

ENHANCING OUR HERITAGE TOOLKIT 2.0: Assessing management effectiveness of World Heritage properties

First draft version
REVISED July 2020

TOOL 3: RELATIONSHIPS AMONG ACTORS

This Tool assesses if the roles and responsibilities of different actors are clearly defined and understood, if there is effective coordination and collaboration between managers and what is the level of engagement and participation of rightsholders and stakeholders in the management of the property.

Specific objectives of the Tool:

- a) To assess if there is a good understanding of the main **actors** with recognised responsibilities for managing the property (**managers**) as well as of other actors with rights (**rightsholders**) and interests or influence (**stakeholders**) over the property;
- b) To understand if the roles and responsibilities of different actors are clearly defined and understood;
- c) To identify gaps and challenges to effective coordination and collaboration between managers;
- d) To review whether rightsholder and key stakeholder groups are adequately recognized and engaged in the management of the property;
- e) To consider whether there are issues of capacity that are influencing the ability of rightsholders and key stakeholders to participate in decision-making processes and their positive and/or negative influences on the property;
- f) To identify actions to improve **governance** at the property.

Some draft definitions:

Actors: Refers broadly to all the people (and the institutions and groups they represent) involved directly and indirectly with a World Heritage property or heritage place. Three broad categories of actors are defined in relation to the management of a World Heritage property or heritage place: managers, rightsholders and stakeholders.

Managers: The institution(s) or other types of entity(ies) or groups, as well as the individuals working within them, with legal or customary authority or recognised responsibilities for managing the World Heritage property in its entirety or parts of it.

Rightsholders: Actors socially endowed with legal or customary rights with respect to heritage resources. Rightsholders with recognised responsibilities for managing the World Heritage property or heritage place will be considered as managers.

Stakeholders: Actors who possess direct or indirect interests and influence over heritage resources, but do not necessarily enjoy a legally or socially recognised entitlement to them.

Background information:

Achieving effective and equitable governance and management requires coordination and collaboration among actors with responsibilities, rights and interests in and around the property. This will vary according to the mandate, capacity and resources of those actors, if and how their role and responsibilities are recognised and respected as well as the availability of platforms and processes to facilitate exchange.

This tool explores two key aspects of relationships among these different actors:

- it looks at how authority and responsibility for managing the property is divided and shared among managers and how they are working together; and
- it helps assess if there is a good understanding of who the rightsholders and stakeholders are, the nature of their relationship to the property and its values is, and what their level of engagement and participation in the management of the property is.

In some properties, it might be quite straightforward to identify the institution(s) or group(s) responsible for managing the property, that is, the managers. However, for an increasing number of World Heritage properties, governance arrangements can be more complex, involving multiple agencies and groups. and it might not be as clear who holds authority and responsibility for managing the World Heritage property.

Management decisions about different issues are made and influenced by different actors, which collectively feed into the management system of the property. This is particularly the case for serial properties, sometimes with a high number of components across vast geographical areas, and transboundary properties, where formal arrangement between different countries are needed. Similarly, cultural landscapes and urban settlements are often managed by multiple actors, requiring formal mechanisms of coordination.

Therefore, there are three worksheets for this tool:

- Worksheet 3a helps to identify which actors can be considered managers and helps analysing, in a structured way, their specific role or mandate for managing the property, what key instruments and powers grants them that mandate, and the extent and level of their involvement in decision-making processes. Note that this worksheet is mainly intended for World Heritage properties with complex governance structures and many actors with management responsibilities. Properties with only one or very few agencies or groups responsible for most or all aspects of the management of the property can skip this worksheet, if felt that it does not bring any added value to the management effectiveness assessment.
- Worksheet 3b explores whether there is effective collaboration and cooperation between managers. As for worksheet 3a, the use of worksheet 3b should be determined in relation to the complexity of the governance arrangements.
- Worksheet 3c assesses if there is a good understanding of the who the rightsholders and stakeholders are, their relationship to the property and its values, and their level of engagement and participation in the management of the property.

Overall, these worksheets help assess some key aspects of the governance at a World Heritage property. Tools 4 and 8 (Review of the national context and management processes, respectively) look at other aspects of governance diversity and quality.

Completing Worksheet 3a:

If there are several groups and institutions recognised as managers (both with responsibilities for managing the property in its entirety or parts of it), you should complete this worksheet in detail the first time you carry out a management effectiveness assessment. However, in future assessments it might be unnecessary to repeat this process if governance arrangements remain fundamentally the same; or it might be sufficient to only fill-in the final sections on conclusions and recommendations to capture any changes or progress made since the last assessment. On

the other hand, if there has been considerable restructuring or substantial changes to the governance and management arrangements of the property since the last assessment, you should fill in the whole worksheet in detail. This may include changes to the recognition of customary rightsholders as managers, for instance through return of land or other statutory recognition of Indigenous groups.

Note that, depending on the complexity of the governance arrangements in place, it can be time consuming to complete this worksheet the first time. For this reason, you may choose one of the following options:

a) to task the implementation team established for the assessment to pre-fill straightforward parts of the worksheet (such as the official mandate and/or the key instruments at their disposal) leaving parts that require discussion with other participants to be completed during the assessment workshop or

b) to discuss and fill in only the key elements of the worksheet during the first assessment workshop and establish a working group to continue working on it after the workshop.

Either way, the group assigned to carry out those tasks can then present their work to the rest of the participants and jointly analyse key issues, identify gaps and challenges and make follow-up recommendations.

Worksheet 3a: Identification of actors with recognised authority and responsibilities to manage the property				
Group or institution recognised as managers	Specific role, mandate and responsibilities to manage the property	Key instruments and powers at their disposal to implement mandate	Extent of involvement in the decision-making processes	Comments/ explanation
<i>List the name of the institution or group in this column</i>	<i>Describe briefly the specific role(s)/mandate(s)/responsibilities for managing the property</i>	<i>Record the specific legal, regulatory or customary instruments at their disposal and briefly summarise their key powers</i>	<i>Record the extent to which the actor is in charge of developing, coordinating and taking decisions about the management of the property</i>	
Analysis and conclusions				
Gaps and challenges				
Opportunities, recommendations and follow-up actions				

Step 1 – Identify all the actors with recognised responsibilities for managing the property

Key questions to consider:

What group(s) or institution(s) have recognised responsibilities for managing the of the property? What institutions, government agencies or other groups have a mandate, based on statutory or customary laws or norms, to make management decisions for the property or heritage place? Which actors are formally in charge of managing and taking decisions about the World Heritage property? What other non-heritage specific heritage instruments apply to the property, its buffer zone(s)? What other instruments apply to the wider setting that it is important to consider?

As mentioned before, for some properties identifying the managers will be simple if only one or a few institutions or groups have recognised responsibilities for managing the property. For other properties it might be a complex issue. While it is important to think beyond the most obvious actors, it is not necessary nor advisable to exhaustively identify all possible actors with recognised authority and responsibilities for managing the property, as in some properties this might result in a very long list. Instead, first consider all the actors with a recognised heritage mandate. For other types of mandate, consider only those actors with the most important responsibilities in relation to the values of the property.

- i. First, ask participants to consider managers with a clear mandate for heritage protection or for the traditional management of the property and whose responsibilities have been recognised within the management system. You can then list them directly in column 1 of the worksheet.
- ii. Second, ask participants to consider actors with other types of mandate (e.g. agricultural, forestry, infrastructure, urban planning, etc.) but directly linked to the management of the property. For example, the urban planning department of a municipality might play a fundamental role in the management of a historic centre but only a negligible part in the case of a single monument. Information compile in Tool 2- Factors affecting the property may help here; consider the groups and institutions listed on the column on “Responsibility” for management responses in worksheet 2 to help fill in this worksheet as well.
- iii. Consider also that while some of those actors might hold responsibilities over the entire area of the property, others might have a partial mandate over a certain spatial area (e.g. in the case of serial properties, only one or part of the component parts) or a specific type of resources (e.g. for listed buildings only or water resources). If a large number of actors are identified, you should focus the analysis on the most important ones.

Step 2 – Describe the actors’ role(s) and/or mandate(s)

- iv. Identify and describe the role, mandate and responsibilities of each manager in column 2. This should be a very short description focusing on the actor’s specific mandate(s) in relation to the management of the property and not necessarily its broader mandate(s) as an agency or group.

