



Consultative Meeting on World Heritage and Sustainable Development

Ouro Preto, Brazil – 5-8 February 2012

Proceedings

Background

The debate on the relationship between conservation and sustainable development has taken centre stage within the heritage sector and notably in the context of the World Heritage Convention. In the face of growing global challenges and diminishing resources, and with the inscription of nearly 1000 properties on the World Heritage List, including over 200 historic cities, the need to integrate a concern for sustainable development within the practice of the 1972 Convention has emerged strongly over the past decade.

In 2012, the World Heritage Convention is celebrating its 40th Anniversary. On this momentous occasion, a number of meetings and activities are being organized across all regions of the world, focusing on a common theme: “World Heritage and sustainable development: the role of local communities”.

The celebrations are part of the larger initiative led by UNESCO to promote the role of culture – and heritage - for development, stemming from Resolutions 65/166 of the UN GA, entitled “Culture and Development”, and should be set within the context of the Rio + 20 Conference of June 2012 in Rio de Janeiro (Brazil), when the world’s attention will be concentrated on assessing the progress made so far in implementing sustainable development strategies and redefining its paradigm. A specific resolution on “heritage as a driver of development” has also been adopted by the recently held general Assembly of ICOMOS (Paris, 2011)¹.

At its 34th Session (Brasilia, 2010), the World Heritage Committee welcomed the outcome of an expert meeting on the “relations between the World Heritage Convention, conservation and sustainable development” that was held in Paraty (Brazil) from 29 to 31 March 2010. The Paraty meeting’s conclusions recognized the important contribution of World Heritage to sustainable development while noting that securing sustainable development is an essential condition to guarantee the conservation of the heritage. The results of the Paraty Meeting

¹ The Resolution adopted by the ICOMOS general Assembly is accessible online from:
http://www.international.icomos.org/Paris2011/GA2011_Declaration_de_Paris_EN_20120109.pdf

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included an Action Plan to develop, within the Convention, policies and procedures that would integrate a sustainable development perspective within the processes of the World Heritage Convention.

By its Decision 34 COM 5D, the World Heritage Committee welcomed the results of the Paraty Meeting and agreed “that it would be desirable to further consider, in the implementation of the Convention, policies and procedures that maintain the Outstanding Universal value of properties, and also contribute to sustainable development”.

The Action Plan elaborated at the Paraty Meeting, included a proposal to organize a “Consultative Meeting on World Heritage and Sustainable Development” to further discuss the issue. This has taken place from 5 to 8 February 2012 in the World Heritage City of Ouro Preto (Brazil), thanks to the generous support of the Brazilian authorities. The present document contains the proceedings of the Ouro Preto Consultative Meeting.

A comprehensive Working Document was prepared in advance of the Consultative Meeting by the World Heritage Centre to set the context for the discussion. Moreover, a background Position Paper was elaborated by the Brazilian Institute of National Artistic and Historic Heritage (IPHAN), hosting of the Meeting. These two documents are enclosed to these proceedings in Annexes I and II respectively. The programme of the meeting and the List of participants are included as part of the Working Document.

Summary report

The Consultative Meeting was opened on the evening of 5 February by welcoming addresses delivered by the Mayor of Ouro Preto, Mr. Ângelo Oswaldo de Araújo Santos; the President of IPHAN, Mr Luiz Fernando de Almeida; and the Director of the UNESCO Office in Brasília, Mr Lucien Munoz. In their interventions, all speakers stressed the relevance of the topic of the meeting, especially in view of the larger debate on sustainable development, culminating at the UN Conference on Sustainable development (UNCSD) to be held this June in Rio de Janeiro (Brazil), and of the need to redefine its paradigm in the face of growing inequalities and global challenges. These were followed by an extraordinary cultural programme, held at the old theatre of Ouro Preto, featuring traditional music from various regions of Brazil, and by an official dinner.

In the morning of the next day, 6 February 2012, the first session of the meeting was aimed at informing the participants on its context and scope of work, and establishing a baseline of agreed definitions and terminology - notably on the relation between sustainable development, heritage and conservation – so as to facilitate a more clear and fruitful discussion. The participants considered, in this regard, that the Working Document prepared in advance of the Meeting provided a sound basis for their deliberations, notably in terms of the definitions of sustainable development and its relation to World Heritage conservation.

The session provided also an opportunity for IPHAN’s President to outline the vision of his Institution as regards the relation between cultural heritage conservation and the issue of sustainable development. He noted how, as exemplified in the historic town of Ouro Preto, heritage lied at the heart of development, so that policies for preserving heritage were also the policies for sustainable development. This, however, required a more inclusive notion of heritage which should have been more clearly linked to the life of local communities. Other speakers included the representative of IUCN, Mr Andrew Seidl, of ICOMOS, Ms Carolina Castellanos, as well as of CITES, Mr Marcos Regis Silva, and of the CMS Convention, Mr Bert Lenten. All of them presented their view on the topic of the meeting, from the perspective of

their respective organizations. The contribution of the representative of the World Monument Fund, Ms Erica Avrami, was also presented although she could not attend the Meeting due to technical reasons. The representative of ICCROM, Ms Jane Thompson, was also unable to attend, due to the disruption of her travel by adverse climatic conditions. The present report integrates some of the ideas that were included in her presentation, which was sent by email during the meeting.

The Second Session, which started after the lunch break, moved to explore possible ways to mainstream a sustainable development perspective into the processes of the World Heritage Convention. Following an introduction by the World Heritage Centre, presentations were made by representatives of the Chico Mendez Institute, Mr Romulo José Fernandes Mello, and of the Inter-American Development Bank, Mr. Vicente Sibilis. They illustrated through concrete examples the policies of their respective organizations to foster benefits to local communities through large-scale initiatives for the safeguarding of natural heritage and historic towns. This was followed, in the second part of the afternoon, by presentations by Mr. Juan Luis Isaza Londono (Colombia), Mr. Francisco Lopez Morales (Mexico) and Mr. Webber N'doro (African World Heritage Fund), show-casing real-life experiences of management policies at World Heritage properties that integrated a concern for sustainable development, drawing useful considerations for discussion. Presentations were followed by questions and answers and an open discussion.

On 7 February, participants broke into four groups and started examining more in detail the question of how to mainstream each of the three pillars of sustainable development, plus a concern for good governance, across the four mentioned main processes of the World Heritage Convention. The Groups were facilitated by resource persons who moved from one Group to another, and were assisted by representatives of the Advisory Bodies or Category 2 Centres. The results of the discussions within the four Working Groups, which took longer than expected due to the complexity of the issues raised, were then presented in plenary by their respective rapporteurs. A brief discussion then followed.

In the morning of 8 February, participants were taken on an excursion to the City of Ouro Preto. At around 12.30, they reconvened in plenary where the World Heritage Centre presented on a screen a preliminary Draft of the Outcome Document of the Consultative Meeting. It was clarified that this was, at this stage, only a compilation of notes taken during the Meeting, together with the reports prepared by the four Working Groups on the previous day. This information/material was then to be consolidated into a single coherent framework by the World Heritage Centre, circulated again to the four rapporteurs and then to all participants for further comments before finalization. During this session, participants made a number of initial comments, suggestions for changes and additions, which were taken on board by the World Heritage Centre.

Following a vote of thanks to the hosts, and particularly for the Municipality of Ouro Preto and for IPHAN and its entire staff involved throughout, the Meeting was officially closed.

Conclusions

The participants in the Meeting agreed to the following conclusions:

A - Need for a policy on SD

1. We reaffirm the conclusions of the Paraty Meeting of March 2010 that the protection of World Heritage and of heritage in general, plays a fundamental role in fostering strong communities, supporting the physical and spiritual well-being of its individuals and promoting mutual understanding and peace. We also agree that achieving sustainable development, as defined for example in the Agenda 21², has an important role in securing the protection of heritage from increasing socio-economic pressures.
2. At the same time, we recognise that – with changing demographics, growing inequalities and diminishing resources - the goals and objectives of heritage conservation must be seen in the context of a greater system of social and environmental values and needs, encompassed in the concept of sustainable development. This will require heritage institutions to come to terms with these conditions and begin to seek new solutions. Ultimately, if the heritage sector does not fully embrace sustainable development and harness the reciprocal benefits for heritage and society, it will find itself a victim of, rather than a catalyst for wider change.
3. We thus consider that the official theme of the 40th Anniversary of the Convention, “*World Heritage and Sustainable Development: the Role of Communities*” is particularly relevant and timely. We recognise, indeed, the urgent need for the World Heritage community to engage more effectively with the sustainable development agenda, particularly within the context of the forthcoming United Nations Conference on Sustainable Development (UNCSD, also known as Rio+20) and of the subsequent review of the Millennium Development Goals, which will take place in 2015.
4. We note, in this regard, that while reference to sustainable development exists within key policy documents of the Convention, such as the recently adopted “Strategic Action Plan for the Implementation of the Convention, 2012-2022”³, as well as in the current *Operational Guidelines*, this is, for the time being, too general and does not provide sufficient practical guidance to those involved in the protection of World Heritage properties.
5. We therefore agree that there is a need for a specific policy that would integrate a concern for sustainable development within the operational processes of the World Heritage Convention, possibly as part of the future Policy Guidelines document that, as decided by the World Heritage Committee, shall complement the *Operational Guidelines*.
6. We further consider that such a policy would provide an opportunity for incorporating, within a single coherent framework, a number of themes currently under discussion, such as the role of communities, combating poverty, technical and financial cooperation, indigenous people, human rights and capacity building, heritage management and sustainable tourism, and hence will simplify rather than complicate future heritage practice, both within the World Heritage system and beyond.

² The Agenda 21 documents are accessible online from: <http://www.un.org/esa/dsd/agenda21/>

³ The “Strategic Action Plan for the Implementation of the Convention, 2012-2022” is accessible online from: <http://whc.unesco.org/archive/2011/whc11-18ga-11-en.pdf>

B - Aim and scope of a policy on sustainable development

7. We consider that the aim of a policy for integrating a sustainable development perspective in the implementation of the World Heritage Convention would be three-fold:
 - Ensuring that the potential of World Heritage to contribute to sustainable development is fully harnessed;
 - Helping practitioners, institutions, communities and networks involved in World Heritage to harness the benefits that engagement in sustainable development can deliver to World Heritage properties and other properties protected by the national states;
 - Ensuring that World Heritage conservation strategies and programmes are aligned with broader sustainable development goals.
8. In terms of scope, the policy should be aimed at the key actors of the World Heritage Convention, namely its States Parties (including managers of listed World Heritage properties); World Heritage Committee members; World Heritage Centre and Advisory Bodies.
9. The policy should inform the implementation of the World Heritage Convention through its main processes, notably:
 - Identifying, nominating and inscribing properties; (ref. Chapters II.C and III of the OGs)
 - Developing and implementing conservation and management systems and programmes on the ground; (ref. Chapters II.E and II.F of the OGs)
 - Statutory monitoring and reporting on the state of conservation of the properties; (ref. Chapters IV and V of the OGs)
 - Providing support for the World Heritage Convention, particularly as part of the "World Heritage strategy for capacity building". (ref. Chapters VI and VII of the OGs)

C - Overarching principles that should guide a policy to integrate a sustainable development perspective within the World Heritage Convention

10. We agree that the engagement between the need to preserve heritage and develop sustainably should be based on the primary and central mandate of the World Heritage Convention, which is to protect cultural and natural heritage of Outstanding Universal Value. We note, in this regard, that while sustainable development should be a central consideration in addressing conservation and management concerns and protecting values, it should not be a condition for World Heritage listing.
11. We stress, on the other hand, that preserving heritage and achieving sustainable development should not be understood as conflicting goals. The concept of heritage is indeed fundamental to the logic of sustainable development as heritage results from the dynamic and continuous relationship between communities and their environment and reflects what people value to sustain and improve their quality of life.
12. We note the close link and interdependence between biological and cultural diversities, within complex socio-ecological adaptive systems. These diversities have developed over time through mutual adaptation between humans and the environment, and thus do not exist in separate and parallel realms, but rather they interact with and affect one another in complex ways in a sort of co-evolutionary process.
13. With regard to cultural heritage, in particular, we consider that this should be understood as the result of a continuing historical process, where new developments

- should not necessarily be considered as a threat, but also for their potential to sustain the cultural value of the property and contribute to the creation of new heritage.
14. We emphasize how indeed cultural heritage is a dynamic dimension where the tangible and intangible cross over. It is in fact a crucial element to express the evolving symbolic values of communities and provide for their wellbeing. This is the main justification for protecting heritage and the reason why communities, with their needs and aspirations, must play a primary role in the practice of conservation. A participatory and integrated approach, furthermore, often contributes to the reduction of protection costs over the long term, increases local support and engagement, and increases the local benefits of preservation.
 15. We consider, moreover, that the concept of heritage should be redefined and amplified by placing more emphasis on its inherent relation to local communities and their wellbeing, and hence its relevance to the notion and goals of sustainable development. In the context of World Heritage, and notably in the interpretation of the OUV of cultural heritage properties, this will require reflection on the capacity of a heritage property to be representative of aspects and features common to a broader culture and region and associated to the interaction of people with their environment. This would also strengthen the operational links between the World Heritage Convention and national heritage policies aimed at improving the lives of local communities.
 16. To take the above into account, we call for the practice of conservation to incorporate a new multi-disciplinary and inter-sectoral approach, which would be based on a fully participatory approach and integrate a consideration of social and economic dimensions through appropriate methodologies and indicators. Unless such a sustainable development perspective is integrated in the management of a World Heritage property, in the long run it would be difficult to ensure the conservation of its Outstanding Universal Value.
 17. In developing a policy for a fully participatory and inclusive approach within the processes of the World Heritage Convention, attention should be paid in particular to more vulnerable groups. In this regard, in consideration of the on-going process for the development a policy on indigenous people within UNESCO, and considering Decision 35 COM 12D taken by the World Heritage Committee at its 35th Session (Paris, 2011), we recommended that - in the framework of the efforts to develop a policy on sustainable development within the processes of the World Heritage Convention - further exploration take place of the principles of Free and Prior Informed Consent, human rights-based approaches and gender, and other themes currently under exploration in UN as they pertain to sustainable development.
 18. We note, furthermore, how sustainable development is an objective which acquires its full meaning at a scale which is often much larger than that of a World Heritage property and is likely best captured at a regional and even national levels. For this reason, the identification, protection and management of World Heritage properties should be integrated within larger territorial development and planning policies and appropriate mechanisms of inter-institutional coordination, at all levels, should be in place.
 19. At global level, we underline that the achievement of sustainable development requires consideration of inequalities and unbalances - within regions and between developed and developing regions - and calls for greater North-South and South-South cooperation and the strengthening of institutional coordination. In this context, and considering the primary importance of heritage for sustainable development, the World Heritage Convention should play an important role as an instrument of international cooperation, in close coordination and collaboration with other

Multilateral Environmental Agreements (MEAs), the United Nations System and other relevant international organisations, with an aim to promoting and achieving greater coherence in policies concerning sustainable development at all levels. The commitment to the principles of sustainable development, as advocated in the UN and Agenda 21, must involve policies to eradicate poverty by the distribution of wealth in national and international contexts, and new patterns of consumption, compatible with environmental preservation and commitment to current and future generations.

D - Guidance related to specific processes of the Convention

D.1 - Identification, nomination and inscription of properties

20. Proper consultation with local communities and stakeholders should be compulsory in the process of identifying and nominating new properties for World Heritage inscription.
21. The social and economic context of any new nomination should be carefully studied as well as the expected impacts of a nomination on the lives of local people, including in economic terms.

D.2 - Protection and management

22. Management systems for the protection of World Heritage properties should ensure the financial viability and long term sustainability of their management through appropriate economic resources. At the same time, they should aim at ensuring that all opportunities are seized to provide local communities with the maximum level of continued benefit in terms of social welfare and livelihood opportunities, while maintaining or restoring the OUV.
23. Specific indicators of performance related to sustainable development should be integrated into management systems for World Heritage properties, building on best current practices. These could refer to the Millennium Development Goals (MDGs), the Convention on the Bio-Diversity (CBD) Strategic Plan, which represents a useful flexible framework that is relevant to all biodiversity-related conventions, the World Commission on Protected Areas (WCPA), the UNDP Human Development Index (HDI), as well as other relevant frameworks developed by concerned Agencies, and scaled to the national or site scale.
24. Buffer zones intended to mitigate risks to OUV should not only focus on the physical and visual dimensions, but should be delineated and planned for considering all possible threats to the values of the World Heritage property arising from political, economic, and socio-cultural dynamics as well. Similarly, buffer zones may provide opportunities for greater engagement by local communities, generating benefits for the World Heritage property and local stakeholders alike.

D.3 - Statutory monitoring and reporting (reactive monitoring and periodic reporting)

25. A framework of objectives-indicators related to the three pillars of sustainable development should be developed and then used for monitoring and reporting activities at World Heritage properties, adjusted to their specific contexts, including within Periodic Reporting. The resulting data could be shared among concerned international bodies.
26. Reporting processes based on appropriate indicators that address sustainable development at World Heritage properties should include an evaluation and adaptive-management component. Advisory Bodies should be equipped with the required expertise and be directly involved in the process to ensure a better quality of reporting.

27. Linking and increasing the efficiency of reporting tools will facilitate compliance with reporting requirements and increase their usefulness. World Heritage national Focal Points and site managers should not be asked to collect and report more than is needed and what they do report should be used to the full extent practicable.

D.4 - Support for World Heritage

28. Technical assistance programmes and projects developed and implemented in the framework of the World Heritage Convention should address sustainable development issues and utilise common and/or comparable indicators.
29. Capacity building activities on the integration of a sustainable development perspective in the implementation of the World Heritage Convention should be focussed, in particular, at the local level, and targeting various stakeholders, to increase the sense of ownership and commitment as well as benefits. A compilation of 'best practices', a Resource Manual and related training initiatives should be developed.
30. Incentives or other means to showcase best-practices in the integration of sustainable development in World Heritage should be encouraged as they provide opportunities to encourage learning across World Heritage properties, build capacities and reward performance.
31. It is necessary to increase investments in the preservation of natural and cultural heritage, especially in projects committed to sustainable development. In addition to increasing investments with non-reimbursable budgetary resources, multilateral financial organizations and national institutions should be encouraged to offer specific lines of credit.

Recommendations on follow up actions

The Participants in the Ouro Preto Meeting acknowledged that the Action Plan developed at the Paraty Meeting⁴ was still relevant and recommended that efforts continued to be made to implement its activities which had not yet been carried out. They further recommend that the following additional actions be implemented to contribute to the development and implementation of a policy on sustainable development within the processes of the World Heritage Convention:

32. A small expert working group should be established to take the process further and develop a full policy on the integration of sustainable development into the processes of the World Heritage Convention, for consideration by the World Heritage Committee and possible inclusion in the Policy Guidance document that it decided should complement the Operational Guidelines. This policy should take into account the outcomes of the Ouro Preto and other meetings that are taking place in the anniversary year across the world as well as of the Rio + 20 Conference, and also integrate all the reflection coming from previous and ongoing discussions on related topics such as communities, climate change, indigenous peoples, human rights, gender, etc. as far as they relate to sustainable development.
33. A comprehensive set of indicators related to sustainable development in the context of World Heritage should be developed through a dedicated Task Force.
34. The guidance recently developed by the Advisory Bodies on how to conduct a Heritage Impact Assessment (HIA) should be revised by integrating sustainable development concerns.
35. A study should be carried out, including based on best practices, on how the implementation of the World Heritage Convention can be better linked with national policies for the protection of heritage and sustainable development.
36. Consideration should be also given, possibly through a study, to exploring ways of better interpreting the Outstanding Universal Value by placing added emphasis on the local context and the capacity of a heritage property to be representative of aspects and features common to a broader culture and region and associated to the interaction of people with their environment.
37. Efforts should be made, in the context of the recently-adopted World Heritage Strategy for Capacity Building, towards the strengthening of the capacity, coherence and coordination for sustainable development of practitioners, institutional frameworks, communities and networks. This should be done through the development of guidance, tools and training programmes, and of pilot initiatives focusing on heritage protection and sustainable development, notably at jointly designated sites in cooperation among World Heritage, MAB and the relevant Multilateral Environmental Agreements.
38. In consideration of the crucial role of international cooperation in redressing unbalances and achieving sustainable development, and of the major importance of heritage in that regard, the World Heritage Committee should consider adopting a sixth "C", for "Cooperation", as part of its Strategic Objectives.
39. Given the close relation and interdependence between biological and cultural diversity and the need for a better integration and learning across cultural and biodiversity related Conventions, it would be desirable to define common instruments and

⁴ The report of the Paraty Meeting, including its Action Plan, is accessible online from:
<http://whc.unesco.org/archive/2010/whc10-34com-5De.pdf>

programmes among them. Perhaps it is time for a UNESCO Universal Declaration on Sustainable Development and Bio-cultural Diversity, as a common legal framework for managing these programmes.

40. Consideration should be given to strengthening and broadening the scope of the Global Environment Facility (GEF), to support the effective implementation of obligations under global biodiversity Conventions at the national level.

Acknowledgements

41. The participants in the Meeting wish to express their deep gratitude to the Municipality of Ouro Preto and IPHAN for the generous hospitality and perfect organization of the event. They also would like to recognize the invaluable contribution of the Chico Mendez Institute as well as the support provided by the Vale Foundation.
42. Thanks should go also to the Advisory Bodies as well as to the representatives of the Cites and UNEP/CMS Conventions, who contributed their expert knowledge to the debate and facilitated the discussion.

ANNEX I - Working Document of the Meeting

ANNEX II – Position Paper by IPHAN

ANNEX I to the Proceedings

Working Document

Prepared by the World Heritage Centre

1. Introduction

This Working Document is meant to provide useful information to the participants on the context and aims of the meeting, to facilitate a more coherent and productive discussion and a clearer outcome document.

2. Aim of the Meeting

The aim of the meeting – as requested by the World Heritage Committee - is to contribute to the formulation of policies and procedures on how to mainstream sustainable development into the processes of the World Heritage Convention.

3. Background

In 2012, the World Heritage Convention will celebrate its 40th Anniversary. On this momentous occasion, a number of meetings and activities will be organized across all regions of the world, focusing on a common theme: “World Heritage and sustainable development: the role of local communities”. The celebrations will be integral part of the larger initiative led by UNESCO to promote the role of culture for development, stemming from Resolution 65/166 of the UN GA, entitled “Culture and Development”. These efforts, moreover, should be set within the context of the Rio + 20 Conference that will take place in June 2012 in Rio de Janeiro, when the world’s attention will be concentrated on assessing the progress made so far in implementing sustainable development strategies and redefining its paradigm.

The debate on the relationship between conservation and sustainable development, indeed, has taken centre stage within the heritage sector and notably in the context of the World Heritage Convention. With the inscription of nearly 1000 properties on the World Heritage List, including over 200 historic cities, the need to integrate a concern for sustainable development within the practice of the 1972 Convention has emerged strongly over the past decade.

At its 34th Session (Brasilia, 2010), the World Heritage Committee welcomed the outcome of an expert meeting on the relations between the World Heritage Convention, conservation and sustainable development that was held in Paraty (Brazil) from 29 to 31 March 2010.

The Paraty meeting’s conclusions recognized the important contribution of World Heritage to sustainable development while noting that securing sustainable development is – almost

by definition - an essential condition to guarantee the conservation of the heritage. The results of the Paraty Meeting included an **Action Plan** (see Annex III) to mainstream, within the Convention, policies and procedures that, in addition to maintaining the Outstanding Universal Value of properties, would also contribute to sustainable development. This Action Plan included the proposal to organize a “Consultative Meeting on WH and SD”.

By its **Decision 34 COM 5D**, the World Heritage Committee agreed “that it would be desirable to further consider, in the implementation of the Convention, policies and procedures that maintain the Outstanding Universal value of properties, and also contribute to sustainable development”.

In 2011, Brazil offered to host the planned Consultative Meeting on “World Heritage and Sustainable Development”, to take place from 5 to 8 February in the World Heritage City of Ouro Preto, to which the present text constitutes the main Working Document.

A number of important developments took place since 2010, which should be taken into account as a context for the Ouro Preto Meeting. These include:

- The importance attached by the World Heritage Committee to the issue of Sustainable Development, showed also by its decision to declare “*World Heritage and Sustainable Development: the Role of Local Communities*” as the official theme for the celebrations of the 40th anniversary of the Convention in 2012. These will include a series of events revolving around this theme, in all regions of the world. The Rio meeting is the first of these events to take place.
- In the context of the reflections on the “Future of the Convention”, the World Heritage Committee at its 35th Session (Paris, 2011) developed a “*Strategic Action Plan for the Implementation of the Convention, 2012-2022*”, adopted by the 18th General Assembly (Paris, 2011). An “Implementation Plan” for this Strategic Action Plan is to be prepared and presented at 36th session in 2012 (**Decision 35 COM 12A**). The Strategic Action Plan integrate a concern for sustainable development, notably in the “Vision for 2022”, which calls for the World Heritage Convention to “contribute to the sustainable development of the world’s communities and cultures”, as well as through its Goal N.3 which reads: “Heritage protection and conservation considers present and future environmental, societal and economic needs”, which is to be achieved particularly through “connecting conservation to communities”. **The Strategic Action Plan is provided in Annex IV of this document.**
- The Committee decided that a new type of document, the so-called “Policy Guidelines”, is to be developed to complement the *Operational Guidelines*. The latter will only concern processes and should have a manageable size. The former will capture the range of policies that the Committee has adopted on a variety of specific issues, such as Climate Change, mining etc. Moreover, from now on, the *Operational Guidelines* will be updated only every four years (**Decision 35 COM 12B**);
- The *Operational Guidelines* have been indeed amended in 2011 (35 COM) to include reference to sustainable development, notably in paragraphs 112, 119, 132, as well as in Annex 5, points 4.b and 5.e. (see more on this in Section 4.3 of the present Document). The articulation of what this implies in the concrete implementation of

the Convention appears therefore to be left to the “Policy Guidelines”, to the development of which the outcome of the Rio Meeting should contribute;

- The reflection on how to integrate a sustainable development perspective in WH should consider linkages with many other WH related policy documents and discussions. These include:
 - The discussion on the links between biodiversity and cultural diversity, understood as a single all-encompassing system, suggesting that any effort to achieve sustainable development by protecting ecosystems and biodiversity should, in order to be effective, necessarily include a concern for the associated cultural diversity.
 - the recently adopted Strategy for Capacity Building (2011) and proposed establishment of a network of site managers (**decision 35 COM 12E**, Document accessible online from: <http://whc.unesco.org/archive/2011/whc11-35com-9Be.pdf>);
 - the Strategy for Disaster Risk Reduction at WH Properties, approved by the Committee in 2007 (**Decision 31 COM 7.2**, Document accessible from: <http://whc.unesco.org/archive/2007/whc07-31com-72e.pdf>);
 - the policy which is being developed by UNESCO on Indigenous People (**Decision 35 COM 12D**);
 - the request by the Committee to develop a Resource Manual on EIA and Heritage Impact Assessment of potential developments’ impact on OUV, and the ICOMOS “Guidance on Heritage Impact Assessments for Cultural World Heritage Properties”;
 - its encouragement of States Parties to prepare a “Strategic Environmental Assessment” for properties at the stage of the nomination to anticipate the impact of any potential development on the OUV, ensure that EIA are conducted for development projects, involve indigenous people and local communities in decision making and link them to benefits, respect the rights of indigenous people, establish and promote horizontal cooperation and understanding among various institutions that have an impact on (...) heritage etc. (**Decision 35 COM 12E**);
 - the discussion on global challenges and factors affecting the properties as defined in Section II of the World Heritage Periodic Reporting Questionnaire;

4. Key concepts

As already mentioned, by its **Decision 34 COM 5D** (Brasilia, 2010), the World Heritage Committee agreed *“that it would be desirable to further consider, in the implementation of the Convention, **policies** and procedures that maintain the Outstanding Universal value of properties, and also contribute to sustainable development”*.

To this end, it is important to clarify what is meant by ‘policies’ and ‘mainstreaming of sustainable development’ and define their relationship with World Heritage. The notes that

follow, which include “questions” to be answered during the Meeting, begin to address this need.

4.1 Policy

What is a policy?

A policy consists of “principles and rules to guide decisions and achieve a rational outcome(s)” (Wikipedia), typically adopted by an organization to improve its way of doing things. A policy, thus, is not what is actually done (these would be the procedures or activities informed by the policies), but rather a statement of intent, to be taken into consideration before decisions are made on what to do. Policies are usually focused on a specific issue and are developed to avoid negative effects or to seek positive benefits.

The policy cycle

In general, for an intergovernmental process like the World Heritage Convention, a policy cycle may consist of the following phases, all involving wide consultation:

- Agenda setting, including an analysis of the problem requiring a new policy;
- Formulation;
- Adoption (e.g. by the World Heritage Committee and possibly the General Assembly of States Parties);
- Implementation;
- Monitoring and evaluation.

The Ouro Preto Meeting is partly contributing to step one (agenda setting) and partly to step two (formulation).

Components of a policy document

A standard policy document may contain the following components:

- Background (explaining the context and reasons that led to the development of the new policy);
- Purpose statement (why the new policy is required and what are its desired effects);
- Applicability and scope (who is affected by the policy and which actions are impacted by it);
- Policy statements (indicating the new principles and rules that should guide the organizational processes);
- Definitions (providing clear definitions of key terms and concepts found in the policy document).

Question for the meeting:

- Should the outcome document of the Ouro Preto Meeting reflect a similar structure?

4.2 Sustainable Development

To “mainstream” sustainable development (hereinafter SD) into the processes of the World Heritage Convention, i.e. integrate within these a SD perspective, it is necessary to start with an understanding of what SD is and what it entails.

What is sustainable development?¹

There exist many definitions of sustainable development (and metrics for its measurement), starting from the classic one provided in the Brundtland Report of 1987, “Our Common Future”, but none is universally accepted. Beyond the universal aspiration to a development that would not compromise “the ability of future generations to meet their own needs”, the question of how to translate this generic ideal into practice has been answered over the years in different ways. In 1992, the “Earth Summit” of Rio de Janeiro, Brazil, resulted in a statement of principles supported by a detailed list of desired actions (the so-called Agenda 21). The 2002 World Summit on Sustainable Development (Johannesburg, South Africa) introduced the notion of the three pillars of sustainable development, that is the environmental, the social and the economic, considered as “interdependent and mutually reinforcing”. This was meant to overcome the polarization between environment and economy, which, it was felt, did not give sufficient recognition to the human dimension of development.

A certain ambiguity on what was meant by the social dimension of sustainable development has led to further discussions and proposed definitions. In particular, the narrow initial notions of social equity and needs have been recently enlarged to encompass a broader concern for wellbeing, in all its multiple aspects. In its 2011 Human Development Report, for example, the UN defines the latter as “the expansion of people’s freedoms and capabilities to lead lives that they value and have reason to value. It is about expanding choices. Freedoms and capabilities are a more expansive notion than basic needs. Many ends are necessary for a ‘good life’, ends that can be intrinsically as well as instrumentally valuable—we may value biodiversity, for example, or natural beauty, independently of its contribution to our living standards”². Accordingly, sustainable human development is “the expansion of the substantive freedoms of people today while making reasonable efforts to avoid seriously compromising those of future generations”. Indeed, in all versions of SD, considerable attention has been paid to the governance aspect, including institutional coordination and the need to ensure a fully participatory, transparent and accountable process of decision-making.

Between sectors and within each sector (heritage included), the three pillars of SD and their implications have been embraced in various ways, depending on the mission and priorities of the organization(s) concerned. One easy and popular way to define and promote sustainable development is to concentrate on what it specifically seeks to achieve. Indeed, institutions working on SD have tended to focus on sets of issues and related indicators. Within the UN, this effort led in the year 2000 (Millennium Declaration) to the formulation

¹ Information for this section is largely drawn from “*What is Sustainable Development? Goals, Indicators, Values, and Practice*”, by Robert W. Kates, Thomas M. Parris, and Anthony A. Leiserowitz, in the April 2005 issue of *Environment: Science and Policy for Sustainable Development*, Volume 47, Number 3, pages 8–21. This paper is accessible online from: http://www.hks.harvard.edu/sustsci/ists/docs/whatisSD_env_kates_0504.pdf

² The UNDP Human Development Report is accessible online from: <http://hdr.undp.org/en/reports/global/hdr2011/summary/>

and adoption of around 60 SD goals, and most notably of the eight Millennium Development Goals (MDGs), which are monitored internationally for the major review foreseen in 2015. However, many other frameworks have been developed which aim to assist in planning, implementing and especially measuring SD at regional, national and local levels, often with very different timeframes for implementation. This proliferation of SD definitions, goals and indicators around some core shared values has led some to conclude that the SD field lacked a commonly agreed structure, which makes sharing and building of knowledge difficult³.

Current conceptual frameworks for SD

For the purpose of this Meeting, it is necessary to agree on a conceptual framework that may assist participants in mainstreaming SD into the processes of the World Heritage Convention. To this end, the main ideas and concepts underpinning the preparations for the June 2012 UN Conference on Sustainable Development, also known as Rio + 20, are briefly described below. These are integrated with UNESCO's own perspective on SD. A proposed set of SD issues is then presented, integrating also other approaches not described here for reasons of space⁴, for the consideration of the participants.

Rio + 20

The main objective of Rio + 20 is “to renew international commitment towards SD”. It focuses on two main themes: (a) a green economy in the context of sustainable development and poverty eradication; and (b) the institutional framework for sustainable development.

Green economies are seen as the key strategy to decouple growth from the degradation of the environment. With regard to the institutional framework, the main point is to strengthen coherence and coordination for a truly holistic approach to SD and a better implementation, i.e. one which would address in an integrated and comprehensive manner the social, economic and environmental issues facing the world today.

The broad consultation held in preparation for the Conference (6000 pages of contributions so far) has identified the following “focus areas for priority attention”:

1. Green jobs, youth employment and social inclusion
2. Energy access, efficiency, sustainability
3. Food security and sustainable agriculture
4. Water
5. Sustainable cities
6. Management of the oceans, fisheries and other marine resources
7. Improved resilience and disaster preparedness

On each of these focus areas, Issue Briefs have been prepared by the Secretariat of the Conference, which are accessible online from:

³ Brandon P.S., Lombardi P. 2005, “Evaluating Sustainable development in the Built Environment”, Blackwell, Oxford- page 74

⁴ Such as the approach adopted by the UK Government, as described in the document prepared by its Department of Environment, Food and Rural Affairs in February 2011, accessible online from:
<http://sd.defra.gov.uk/documents/mainstreaming-sustainable-development.pdf>

<http://www.uncsd2012.org/rio20/index.php?menu=61>

At present, a “zero-draft” for the outcome document of Rio + 20 has been just released by the Bureau of the Conference, summarising, within just 19 pages, all inputs from UN Agencies, Member States, Civic Society groups etc. This key document is now accessible online from:

<http://www.uncsd2012.org/rio20/index.php?page=view&type=12&nr=324&menu=23>

One of the expected outcomes of Rio + 20 is proposals for the elaboration of a new set of SD Goals (to be finalised by 2015) that would refine, complement and integrate the MDGs, with reference to the above focus areas. Suggestions have been already made in that regard, accessible from:

<http://www.uncsd2012.org/rio20/index.php?page=view&type=400&nr=218&menu=45>

Others are calling for Rio + 20 to deliver a much focused message concentrating on its two main priorities, accompanied by a set of agreed actions and road map.

Considering the current political and financial situation, characterised by a strong uncertainty, moreover, many have stressed the need for Rio + 20 to address, and actually involve, the wide civic society at all levels, and not simply central Governments. One of the strengths of the Rio Earth Summit of 1992, it has been noted, was precisely its Agenda 21 which was used by local authorities and NGOs to implement SD policies and programmes.

More information on the preparations for Rio +20 is available from the web site of the Conference: <http://www.uncsd2012.org/rio20/>.

UNESCO View on SD

In its Input to the Rio + 20 Compilation Document, UNESCO has laid stress on the need to achieve green “societies”, rather than simply green economies, reflecting a strengthened concern for a humanistic dimension of sustainable development which would embrace the principles of dignity, fairness, social inclusion, solidarity etc. SD policies should in particular address the views and need of women, youth, indigenous people and marginalised groups, based on respect for human rights and investment in human capital.

UNESCO therefore proposed focusing on the following set of priority areas:

1. Building the conditions for long-lasting peace, through a commitment towards just, open and inclusive societies, which foster mutual respect and cultural diversity;
2. Promoting education for sustainable development and training for green jobs, notably of women;
3. Mobilising science, technology and innovation for sustainable development;
4. Fostering sustainable use and good governance of the ocean and its resources;
5. Improving access to and sustainable management of freshwater resources;
6. Strengthening disaster preparedness and climate change adaptation and mitigation, including by reinforcing local response strategies rooted in traditional knowledge;
7. Promoting biodiversity conservation and designated learning sites for sustainable development, with specific reference to WH properties and MAB reserves;

8. Leveraging culture for sustainable development, through a human-centred approach that reflects the complexities of societies and local contexts and harnesses the potential of cultures and heritage as a powerful socio-economic resource;
9. Building awareness for green policy priorities through the media;

Proposed SD framework for the Ouro Preto Meeting

Based on the above, and considering the particular scope and objectives of the World Heritage Convention, it is tentatively suggested to structure the discussion at the Ouro Preto Meeting around the following SD issues:

Environment

- Protecting the natural and historic environment
- Adapting to Climate Change⁵

Social/Economic

- Promoting green economies and youth employment
- Empowering communities
- Improving wellbeing of communities
- Ensuring social inclusion, fairness and solidarity (includes gender and human rights concerns)
- Strengthening the resilience of communities to disasters
- Ensuring a development which is sensitive to the cultural context

Governance

- Strengthening institutional capacity, coherence and coordination for SD
- Ensuring a fully participatory, transparent and accountable process of decision-making

Questions for the Meeting:

- Which conceptual framework should be used to mainstream SD into the processes of the WH Convention?
- Could one of the outcomes of the Ouro Preto Meeting be the definition of an SD Goal related to World Heritage or in general to the natural and historic environment, to be proposed at the Rio + 20 Conference?

⁵ A policy document on World Heritage and Climate Change has already been adopted by the Committee in 2008 – Document accessible online: <http://whc.unesco.org/uploads/activities/documents/activity-393-2.pdf> . See also the WH paper on Climate Change and World Heritage N.22, accessible online from: <http://whc.unesco.org/en/series/22/>

4.3 World Heritage and SD: defining the relationship

Sustainable development references in the statutory texts of the Convention

The aim of the *World Heritage Convention* is the identification, protection, conservation, presentation and transmission to future generations of cultural and natural heritage of outstanding universal value. The text of the *Convention*, adopted in 1972, does not make any specific mention of the term “sustainable development” or of sustainability in general, considering that this concept was only introduced in 1987, in the report of the World Commission on Environment and Development, “*Our Common Future*”, also known as the Brundtland Report.

Under Article 5, however, the *Convention* urges States Parties to the *Convention* “to adopt a general policy which aims to give the cultural and natural heritage a function in the life of the community and to integrate the protection of that heritage into comprehensive planning programmes”. Moreover, Article 4 recognizes that States Parties have “the duty of ensuring the identification, protection, conservation, presentation and *transmission to future generations* (emphasis added) of the cultural and natural heritage”.

Subsequently, as the international community embraced the concept of sustainable development, the notion of sustainability entered the *Operational Guidelines for the implementation of the Convention*⁶ in 1994, with reference to the “sustainable use” of cultural landscapes. At its 26th Session (Budapest, 2002), the World Heritage Committee adopted the so-called Budapest Declaration, which stressed the need to “ensure an appropriate and equitable balance between conservation, sustainability and development, so that World Heritage properties can be protected through appropriate activities contributing to the social and economic development and the quality of life of our communities”. In 2005, furthermore, the notion of sustainable development was taken into account in the introductory part of the *Operational Guidelines*, which notes that “The protection and conservation of the natural and cultural heritage are a significant contribution to sustainable development” (paragraph 6). The *Operational Guidelines* further recognise (paragraph 119) that World Heritage properties “may support a variety of ongoing and proposed uses that are ecologically and culturally sustainable”. At its 31st Session (Christchurch 2007), the World Heritage Committee decided to add “Communities” to the previous four strategic objectives, “to enhance the role of communities in the implementation of the *World Heritage Convention*” (Decision **31 COM 13B**).

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

⁶ The *Operational Guidelines* are accessible online from: <http://whc.unesco.org/archive/opguide11-en.pdf>

The main processes of the WH Convention, as described in its *Operational Guidelines*, include:

- The context (purpose of the Convention, institutional framework, definition of OUV and standards for protection and management) (Sections I and II)
- Nominating properties (Section III)
- Monitoring properties (Sections IV and V)
- Support and International Assistance (Sections VI and VII)

It is strongly suggested that Participants in the Ouro Preto Meeting familiarize themselves with these processes by consulting the *Operational Guidelines*, available online from: <http://whc.unesco.org/archive/opguide11-en.pdf>.

The findings of the Paraty Meeting (Paraty, Brazil, March 2010)⁷

On the relationship between heritage conservation and sustainable development, the Paraty meeting noted the following:

The protection of heritage, as an attribute of natural and cultural diversity, plays a fundamental role in fostering strong communities, supporting the physical and spiritual well-being of its individuals and promoting mutual understanding and peace. Through a variety of goods and services and as a storehouse of knowledge, moreover, a well-protected World Heritage property very often contributes directly to livelihoods and sustainable development, intended as a development where each of the three pillars, the environmental, the economic and the social – including intra and intergenerational equity - is given adequate consideration. In this respect, the experts considered that the great potential of World Heritage, and heritage in general, for contributing to these three dimensions is still not sufficiently recognised both in developing and developed countries.

At the same time, securing sustainable development is – almost by definition - an essential condition to guarantee the conservation of the heritage. Experience shows, indeed, that an unsustainable development is perhaps *the* most significant threat to heritage conservation, both in developing and developed countries. In this sense, it can be argued that sustainable development is a development that takes also into account the need to conserve the heritage. Similarly, a sustainable conservation of the heritage will take into account and integrate a concern for the social, economic and environmental dimension of development. The possible conflict between conservation and development should be therefore resolved through a balanced compromise that takes into account all legitimate interests while reconciling global and local values.

For the above-mentioned reasons, the Paraty meeting concluded that that it would have been desirable to introduce, within the framework of the Convention, policies and procedures that, together with maintaining the Outstanding Universal Value of properties through the protection of their heritage attributes, would seek to contribute to sustainable

⁷ The report of the Paraty Meeting is accessible online from: <http://whc.unesco.org/archive/2010/whc10-34com-5De.pdf>

development. The participants considered, moreover, that this would be fully in line with the original spirit of the Convention as reflected in the above-mentioned Articles 4 and 5, as well as in its Preamble where it is noted that cultural and natural heritage is “increasingly threatened with destruction not only by the traditional causes of decay, but also by changing social and economic conditions which aggravate the situation...”. Such emphasis would also bring the Convention closer to recent trends within other institutional frameworks at UN level, as reflected by the 2002 World Summit on Sustainable Development in Johannesburg, the Millennium Development Goals (MDGs) as well as by the increasing importance of sustainable development in other Multilateral Environmental Agreements (MEAs) as evidenced by discussion in the Biodiversity Liaison Group and the Rio Convention Platform.

Detailed suggestions were finally made in the report of the Paraty Meeting on how, within the key processes of the WH Convention as articulated in the *Operational Guidelines*, an SD perspective could have been integrated (See Annex V).

Conclusions

The World Heritage Convention appears, thus, to carry the spirit and promise of sustainability, in a sense even beyond Brundtland’s famous definition, in “its insistence that culture and nature form a single, closed continuum of the planet’s resources, the integrated stewardship of which is essential to successful long-term sustainable development – and indeed the future of life on the Earth as we know it.”⁸

The practical implications of a true sustainable approach, however, are yet to be drawn in its policies and operational procedures. Throughout its key processes (i.e. nomination, evaluation, monitoring, international assistance), indeed, the Convention continues to focus primarily on maintaining the heritage value of World Heritage properties (i.e. the Outstanding Universal Value, or OUV), without necessarily considering the possible implications in respect of their wider social, economic and environmental context, except when these implications engender a risk for the heritage.

In the practical implementation of the Convention, on the other hand, conflicts between conservation and development objectives are very common, including with proposed developments that, in principle, would appear to contribute to key SD objectives (e.g. wind-farms, adaptive re-use of historic buildings for commercial use, etc.). On the other hand, a number of opportunities for promoting SD through WH conservation may exist, which are not currently exploited.

⁸ ENGELHARDT R., 2007. Responses to 'Sustainability within the World Heritage Convention' Questionnaire, in Boccardi, G. 2007, “World Heritage and Sustainability; Concern for social, economic and environmental aspects within the policies and processes of the World Heritage Convention”, MSc Dissertation, UCL Bartlett School of the Built Environment.

As Erica Avrami put it⁹ “with changing demographics and diminishing resources, options will become more limited. When weighed more stringently against clean air and water, carbon neutral energy, reduced sprawl and optimal land use, mass transit, jobs creation, and the like, heritage conservation faces difficulties in terms of rationalizing its cause and ensuring the balance of social concerns with environmental and economic interests. To prepare for change, the field must better align its goals and processes with those of sustainability planning for the built environment as a whole. That means questioning many long-held goals and practices about what to preserve and how”.

This seems to be true also for World heritage sites. These are by definition a relatively small portion of the larger physical environment devoted to conservation owing to their OUV, but nearly all of these properties (now nearing a thousand in number) witness the presence of multiple interests associated with local communities and groups, suggesting that a balance among the three pillars would be essential even within their boundaries and immediate surroundings.

Questions for the Meeting:

- **What is it precisely that States Parties would be requested to do in World Heritage processes to integrate a SD perspective, without overlooking the essential mandate of the Convention, i.e. protecting heritage? Is it expected that WH properties actively contribute to sustainable development as defined by the UN, or simply that they engage in sustainable practices within their conservation strategies? In other words, will nomination files and management systems be evaluated also on the basis of how they contribute to SD and – for example - the Millennium Development Goals (MDGs)?**
- **What are the key processes of the WH Convention in which a SD perspective could be mainstreamed?**
- **Should WH and heritage in general be dealt in a different way as regards SD?**

4.4 What does it mean to “mainstream Sustainable Development” into World Heritage?

To mainstream a concern for SD into the WH Convention means to ensure, for every action undertaken within its processes, that the effects on SD are considered and that changes are made accordingly, if appropriate, to avoid negative effects and maximize positive benefits on the latter. In finding the right balance, it is important to recall that the protection of the outstanding universal value (OUV) of WH properties is the very *raison d'être* of the Convention, i.e. a principle that cannot be negotiated.

⁹ Avrami E. 2011. “ *Sustainability and the Build Environment: Forging a Role for Heritage Conservation* », in the GCI Newsletter, 26-1, Spring 2011, page 5. Accessible online from: http://www.getty.edu/conservation/publications_resources/newsletters/26_1/feature.html

In the practice of the implementation of the Convention, three possibilities may theoretically arise:

- a) *Convergence*, when an action that is undertaken in the name of WH also contributes to specific SD goals (e.g. conserving an area of exceptional biodiversity or maintaining a key asset for cultural tourism);
- b) *Neutrality*, when such action is neither having negative effects nor producing benefits on SD goals.
- c) *Conflict*, when an action aimed to protect OUV prevents the achievement of SD goals or vice versa.

In the first case, a), mainstreaming a SD perspective into the WH Convention could simply mean ensuring that the contribution of WH to a specific SD goal (for example the protection of the environment) does not come at the expense of other goals that support all the three pillars of SD (since these are all interrelated and mutually reinforcing).

In the second case, b), what would be required is exploring possible synergies (not currently exploited) among activities that contribute to achieving WH and SD objectives so as to maximize opportunities, and avoiding unwanted negative effects on any of the two sides.

In the third case, c), which in truth is quite rare, an acceptable compromise should be identified safeguarding however the core attributes that express and carry the OUV of World Heritage properties.

Therefore, once the appropriate conceptual framework for SD has been adopted, the mainstreaming of SD into the WH Convention would consist in:

1. Establishing an agreed two-dimensional grid merging the key WH processes (e.g. on the horizontal axis) and SD issues (e.g. on the vertical axis);
2. Identifying, for each of the resulting “couples”, the opportunities and risks associated (i.e. possible convergence, neutrality, conflicts); and
3. Defining, in each case, the appropriate policies that would maximise benefits from opportunities and mitigate or eliminate negative effects associated to risks.

Questions for the Meeting:

- Is the above approach useful/appropriate?

- What could the “grid” look like?

- What policies could be introduced, for each WH process, which would mainstream a SD perspective?

4.5 Implications for the WH System

In many cases, before an agreed policy can be applied in practice, a number of preparatory steps/actions are necessary, including developing the appropriate institutional set-up, collecting knowledge/data and building the capacity of those involved.

The Participants in the Ouro Preto Meeting might consider which specific actions would be required to facilitate the development and actual implementation of a new policy for integrating an SD perspective in WH processes, building on the Action Plan agreed in Paraty (See Annex III).

Questions for the Meeting

Taking into account the Paraty Action Plan, which actions would be required to facilitate the development and actual implementation of a new policy for integrating an SD perspective in WH processes?

Would it be desirable, in this respect, to develop a specific WH Thematic Programme on SD? What could be its main strategy and expected objectives? How could it be financed?

5. Expected output of the Meeting

The immediate output of the Meeting would be a concise Document (not more than 3-5 pages) containing a preamble and recommendations on policies for the integration of a concern for Sustainable Development within the World Heritage Convention.

The format of this Document could reflect the structure presented in Section 4.1 above.

Following consideration and adoption by the World Heritage Committee, the contents of this Document could contribute a section within the “Policy Guidelines” document that the WH Committee has requested at its 35th Session.

An updated version of the Paraty Action Plan could be also developed and agreed, to be annexed to the main outcome document. Furthermore, “best practices” identified during the Meeting could be collected and compiled in resource materials that could be made, in the future, available to managers of WH properties and inform projects and initiatives.

Eventually, the most fundamental ideas and implication in terms of the processes of the Convention, such as changes in the format of Nomination Files or requirements for management systems, could find their way in the next version of the *Operational Guidelines for the Implementation of the World Heritage Convention*, to be issued in 2015.

6. Structure and working methods of the Meeting

In the light of the above, it is suggested that the discussions during the Meeting be organised as follows (see also provisional programme in Annex I):

Session 1 - Setting the context

This is meant to inform the participants on the context of the meeting, agree on the scope of work and establish a baseline of agreed definitions and terminology - notably on the relation between sustainable development, heritage and conservation – so as to facilitate a more clear and fruitful discussion. An introduction will be followed by one/two interventions

Session 2 – Mainstreaming SD into WH processes

This session will discuss the ways in which a SD perspective could be integrated in the World Heritage Convention, based on a selected series of agreed SD issues (e.g. those proposed in Section 4.2 above), following the process described in Section 4.4 above. It is proposed, in order to optimise the available time and benefit from the inputs of all participants, to combine plenary discussion with group work.

Session 3 - Implications for WH System

This session will consider the implications, in terms of possible scope of action, for each of the main players in the World Heritage “system”, from States Parties to the World heritage Centre, Advisory Bodies, Category 2 Centres and local communities, of integrating a sustainable development perspective in the implementation of the Convention.

Within this Session, consideration will be given also to ways of accelerating the implementation of the Paraty Action Plan, particularly with regard to the possible establishment of a new World Heritage Thematic Programme on the integration of sustainable development in the management of World Heritage properties (cfr. point (I) of the Plan).

Session 4 – Adoption of Outcome Document

A draft outcome document, summarizing the ideas and recommendations formulated during the meeting, will be presented to the Participants for their comments. A revised version of this document, integrating all comments and suggestions, will be circulated electronically after the meeting to all participants for finalization.

Questions for the Meeting:

Are the above proposed structure and working method for the Meeting appropriate?

Is there anything missing that should be discussed?

Annex I – Provisional programme of the Ouro Preto Meeting

5 February 2012	
	<i>Arrival of participants</i>
18.30 – 19.30	<i>Opening of the Meeting, welcoming speeches:</i> • H.E. Mr Luiz Fernando de Almeida, President of IPHAN • H.E. Mr. Oswaldo Angelo, Mayor of Ouro Preto • Mr Lucien Munoz, UNESCO Representative
20.00 – 21.30	<i>Official dinner</i>
21.30 – 22.30	<i>Cultural Event</i>
6 February 2012	
09.00 – 11.00	<i>Session One: Setting the context</i> • Background and objectives of the meeting; <i>G.Boccardi, UNESCO-WHC</i> • World Heritage and SD: the view of the Advisory Bodies <i>Ms Carolina Castellanos, ICOMOS</i> <i>Mr Andrew Seidl, IUCN</i> • The view from Multilateral Environmental Agreements; <i>Mr Marcos Silva, CITES</i> <i>Mr Bert Lenten, CMS Convention</i> • Public policies for SD in cultural heritage conservation: the Brazilian experience; <i>Mr Luiz Fernando, President of IPHAN</i> Discussion
11.00 – 11.30	Coffee & Tea
11.30 – 13.00	<i>Session One (continues)</i> Discussion
13.00 – 14.30	Lunch
14.30 – 16.00	<i>Session Two: Mainstreaming SD into WH processes</i> • Introduction; <i>G.Boccardi, UNESCO-WHC</i> • Integrating SD in environmental protection: practical experiences; <i>Romulo José Fernandes Mello</i> <i>President of the Instituto Chico Mendes</i> • The Financing of conservation initiatives for SD: the IADB approach; <i>Mr. Vicente Cibilis, Inter-American Development Bank</i>
16.00 – 16.30	Coffee & Tea
16.30 – 18.00	<i>Session Two (continues)</i>

Proceedings of the Consultative Meeting on World Heritage and Sustainable Development
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	Best practices focusing on community-related issues: • Desarrollo sustentable del centro histórico de Santa Cruz de Mompox, Colombia Juan Luis Isaza Londono (Colombia) • Patrimonio Mundial y Desarrollo Sustentable Francisco Lopez Morales (Mexico) • WH and Poverty Reduction in Africa Webber N'doro, AWHF Discussion
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7 February 2012	
09.00 – 11.00	Introduction to group work
	Group Work
11.00 – 11.30	Coffee & Tea
11.30 – 13.00	Group Work
13.00 – 14.30	Lunch
14.30 – 16.00	Group Work
	Discussion
16.00 – 16.30	Coffee & Tea
16.30 – 18.00	Presentations of the four Working Groups in plenary
	Discussion

8 February 2012	
08.30 – 11.00	Site visit
11.00 – 13.30	Session Four: Adoption of Outcome Document Presentation of conclusions and recommendations Discussion and interim adoption of outcome document Closing remarks • IPHAN • UNESCO
13.30 – 15.00	Lunch
15.30	Departure of the participants

Annex II – Provisional List of Participants

Experts designated by UNESCO regional Groups

Mr. Mohammed El Zahabi, Acting permanent Delegate of Egypt to UNESCO
Paris (Group Arab States)

Ms. Natalia Turekulova, Chief Architect of State Enterprise “Kazrestavraziya”, Ministry of Culture
Kazakhstan (Group Asia and Pacific)

Ms Birgitta Ringbeck, National Focal Point for World Heritage
Germany (Group Europe 1)

Ms. Katarzyna Piotrowska Nosek, Head of Heritage Policy Department. Poland

Latin American States Parties

Mr. Alberto Petrina, Director Nacional de Patrimonio Y Museos.
Argentina

Mr. Marcos Michel López, Director General de Patrimonio Cultural.
Ministerio de Culturas.
Bolivia

Mr. Juan Luis Isaza Londoño, Director Nacional de Patrimonio, Ministerio de Cultura.
Colombia

Ms. Inés Pazmiño Gavilanes, Directora Nacional Instituto Nacional de Patrimonio Cultural – INPC
Equador

Dr. Francisco López Morales, Dirección de Patrimonio Mundial
Mexico

Mr. Alberto Quintela, Diretor General de Patrimônio
Uruguai

Mr. Raúl Grioni, Presidente del Instituto del Patrimonio Cultural
Ministerio del Poder Popular para la Cultura
Venezuela

Mr. Emílio De La Cerda, Secretario Ejecutivo do Conselho de Monumentos Nacionales
Chile

UNESCO

Mr. Giovanni Boccardi, Programme Specialist, World Heritage Centre
UNESCO, Paris

Dr. Nuria Sanz, Chief Latin America and Caribbean Unit, World Heritage Centre
UNESCO, Paris

Representative from UNESCO Brasilia Office

Mr. Lucien Munhoz
UNESCO, Brasília.

Ms. Jurema Machado
UNESCO, Brasília

Mr. Celso Salatino Schenkel
UNESCO, Brasília

IPHAN

Luiz Fernando de Almeida, Presidente do Instituto do Patrimônio Histórico e Artístico Nacional.

Célia Maria Corsino, Diretora de Patrimônio Imaterial.

Andrey Schlee, Diretor de Patrimônio Material

Luiz Philippe Torelly, Assessor da Presidência.

Marcelo Brito, Assessor de Relações Internacionais

Robson Antonio de Almeida, Assessor DEPAM

Ministério das Relações Exteriores - Brasil

José Armando Zema de Resende, Ministro Conselheiro

INSTITUTO CHICO MENDES

Romulo José Fernandes Mello, Presidente do Instituto Chico Mendes de Conservação da Biodiversidade.

Andrea Zarattini, Assessora da Presidência.

Advisory Bodies

Dr. Andrew Seidl, Head, Economics, IUCN (International Union for Conservation of Nature)

Mrs Carolina Castellanos, Representative of ICOMOS.

World Heritage Category 2 Centres

Ms. Cecilie Smith-Christensen, Deputy Director, Nordic World Heritage Foundation (NWHF)
Norway

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Ms Mei Qing, Associate Professor of College of Architecture and Urban Planning from Tongji University, Asia-Pacific World Heritage Training & Research Institute (WHITRAP) China

Dr. Webber Ndoro, Director, African World Heritage Fund (AWHF)
South Africa

Mr. Cyro Lyra, Director Lucio Costa Centre. Brazil.

Mr Enrico Bertacchini, International Research Centre on the Economics of Culture and World Heritage Studies (Turin, Italy)

Other relevant international organizations

Mr. Vicente Fretes Cibilis, Representative, Inter-American Development Bank
Brazil

Multilateral Environmental Agreements (MEA)

Mr. Bert Lenten, Deputy Executive Secretary of CMS, UNEP/CMS Secretariat
Germany

Mr. Marcos Silva, CITES
Switzerland

Individual experts

Mr. Charles Binam Bikol, International Centre for Research and Documentation on African Traditions and Languages.

Prof. Pier Luigi Petrillo, Full Professor Comparative Public Law (TBC)
University of Rome La Sapienza Unitelma, Italy

Annex III – The Paraty Action Plan for 2012 (extracted from Document WHC-10/34.COM/5D)

The participants in the Paraty Meeting proposed that the World Heritage Committee might consider requesting the World Heritage Centre and the Advisory Bodies the following:

- a) To carry out a study on the social and economic impact of inscription on the World Heritage List on potential sites from each region of the world;
- b) To develop a study and publication on best practices and methodologies linking heritage conservation and sustainable development for natural, cultural, and mixed sites;
- c) Building on the results of the Paraty Meeting, to request the World Heritage Centre in close cooperation with the Advisory Bodies to propose revisions to the *Operational Guidelines* with a view to mainstreaming a concern for sustainable development within them;
- d) To organize a meeting on “World Heritage and Sustainable Development” with all States Parties and concerned MEAs, at the end of 2011. Based on the outcome of this meeting, the Secretariat may finalise a proposal for the revision of the *Operational Guidelines* to be submitted for examination by the Committee at its 36th session in 2012 or to the proposed extraordinary session of the General Assembly in 2012;
- e) To promote the positive role of World Heritage for Sustainable Development, at Rio plus 20, in 2012, together with other MEAs;
- f) To develop specific guidance and communication tools (e.g. within Resource Manuals but also through innovative technologies) on integrating sustainable development in conservation and management strategies, drawing from existing materials, when available (i.e. the tool developed by WWF: “Protected areas benefit assessment tool”);
- g) To develop, in collaboration with international agencies for development, international banks, and national governments, guidelines and strategies for meeting MDGs and other development goals using heritage as a resource for development in a sustainable manner;
- h) To encourage UNESCO Category 2 Centres to spearhead research and training and cooperate among them on the subject of sustainable development;
- i) To encourage the Biodiversity Liaison Group to put sustainable development as an overarching theme and area of cooperation for its next coordination meeting(s);
- j) To explore, within the context of the Biodiversity Liaison Group and in a small number of pilot sites (maximum 5 between 2010 and 2012) that have multiple joint designation (or to be developed to have multiple joint designation), how these multiple designations at the international level can contribute towards better trade-offs and interactions between biodiversity conservation and enhancing human well-being at the larger regional or biome level;

- k) To recognise opportunities for collaboration between Man and the Biosphere (MAB) reserves that comply with the Seville strategy and the statutory framework for WNBR (post 1995) as land seascapes contributing to regional (in-country) and biome level sustainability and the protection of OUV in World Heritage sites and to encourage cooperation of States Parties, the World Heritage Centre, the Advisory Bodies with MAB on the following aspects:
- i. To invite the MAB programme to present a position paper on the above-mentioned collaboration as information document for the World Heritage Committee (Brasilia, 2010);
 - ii. To use Brazilian sites as illustrative case studies and to showcase them during a special event at Brasilia for 34 COM to be organised by Brazilian Government, UNESCO Brasil and MAB;
 - iii. To document the legal basis of land-resource use in core, buffer and transition zones as well as institutional mechanisms used for coordinating biosphere reserves such as the Mata Atlantica as an information/data base for visualising ways and means by which the protection of the Natural World Heritage embedded in the biosphere reserve could be strengthened on a sustainable basis;
 - iv. To identify opportunities for collaboration between World Heritage and MAB to address sustainability issues at regional/ecosystem scales (e.g between the Angkor World Heritage Site and the Biosphere Reserve of Tonle Sap, in Cambodia ; Ha Long Bay World Heritage Site and Category B Biosphere Reserve (Vietnam); Brazilian World Heritage properties included in many Biosphere Reserves);
- l) To consider the establishment a new World Heritage thematic programme on the integration of sustainable development in the management of World Heritage properties, including consideration of tourism, to develop guidance and capacities.

Annex IV – Vision and Action Plan for 2022 (extracted from Document WHC-10/34.COM/5D)

**Strategic Action Plan for the
Implementation of the *World Heritage Convention*
2012 -2022**

1. Our Vision for 2022

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

2. Our Mission since 1972

To identify, protect, conserve, present and transmit to future generations the world's outstanding cultural and natural heritage (cf. Art. 4)

3. Our pledge to cooperation

Through cooperation, we seek:

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

4. Our World Heritage Goals 2012-2022

- Goal 1:** The Outstanding Universal Value of World Heritage sites is maintained
- Goal 2:** The World Heritage List is a credible selection of the world's most outstanding cultural and natural heritage
- Goal 3:** Heritage protection and conservation considers present and future environmental, societal and economic needs
- Goal 4:** World Heritage maintains or enhances its brand quality
- Goal 5:** The Committee can address policy and strategic issues
- Goal 6:** Decisions of statutory meetings are informed and effectively implemented

4.1 Background

The 1972 *Convention concerning the Protection of the World Cultural and Natural Heritage* has proved to be a remarkably visionary instrument for safeguarding the world's heritage. Following significant achievements over four decades, the context in which the *Convention* operates has changed and the very success of the *Convention* has led to an increasing scale and complexity of operations.

This Strategic Action Plan seeks to ensure that the *World Heritage Convention* maintains its status as a credible international mechanism for the identification and conservation of the world's cultural and natural heritage. It seeks to use the strengths of the *Convention* to assist the Committee to adapt to a new context and maximise the identification, protection, conservation, and presentation of World Heritage and its transmission to future generations.

In 2008, the World Heritage Committee (Decision **32 COM 10**) decided to reflect on nearly forty years of achievement. The *Futures Process* was characterised by its spirit of creativity, cooperation and open participation by all members of the World Heritage community.

A website (<http://whc.unesco.org/en/futureoftheconvention/>) enabled all States Parties to participate, including through submissions. A workshop on the Future of the *Convention* was held in February 2009 at UNESCO headquarters to identify global strategic issues, key challenges, trends and opportunities facing the *Convention*. The report of the workshop (WHC-09/33.COM/14A) was conveyed to both the World Heritage Committee at its 33rd session (Seville 2009) and the 17th session of the General Assembly. Resolution **17 GA 9** mandated priorities for action and called for this Strategic Action Plan. States Parties hosted expert workshops on mandated priorities. *The Strategic Action Plan for the Implementation of the World Heritage Convention: 2012 – 2022* was reviewed by the 34th (Brasilia 2010) and 35th sessions (UNESCO 2011) of the World Heritage Committee.

4.2 Situation analysis

The submissions to and discussion at the February 2009 workshop on the Future of the *Convention* identified the following strengths and weaknesses and the perceived opportunities and threats to the implementation of the *World Heritage Convention*:

STRENGTHS	WEAKNESSES
• 40 years of operation • An intergovernmental agreement with strong consensus • Near universal membership, including wide range of members from developing and developed countries	• Slow to enact change • Emphasis on inscription as an end in itself • Differing interpretations of the Convention, Outstanding Universal Value and management standards by States Parties, Advisory Bodies and the secretariat • Reduced technical basis for decision-making • Increasing Committee, Advisory Body and secretariat workloads
OPPORTUNITIES	THREATS
• Part of the UN family and able to strengthen relations with other international instruments • Heritage as a driver for sustainable development • Able to improve structures, plans and practices for business • Can harness civil society support • New technology enables faster and more efficient awareness raising and knowledge sharing	• Pressure on budget from near universal membership and global economic slowdown • Emerging competitor organisations/lists and brand confusion • Political, economic, environmental and social pressures on heritage sites

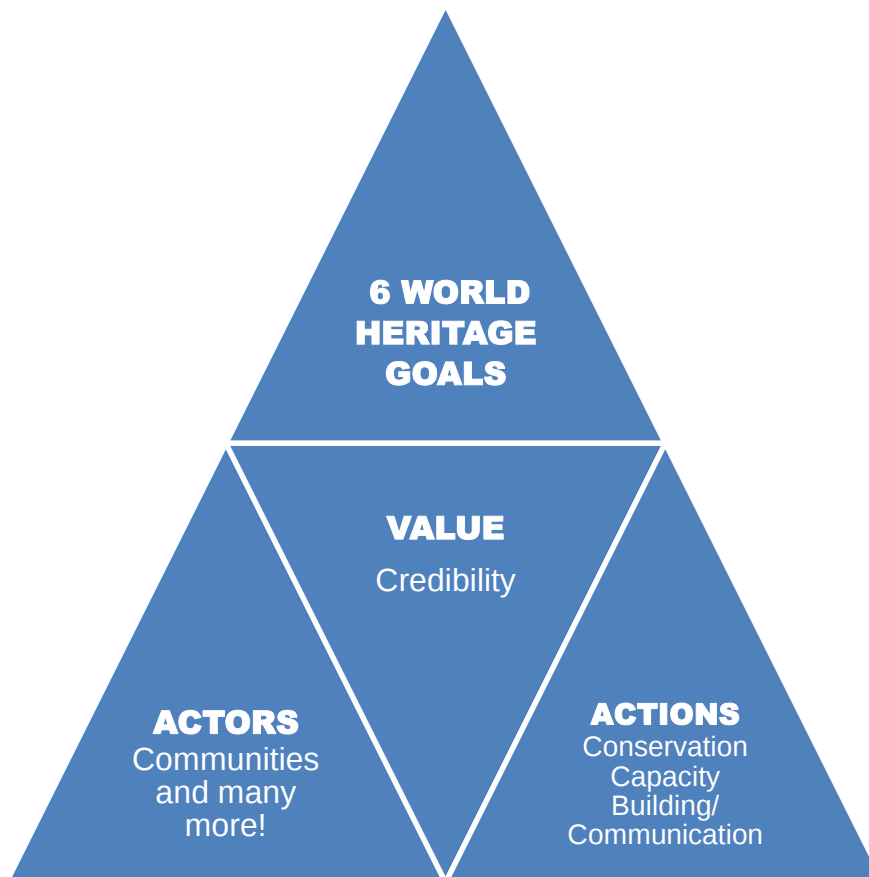
5. Revisiting the 5Cs

The Committee has set a number of key long-term strategic directions. These are encapsulated in the Strategic Orientations adopted in Santa Fe (1992) to mark the 20th anniversary of the *Convention* and the ‘Cs’ outlined in the Budapest Declaration on World Heritage (adopted in 2002 to mark the 30th anniversary of the *Convention* and reaffirmed and added to in 2007).

The Committee agrees that it is essential to:

Strengthen the credibility of the World Heritage List, as a representative and geographically balanced testimony of cultural and natural properties of outstanding universal value	Ensure the effective conservation of World Heritage properties	Promote the development of effective capacity building measures for the understanding and implementation of the World Heritage Convention and related instruments	Increase public awareness, involvement and support for World Heritage through communication	Enhance the role of communities in the implementation of the World Heritage Convention
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Participants in the Futures process reaffirmed the primacy of the 5Cs, and also agreed to the need to update how they are implemented.



6. A Future value: The World Heritage system has ‘Credibility’

Credibility is the central quality or value that we seek for the World Heritage system as a whole and results from a renewed focus on conservation, awareness raising, engaging communities, building the capacity of all actors within the system and performing core functions efficiently and effectively. The desired reputation or identity of the *World Heritage Convention* – its credibility – was a key focus of the Futures Process.

7. Future Goals: Defining priorities and desired outcomes

The Futures Process sought to assist in structuring the work of the *Convention*. It identified World Heritage Goals, priorities and desired outcomes to consolidate and build upon the existing strengths of the *World Heritage Convention* over the next ten years. Implementation arrangements, including timeframes, financial and human resources required, roles and responsibilities and indicators of progress are to be developed under an Implementation Plan.

8. Future Actors: Engaging Communities

The *World Heritage Convention* is implemented through a wide and ever-expanding network of actors. Each has an important role to play in shaping policies, driving management practices, building capacity and expanding awareness of cultural and natural heritage. The traditional actors – States Parties, the Committee, Secretariat and Advisory Bodies - continue to need encouragement, support and assistance to meet their obligations under the *Convention*, but it is also important to ensure that local, national and international

communities feel a connection to, engage with and benefit from the world's natural and cultural heritage.

9. Future Actions: Conservation, Capacity Building and Communication

The World Heritage system includes both core activities mandated under the *Convention* and what might be termed corporate or operational activities. The ongoing credibility of World Heritage relies upon maintaining the conservation of cultural and natural heritage sites, increased capacity building and improved communication.

Inscription on the World Heritage List is not the end of the process, but a part of the responsibility to ensure that World Heritage is effectively protected and managed for the benefit of current and future generations. There are clear synergies between this primary conservation task of the *World Heritage Convention* and sustainable development principles.

Conservation and communication are complementary tasks. For World Heritage, increased awareness and knowledge of World Heritage objectives can increase commitment to conserve, engage with and support cultural and natural heritage sites. Each World Heritage property communicates the value and quality of the *World Heritage Convention* and should operate as a standard bearer for other heritage places.

The Future's Process emphasised the need for greater dialogue on Tentative Lists, the preparation of nominations, evaluation processes and inscription, as well as on conservation and monitoring activities. Similarly, there is a clear need to develop skills and knowledge on the implementation of the *Convention* to ensure a World Heritage system which remains transparent, equitable, accountable and efficient in an ever-changing world.

Strategic Action Plan for the Implementation of the <i>World Heritage Convention</i> 2012 -2022		
World Heritage Goal 1: The Outstanding Universal Value of World Heritage sites is maintained		
	Priority	Outcomes
1.1	Statements of Outstanding Universal Value	Statements of Outstanding Universal Value are the basis for protection and management
1.2	Monitoring mechanisms	Focus monitoring mechanism and resources on critical conservation issues while allowing States Parties time to implement recommendations
1.3	Conservation requirements	Requirements for conservation of Outstanding Universal Value are implemented transparently and consistently
1.4	Training and research	Capacity needs of communities and agencies to address conservation are met, including those identified through Periodic Reporting
1.5	Mitigation of serious threats	Requirements for removal from the List of World Heritage in Danger or World Heritage List are clear and applied consistently
World Heritage Goal 2: The World Heritage List is a credible selection of the most outstanding world's cultural and natural heritage		
	Priority	Outcomes
2.1	Strategy for representative, balanced, and credible World Heritage List	Activities under the Global Strategy for a representative, balanced and credible World Heritage List reflect agreed priorities and are consistent with the <i>Convention</i>
2.2	Nominations	Inscriptions on the World Heritage List fully meet requirements set out in the Operational Guidelines
World Heritage Goal 3: Heritage protection and conservation considers present and future environmental, societal and economic needs		
	Priority	Outcomes
3.1	Sustainable development	Increased consideration of sustainable development through connecting conservation to communities
World Heritage Goal 4: World Heritage maintains or enhances its brand quality		
	Priority	Outcomes
4.1	Awareness raising	World Heritage is widely recognized as the highest standard of heritage and conservation
4.2	Public image	World Heritage value, credibility and quality widely known and understood
World Heritage Goal 5: The Committee can address policy and strategic issues		
	Priority	Outcomes
5.1	Inclusive and systematic policy development	Time is allowed to address strategic and policy issues in a consultative and systematic manner
5.2	Coordination with related instruments	Increased synergy with UNESCO's broader objectives and programmes and other relevant international instruments
World Heritage Goal 6: Decisions of statutory meetings are informed and effectively implemented		
	Priority	Outcomes
6.1	Decision making	Decisions are informed, consistent and implemented
6.2	Workload	Reduced workload while maintaining quality

6.3	Secretariat support	Strengthened secretariat support to the Committee
6.4	Budget	Decisions are costed, reporting considers all sources of funding and funding reflects agreed priorities
6.5	Implementation Plan	Actions under the Strategic Action Plan are linked to priorities and available budget, and outcomes monitored and reviewed

10. Implementation and review of the Strategic Action Plan

This plan is a living document.

The World Heritage Centre, working with the Advisory Bodies, will develop an Implementation Plan to ensure the goals and objectives identified are realized, to be updated biennially. The Implementation Plan should include a business planning section to review the financial impact of proposed activities and to assess options for funding actions included within the Implementation Plan. It should draw upon *inter alia*:

- The Independent Evaluation by the UNESCO External Auditor on the Implementation of the Global Strategy for a credible, representative and balanced World Heritage List and the Partnerships for Conservation Initiative (PACT)
- The World Heritage Capacity Building Strategy
- The Disaster Risk Reduction Strategy
- The Policy on the Impacts of Climate Change on World Heritage sites
- The recommendations of expert group meetings held on:
 - global state of conservation challenges for World Heritage properties
 - decision-making procedures of the statutory organs of the *World Heritage Convention*
 - improvements to the ‘upstream processes’ prior to consideration of nominations by the World Heritage Committee
 - the relationship between the *World Heritage Convention*, conservation and sustainable development.

The role of the Advisory Bodies, through the provision of technical support and access to expert networks, will be central to supporting implementation of the Strategic Action Plan.

Outcomes against the Strategic Action Plan will be reported to the General Assembly of States Parties. This will ensure that activities undertaken under the framework of the Strategic Action Plan are linked to agreed priorities and budget allocations and will provide an opportunity for States Parties to retest Committee priorities, check progress and where necessary, revise priorities and the allocation of resources.

The Secretariat’s annual report to the World Heritage Committee should also be adapted to follow this structure.

It is expected that the Committee will review the activities under each goal on a two-yearly basis to receive feedback from members, discuss objectives and activities, set timelines for their implementation and ensure the highest standards of delivery.

Annex V – Opportunities for the mainstreaming of a sustainable development concern within the *Operational Guidelines for the Implementation of the World Heritage Convention* (extracted from the Paraty Meeting Report, Document WHC-10/34.COM/5D)

The *Operational Guidelines* consist of the following components:

1. The context (purpose of the *Convention*, institutional framework, definition of OUV and standards for protection and management) (Sections I and II)
2. Nominating properties (Section III)
3. Monitoring properties (Sections IV and V)
4. Support and International Assistance (Sections VI and VII)

For each of the above-mentioned components, opportunities for mainstreaming sustainable development include:

1) The context

Purpose of the Convention; introducing the contribution to sustainable development as an intentional objective of conservation, on a paragraph with the protection of heritage attributes.

Institutional framework; Involving institutions responsible for sustainable development in the work of the *Convention*, next to Ministries of Culture and/or Environment, both at national (State Party) and site levels. Strengthening the expertise of the Advisory Bodies and Secretariat to include sustainable development-related topics. Expanding range of partners to include bodies with a specific mandate on sustainable development, such as development agencies and Banks, NGO, UNESCO Category 2 centres and others.

Standards for protection and management; Identifying the contribution of World Heritage to sustainable development as an explicit objective of conservation strategies, together and in balance with heritage protection. Ensuring that management systems consider new governance structures and designs, in order to achieve objectives beyond the immediate mandate of each site, compatible with local institutional culture. Including clear goals, strategies and related indicators for sustainable development in Management Plans, and conducting monitoring accordingly.

b) Nominating properties

Format of TL and Nominations; Including questions to assess whether stakeholders' views, needs and human rights considerations have been integrated in proposed nominations. Introducing checks on the sustainability of the interaction between the proposed World Heritage property and the social, economic, environmental and cultural dimensions of development (e.g. have all opportunities to strengthen social capital been explored? Is the nominated property financially viable and possibly contributing economically to community? Can the environmental footprint generated for its conservation be reduced, and in what ways is the property significant in terms of protecting the environment? Is there a governance system in place to ensure that sustainable development is taken into account in the management of the property?)

c) Monitoring

Reactive monitoring; assessing if the property's interaction with the social, economic, environmental and cultural dimensions is positive; Providing recommendations on possible measures by site management authorities to improve sustainability in and around the property.

Periodic Reporting; Introducing further questions on sustainable development in the questionnaire to better cover social, economic and environmental aspects.

d) Support and International Assistance

Global training strategy; Adding a component on sustainable development within capacity building, training programmes and research plans. Developing toolkits, best practices, alternative models, and development strategies as a way to inform sustainable development-oriented choices. Encouraging lateral sharing and the development of networks among developing countries.

International Assistance; Including the study on, and implementation of, sustainable development-sensitive strategies at World Heritage properties within the possible scope of funding requests.

e) Others

Recognising best practices; Considering the opportunity to establish a mechanism (award, prize?) to recognise the particular contribution of World Heritage properties to sustainable development through appropriate management strategies.

ANNEX II to the Proceedings

WORLD HERITAGE AND SUSTAINABLE DEVELOPMENT: CHALLENGES FOR THE 21st CENTURY¹

**Position Paper submitted by the
Instituto do Patrimonio Historico e Artístico Nacional (IPHAN)**

1. INTRODUCTORY REMARKS

This paper aims at reflecting upon the necessary incorporation of the conservation and safeguard of cultural heritage within sustainable development policies, considering, on the one hand, that this aspect must be a basic premise in the process of formulating and implementing cultural heritage policies and, on the other, the role that conservation policies may play in supporting the process of sustainable development, and promoting quality of life and social well-being. Moreover, it also aims at suggesting guidelines and actions intended to replicate successful experiences both in sites listed as World Heritage and in those listed as National Heritage. To avoid conceptual ambiguity, we have used bibliographical references that are mentioned throughout the text and duly listed at the end. The concept of sustainable development adopted here is the one described in AGENDA 21, widely accepted among national governments, international organizations, multilateral organisms and non-governmental organizations.

In 2012, the United Nations Conference named **Rio+20 – The Future We Want** – will take place in the city of Rio de Janeiro, with the purpose of establishing global pacts to allow control and reduction of all forms of pollution and degradation of natural and cultural resources, and to adopt development

¹ Paper prepared by the National Historical and Artistic Heritage Institute – (IPHAN), during the Experts' Meeting on World Heritage and Sustainable Development," organized in partnership with UNESCO's World Heritage Center, in February 2012.

principles and procedures that ensure that present and future generations will have the right to a healthy and productive life, in harmony with nature. Is it possible to build a solidary future without considering the cultural dimension and its primordial role in the conservation of the memory and identity of peoples?

The Conference acquires particular relevance in view of the partial success of its predecessors: Stockholm, in 1972, Rio de Janeiro, in 1992 and Johannesburg, in 2002. Although the control of different forms of pollution, as well as the changes in the means and systems of production, did not meet our expectations, these Conferences played a crucial role in terms of warning governments, economic agents, research centers, the press and the general public about the accelerating pace of pollution and destruction of material and immaterial, renewable and non-renewable resources.

Still, in spite of the evident signs of global warming, the lack of drinking water in many regions, and the pollution of the oceans and the soil, many developed or emerging countries could not be led to adopt measures intended to curb consumption or to reject a concept of development that is predatory by its very nature. The recent failure of the Durban Conference (2011) exemplifies that situation. On the other hand, poor or emerging countries demand to overcome this status and, also, to increase consumption. Unfortunately, in the medium run, resources are finite and insufficient to satisfy the demands of all if the current development model, based upon a false notion of infinite progress, is maintained.

In this scenery rife with paradox, the concept of cultural heritage has been considerably expanded over the past decades. Where natural and cultural aspects intertwine, the adoption of transversality as a principle, and territorial readings as a means, has led to multiple, more complex approaches, both in the material dimension, by extending conservationist action to a wider array of assets in many scales – such as, for instance, landscapes and cultural itineraries – or in the immaterial dimension, with noteworthy advancements in the register, safeguard and diffusion of knowledge, celebrations, forms of expression and places that constitute the

core of cultures in their diverse manifestations. We may say that, nowadays, the conservation of cultural heritage is not only more comprehensive, but also reflects with greater intensity the diversity of identities that form nations, peoples and ethnicities, particularly those associated to restricted and often marginalized social groups, with limited demographic and economic significance, that run the risk of disappearing. It must also be noted that this new interpretation of the concept of cultural heritage progressively asserts itself as one of the pathways to development, countering the notion prevalent in the 1980s, that these processes were incompatible.

The same social dynamics that determined the expansion of the concept of cultural heritage has been crucial for its gradual insertion into the context of other public policies. Although it still very difficult to coordinate and promote increases in public and private investments using a strategy designed to enhance their efficiency and effectiveness, major advances were made over the last few years, both in terms of a greater investment capability and in terms of management. These advances have led to technical and managerial improvements, allowing a much greater number of countries to be included in international forums, and bringing local agendas to a worldwide scale. However, we still have a long way to go before conservation of cultural heritage becomes one of the driving forces of inclusive, sustainable and sustained development, as proposed by Ignacy Sachs (2004). That is particularly true in what concerns the strengthening of international cooperation, both North/South and South/South, without which our efforts will never succeed.

Preserving cultural memory, and ensuring that future generations will know their own history is the mission embraced by IPHAN, Unesco and thousands of institutions devoted to the conservation of cultural heritage throughout the world. This worldwide engagement greatly facilitates the assimilation of sustainable development values, due to their diachronic commitment to the future. We are facing a planetary challenge of the highest complexity, with a multiple and deep asymmetry among the interests and aspirations of the agents involved.

2. THE CONCEPT OF DEVELOPMENT AND ITS HISTORY: WHERE ARE WE HEADED?

For a long time, economic growth and development were almost synonymous. In Brazil, the expression "let the cake grow and then share it" attained great prominence during the economic boom of the 1970s, before the oil crisis ecloded. This notion, widely accepted in government circles at the time, had been formulated by the American economist Simon Kuznets, winner of the 1971 Nobel Prize for Economics (Veiga, 2005). It was supported by the experience of specific countries, that suggested that an increase in income would initially promote concentration, but, at a later stage, after the initial spurt of growth, a tendency towards distribution would become manifest. Although the author himself acknowledged that the empirical basis supporting this idea was very narrow, this notion remained influential for quite a long time, perhaps because it agreed with the liberal political and ideological postures then predominant in the international scenario.

Now we know that there can be economic growth without development, since many countries have experienced or are now experiencing this process. Many authors have investigated into the concept of development, trying to understand what it really means. Celso Furtado, José Eli da Veiga, Ignacy Sachs and Amartya Sen are a few of them. They all have clearly established that, in order to convert economic growth into development, we need to fight income concentration, poverty, inequality and major differences among nations.

In many countries of the so-called developed world, economic growth either preceded or occurred simultaneously with development. In East Asia, however, countries such as Japan, Korea and China, among others, attained superior levels of development by maximizing investments in health and education even before leaving behind the poverty threshold. Domestic market growth, with an increasing appropriation of new technologies and the use of labor-intensive strategies to increase the aggregate value of production is another relevant characteristic of successful development processes, since

the international demand for goods and services of this kind is much greater to that for raw-materials and products with low aggregate value.

The aforementioned authors acknowledge that there can be no development where "instrumental liberties" or rights are suppressed, as pointed out by Amartya Sen²: a right to fair pay and to economic opportunities; to health; education; housing and sanitation; and to political, cultural, ethnic and religious freedom. Brazil affords a good example, since, in the last decade, the country experienced economic growth, income distribution and marked improvement in social indicators. The 2010 Census conducted by IBGE (Brazilian Institute of Geography and Statistics) shows that public investments and social programs such as *Bolsa-Família* (Family Allowance) led to an increase in the purchasing power of the minimum wage and of retirement pensions, affording a better quality of life for millions of people. In one decade, the number of workers with formal jobs rose from 55% to 65% of the total population. Illiteracy fell from 14% to 10%; the percentage of children out of school, from 5.5% to 3%, while the number of homes equipped with adequate basic sanitation went from 56% to 62%, and those with garbage collection, from 79% to 87%.

Also worthy of notice is the fact that the consumption standards existing in the so-called developed countries, the United States in particular, are impossible to replicate throughout the globe, due either to lack of capital and technological resources, or to limited access to raw-materials. The population of the United States, Western Europe and Japan consume in average 32 times more resources such as fossil fuels, and generate 32 times more refuse than poor countries (Diamond, 2005). Within a very short time, we would witness an environmental collapse due to shortages of water, energy, food and other basic commodities; and air, soil and water pollution would become

² Amartya Sen, in his book *Development as Freedom*, 2010, wrote that the crucial development challenges in many developing countries today include the need of freeing workers from explicit or implicit bondage, that denies them access to the open labor market. He used the term "instrumental liberties" to designate the five dimensions of rights and opportunities that help promote a person's capabilities: 1) political liberties; 2) economic facilities; 3) social opportunities; 4) transparency guarantees; 5) protective security.

unbearable. In those countries, due to capital accumulation, technological innovations and the development of domestic markets, larger segments of the population – predominantly urban due to the high degree of industrialization – have achieved better and more diversified standards of consumption. Still, conciliating economic growth and environmental conservation is a nebulous and uncertain possibility, that probably will not take place in the short run, even in specific situations, activities or places. (Veiga, 2005). This conciliation will doubtlessly depend on technological solutions that are not yet available, and also on a degree of demographic control that must be extended to the whole planet, and can only be reached by means of improvements in the standards of development and social well-being. This is one of the paradoxes we must face.

Those were the historical circumstances that led to the so-called North-South asymmetry, made even worse by the globalization process that strengthened the power of transnational companies and of financial capital while reducing the regulating role of national states, leading to a world-scale process of income concentration of unheard-of proportions. According to economist Ignacy Sachs, the rich North's consumption patterns are unsustainable (Sachs, 2002). On the other hand, the countries that have not yet reached satisfactory levels of social well-being justly aspire to a level of development that is now a concrete possibility. To that end, it is of crucial importance to expand North/South and South/South economic and technological cooperation, as proposed by the United Nations Conferences on the Environment held in 1992 and 2002, so that, under the mediation of the United Nations, all peoples in the planet gain access to the "instrumental liberties", and that, in the words of Amartya Sen (2010), ethics, economy and politics are once again reunited.

We now find ourselves in a situation based on the mistaken notion that development can be perpetual, that natural goods are fully recyclable and reusable, and that natural capital can be obtained at a very low cost or no cost at all. If we do not change course, we will soon be heading towards an unpredictable future. If current tendencies persist, particularly the lack of demographic control, poor, low-aggregate-value commodities exporting

countries may experience a massive population increase, going from 1,3 to 3.0 billion by 2020. (Veiga, 2005). It is important to remember that the current financial crisis, the so-called Eurozone sovereign debt crisis, may put a damper on the already insufficient North/South cooperation, due to the need of retaining investments and accumulating capital in the already developed regions.

3. PATHS TO DEVELOPMENT IN THE 21st CENTURY: AN INEVITABLE CROSSROAD

The 1992 United Nations Conference for the Environment and Development, known as Rio-92, established the necessary principles for the harmonious coexistence of mankind and the environment in the so-called AGENDA 21. The principles consecrated in that document have since then shaped the concept of sustainable development, in spite of still lingering controversies among experts, some of whom view sustainable development as limited to economic growth, while others consider it unfeasible or incompatible with the conservation of nature. Principles no. 3 and 4, signaling the commitment of present and future generations to the conservation of the environment as inseparable from the concept of development, and principle no. 5, dealing with the need for social inclusion and eradication of poverty, are the ones that most directly shaped the concept of sustainability as we understand it today, with no prejudice to the importance of the other principles.

Although Agenda-21 is used as reference by all countries, and the concept of sustainable development therein defined is the one adopted by international organisms and national governments, we may say that the concept is still under construction. According to José Eli da Veiga (2005), "sustainable development became the standard expression to deny the incompatibility between continuous economic growth and environmental conservation. Or else, to affirm the possibility of conciliating these two goals, namely, to grow without destroying."

Amartya Sen's book, *Development as Freedom*, had a huge impact when it was released in 1999. Its success owes mostly to the simplicity and objectivity of Sen's ideas, that associate the attainment of sustainable development with the abolishment of the deprivations that restrict the rights and liberties of workers, and also to the notion that there is no single path to development. But the concretization of the liberties described by Sen faces enormous obstacles. The existence of an essentially speculative transnational financial market that has investors' profits as its central goal is one of them. Once again, the present crisis demonstrates that poorly-regulated markets have the potential to disorganize the world's economy. Regarding the relationship between markets and sustainable development, Ignacy Sachs states that sustainable development is incompatible with the unbridled play of market forces, since markets are too myopic to transcend the short term, and blind to any consideration other than profit (Sachs, 2002). It appears that, in order to attain sustainable development, it will be necessary not only to regulate and impose restrictions, but above all to fight the suppression of liberties, distribute income, promote incentives and subsidies, and respect neglected cultural and ethical values.

Although the global population has recently reached 7 billion, a seven-fold increase from what it was in the first quarter of the 19th century, never before was there so much abundance and availability of means. Although, according to the World Bank, a significant part of mankind (around 20 per cent) lives below the poverty line, surviving on 1.75 dollars a day, the accumulated wealth would be enough to ensure everyone a satisfactory quality of life. These numbers demonstrate that there are challenges that must be overcome: 1) re-establishing the relationship between economy and ecology; 2) curbing population growth; 3) controlling economic growth and income distribution; 4) increasing consumption in poor and emerging countries; 5) making technological innovations cheaper and universally available.

1) As all other sciences, Economics has a spatial and environmental dimension. However, except to comply with limitations and restrictions imposed by law, economic agents, most of the time, act as though they were

not part of a "habitat, and often ignore that the environment has already been degraded, that the effects of this degradation are cumulative, and that scarcity or privation are unavoidable in the medium and long terms (Veiga, 2005). Ecology and Economics must interact, the former by indicating what is needed for sustainability, and the other by formulating transition strategies towards that end (Sachs, 2002);

2) Experts unanimously agree that population growth must be controlled, and that it is directly linked to development standards. Countries such as Brazil, that have experienced high indexes of growth during the last century, should begin to decrease their population by 2030, according to projections by IPEA – Institute for Applied Economic Research. In Africa and parts of Asia, however, particularly in the poorer countries, the population will continue to grow;

3) The adoption of the concept of sustainable development, or "middle path", was the political alternative created to overcome the conflict between those who saw accelerated growth as a means to enhance future environmental conservation, after all countries had attained development, and those who argued that economic and consumption growth must be curbed (Sachs, 2002). Income distribution at interpersonal, inter-regional and international (North/South and South/South) levels, population control and technological innovation are the fundamental goals, particularly in the face of the ever more concrete possibility of "zero growth", or even of economic contraction, caused by the deepening economic crisis. If these goals are not pursued and attained, the spread of poverty and of social and economic conflicts will be unavoidable, with unpredictable consequences, particularly within a scenario of recession and the shrinking of economy. Also, in spite of the continuous increase in consumption levels in poor and emerging countries, the standard of living of developed countries are impossible to reach (Diamond, 2005). We cannot forget that humanity has acquired the capacity for self-destruction;

4) Permanent technological evolution has not yet brought about the benefits that might mitigate the ills of economic growth. We need cheaper and

more efficient technologies that can be made universally available. Some of them are within our reach such as, for instance, sewer treatment. It is all a matter of priorities.

We are facing challenges that will require that all countries and nations, international organisms, companies and people adopt new ethical, political and cultural attitudes, capable of overcoming the conflicts that have plagued us for so long. