Testing in Robben Island, South Africa	South Africa	2018				
1B	EoH Testing in Valparaiso, Chile, 27-30 May 2019	Chile	2019				
1C	International Course on Linking Nature and Culture in World Heritage Site Management: Røros Mining Town and the Circumference, Norway, 6 – 16 June 2017 (LNC17)	Norway	2017				
1C	1st Advisory Bodies Networking Activity, ICCROM, 4-6 September 2018	Italy	2018				
1C	Nordic-Baltic Course on World Heritage Procedures, Bergen, Norway, 24-28 September 2018	Norway	2018				
1C	World Heritage Leadership Programme Side Events, 2/3 July 2019, Baku, Azerbaijan	Azerbaijan	2019				
1C	World Heritage Networks - connecting sites, connecting people, 4 July 2019 Baku, Azerbaijan	Azerbaijan	2019				
1C	World Heritage Leadership Programme Side Event, 4 July 2017, Krakow, Poland	Poland	2017				
1C	World Heritage Leadership Programme Side Event, 25 June 2018, Manama, Bahrain	Bahrain	2018				
1C	PNC19 Dambulla Region, Sri Lanka, 20-30 November 2019 (Year 4 Activity)	Sri Lanka	2019				
1C/3B	1-week course with AWHF for African practitioners / 1-week course on IA - African Regional Course on Promoting PCA to Conservation of Nature and Culture, Victoria Falls / Mosi-Oa-Tunya, Zambia, 14-24 August 2018 (PNC18)	Livingstone	2018				
1D	Seminar at Cottbus University, Germany, 16 – 17 December 2016	Germany	2016				
1D	Lecture at Trento School of Management, Masters in World Natural Heritage Management, 3 March 2017	Italy	2017				
1D	Lecture at Torino University, Masters in World Heritage and Cultural Projects for Development, 20 March 2017	Italy	2017				

1D	Lecture at Cottbus University, Germany, Summer School on HIA, 16-26 July 2017	Germany	2017					
1D	Lecture at National University of Cultural Heritage, Buyeo, Korea, 24 October 2017	Korea	2017					
1D	Lecture at Cottbus University, Germany, Masters in World Heritage Studies, 3-4 November 2017	Germany	2017					
1D	Lecture at Torino University, Masters in World Heritage and Cultural Projects for Development, 10 April 2018	Italy	2018					
1D	Bocconi University, Masters Course in Heritage Management, 27 November 2018	Italy	2018					
1D	Torino University, Masters in World Heritage and Cultural Projects for Development, 2 April 2019	Italy	2019					
1E	International Course on People-Centred Approaches to Conservation of Nature and Culture: ICCROM, Italy, 10-20 October 2017	Italy	2017					
2A	Workshop on Resilience	Italy	2018					
3A	1st workshop on Impact Assessment	Switzerland	2018					
3B	Participation at ARC-WH HIA/EIA Workshop, Oman, 23-27 September 2018 (support)	Oman	2018					
3B	WHITRAP Course on Impact Assessment for Heritage, Zhenze Water Town, Jiangsu Province, China, 15-25 October 2018 (partnership)	China	2018					
3B	Heritage Impact Assessment Workshop, Kotor, Montenegro, 3-6 December 2018 (UNESCO WH International Assistance)	Montenegro	2018					
3B	Heritage Impact Assessment Workshop, Seoul, Korea, 27-30 August	Korea	2019					
3C	Participation in the IAIA18 Conference, Durban, South Africa,	South Africa	2018					
3C	Participation in the IAIA19 Conference, Brisbane, Australia, 29 April-2 May 2019	Australia	2019					
5A	2nd Site Managers Forum in Conjunction with the 42nd World Heritage Committee, Manama, Bahrain	Bahrain	2018					
5A	3rd Site Managers Forum in Conjunction with the 43rd session of the World Heritage Committee, Baku, Azerbaijan, 25 June-4 July 2019	Azerbaijan	2019					
5A	Programme Representation at Ro.ME event, Rome, Italy, 29 November 2018	Rome	2018					
5A	Participation in ICOMOS Regional Capacity Building Workshop at ARC-WH, 10-14 December 2018	Arab region	2019					
5A	WHC/ABs meeting, UNESCO, 5-6 February 2019		2019					
5A	Participation in SANParks Regional workshop on Management of Cultural Heritage in Protected Areas/Nat'l Parks, Kruger National Park	South Africa	2019					
5A	ICCROM Programme exchange with FAO on GIAHS Programme, 5 March 2019		2019					
5A	ICOMOS and WHC collaboration meeting, 3-4 June 2019		2019					
5A	WHC/ABs meeting, ICOMOS, 30 August-1 September 2019		2019					

5A	Nature-Culture Linkages Workshop, Tsukuba University, Sept. 2019	Japan	2019				
5A	ICCROM General Assembly 30-31 October 2019		2019				
5A	Convention on Biological Diversity (CBD) SBSTTA and Working Group 11 of Article 8j, Montreal, November 2019	Canada	2019				
5B	Meeting of Norwegian World Heritage Site Representatives: Hammerfest, Norway, (attended by Joseph King)	Norway	2017				
5B	Living in World Heritage and Community Involvement: Nordic World Heritage Conference, Rauma, Finland, (attended by Eugene Jo)	Finland	2017				
5B	Verdensarvforum, Norwegian World Heritage Meeting, Urnes, Norway, (attended by Katri Lisitzin)	Norway	2018				
5B	Nordic World Heritage Conference, Jelling, Denmark, (attended by Tim Badman)	Denmark	2018				
Allied Activity (1E)	Course on Management and Monitoring of World Heritage properties, with special reference to China, State Administration for Cultural Heritage in China	China	2017				
Allied Activity (1E)	Tsukuba University workshop linking management of cultural and nature, Tsukuba University	Japan	2017				
Allied Activity (2B)	BMWHI Adaptive Management Course for Protected Area Conservation in the Asia-Pacific, Greater Blue Mountains Area	Australia	2018				
Allied Activity (2C)	Course on Disaster Risk Management at Ritsumeikan University	Japan	2017				
Allied Activity (3D)	An International Summer School concentrating on Heritage Impact Assessment was held at Cottbus University in July 2017	Germany	2017				
Allied Activity (3D)	A regional course on "Impact assessments for managing natural and cultural heritage"	North Macedonia	2018				
Allied Activity (3D)	A working meeting on HIA/EIA methodology and practice with a focus on the Europe region, hosted by the World Heritage Centre	France	2018				
Allied Activity (3D)	WHITRAP Course on Impact Assessment for Heritage, Zhenze Water Town, Jiangsu Province, China	China	2018				

Table 2: List and type of activities per output in years 1-3 of the Programme

***7\_6 Presentation of the draft evaluation report presented in May 2020***

# WHL Mid-Term Evaluation (2016-2022)



Discussion of draft evaluation report

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Online Meeting

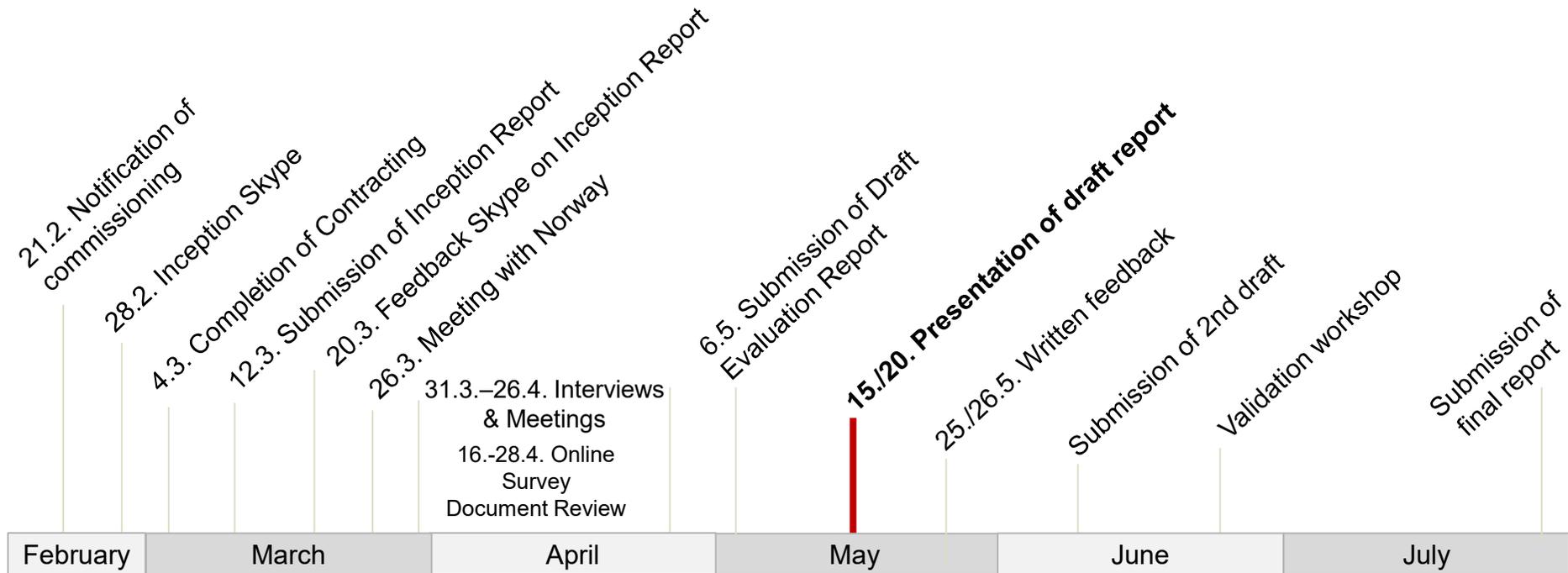
Zollner Daniel, Susanne Pecher, Michael Huber

15th of May 2020

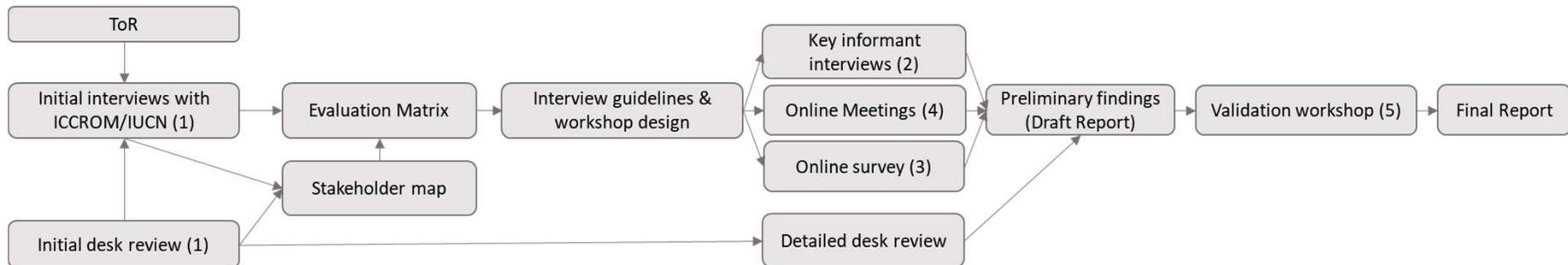
# Agenda

- Welcome
- Purpose of the meeting
  - (1) present key findings
  - (2) have an opportunity to jointly explore key strategic questions resulting from the findings
- Presentation of methodology and key findings
- Clarification questions
- Presentation of key strategic questions
- Discussion of questions and collection of further questions
- Next steps

# Frame and schedule of evaluation



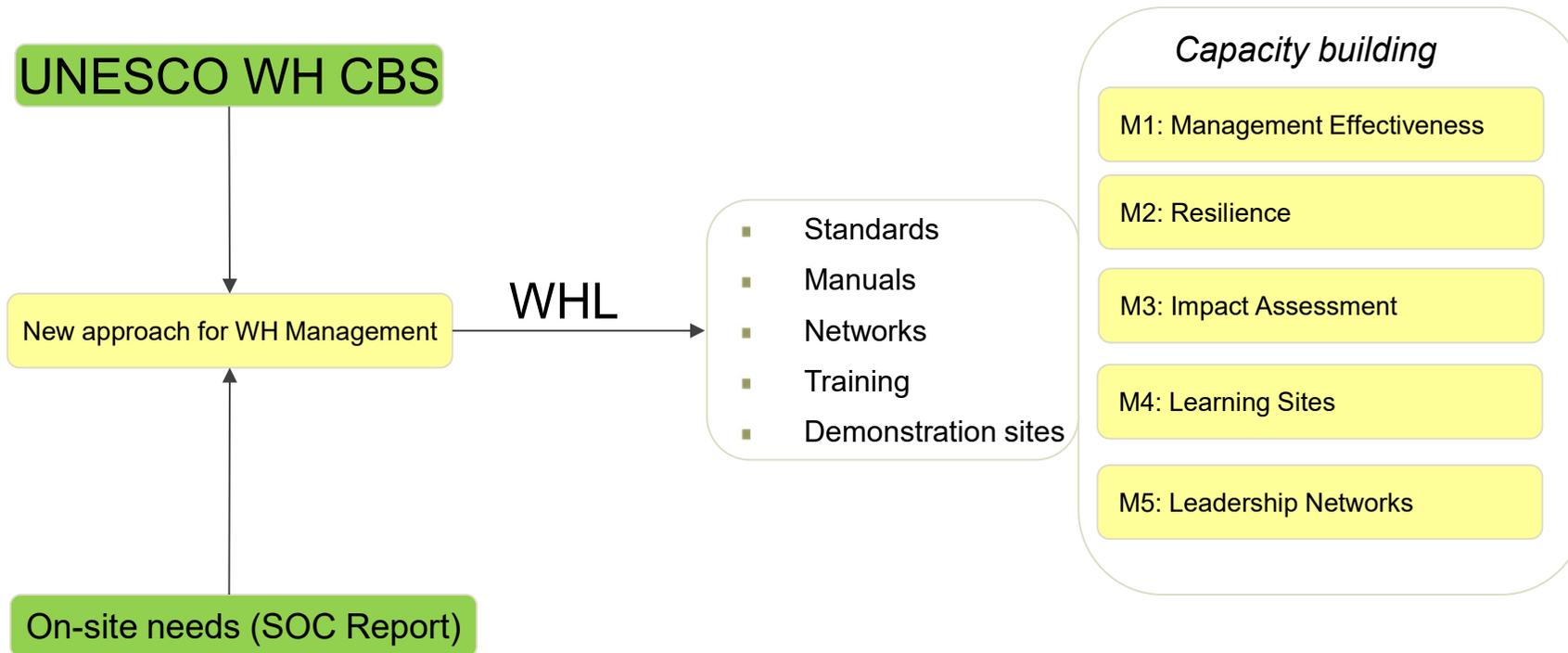
# Methodology



- Virtual Meetings (Adjustment to COVID 19) and interviews (N=27; Duration: 45-120 min)
- Online survey (N=56)
- Document review
  
- Based on evaluation matrix and specifications as presented in the Inception Report



# The wider context



*WH CBS: World Heritage Capacity Building Strategy*

*WH: World Heritage*

*WHL: World Heritage Leadership*

*SOC: State of Conservation Report*

# Relevance of the Programme

- The Programme aims at a paradigm shift of bringing nature and culture together and to incorporate a people-centered approach to capacity building for site managers and national focal points
- Confirmed relevance of contents, approach and networks at all levels
- Though rooted in the WH CB Strategy, an explicit Theory of Change would give more clarity and transparency.

*“This (Nature/Culture) is a great achievement of the programme itself, it is true, for many many years, we used to work in the parallel lines, but not so much in cooperation. This is a great achievement, to have one focus.”*

*“Here, the link between nature and culture is very important, we saw that we can strengthen this link. In our region, there are two main issues: Management and Development. As these are two main modules, we jumped in.”*

# Effectiveness of the Programme

- All modules generally proceed as planned, some are more ahead (IA, EoH) , some are a bit behind for different reasons (Knowledge Framework, Learning Sites)
- The elaboration of deliverables required common understanding. This took more time than anticipated.
- The overall objective of achieving improvements in conservation at site level is very ambitious – to understand effectiveness of the Programme some interim goalposts would be helpful
- Measurable evidence of level of effectiveness limited due to limited SMART indicators and a missing explicit Theory of Change

*“We can see a lot of good things, still something is missing, clearer sentences, messages on some things are needed to easier understand it. [...] The nature of the programme is quite abstract. [...] but how it will be put into life, to see the practical use, it is quite descriptive, hard to grasp.*”

*“We have our knowledge from the annual reports, which were strongly (almost only) activity based. Achievements and outcomes are not visible in the reports.”*

# Impact of the Programme

- Changes in awareness, behavior and practices have already occurred (e.g. community involvement, culture-nature components in management plans)
- Improved cooperation and exchange at all levels between nature and culture (e.g. African SMF initiative)
- Outstanding achievement: Site Manager Forum linking Site Managers with the WH Convention
- Barriers seen at project (communication, dissemination, reflection process), national (institutional barriers, low awareness) and cultural level (language, geographical distribution)

*“Site manager forum: Here people to sit together, talk to each other, share thoughts, that is fascinating. There was this clear need to establish communications beyond state parties. Everything the Convention decides falls back on-site managers, now they get more attention. “*

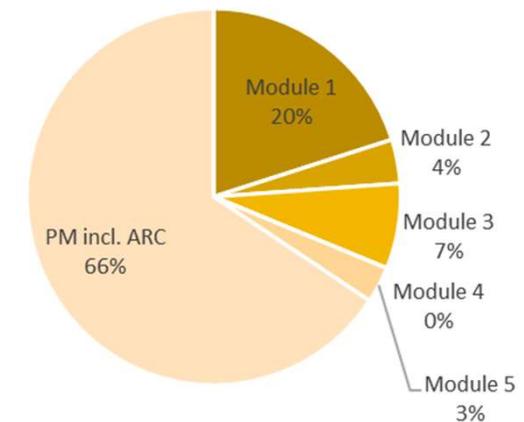
*Site Manager from Africa: “Apart from my own experience, it has influenced the way of managing our site. We have changed it. For example, we now deeply involve the communities, in all our processes, the decision-making This was not the case before [...]. This is working very very well.” .*

# Efficiency of the Programme

- Despite initial discontinuities, work plans were widely achieved
- 45% of the total grant were spent (annual reports allow a tracking of activities). Additional donors for sub-activities (Swiss FOEN, Korea CHA)
- Managed by adaptive management approach, basically good communication basis
- Challenge to track progress towards objectives and results
- Lack of a coherent communication strategy and reflection process (e.g. IA)

*“The project management is very good, not too much micromanagement and not too broad”*

Spending per module



# Sustainability of the Programme

- All institutions indicate high commitment to continue, broad partnership across all levels is a good basis
- The networks are still fragile and informal, partnerships sometimes unclear
- Products for broad dissemination in the wider WH Community available as tested drafts with good feedback from users but not yet finalized and formally available – which would be essential for sustainability

*“WHL brought the element of network: We have our own Whatsapp group. We share experiences, we share documentation, we share questions and also use it for social issues (Birthday). We are always in touch via Whatsapp and Facebook.”*

*“The WHL gave a voice to site managers and those in public authorities working with WH beyond the academic and state parties world. Nothing like this existed before. Finally, an opportunity to bring the Convention/WHC to hear the voice of site managers.”*

# Overall conclusion

- Ambitious vision to implement a paradigm shift at all levels
- Addressing right and relevant topics and issues
- Major achievements, concrete changes/impacts at all levels at an early stage
- Wide network and engagement, a good and active atmosphere, appropriately managed

*“Before the course took place, the cultural value of our (natural) site was not recognized at all. Since the course, my institutions work so closely with the communities. All the traditions [...]. We realized it is also a spiritual site, not only a natural WH site. So we opened it up for spiritual groups. Everyone has come to accept that this is also a spiritual site. Also our employees got interested [...]. An interest we never had, all the interaction with the communities, bringing them into the management cycle.”*

# Challenges

- **Complexity:** broad scope, needs alignment/mainstreaming
- **Reflection :** partly uncertainties within scientific reflection processes
- **Outreach:** limited visibility of results at the moment
- **Measuring and communicating success:** lack of explicit Theory of Change  
unspecific indicators → difficult to track progress
- **Application and sustainability:** consolidation, validation and integration of results are key

# Some principles

- Relevance and Impact will be determined by the availability and adoption of materials to the target groups special needs as well as their reachability.
- Effectiveness will depend on objectively verifiable interim-goals (milestones), their communicated and documented link to the overall objective and continuity of the programme management, clear reflection and communication processes in pursuing the milestones or changing them
- Efficiency will depend on continuation of project management and a communication and outreach strategy
- Sustainability of this programme will be determined by the long-term application of results through beneficiaries after the programme will have ended (regionalised, feedbacked, formalized), and fostering of the networks

# Initial recommendations

- Fostering the big picture of the programme
- Reconciling outputs and results with regional/local level
- Formalizing/ institutionalizing relevant processes and results
- Strengthening the networks and partnerships
- Measuring success
- Clarifying the final results and the understanding of the Knowledge Framework
- Maintaining Programme management structure in the current phase
- Mainstreaming the communication and dissemination
- Second phase highly recommended (put results into practice, using favorable momentum of networks)

# Feedback

- What is your initial impression of the Draft Evaluation Report?
- Is the evaluation process clear and transparent for you?
- Are there contents/conclusions that you do not understand/agree with?
- Do you see any major gaps or key issues insufficiently addressed by the report?

# Strategic questions

- What would be the minimum the Programme would have to achieve by end of Phase I?
- How could the Programme deliverables be institutionalized?
- Which issues have utmost priority regarding the rest of Phase I and for a potential follow-up Phase?
- Where do you see the future role of the WH Center and ICOMOS in WHL?
- How could the results be further rooted and institutionalized for capacity building (Multiplying effects: Site Managers, Focal Points, C2C, AB)?

# WHL Mid-Term Evaluation (2016-2022)



Discussion of draft evaluation report

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Online Meeting

Zollner Daniel, Susanne Pecher, Michael Huber

15th of May 2020

### **7\_7 Outline of a potential Theory of Change and indicators for further discussion**

The evaluation team outlined key aspects of a Theory of Change for the Programme based on existing documents, presentations and its interpretation of it as part of the evaluation process. This serves as a first discussion basis for the Programme management and is by no means considered to be the final version of the Theory of Change. It requires further discussion on behalf of the Programme management in cooperation with all relevant stakeholders and the donor to further develop and validate it.

The structure follows the description of the baseline (outset situation) referring to the key problem to be addressed, the key drivers creating the key problem and relevant barriers to be addressed. Outlining this, the “intervention” (i.e. the Programme) addresses specific barriers by defining specific outputs, which lead to related outcomes. The achievements of the outcomes (within the Programme implementation period) subsequently contributes to specific impacts which should lead to the paradigm shift being espoused in the long run.

Title:		Theory of Change / Intervention Logic / Result Chain					
Actual frame:		WH Capacity Building Strategy (linking nature and culture, from training to capacity building, based on SOC: development and infrastructure, management and legal issues, natural events and disasters)					
Future consideration:		Post 2020 global CBD Framework					
BASELINE			INTERVENTION: WHL Programme		Long term changes to which the programme will contribute		
Key problem	Drivers	Barriers	Outputs, Deliverables	Outcomes / Results	Impact	Paradigm shift	
<b>Decreasing conservation status of WH Sites</b>	Low institutional capacity	Low integration of local communities	<i>Objective 1: Site Managers and States Parties integrate nature and cultural aspects as well as a People Centred View in the Site Management Plans for World Heritage Sites</i>		Raised resilience, increased status of conservation  Way of practicing heritage conservation on the ground changed  Landscape Centred Approach widely applied  People Centred Approach widely applied  Enabling (learning) environment created  Linking culture and nature and adopting a People Centred View in site management for the well-being of heritage and society		
		Lack of common standards and harmonized tools	Indicator 1: 75 % of site managers who have attended World Heritage Leadership Programme trainings apply a People Centred Approach in their sites. (Means of verification: management plans or other management documents)				
		Fragmentation between nature and culture	Outputs Module 1	1.1.1 New approach to integrated conservation of nature and culture 1.1.2 Integrated approach of all capacity building activities 1.2.1 Policy and guidance on WH promotes local engagement and communities			
	Climate change and increasing natural disasters	Lack of effective and systematic plans and strategies	Site managers working in isolation, without community of practice	<i>Objective 2: Site Managers and Focal Points aim at enhanced resilience of sites against shocks from natural and man-made disasters as well as climate change induced changes of sites</i>			
				Indicator 2: DRM is mainstreamed as a key component into World Heritage Management by the World Heritage Convention, IUCN, ICCOMOS and ICCROM (Means of Verification: It is mentioned in the guiding documents)			
				Outputs Module 2			2.1.1 DRM is established as key component of WH management 2.2.1 One site per year supported with DRM 2.3.1 Climate change adaption is established as key component of integrated conservation
	High (economic) development pressures	Weak or inefficient implementation of Impact Assessments	Lack of common standards and tools	<i>Objective 3: From the year xx onwards, Site Managers and Focal Points use a standardized Impact Assessment to report at least every second year on the impact of pressures, responses and release on their respective WHS.</i>			
				Indicator 3: IA is undertaken systematically by States Parties, damages are avoided.			
				Outputs Module 3			3.1.1 International standards are defined 3.1.2 States Parties are supported to create effective legal instit., prof. measures to ensure use of IA 3.1.3 Number of state of conservation reports related to IA are reduced by 25 %
	High complexity and new challenges	Low exchange and training possibilities	Heritage experts trained only in one field (not for a whole place)	<i>Objective 4: Site Managers and Focal Points regularly share knowledge, good practice and experience to identify solutions to conservation challenges</i>			
				Indicator 3.1 The Knowledge Management Platform established by the programme receives xx clicks in year xy.			
		Indicator 3.2 The Site Manager Forum becomes a regular event at least once a year.					
		Indicator 3.3 By the year xx there are at least xx number of Nordic sites connected to international WH Sites					
		Outputs Module 4		4A Pilot network of Learning Sites to identify innovative solutions			
	Static conservation instead of management of diversity and change			Outputs Module 5			5.1.1 Aspects of Nordic practice is shared through the work of the advisory bodies

## **7\_8 Specific aspects to be considered in a communication strategy**

As stated, the programme would benefit from a simple but documented communication strategy. This should cover the internal communication and the external communication:

### ***Internal communication***

Internal communication refers to the steering of the programme and covers all aspects of communication for the purpose of planning, decision making, approval, execution, reporting, coordination, supervision and monitoring. Ideally the internal communication should distinguish three main functions of management:

- Political and strategic steering of the programme, i.e. setting values, norms, policy, and strategy goals, approving decisions, and weaving the programme into its institutional and policy landscape.
- Executive management, i.e. planning, executing, providing financial and human resources, reporting, preparing decisions and accounting for use of resources for the strategy
- Implementation, i.e. using the resources to provide the outputs, services, and deliverables of the project to the beneficiaries

Furthermore, two other tasks can be distinguished:

- Coordination, i.e. defining workflows, providing standards and guidelines, ensuring information and communication to all relevant players of the programme, maintaining networks and linkages
- Monitoring, i.e. observing and reporting whether the resources are sufficient, used efficiently, and lead effectively to the expected output and outcome at beneficiary levels.

It is not necessary that all the functions are performed by different persons. However, for effective management it is helpful to clearly distinguish the functions. A commonly observable situation is mixing coordination and executive management as well as Strategy steering and execution. Both patterns usually lead to inefficiencies, i.e. additional time and effort required to clarify, reiterate and adjust workflow.

In accordance with the functions of management a set of meetings should be defined along with their purpose, frequency and participants. Typically, there would be “steering meetings” once or twice a year; “management meetings” on a monthly basis at Strategy level and potentially more often with the implementation level; “coordination meetings” quarterly with implementing partners and beneficiaries.

For each meeting, a clear purpose or topic/question to be answered should be defined. Furthermore, there should be a “host” preparing the meeting, a number of “topic givers” providing their inputs to items that are to be dealt with, a facilitator ensuring that the process of dialogue is well maintained, and a person taking the notes for the meetings.

The documentation of the communication strategy for internal communication would simply consist of:

- Defining the set of meetings to be held, their purpose and their frequency
- Deciding who should participate in which type of meeting
- Defining the roles and responsibilities of each participant, e.g. who is the “owner” of the outputs of the programme; who is accountable for the decisions taken and needs to approve these; who is responsible for the execution of decisions; who is in charge of defining work flows; who advises and supports, and who needs to be informed.
- Defining a procedure for calling a meeting, setting the agenda, documenting outcomes, and following up with actions that need to be taken
- Agreeing on a meeting culture, e.g. decision by consensus, by majority or by hierarchy; participatory exchange of arguments or reactions to management statements etc.

### ***External communication***

External communication refers to sending information on programme activities to reach beneficiaries, disseminate outputs of the project, recruit training course participants, inform interested funding organisations, etc. Each external communication should have a clearly stated purpose, for example:

- Testing and giving feedback to training content
- Disseminating new standards and guidelines
- Providing information about training courses
- Regularly updating beneficiaries
- Recruiting and registering participants for training courses

For each purpose, the group / individual recipient(s) of information should be identified as concretely and completely as possible. Furthermore, it should be defined what the sender of information expects from the recipient of the information: A decision, feedback, some advice, simply to be informed? The content of communication should be defined by the Programme management in line with the purpose, the recipient and the needs of the sender. Based on this information the channel of communication and frequency can be chosen.

*For example: The Programme wishes to share experiences of site managers in applying new guidelines that have been elaborated. The purpose of this communication is "to encourage a greater number of site managers and NFPs to apply the new guidelines". The expected outcome of the communication is "to convince more site managers and NFPs to apply the new guideline" The site managers and focal points would be targeted region by region. The Programme would need to know how many site managers and NFPs would apply the new guidelines. In line with this purpose, the recipient and the needs of the sender, the Programme could for example decide to produce one video per region with a testimonial of a site manager about his/her experiences of the new guidelines. The communication outlet used could for example be existing platforms of Advisory Bodies, because this would provide legitimization of the guidelines. The outlet could have a link via which interested persons could request a copy of the new guideline. The effectiveness could be followed up with a survey.*

The documentation for the external communication strategy could simply consist of a table including the following information:

- Purpose of communication in line with programme operational plan and expected outcome of the communication.
- Sender of information (as concrete as possible, person and organisation)

- Receiver of information (as concrete as possible: number, gender, age group, function, country, language)
- Content of information (brief technical description)
- Channel of communication (written, verbal, visual, digital, print media), communication tool used (e.g. video, social media, website, platform, existing information platforms of Advisory Bodies etc.)
- Frequency of information
- Means of verification of whether information is effective

*7\_10 Programme description*

# World Heritage Leadership

## A new capacity building programme of ICCROM and IUCN

World Heritage Leadership aims to take a new approach to implementing the long standing partnership of IUCN (International Union for Conservation of Nature and Natural Resources) and ICCROM (International Centre for the Study of the Preservation and the Restoration of Cultural Property) in capacity development to support the World Heritage Convention. It will be delivered by IUCN and ICCROM in collaboration with ICOMOS and WHC and other organisations and is being developed with the support of the Norway and other partners.

The aim of World Heritage Leadership is to improve the conservation and management practices for culture and nature through the work of the World Heritage Convention, as an integral component of the contribution of World Heritage Sites to sustainable development. The programme takes a new and transformative approach, in that it will not focus exclusively on work within the World Heritage Convention, but take a wider view of the totality of conservation practice, and how working through World Heritage sites and the communities and specialists that support them, World Heritage can provide new and better leadership to achieve innovation, performance and excellence that will inspire wider practice. It will take a fully integrated approach to nature and culture from the outset, and will focus on the most pressing challenges where working through World Heritage has the most compelling possibility to make a difference. It will focus on:

- Setting and testing the leading standards for conserving sites, and ensuring their contribution to communities and sustainable development, through engaging in World Heritage;
- Providing high profile, widely translated documented advice on conservation policies and practices, notably by integrating the ICCROM-led Managing Cultural World Heritage manual and the IUCN-led Managing Natural World Heritage manual, into a single new publication;
- Establishing a network of internationally recognised leadership sites, which will include the World Heritage Sites demonstrating leading practice, and which can provide platforms for learning, and for capacity building;
- Building international networks between nature and culture practitioners and institutions that link on-ground practice with leadership at international, regional, national and local levels.
- Providing diverse training events, exchanges, and other capacity-building activities to support the work of both site managers and stakeholders, and national heritage services in diverse States Parties.

World Heritage Leadership will be complementary to, broader than, and different from IUCN and ICCROM's formal Advisory Body work in the World Heritage Convention, being orientated to direct work with States Parties, local government, communities and civil society with the partnership governed by IUCN and ICCROM with a consultative group of stakeholders. The programme will be delivered in close coordination with our long-standing advisory partner in World Heritage, ICOMOS, and it will be coordinated appropriately with the Heritage Division of UNESCO (which provides the statutory Secretariat function for the Convention, via the World Heritage Centre). The World Heritage Committee will be kept informed and invited to help the programme grow. It will also reach out to new collaborations with conservation and development partners, including working directly with other international organisations, with the conservation and development specialist

organisations in State Parties, with universities, and with the civil society and NGO sector who can all connect World Heritage to wider practice.

From 2016 IUCN and ICCROM aim to adopt a common objective, and a series of shared results and coordinated actions in each of their World Heritage related programmes to achieve this initiative. The proposed Modules, Objectives, Results and main Outputs (with their associated activities) of the Programme are outlined below.

# **World Heritage Leadership**

**A new capacity building programme of ICCROM and IUCN**

## **Programme Modules, Results and Outputs**

This document presents the modules that will make up the work of ICCROM and IUCN on the new capacity building programme, World Heritage Leadership, between 2016-2022. Each module consists of a narrative, and a table identifying the results and the key outputs in each case.

Five modules are proposed that make up the Programme, together with a sixth core activity related to the essential work to manage and develop the programme, based on the foundation support from Government of Norway to enable it to be launched. These modules are as follows:

1. Effective management: Nature, Culture, and Communities
2. Resilience
3. Impact Assessment
4. Learning Sites
5. Leadership Networks

Core activity: Programme Management and Development

The Programme has been developed through a process of discussion between ICCROM and IUCN, and draws on the results of a consultative workshop including ICOMOS, World Heritage Centre and representatives of World Heritage stakeholders held in Oslo in 2015.

It is foreseen that the programme will create a number of Task Teams to support the execution of key activities in each of the modules.

## MODULE 1: Effective management: Nature, Culture, and Communities

### Narrative

This module will be the largest element of the Programme, and will focus on setting a new approach to World Heritage Site management, that recognises the interconnected biocultural character of natural, cultural and social values and takes into consideration the wider landscape or seascape. One crucial dynamic will be the recognition that all World Heritage sites carry values related to cultural and natural heritage, and thus management needs to recognise the interplay between the protection of Outstanding Universal Value, as the formal reason a site is recognised as World Heritage, with and all other levels of heritage significance (which may be locally, nationally or internationally significant, but not seen as of OUV). A second priority focus will be on measures to secure each site's contribution to sustainable development, in ways that do not undermine in any way protection and conservation goals, and specifically to implement the new Sustainable Development Policy that was adopted by the World Heritage Convention's General Assembly in 2015. It will also focus on how effective site management incorporates approaches that centrally engage with and empower local communities as actors in conservation, and where relevant, are based in the recognition and realisation of rights that communities have in relation to World Heritage Sites.

The objectives foreseen in this module are as follows:

Objective	Results	Key Outputs
1.1. Improve the effectiveness of world heritage sites management worldwide	1.1.1 A new approach to integrated conservation, management and presentation of nature and culture, based on practice developed through work in World Heritage Sites, and their wider landscapes, defined by 2020.	1A. A new resource manual by 2020 on Managing World Heritage, relevant to all World Heritage Sites and their wider landscapes, whether listed as cultural or natural properties. While promoting World Heritage sites as flagships of best practice, it will offer principles, methods and tools that will be applicable to wider management of cultural and natural sites. The approaches in the manual will be tested in multiple regions and different languages (at least in all six working languages of UNESCO).
		1B. Key tools and management effectiveness methodologies adapted to apply to all sites, independent of their typology. This will include application in specific case study situations, including potentially via the learning sites (see module 4).

Objective	Results	Key Outputs
	<p>1.1.2 All ICCROM's and IUCN's World Heritage capacity building activities provide an integrated approach to the consideration of cultural and natural heritage by 2020 and key educational and training partners are supported to introduce similar changes into their curricula and activities</p>	<p>1C. Existing training materials are revised and where necessary new syllabus content for World Heritage Management is developed to support the following activities:</p> <ul style="list-style-type: none"> <li>• flagship 2/3 week course on nature, culture and people centred approaches, held at least once every two years, as core elements of the ICCROM long-course programme, including on-site training in a world heritage site;</li> <li>• short site-level based or national-level based (1 week) courses on the World Heritage concepts and processes for mixed groups of culture and nature practitioners to reinforce institutional capacity. At least two per year and including appropriate engagement with Nordic institutions and practitioners;</li> <li>• Side events regarding the Programme held at the World Heritage Committee, IUCN WCC (World Conservation Congress), ICOMOS triennial General Assembly, focused on nature, culture and communities</li> <li>• capacity building online platform providing online courses as well as other self-learning resources such as powerpoint presentations, videos and Massive Online Open Courses, in multiple languages.</li> </ul> <p>1D. Existing postgraduate programmes focusing on World Heritage and the work of Universities, relevant UNESCO Chairs, and relevant UNESCO C2C and Nordic institutions are supported to ensure they are connected to work on new standards for World Heritage management, and appraised of the latest developments in the Convention, including:</p> <ul style="list-style-type: none"> <li>- at least one seminar for teachers at World Heritage Masters programmes every two years;</li> <li>- Joint IUCN, ICCROM (and possibly ICOMOS) teaching sessions as part of WH masters studies programmes</li> <li>- Partnerships established with universities offering master degrees with a focus on World Heritage receive external support from IUCN and ICCROM to their teaching and research activities in exchange for prioritising key conservation challenges or directly contributing to wider activities of the programme. (Target: At least 20% of the research undertaken as part of partner master programmes target specific priority areas identified through the programme).</li> </ul>

Objective	Results	Key Outputs
<p>1.2. Promote good governance and strengthen local engagement in World Heritage: Leading practice on engaging with communities, stakeholders and rightsholders in culture and nature.</p>	<p>1.2.1 All key policy and guidance on World Heritage provided by IUCN and ICCROM promotes strong local engagement and a commitment to delivering benefits to local communities as a hallmark of how World Heritage Sites are managed, as an integral contribution to supporting Sustainable Development, and incorporates appropriately leading international standards regarding governance.</p>	<p>1E. Standards and guidance on governance, rights based approaches, local engagement and sustainable development are included in the new resource manual on Managing World Heritage and other key World Heritage manuals are revised to reflect this approach, drawing on existing work coordinated by IUCN, ICCROM, ICOMOS and ICOMOS Norway, including:</p> <ul style="list-style-type: none"> <li>- Encouraging that every property inscribed has a local community representative in an advisory capacity in the management of the site;</li> <li>- local community stakeholders are consulted in the nomination process and the tentative listing</li> <li>- capacity building mechanisms (courses, seminars, and expert meetings) are carried out for different groups and different sectors.</li> <li>- the means to implement key principles such as that related to the Free Prior and Informed Consent of indigenous people in relation to World Heritage is supported through clearly defined standards of practice and related capacity building.</li> </ul>

- Task Team: Nature, Culture and Communities.



## MODULE 2: Resilience

### Narrative

This module will explore how heritage can be better protected from disasters while contributing to the resilience of societies. Thus one crucial part of this module will address gaps in disaster risk management (DRM) practices, explore how to integrate disaster risk management with other management frameworks and promote inter-sectorial, inter-organizational collaboration to advance heritage concerns in the wider agenda for disaster risk reduction. Another priority will focus on gathering knowledge, developing tools and providing guidance for climate change mitigation and adaption in World Heritage sites.

There are synergies in this component of the Programme with work on DRM being coordinated by the UNESCO Culture Sector, IUCN Ecosystem Management Programme, ICCROM, as well as ICOMOS, and a large volume of literature already exists. Thus it is anticipated that UNESCO and ICOMOS would be core members of the Task Team, and that the detailed work programme would be coordinated with them to avoid duplication and ensure synergy. Connections to UNISDR (The UN Office for Disaster Risk Reduction) and Aid Agencies will also be made in the governance of this module. It is anticipated that the DRM component of the programme will be tightly focused around the standards in the resource manual, and the delivery of capacity building targeted at sites most at risk, including defining a means to provide urgent support for sites that are affected by disasters.

Objective	Results	Key Outputs
2.1. Disaster Risk management is adopted as a crucial and indivisible component of heritage policies and management strategies for World Heritage sites	2.1.1 Disaster Risk Management is established as a key component part of new approach to integrated conservation, management and presentation of nature and culture within World Heritage Sites (see also result 1.1.) by 2020.	2A. The Resource Manual on World Heritage and Disaster Risk is reviewed and updated to ensure relevance also to natural heritage (also to include component on climate change presented as result 3.3.1 below), and linked to the new manual on Managing World Heritage, with further translation of this guidance as a standard setting document for site based DRM and Resilience. Case studies will be developed to collect lessons learned from properties that have been subject to disasters. Good examples in all phases (planning before, emergency work during, and recovery after) will be included.
2.2 World Heritage Sites have effective	2.2.1 Per year, at least one World	2B. Capacity building activities, including ongoing mentoring, are developed and implemented to help professionals from chosen sites to develop proper DRM plans (based

Objective	Results	Key Outputs
Disaster Risk Management plans and strategies in place, (coordinated with international systems for disaster response).	Heritage site, most at risk from disasters is supported to develop or revise a DRM plan, which is integrated into larger DRM frameworks at local and national levels.	on ongoing ICCROM courses). The programme will also be able to respond and provide short, targeted capacity building to State Parties in the aftermath of emergency situation. .)
2.3. World Heritage Sites have effective strategies for mitigation and adaptation to climate change.	2.3.1 Climate Change Adaptation is established as a key component part of the new approach to integrated conservation, management and presentation of nature and culture within World Heritage Sites (see also result 1.1.) by 2020.	2C. Guidance on climate adaptation is included within the new manual on Managing World Heritage, and in the revised Resource Manual on World Heritage and Disaster Risk (to be renamed World Heritage, Disaster Risk and Resilience), and case studies of best practice are gathered and disseminated.

Task Team: Resilience and Disaster Risk

## **MODULE 3: Impact Assessment**

### **Narrative**

World Heritage sites are subject to specific protection and management requirements to ensure their long-term conservation however many are faced with threats from development proposals that can negatively impact their values. Providing support to State Parties and other actors is therefore essential to identify, evaluate, avoid, assess alternatives and mitigate the potential environmental, social and heritage impacts of development proposals before a decision on their funding or implementation is taken. This module address capacity needs related to the inefficient use of Impact Assessment tools, lack of legal support for their implementation as well as limited consultation and community participation.

A crucial focus of this module is to support mainstreaming WH into Impact Assessment (ESIA - Environmental Social Impact Assessment - and SEA - Strategic Environmental Assessment) methodologies and standards at international level, as well as in the shorter term bringing together advice on culture and nature within the WH Convention, via the creation of the anticipated resource manual, and targeting capacity building activities, such as the courses being carried out by ICCROM, coupled with awareness raising at a range of different audiences to seek better outcomes in relation to development threats and World Heritage. This work will require particularly close coordination with existing activity being undertaken by the World Heritage Centre and ICOMOS, given the work both organisations have been doing on Heritage Impact Assessment and Impact Assessment methodologies.

<b>Objective</b>	<b>Results</b>	<b>Key Outputs</b>
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Objective	Results	Key Outputs
<p>3. 1. Impact assessment is undertaken systematically and effectively by States Parties to avoid damage to World Heritage Sites from inappropriate development and to understand opportunities to contribute to conservation and sustainable development.</p>	<p>3.1.1. International standards for Impact Assessment are defined that consider World Heritage, including OUV and all aspects of nature and culture.</p>	<p>3A. A toolkit for Impact Assessment and World Heritage, covering culture and nature, and the specific assessment of impacts of development on OUV, and benefits of World Heritage to society is agreed as an international standard.</p>
	<p>3.1.2 States Parties are supported to create effective legal, institutional and professional measures to ensure the effective use of Impact Assessment, and performance is monitored.</p>	<p>3B. Capacity building activities are developed and implemented to train professionals involved in IA based on work already being carried out by ICCROM, universities, and other actors in this area (State Parties seeking direct advise from the Advisory Bodies on impact assessment or asked to carry out impacts assessments should be invited to participate and financially supported if needed).</p>

Objective	Results	Key Outputs
	<p>3.1.3 Number of State of Conservation Reports arising from threats related to impacts from development proposals are reduced by at least 25%.</p>	<p>3C. Communication strategy to raise awareness amongst State Parties of the need to undertake impact assessments to identify, evaluate, and assess alternatives to both mitigate the potential environmental, social and heritage impacts and enhance benefits of development proposals;</p> <p>3D. Two day training activity to expand the network of professionals that can advise State Parties on impact assessment in relation to the specific expectations of the World Heritage Convention. Professionals undertaking this training and successfully completing it should be included in a roster of accredited professionals made available to State Parties.</p>

Task Team: Impact Assessment

## MODULE 4: LEARNING SITES

### Narrative

As flagships of the world’s protected areas and other heritage sites, World Heritage sites can be the learning laboratories and a source of inspiration for the global conservation network, demonstrating best practice in various aspects of planning, governance and management of cultural and natural heritage. This module will focus on identifying more effective solutions to conservation challenges through creating a network of IUCN/ICCROM recognised sites as locations to test ideas, develop capacity, and contribute to the development of guidelines. Learning sites will be selected to be regionally and typological diverse as well as for their potential to contribute to particular thematic areas. Initially, this network of sites should be relatively limited to both be manageable and to not create unrealistic expectations or workload. After an initial testing phase, projects can be scaled up through twinning with other sites to test if lessons are replicable in other contexts.

Objective	Results	Key Outputs
4. 1 Identify innovative and more effective solutions to conservation challenges through a network of Learning Sites that fosters knowledge sharing	4.1.1. By 2018, at least 3 pilot projects are identified to generate and test ideas that can contribute to address some of the key challenges identified in other modules of the programme	4A. A pilot network of learning sites with long term partnership with IUCN, ICCROM (and ICOMOS) provide ongoing learning and case studies on developing integrated management practice for nature and culture to test ideas to develop new integrated conservation approach (also presented as result 1.1.). These World Heritage learning sites should provide case examples of the effective delivery of benefits to communities, and inclusion of communities in World Heritage management, implementing the new Sustainable Development Policy for World Heritage. Effective networking will be achieved between the learning sites, and with other World Heritage sites through activities to secure communication and interaction between sites (including evaluating options including site twinning, or other forms of site network, including the experience in the Nordic countries of national, regional and global site networks).

Task Team: Leadership.

## MODULE 5: Leadership Networks

### Narrative

The current interest in leadership as a capacity development strategy is linked to idea that simply raising the capacity of isolated individuals is insufficient if they are not able to influence the wider context in which they work. Thus the attention needs to shift to the relationship of individuals to the group or collectivity. In an enabling environment, individuals can act in ways that strongly influence others to follow suit, becoming powerful agents of organizational and societal change. This module seeks to improve performance and organizational effectiveness, promote collaborative decision-making and strengthen operational networks. It will therefore address three target groups: individuals in management positions of national heritage agencies, decisions-makers at regional and local level where World Heritage sites are located and conservation professionals whose expertise is widely recognized amongst peers.

The idea of leadership networks needs to be explored and modalities and practical options put in place, with options including a focus on sites, on regions, and/or at the level of leaders of national agencies, as well as how to interact. This approach will be piloted in the Nordic (and Baltic) region, and the lessons learned in the first two years of the Programme fed into both global approaches, and work in other regions.

Objective	Results	Key Outputs
5.1. Exchange and collaboration between Nordic and international heritage leaders is fostered.	5.1.1 Aspects of Nordic practice that are leading international examples are shared, and international experience leads to improved Nordic practice.	5A. A high profile World Heritage Leadership Forum which would take Nordic and International practitioners / leaders to discuss a key issue facing World Heritage today is held at least every three years, and supports the implementation of the priorities of the Programme.  5B. Networking of Nordic World Heritage Sites is supported regionally, and internationally.

Objective	Results	Key Outputs
5.2. The work of the World Heritage Advisory Bodies is supported by networks of trained professionals, which are regionally and thematically diverse.	5.2.1 Nordic practice benefits the implementation of the World Heritage Convention via the work of the Advisory Bodies, and is also strengthened by greater exposure to international World Heritage work.	5C. Nordic practitioners are trained and included appropriately in World Heritage evaluation, monitoring and capacity building programmes.

Task team: Leadership

## **PROGRAMME DEVELOPMENT AND MANAGEMENT**

**The programme is implemented through a legal agreement between IUCN, ICCROM and the Norwegian MoEC, and the following implementation arrangements will be put in place by IUCN and ICCROM to assure the above deliverables, and to build the programme in the long term.**

### **Programme governance**

1. IUCN and ICCROM will designate two World Heritage Leadership Programme Directors, one in IUCN and one in ICCROM who will be jointly responsible for the coordination and delivery of the Programme.
2. An annual partners meeting between IUCN, ICCROM and Norway will be held to review progress and plan ahead regarding Programme Implementation. IUCN and ICCROM will report jointly to Norway at this meeting. This partners meeting shall have the executive responsibility for decisions regarding the programme activities and budget, in relation to the activities implemented with the support of the Norwegian MoEC.
3. The Programme will be advised by a Advisory Group that will meet once annually, with clearly prepared terms of reference, and will comprise the following representation:
  - a. ICCROM
  - b. IUCN
  - c. ICOMOS
  - d. World Heritage Centre
  - e. Norway
  - f. Other major donors to the Programme
  - g. Other members invited with the agreement of the Advisory Group, if relevant.
4. It is anticipated that the Programme will convene groups to support the different Programme modules as required (to be termed “task teams) to support the delivery of different aspects of the Programme (to deliver buy-in, consultation on activities, and mobilisation of partners and resources). These may function both virtually and through direct meetings and could include groups to focus on:
  - a. Effective Management for Nature, Culture and Communities/Sustainable Development
  - b. Resilience and Disaster Risk Management
  - c. Impact Assessment
  - d. Leadership

## **Programme Secretariat: Structure and Financing**

1. The Programme Secretariat will be distributed between IUCN and ICCROM, and will comprise:
  - a. The two Leadership Programme Directors, with the IUCN based Director allocating 3-4 days per week of time to the Programme, and the ICCROM based Director allocating 1 day a week of time to the Programme.
  - b. A full-time Programme Coordinator based at ICCROM for the lifetime of the Project, and appointed jointly by IUCN and ICCROM, in consultation with Norway.
  - c. Additional ICCROM and IUCN staff if they are contributing to Programme Activities.
  - d. Administrative Support from IUCN and ICCROM as required.
2. The Programme Secretariat will meet in person at least quarterly in a dedicated meeting focused on Programme Management, either at IUCN or at ICCROM.
3. Finance from the Programme will be required to cover the majority of the costs of the Project Coordinator (ICCROM has some co-finance available from other extra-budgetary which could contribute up to c.20% of the costs of this new post confirmed only on an every-two year basis), and to cover costs of Programme Direction in IUCN. The project administrative costs will cover the necessary Administration in both IUCN and ICCROM. The relevant costs for staff costs and administrative costs/overheads will be shown in the programme budgets that will be agreed on a two-yearly basis.
4. If additional resources are mobilised the Programme Secretariat may be increased further by full or part time staff based in IUCN or ICCROM, including funding by sources other than Norway (or alternatively secured through secondments of staff to the Programme).
5. Consultant/resource person/honorarium support may also be required for some aspects of Programme delivery.

## **Approach to Resource mobilisation and Partnership in the Programme**

1. Partners will be encouraged to join the Programme, by both providing project finance to IUCN and ICCROM; and by supporting directly the costs of programme activities (such as covering travel and accommodation costs for hosting training courses, which could be held in either universities or Category 2 Centres. Where project funding in addition to that from Norway is secured by IUCN and ICCROM this will be identified in the project budgets for each two year work programme.

## Environmental and Social Safeguards

1. The proposal has been screened for potential negative environmental and social impacts (ESMS) following the procedure and standards of the IUCN Environmental and Social Management System (available [on IUCN's website](#)). The project will be monitored for environmental and social risks on a continuing basis. It is noted that:
  - a. Achievement of gender, age and regionally balanced participation in the programme, will be achieved by actively considering diversity in the selection of participants in the activities of the programme, and monitoring diversity. In the work on the manual and tools and standards a gender-responsive focus will be applied
  - b. As a principal risk to note, ESMS screening notes possible risks associated with activities in the learning sites, where there is greater potential to influence positive or negative outcomes for affected communities, or for conservation of nature and culture, through the activities of the Programme. Whilst these risks are low, it will be important that the interventions planned for the learning sites are screened at the point of selection of the sites; as the project aims to explicitly address social risks through the promotion of a rights-based approach, improving governance and strengthening stakeholder involvement, for demonstration purpose the project might explicitly choose sites which entail potential risks, in full consultation with the site managers and stakeholders, including men and women, and, if relevant, indigenous peoples and other rightsholders.

## Involvement of IUCN and ICCROM constituencies

1. ICCROM is an Intergovernmental organisation, and IUCN has State Members, so it is anticipated that the activities will be of direct benefit to State Members, since they are direct actors in the World Heritage Convention.
2. In addition IUCN has civil society/non-governmental member organisations. Whilst not being direct beneficiaries of the project, it is anticipated that relevant experience of IUCN non-governmental members will be drawn on, notably where these members are directly involved in World Heritage Sites. IUCN tracks systematically IUCN member engagement in World Heritage Sites through the IUCN World Heritage Outlook.
3. IUCN also convenes expert Commissions, and for its work on World Heritage conservation works particularly closely with the IUCN World Commission on Protected Areas (IUCN-WCPA). It is expected that beneficiaries of a number of the training activities, as well as resource persons supporting activities will be drawn from the World Heritage specialist network of WCPA. In addition it is anticipated that WCPA management effectiveness standards will be a key focus for activities. IUCN has convened a number of specialist groups of WCPA (on Protected Landscapes, Cultural and Spiritual Values of Protected Areas and on Equity and Rights), and also its commissions on Social Policy (IUCN-CEESP) and Ecosystem Management (IUCN-CEM) who are working on aspects of nature culture linkages within the IUCN Programme, and these different expert groups will be consultees and contributors to scoping, notably of module 1 of the Programme. Finally, WCPA has been developing a capacity building programme, which includes one focus on biocultural aspects of protected area management. It is anticipated that the implementation of World Heritage Leadership will also achieve some of the goals of the WCPA in relation to its capacity building strategy, and the leaders of that strategy are aware of the proposal, and will be consulted on the implementation of relevant activities.

## **Stakeholder consultation and communication**

1. The programme has been developed through a process of consultation with stakeholders, notably a gender-balanced workshop convened in 2015, and also draws on a pilot programme of activities undertaken in 2015-2016, and the long experience of IUCN and ICCROM in relation to assessing capacity building needs in the World Heritage Convention.
2. Communication is an implicit part of the implementation of the Programme, and part of the implementation of the activities. Communication will be supported and delivered via the dedicated website of ICCROM, and scoping is foreseen of a web platform in the first Work Programme.

## **Long-term sustainability**

1. It is anticipated that World Heritage Leadership will be able to develop over the course of its implementation a business case for continuation of the programme from 2022, and including opportunities to work further with existing and new donors. The strategy of the Programme is also to create products that will be leading standards guiding a better implementation of the World Heritage Convention, and thus sustainability will also be sought through mainstreaming the outcomes of the Programme into Convention processes and standards, where relevant, and to the statutory activities of IUCN, ICCROM and, if agreeable, ICOMOS as Advisory Bodies to the Convention and the World Heritage Centre.

## **Risk Management**

1. The project presents low and readily mitigated risks in terms of implementation, and these will be managed primarily through the implementation of specific activities through the normal protocols of IUCN and ICCROM, who have long standing track records in successful delivery of quality World Heritage capacity building, and unequalled knowledge of the Convention's capacity building work through their specific roles as designated Advisory Bodies. Risks will need to be managed in relation to the embedding of new standards and concepts related to nature-culture connections, and the different technical components of the Programme within the work of the World Heritage Convention, and ICCROM and IUCN have long experience of managing such issues, but they are always matters that need careful handling. Maintaining open and consultative arrangements and direct engagement in the programme from WHC and ICOMOS, as well as from Norway and other State donors who contribute to the programme will be essential actions to minimise this risk.

## **Monitoring and evaluation plan**

1. A monitoring and evaluation plan will be undertaken for the programme, which will include the following actions:

- a. An annual report on the programme, presented to the annual Advisory Group and to the annual meeting of ICCROM, IUCN and Norway, which will report on the execution of the programme, extent of achievement of actions, progress on outcomes, adaptations necessary.
  - b. A report on each capacity building activity, including participant feedback, and a report on diversity of participants disaggregated by gender, age and region, to confirm diversity has been appropriately addressed.
2. In addition to 1(a) a mid-term external review of the programme will be undertaken, this will be commissioned at the start of year 4 of the programme, and report by Q3 of year 4, with its recommendations being built into years 5 and 6, and beyond, regarding the last of the two-year work programme envisaged within the agreement (for 2020-2022), and actions anticipated in that programme related to the long-term sustainability of the programme. The costings for the mid-term review will be included as part of the budget in the second two year work programme for World Heritage Leadership. The review will be jointly commissioned by IUCN and ICCROM to a mutually agreed brief with Norway, and following consultation with the Advisory Group.



7\_11 Evaluation matrix

Criteria	Question (ToR)	Measure/Indicator of progress	Sub questions*	Main Sources of Data	Data collection method
C1. Relevance	EQ1. To what extent does the WHL programme's design and to-date implementation respond to the key needs and challenges that its target user groups and beneficiaries are facing? Are there needs unmet by the programme?	M1. Explicit definition (degree to which challenges and needs are made explicit in the programme design and activities.); Needs of key target groups and challenges to be addressed are explicitly documented	How are elements of the WH Capacity Building Strategy (2011) reflected in the programme and activity design?  Are the needs and challenges as expressed in the programme documents and the situation analysis of the capacity strategy being reflected in the programme content (target groups, components, measures, content of trainines)? To what extent are key stakeholders aware of the key challenges and needs addressed by the programme?	Programme documents Programme management Partner institutions Programme documents Programme management  Programme management Project Institutions	Document analysis Key informant interviews Field mission Document analysis Key informant interviews  Key informant interviews Field Missions
		M2. Target user groups' statement: Covering of practical needs and challenges	How do beneficiaries rate the practical relevance of the tools developed by the project and the training activities?	NFP and site coordinators	Key informant interviews Online Survey
		M3. Ability of the programme to address unmet needs in the remaining time of the programme in terms of (1) Content and issues (2) mode of delivery and (3) frequency	Which gaps and needs are mentioned by target user groups and beneficiaries in terms of (1) content (2) mode of delivery and (3) frequency ?  To what extent are these gaps and needs reflected in the programme activities?  How does the coordination group and site coordinators assess the practical relevance of the guidance documents and trainings (content, mode of delivery, participants)?	Coordination group Partner Institutions NFP and site coordinators  Programme documents  Coordination group NFP and site coordinators	Key informant interviews Field Missions Focus Groups Online Survey  Programme documents  Key informant interviews Focus Groups
	EQ2. Is the WHL programme a technically adequate solution to the problem at hand? What other solutions should the programme consider?	M4. Needs assessment (explicit existence of a needs assessment reflecting the problem and the potential solutions from an end user perspective)	Do the stakeholders have a common understanding of the problem to be solved?  Do activities of the programme contribute to the solution of the problem as stated in the programme document and by stakeholders? Which elements and contents of the project (trainings, workshops, conferences, manuals) contribute to the solution and to what extent (from a target user group perspective)	Donor Programme management Coordination group Partner Institutions NFP and site coordinators Programme documents  Coordination group Partner Institutions NFP and site coordinators	Key informant interviews Focus Group  Document analysis  Key informant interviews Focus Group Online survey
		M5. The programme design shows a documented reasoning between challenges and needs identified, programme objective, expected results and expected outputs, beneficiaries addressed	How do target user groups assess the usefulness of the materials provided?  Do the proposed guidelines and manual adequately reflect the situation and problems on the ground?	Coordination group Partner Institutions NFP and site coordinators Coordination group Partner Institutions	Key informant interviews Focus Group Online survey Key informant interviews Focus Group
		M6. Feedback of target beneficiary group on accessibility of information in terms of (1) understanding the content (2) whether the content offers solutions to their daily problems in managing WHS sites (3) whether the accessibility to the information is quick and easy	Which further solutions/improvements would support the site coordinators?	Coordination group Partner Institutions NFP and site coordinators	Key informant interviews Online survey
		M7. Ability of the programme to integrate alternative solutions in terms of (1) technology (2) human resources (3) costs (4) remaining time	How do target user groups assess the usability of platforms and digital communication offers?  Are there additional recommendations and solutions that should be integrated in the programme? (from the perspective of various stakeholder groups)	Partner Institutions NFP and site coordinators  Donor Coordination group Advisory Group Partner Institutions NFP and site coordinators	Key informant interviews Focus Group Online survey Key informant interviews Focus Group Online survey
		M8. Percentage of officially released documents and contents making explicit reference to gender and/or social inclusion aspects	In which way do programme documents reflect social inclusion and gender aspects?  Which trainings did include a gender and social inclusion aspect?	Programme documents  Programme documents Partner Institutions	Document analysis  Document analysis Key informant interviews
	EQ3. To what extent, and how effectively are gender and social inclusion issues being addressed in the project?	M9. Gender balance amongst partners and working groups according to information provided by Programme management	Are different social, geographical and gender groups adequately represented in the trainings and project set-up?  Are social and human rights issues as well as diversity issues implemented as expressed by target-user group?	Programme documents Donor Advisory Group Coordination group NFP and site coordinators Programme documents	Document analysis Key informant interviews Focus Group Online survey  Document analysis
		M10. Gender balance of participants according to information provided by module coordinators	Which outputs deliberately include social inclusion/gender topics?	Programme documents	Document analysis
	EQ4. Does the WHL have an adequate theory of change? How does the WH programme expect to lead to sustainable improvements in conservation?	M11. Explicit definition of a Theory of Change for the programme	Does the programme have an explicit theory of change? Is there a specific standard how a Theory of Change should look like?  Which elements of the Theory of Change can be identified within the programme documents? Is there a common understanding of all actors on how sustainable improvements are to be achieved (and of the ToC)?  Is there a common theory of change (either formal or informal)? How does the programme intend to change the system? Is the "sustainable improvement" adequately defined in the programme documents?	Programme documents Donor Programme management  Programme documents  Programme documents Programme management Partner institutions Programme documents Programme documents Programme documents	Document analysis Key informant interviews  Document analysis  Document analysis Key informant interviews  Document analysis Document analysis Document analysis

Criteria	Question (ToR)	Measure/Indicator of progress	Sub questions*	Main Sources of Data	Data Collection Method
C2. Effectiveness	EQ5. How is the WHL progressing towards its intended deliverables and accomplishments set for the entire programme's cycle?	M12. Explicit definition of deliverables documented in Work plan and regularly updated (in type, quantity, quality, time)	Is the achievement of the defined deliverables feasible within the given project duration?	Programme documents Donor Programme management Advisory Group Coordination group Partner Institutions	Document analysis Key informant interviews Field Missions Focus Group Online Survey
		M13. Working progress contents (extent to which deliverables were implemented as planned)	Are deliverables clearly defined in terms of type, quality, quantity, timing?	Programme documents	Document analysis
		M14. Outstanding deliverables during remaining programme cycle	What are the mechanisms and procedure to identify, agree and document changes in deliverables and accomplishments?	Programme documents Programme management	Document analysis Key informant interviews
			Which changes in the programme activities have occurred, how are they integrated into the planning and how do they contribute to the achievement of the final deliverables?	Programme documents Programme management	Document analysis Key informant interviews
	EQ6. What changes in awareness, behaviour, practices and performance (intended and unintended) have already occurred as a direct result of the WHL?	M15. Existence of a baseline assessment e.g. knowledge attitude practice study	Are all deliverables and accomplishments delivered in time?	Programme documents Programme management	Document analysis Key informant interviews
			Which activities have been discarded, changed and added?	Programme documents Programme management	Document analysis Key informant interviews
		M16. According to Stakeholders' perception the WHL resulted in changes	Have deviations been appropriately integrated into the overall programme?	Programme documents Programme management	Document analysis Key informant interviews
			What are Barriers for delivery of accomplishments?	Programme documents Programme management	Document analysis Key informant interviews
	EQ7. What is the likelihood of achieving intended outcomes? Are initial changes likely to lead to the expected subsequent changes and programme outcomes? What can be done to make the Programme more effective?	M17. Measures / outputs planned for the remaining Programme Cycle appropriate to achieve programme outcomes	Have the annual work plans been accomplished?	Programme documents Programme management	Document analysis Key informant interviews
			To what extent have specific outputs/deliverables contributed to the achievement of the intended outcomes for each module?	Programme documents Programme management Coordination group Partner Institutions	Document analysis Key informant interviews Field Missions Focus Group Online Survey
		M18. Explicit definition of intended outcomes	Was there a baseline assessment e.g. knowledge attitude practice study ?	Programme documents Donor Programme management	Document analysis Key informant interviews Field Missions
			Which initial changes were observed by the different stakeholders? Which additional actions or developments did they trigger?	Partner Institutions NFP and site coordinators	Key informant interviews Online Survey
M19. Stakeholder perception (degree to which stakeholders think that the outcomes will be achieved)		Which aspects of the programme are planned to be implemented by site coordinators and NFPs?	NFP and site coordinators	Key informant interviews Online Survey Key informant interviews Online Survey	
		Which aspects of the programme/which acquired knowledge is being used in practice?	Partner Institutions NFP and site coordinators	Key informant interviews Online Survey	
M20. Involvement (Degree of involvement of partners, further institutions and experts in manual development) in regular adjustments of planned outputs	Which aspects of the trainings were included into practical work of site coordinators and NFP? To which extent?	Partner Institutions NFP and site coordinators	Key informant interviews Online Survey		
	Are key persons and institutions involved in the development of the guidance documents?	Donor Programme Management Coordination group Advisory Group Partner Institutions	Key informant interviews Field Missions Focus Group Online Survey		

Pillar	Question (ToR)	Measure/Indicator of progress	Sub questions*	Main Sources of Data	Data collection Methods
C3. Impact	<p><b>EQ8.</b> What long term conservation effects, intended and unintended, are likely to occur as a direct result of the WHL? What is the likelihood of achieving intended impacts? What can be done to increase impacts?</p> <p><i>It might be too early to answer the question on conservation impact achievement; there should be a question on instruments the programme has to assess the impact</i></p>	<b>M21.</b> Explicit definition/Specification of the desired impacts	<p>Which are the explicitly named expect impacts and conservation effects as defined by the programme?</p> <p>How do stakeholder and target groups assess likeliness of achievement of the defined conservation effects?</p>	<p>Programme documents</p> <p>Donor</p> <p>Programme management</p> <p>Coordination group</p> <p>Partner Institutions</p> <p><del>NFP and site coordinators</del></p>	<p>Document analysis</p> <p>Key informant interviews</p> <p>Field Missions</p> <p>Focus Group</p> <p>Online Survey</p>
		<b>M22.</b> Baseline situation has been assessed in terms of intended conservation impact	Which barriers and obstacles are identified by the stakeholders?	<p>Donor</p> <p>Programme management</p> <p>Coordination group</p> <p>Partner Institutions</p> <p><del>NFP and site coordinators</del></p>	<p>Key informant interviews</p> <p>Field Missions</p> <p>Focus Group</p> <p>Online Survey</p>
		<b>M23.</b> Regular monitoring of the Initial impacts is done (degree to which actions and activities already have or have had an impact at different levels).	<p>Which concrete effects were observed after the on site trainings? Which aspects did improve? Which ones did not?</p> <p>Which extent of institutional support is available for delivering the contents to the relevant beneficiaries?</p> <p>Did the programme involve the relevant and responsible key institutions to connect to the relevant beneficiaries?</p> <p>Which institutions plan or have planned to integrate the guidance documents into their regular training activities?</p>	<p>Donor</p> <p>Programme management</p> <p>Coordination group</p> <p>Partner Institutions</p> <p><del>NFP and site coordinators</del></p> <p>Coordination group</p> <p>Partner Institutions</p> <p>Programme documents</p> <p>Donor</p> <p>Advisory Group</p> <p>Coordination group</p> <p><del>NFP and site coordinators</del></p> <p>Coordination group</p> <p>Partner Institutions</p>	<p>Key informant interviews</p> <p>Field Missions</p> <p>Focus Group</p> <p>Online Survey</p> <p>Key informant interviews</p> <p>Focus Group</p> <p>Key informant interviews</p> <p>Field Missions</p> <p>Focus Group</p> <p>Key informant interviews</p> <p>Field Missions</p> <p>Focus Group</p>
		<b>M24.</b> Achieved impacts	What are the assumptions made in order to achieve the impact through the outcomes of the Programme? Which risks are perceived by stakeholders that could lead to not achieving the expected impact?	<p>Advisory Group</p> <p>Coordination group</p> <p>NFP and site coordinators</p>	<p>Key informant interviews</p> <p>Online Survey</p> <p>Focus Group</p>
			<p>What are the members of governing intended impacts?</p> <p><i>Proposed re-formulation: What are Assumptions made to achieve the impact and Risks that the impact might not be achieved</i></p>		

\*The sub-questions of the matrix are indicative, they might be adapted during the evaluation process.

Pillar	Question (ToR)	Measure/Indicator of progress	Sub questions*	Main Sources of Data	Data collection Methods
C4. Efficiency	EQ10. How efficiently has the programme been managed and implemented? What should be done to improve efficiency? Could the results be achieved with fewer resources without reducing the quality and quantity? What should be done to improve efficiency?	M25. Output (extent to which the programme was implemented according to the planning documents, budget and annual planning; fully)	How much resources have been assigned to different activities (PM, coordination of activities, internal workshops, trainings, individual modules)?	Programme documents Donor Programme management Coordination group	Document analysis Key informant interviews Field Missions Focus Group
		M26. Training participants corresponding to target beneficiary group	Have additionally raised funds been used in an appropriate way?	Programme documents Donor Programme management Coordination group	Document analysis Key informant interviews Field Missions Focus Group
		M27. Disbursement of funds (extent to which the proposed budget has been spent so far (% of planned).	How did the spending evolve during the project lifespan?  How did the joint implementation of ICCROM and IUCN influence efficiency?	Programme documents Donors Programme documents Donor Programme management Coordination Group	Document analysis Key informant interviews Document analysis Key informant interviews Field Missions Focus Group
		M28. Administrative ratio of the programme (Ratio between project management + internal activities and activities linked to programme activities)	How are tasks, responsibilities and decision-making organized between IUCN and ICCROM?  Which recommendations for improvement are identified by different levels (target user groups, institutional partners, project management unit, advisory group, donor)	Programme management  Donor Programme management Advisory Board Coordination Group Partner institutions	Key informant interviews Field Missions  Key informant interviews Field Missions Focus Group Online Survey
	EQ11. To what extent are risks well managed?	M29. Explicit Documentation (Degree to which risks and potential management responses are documented, e.g. in a risk management strategy)	Does the programme have a strategy/list/matrix/analysis of potential risks and how to deal with them?	Project documents Programme management	Document analysis Key informant interviews
		M30. Awareness (extent to which the risks and potential responses are known) or: Degree to which risks are addressed through adjustments of programme design	Which risks occurred so far? How did the management respond to it?  To which extent is the management aware of potential risks?  Which potential risks may occur in the further process?	Donor Programme management Advisory group Coordination group  Programme management Advisory group Coordination group Donor Programme management Coordination group	Key informant interviews Field Missions Focus Group  Key informant interviews Field Missions Focus Group Key informant interviews Field Missions Focus Group
		M31. Explicit (Existence of a monitoring and evaluation system)	How is the M&E System of the programme organized?  Are there concrete indicators and baseline information available?  To what extent is the system capable to track progress and measure impacts?  Do the reporting procedures allow for a coherent tracking of progress?	Programme documents Donor  Programme documents Programme management  Programme documents Programme management  Programme documents Programme management	Document analysis Key informant interviews  Document analysis Key informant interviews  Document analysis Key informant interviews  Document analysis Key informant interviews
	EQ12. Does the WHL have appropriate monitoring and evaluation system to track progress, assess contribution of WHL to changes in outcomes, measure impact and foster learning?	M32. Explicit reporting on monitoring results	To which extent is the advisory group, the donor and the project management able to inform on the progress, outcomes and impacts based on the monitoring information provided?	Donor Programme management Advisory group	Key informant interviews Field Missions
		M33. Explicit mechanism to integrate monitoring findings into programme (i.e. review meetings, consultations or implicit adjustment)	To what extent have recommendations been integrated into further planning and management?	Programme management Partner Institutions	Key informant interviews
	EQ13. Has the communication strategy been appropriate in reaching out to relevant stakeholders?	M34. Explicit existence of the communication strategy	Does the programme have a deliberate communication strategy?	Programme documents	Document analysis
			How is the communication with different target groups organized? Which target groups have not been adequately reached so far?	Programme documents Programme management Coordination group	Document analysis Key informant interviews Focus Group
		M35. Regular updated Implementation of the communication strategy (degree to which the activities are implemented in line with the strategy)	Which contents are communicated to whom?  Which information is available to stakeholders/beneficiaries?	Programme documents  Programme documents Programme management Advisory group Coordination group Partner institutions	Document analysis  Document analysis Key informant interviews Focus Group
Does the communication strategy include all relevant target groups as defined by the programme?  Are participants of trainings and activities aware of results and developments within the frame of the project?  How is it planned to disseminate the newly developed guidance?  Which formats for communication are defined in the strategy? Which one's do have the most outreach?			Programme documents Programme management Coordination group  Partner Institutions NFPs and site coordinators  Programme documents Programme management Coordination group Programme documents	Document analysis Key informant interviews Focus Group  Document analysis Key informant interviews Focus Group Document analysis Key informant interviews Focus Group Document analysis Key informant interviews Focus Group Document analysis Social media channels	

\*The sub-questions of the matrix are indicative, they might be adapted during the evaluation process.

Pillar	Question (ToR)	Measure/Indicator of progress	Sub questions*	Main Sources of Data	Data collection Methods
C5 Sustainability	EQ14. If the Programme were to be extended (as is currently under discussion), would this be justified and what results could be anticipated, how would the programme best adapt to increase its impact, and what sort of timelines and resource requirements might be anticipated to achieve different results?	M36. Donor interest (degree of interest of donor to continue with the programme).	Which elements of the programme are worth for upscaling and extension?	Donor Programme management Partner Institutions NFP and site coordinators Additional Donor: Swiss FOE, CHA Korea	Key informant interviews Field Missions Online Survey
		M37. Partner interest (degree of interest of partners and state parties to continue with the programme)	Which are the elements having strongest support of the donor and the programme partners?	Donor Programme management Partner Institutions	Key informant interviews Field Missions
		M38. Target user group interest (degree of interest of involved beneficiaries)	Are the additional donors interested to continue with their involvement?  Which expectations does the main donor have regarding the extension in terms of content, focus and funds?  Which institutional partners show strong commitment?  Which activities and partnerships are most promising to be continued or intensified?	Donor Additional Donor: Swiss FOE, CHA Korea Donor Donor Programme Management Partner Institutions Additional Donor: Swiss FOE, CHA Korea Donor Coordination group Partner Institutions NFP and site coordinators	Key informant interviews Key informant interviews Field Missions Key informant interviews Field Missions Document analysis Key informant interviews Field Missions Focus Groups
	EQ15. What is the likelihood that the target groups and beneficiaries endure after the project?  <i>This question needs to be revisited to better understand what shall endure after the end of the programme? In the understanding of the consultant changed knowledge, attitude and practice shall endure and/or networks of participants.</i>	M39. Use of networking opportunities (degree to which beneficiaries use communication channels as provided by the project (e.g. Site Coordinator Forum, WhatsApp/Instagram/Facebook groups)	Which communication channels and platforms are most likely to remain active in future?	Programme management Coordination group Partner Institutions NFP and site coordinators	Key informant interviews Focus Groups Online survey Social media platforms
		M40. Network activities (number of activities between institutional partners of the programme)	To which extent are beneficiaries from the WHL network satisfied with and motivated to stick to the networking and exchange opportunities provided?	Coordination group Partner Institutions NFP and site coordinators	Key informant interviews Field Missions Focus Groups Online Survey
		M41. Formal network (number of formal agreements between WHL partners for future cooperation)	Will the exchange and cooperation between institutional project partners continue after the lifespan of the project? Are there joint activities or formal agreements?  Which formal arrangements between the partner of programme exist?  Are results of the programme being integrated into regular procedures of partners?  Which arrangements have been made to continue with the Leadership Forum within the WHC Meetings?  Which partners show interest to maintain courses and activities as triggered and promoted by the programme?	Advisory Group Coordination group Partner Institutions  Programme documents Coordination group Partner Institutions  WH Leadership Forum Organizer UNESCO WHD Donor Advisory Group Partner Institutions	Key informant interviews Focus Group  Document analysis Key informant interviews Focus Group Key informant interviews Field Missions
	EQ16. How appropriate is the WHL's exit strategy?  <i>This question needs to be revisited in order to better understand the expected point of exit of the WHL Programme.</i>	M42. Quality/existence of the exit strategy (implicit or explicit)	Does the programme have an exit strategy?	Programme documents Donors Programme management Partner Institutions	Document analysis Key informant interviews Field Missions
		M43. Expressed interest of institutional partners to maintain and support the programme beyond the project period.	Which efforts contribute to maintaining the results and outcomes beyond the project period? Are they adequate?	Donors Programme management Partner Institutions	Key informant interviews

\*The sub-questions of the matrix are indicative, they might be adapted during the evaluation process.

*7\_12 ToR*



# Request for Proposals (RfP) Mid-term project evaluation: World Heritage Leadership

**Requested by: IUCN Nature-Culture Initiative, on behalf of IUCN and ICCROM (the project partners)**

**Issue Date: 23 January 2020**

**Closing Date and Time: 13 February 2020, 17:00 CET**

**IUCN Contact for Queries:**

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Tel: +41 22 999 0278  
[tim.badman@iucn.org](mailto:tim.badman@iucn.org)

**E-mail Address for submitting Proposals:**

[Procurement@iucn.org](mailto:Procurement@iucn.org)

## **PART 1 – INSTRUCTIONS TO PROPOSERS AND PROPOSAL CONDITIONS**

### **1.1. About IUCN**

IUCN is a membership Union uniquely composed of both government and civil society organisations. It provides public, private and non-governmental organisations with the knowledge and tools that enable human progress, economic development and nature conservation to take place together.

Headquartered in Switzerland, IUCN Secretariat comprises around 950 staff in more than 50 countries.

Created in 1948, IUCN is now the world's largest and most diverse environmental network, harnessing the knowledge, resources and reach of more than 1,300 Member organisations and some 10,000 experts. It is a leading provider of conservation data, assessments and analysis. Its broad membership enables IUCN to fill the role of incubator and trusted repository of best practices, tools and international standards.

IUCN provides a neutral space in which diverse stakeholders including governments, NGOs, scientists, businesses, local communities, indigenous peoples organisations and others can work together to forge and implement solutions to environmental challenges and achieve sustainable development.

Working with many partners and supporters, IUCN implements a large and diverse portfolio of conservation projects worldwide. Combining the latest science with the traditional knowledge of local communities, these projects work to reverse habitat loss, restore ecosystems and improve people's well-being.

[www.iucn.org](http://www.iucn.org)  
<https://twitter.com/IUCN/>

### **1.2. Summary of the Requirement**

IUCN invites you to submit a Proposal for the Mid-term evaluation of the World Heritage Leadership Programme. The detailed Terms of Reference can be found in Part 2 of this RfP. The World Heritage Leadership Programme is a partnership of IUCN and ICCROM (the International Centre for the Study of the Preservation and Restoration of Cultural Property – [iccrom.org](http://iccrom.org)) and this RfP is issued on behalf of IUCN and ICCROM.

### **1.3. The procurement process**

The following key dates apply to this RfP:

<b>RfP Issue Date</b>	23 January 2020
<b>RfP Closing Date and Time</b>	13 February 2020, 17:00 CET
<b>Estimated Contract Award Date</b>	23 February 2020

### **1.4. Conditions**

IUCN is not bound in any way to enter into any contractual or other arrangement with any Proposer as a result of issuing this RfP. IUCN is under no obligation to accept the lowest priced Proposal or any Proposal. IUCN reserves the right to terminate the procurement process at any time prior to contract award. By participating in this RfP, Proposers accept the conditions set out in this RfP.

Proposers must sign the “Proposer’s Declaration” and include it in their Proposal.

### **1.5. Queries and questions during the RfP period**

Proposers are to direct any queries and questions regarding the RfP to the above IUCN Contact. No other IUCN personnel are to be contacted in relation to this RfP.

Proposers may submit their queries no later than **12 February 2020**

As far as possible, IUCN will issue the responses to any questions, suitably anonymised, to all Proposers. If you consider the content of you question confidential, you must state this at the time the question is posed.

### **1.6. Amendments to RfP documents**

IUCN may amend the RfP documents by issuing notices to that effect to all Proposers and may extend the RfP closing date and time if deemed appropriate.

### **1.7. Proposal lodgement methods and requirements**

Proposers must submit their Proposal to IUCN no later than **17:00 CET on 13 February 2020** by email to [procurement@iucn.org](mailto:procurement@iucn.org). The subject heading of the email shall be [RfP – WHL project evaluation - [Proposer Name]]. Electronic copies are to be submitted in PDF and native (e.g. MS Word) format. Proposers may submit multiple emails (suitably annotated – e.g. Email 1 of 3) if attached files are deemed too large to suit a single email transmission. Proposals must be in the form of e-mail attachments. Submissions by links to web-hosted documents (Dropbox, Google drive etc will not be accepted).

Proposals must be prepared in English and in the format stated in Part 3 of this RfP.

### **1.8. Late and Incomplete Proposals**

Any Proposal received by IUCN later than the stipulated RfP closing date and time, and any Proposal that is incomplete, will not be considered. There will be no allowance made by IUCN for any delays in transmission of the Proposal from Proposer to IUCN.

### **1.9. Withdrawals and Changes to the Proposal**

Proposals may be withdrawn or changed at any time prior to the RfP closing date and time by written notice to the IUCN contact. No changes or withdrawals will be accepted after the RfP closing date and time.

**1.10.     *Validity of Proposals***

Proposals submitted in response to this RfP are to remain valid for a period of 90 calendar days from the RfP closing date.

**1.11.     *Evaluation of Proposals***

The evaluation of Proposals shall be carried out exclusively with regards to the evaluation criteria and their relative weights specified in part 3 of this RfP.

## **PART 2 – THE REQUIREMENT**

### **Introduction and background**

The World Heritage Leadership programme (2016-2022), jointly implemented by IUCN and ICCROM with financial support from Norwegian Ministry of Climate and Environment, aims to improve the conservation and management practices for culture and nature through the work of the World Heritage Convention, as an integral component of the contribution of World Heritage Sites to sustainable development. The programme takes a new and transformative approach, in that it does not focus exclusively on work within the World Heritage Convention, but takes a wider view of the totality of conservation practice, and how working through World Heritage sites and the communities and specialists that support them, World Heritage can provide new and better leadership to achieve innovation, performance and excellence that will inspire wider practice. It takes a fully integrated approach to nature and culture from the outset, and focuses on the most pressing challenges where working through World Heritage has the most compelling possibility to make a difference. It focuses on:

- Setting and testing the leading standards for conserving sites, and ensuring their contribution to communities and sustainable development, through engaging in World Heritage;
- Providing high profile, widely translated documented advice on conservation policies and practices, notably by integrating the ICCROM-led Managing Cultural World Heritage manual and the IUCN-led Managing Natural World Heritage manual, into a single new publication;
- Establishing a network of internationally recognised leadership sites, which will include the World Heritage Sites demonstrating leading practice, and which can provide platforms for learning, and for capacity building;
- Building international networks between nature and culture practitioners and institutions that link on-ground practice with leadership at international, regional, national and local levels.
- Providing diverse training events, exchanges, and other capacity-building activities to support the work of both site managers and stakeholders, and national heritage services in diverse States Parties.

World Heritage Leadership is complementary to, broader than, and different from IUCN and ICCROM's formal Advisory Body work in the World Heritage Convention, being orientated to direct work with States Parties, local government, communities and civil society with the partnership governed by IUCN and ICCROM with a consultative group of stakeholders. The programme is delivered in close coordination with our long-standing advisory partner in World Heritage, ICOMOS, and it is coordinated appropriately with the Heritage Division of UNESCO (which provides the statutory Secretariat function for the Convention, via the World Heritage Centre). The World Heritage Committee is kept informed and invited to help the programme grow. It also reaches out to new collaborations with conservation and development partners, including working directly with other international organisations, with the conservation and development specialist organisations in State Parties, with universities, and with the civil society and NGO sector who can all connect World Heritage to wider practice.

To date, the Programme has focused on building a coherent base of institutional support for World Heritage capacity building, linking diverse multiple partners and institutions to work together towards a shared objective to guide better, integrated management for heritage and people at all World Heritage Sites (whether recognised for their cultural or natural significance, and integrating considerations of sustainable development into site management). Updating and revising the guidance to site managers is taking form through the formulation of a single agreed Knowledge Framework which will be the foundation for a linked series of updated manuals that is being co-created with WH site managers on site management, disaster preparedness, climate change adaptation, and guidance on the use of impact assessment. The most obvious outputs of the work to date are a series of one-off and repeated training courses, workshops and an annual Site Managers Forum at the World Heritage Committee. These events are for WH practitioners and are linked to the development of content in the different thematic modules, and in order to ensure the building and consolidation of wider networks amongst practitioners and heritage sites at international, regional, national and

local levels. The programme has maintained strong connections with the founding donor, Norway, in its work, and has also developed new partnership connections with Switzerland and the Republic of Korea. It has also partnered with a series of other institutions and initiatives (such as UNESCO Category 2 Centres, Universities, International Association for Impact Assessment) as well as connecting WH to wider conservation initiatives, most notably, to date, IUCN initiatives on the Green List, Panorama and Ecosystem-based adaptation. The programme has also been a catalyst for engaging in a newly proposed programme on linking nature and culture in the framework of the Convention on Biological Diversity (CBD).

### **Scope of work**

This Mid-term Evaluation will include activities undertaken by IUCN and ICCROM from October 2016 to December 2019. The Evaluation will focus on: (i) the current progress of the leadership programme towards its intended goals and objectives and the likelihood of achieving the overall targets by completion; and (ii) suggest improvements and draw lessons learnt to date to inform thinking about leadership support. The Evaluation will ensure the accountability of the consortium towards its donor and programme stakeholders and provide lessons learnt that will generate actionable recommendations to improve the programme.

The Consultant is expected to review WHL documents and conduct interviews. The main method of investigation will be key informant interviews with the project implementation team, Norwegian Ministry of Climate and Environment, clients and other stakeholders across all the countries.

### **Relevance:**

- To what extent does the WHL programme's design and to-date implementation respond to the key needs and challenges that its target user groups and beneficiaries are facing? Are there needs unmet by the programme? Is the WHL programme a technically adequate solution to the problem at hand? What other solutions should the programme consider?
- To what extent, and how effectively are gender and social inclusion issues being addressed in the project?
- Does the WHL have an adequate theory of change? How does the WH programme expect to lead to sustainable improvements in conservation?

### **Effectiveness:**

- How is the WHL progressing towards its intended deliverables and accomplishments set for the entire programme's cycle?
- What changes in awareness, behavior, practices and performance (intended and unintended) have already occurred as a direct result of the WHL?
- What is the likelihood of achieving intended outcomes? Are initial changes likely to lead to the expected subsequent changes and programme outcomes? What can be done to make the Programme more effective?

### **Impact:**

- What long term conservation effects, intended and unintended, are likely to occur as a direct result of the WHL? What is the likelihood of achieving intended impacts?
- What can be done to increase impacts?

### **Efficiency:**

- How efficiently has the programme been managed and implemented? What should be done to improve efficiency? Could the results be achieved with fewer resources without reducing the quality and quantity? What should be done to improve efficiency?

- To what extent are risks well managed?
- Does the WHL have appropriate monitoring and evaluation system to track progress, assess contribution of WHL to changes in outcomes, measure impact and foster learning?
- Has the communication strategy been appropriate in reaching out to relevant stakeholders?

#### **Sustainability:**

- If the Programme were to be extended (as is currently under discussion), would this be justified and what results could be anticipated, how would the programme best adapt to increase its impact, and what sort of timelines and resource requirements might be anticipated to achieve different results?
- What is the likelihood that the target groups and beneficiaries endure after the project?
- How appropriate is the WHL's exit strategy?

#### **Deliverables**

- (i) An Inception Report, prepared with maximum 5 work-days, covering the evaluation objectives, the proposed methodology, an evaluation matrix, and a list of interviews with the schedule for the field missions. The schedules must include for all external (non-IUCN/ICCROM staff) interviews, a summary including: purpose, key questions/areas, data requested, expected duration, interviewees. This will be essential for IUCN and ICCROM to arrange external meetings with partners, customers, etc. The Inception Report should be submitted to the IUCN focal point by 6 March 2020 and include.
  - a. List of interviews to be undertaken by telephone, except for field visits below: IUCN, ICCROM, Norwegian Ministry of Climate and Environment, ICOMOS International, UNESCO World Heritage Centre, a minimum of 10 programme participants of respective modular activities in consideration of regional, gender, expertise balance, individual consultants in collaboration with Programme activities.
  - b. Field visits: IUCN (Gland, Switzerland – possibly twice), ICCROM (Rome, Italy), ICOMOS, UNESCO (Paris, France), Norwegian Ministry of Climate and Environment (Oslo, Norway). It is possible some meetings could be organized in one place to save travel.
  - c. With the exception of field visits it is expected that the consultant will work from their own office base during the evaluation.
- (ii) A draft report to be produced on a maximum of 15 work-days should be shared with the IUCN focal point by 4 May 2020.
- (iii) A presentation of the final results of the evaluation to be made to IUCN and ICCROM by 10 July 2020 (this date is tentative and can be changed to some degree, but not delayed significantly).
- (iv) The final report should be submitted to IUCN and ICCROM by 31 July 2020.

All deliverables must meet the OECD-DAC Quality Standards for Development Evaluation and the IUCN Managing Evaluations Guide. <https://www.iucn.org/monitoring-and-evaluation/standards-and-guidelines>.