Step 3 – Identify the key instruments that set out the actor’s mandate and the powers they hold

- v. This step involves two main tasks. Start by identifying the main instrument(s) that grants each actor identified its mandate(s) and responsibilities in the management of the property. This can be a law, a regulation, a plan or a customary right or obligation. Record the name of the instrument(s) in column 3.
- vi. Then identify the instrument(s) that each actor uses to implement its mandate(s) and exercise its responsibilities to manage the property. This might include the same instrument(s) that grants its mandate(s) but it might involve other instruments as well, such as:
 - national legislation, regulations, policies, strategies, guidelines and agreements;
 - planning documents such as master plans, development plans, land-use plans;
 - legally binding or formally approved management plans;

- customary rules, obligations and traditions;
- technical and other forms of advice; or
- legal contracts, financial resources and incentives.

List only the most relevant instruments.

Step 4 – Describe the actor’s extent and level of involvement in decision-making processes

vii. When multiple actors are involved in the management of the property and there are multiple decision-making levels, the type and extent of engagement of each actor will vary. Some actors will be responsible for the day-to-day management of the property, others will only exercise their mandate from time to time, and others might only intervene sporadically or when certain procedures require it. For example, a municipality might hold the main responsibility for the management of a cultural landscape, but interventions on listed buildings might require permission from the national institution responsible for cultural heritage. Similarly, a natural protected area inscribed on the World Heritage List for its geological values might be under the authority of a dedicated protected area agency; however, the property might also have important cultural values, the management of which falls with a different agency. This might be because the protected area agency does not have a mandate to manage cultural resources or because it might not have the technical capacity and therefore has entered into a partnership with the cultural agency. Summarise the extent of each manager’s involvement in decision-making processes in column 4.

Step 5 – Review key issues regarding each actor’s role and responsibilities in managing the property

viii. The final column of the worksheet provides space to record comments and explanations on the key issues regarding what is working well or what could be improved in relation to each manager’s role(s), mandate(s) and responsibilities. For instance, an actor might have surveillance and law enforcement responsibilities but its staff might not have the necessary resources, technical capacity or authority to effectively implement them. Or, an actor might have given the mandate of managing the World Heritage property, but this was not accompanied by supporting legal, administrative, financial and human resources to effectively implement that mandate.

Step 6 – Summarise and analyse findings and draw recommendations and follow-up actions

ix. Consider the following questions to help you with this step:

- Are all the main actors with recognised authority and responsibilities to manage the property clearly identified?
- Are the role(s) and responsibility(ies) of each actor well defined and clearly understood by the themselves and other actors?
- Are the roles and responsibilities of the main actors documented in the management plan or other type of instrument?
- Is it clear, among the different actors identified, who holds the primary mandate for managing as World Heritage property from a heritage perspective? Is that mandate recognised and respected by the other actors?
- Does that actor’s mandate cover the whole of the property and its buffer zone? Is the actor’s mandate in line with the Outstanding Universal Value of the property? Is that actor responsible for setting the long-term strategy for the property and develop the management plan?
- Do the other actors have the necessary capacity to fulfil their responsibilities? Do they willingly fulfil their responsibilities?

Completing Worksheet 3b:

While the previous worksheet helped identify the actors with recognised responsibilities for the management of the property, that is the managers, this worksheet helps assessing how well they work together. Even if you haven't used the previous worksheet because the governance structure for your property is straightforward, this worksheet should still be useful. If in worksheet 2 (Factors affecting the property) you identified several actors responsible for the implementation of the management actions, this worksheet could be helpful to analyse whether there is good coordination between managers.

When several actors have authority over and are responsible for managing the property, it is critical to ensure effective collaboration and coordination between them. This worksheet is structured around a set of five aspects (or themes) that can facilitate or hinder collaboration among managers. You are free to combine some of the suggested themes if that makes more sense in your context and/or to include other themes that you may find relevant. The assessment is made by reviewing strengths/opportunities and weaknesses/threats for each aspect or theme.

The suggested steps to complete the worksheet are in this case largely associated with each of the aspects/themes.

Worksheet 3b: Coordination and collaboration between managers			
Aspects/themes	Strengths and opportunities	Weaknesses and challenges	Comments/explanation
Existence of platforms, agreements, contracts, procedures and financial resources for coordination and collaboration			
Sharing of relevant information between actors			
Alignment of related policies and plans			
Coordination – ability to work together in a planned and organised way			
Collaboration - ability to work together based on shared objectives, joint projects and planning and monitoring mechanisms			
Analysis and conclusions			
Gaps and challenges			
Opportunities, recommendations and follow-up actions			

STEPS FOR THIS WORKSHEET TO STILL BE DEVELOPED

Completing Worksheet 3c:

Effective management requires active engagement of rightsholders and stakeholders in decision-making processes and management activities. As explained in section 3.1 '*Who should be involved in the assessment?*', the management effectiveness assessment should engage representatives of rightsholders and key stakeholder groups, including local communities and Indigenous groups, from the outset and throughout the entire assessment. There may be cultural protocols that will shape the appropriate form of participation.

The use of this worksheet is dependent on prior identification of different rightsholder and stakeholder groups involved with the property. If what is usually refer to as a "**stakeholder analysis**" has never been done before, then you should note it as an information gap during the data collection phase of the assessment (see section 3.3.2. above) and preferably address it before carrying out the rest of the assessment.

Worksheet 3c is presented in the form of a matrix, with different rightsholders and stakeholder groups listed in columns, and rows containing a series of questions regarding rightsholders and stakeholder relations requiring a written response.

DRAFT

Option B Worksheet 3c: Relationships with rightsholders and stakeholders

Issues to assess	<i>Insert name of group</i>	<i>Insert name of group</i>	<i>Insert name of group</i>	<i>Insert name of group</i>	<i>Insert name of group</i>	Comments/ Explanation
Main issues associated with this group						
Group's awareness and understanding of their rights and obligations regarding the property						
Recognition of actors and their knowledge, values						
Negative impact of group on property.						
Negative impact of site management on group and its dependency on property.						
Positive impacts of group on property						
Positive impacts of site management on group and its dependency on property						
Willingness and capacity of group to engage with the management of the property						
Willingness and capacity of site management to engage with group						
Political/social influence						
Group's organisation						
Opportunities for group to contribute to management						
Level of group's engagement						
Overall adequacy of group's engagement.						
Analysis and conclusions						
Gaps and challenges						
Opportunities, recommendations and follow-up actions						

Explanatory table to support Worksheet 3c

Issues to assess	Questions to consider	Examples
Main issues associated with this group	What are the main issues affecting this group?	
Group's awareness and understanding of their rights and obligations	To what extent is the group aware of its rights or influence in relation to the property?	
Recognition of actors and their knowledge, values	How and to what extent are the groups' knowledge and values recognised and respected by managers as well as other rightsholder and stakeholder groups?	
Negative impact of group on property	What is the nature and extent of any negative impacts on the property's attributes, authenticity and integrity deriving from this group's interaction with the property?	Does the group still extract resources from the property such as timber? Note whether such activity is legal or illegal
Negative impact of site management on group	What are the negative impacts of the World Heritage property on this group?	Were communities displaced when the property was declared? Are they excluded from places they traditionally use(d) (e.g. for grazing or hunting)?
Positive impacts of group on property	What is the nature and extent of any positive impacts of the on the property's attributes, authenticity and integrity deriving from this group's interaction with the property?	Do local tourism guides alert rangers to problems? Does surrounding land use provide connectivity to the site
Positive impacts of site management on group and their dependency on property	What are the direct benefits of the property to the group? To what extent is the group dependent on the property for economic or other benefits?	Does the property provide employment opportunities for this group? Does a forested area provide catchment protection and improved water quality for the local people? Do tourism ventures benefit from the property's values?
Willingness and capacity of group to engage with the management of the property	What is the group's willingness and capacity to participating in decision-making processes regarding the management of property? Under what terms or conditions?	
Willingness and capacity of site management to	What is the site management's relationship the group? What is the capacity (including resources) for engagement with this group?	

engage with group		
Political/social influence	What is the group's relative political or cultural leverage or influence on property value(s)?	
Group's organisation	How and to what degree is the group organized, relating to efficient and effective engagement in management? Are there any specific community institutions that facilitate engagement?	
Opportunities for group to contribute to management	Describe the nature and extent to which the group contributes to decision-making in relation to site management. Are there formal or informal management agreements in place?	
Level of group's engagement	Describe the actual engagement of the group in the management of the property. Are stakeholders consulted regularly regarding value management?	
Overall adequacy of group's engagement.	Based on the information above, provide a brief description of the overall picture of the group engagement.	

DRAFT

DRAFT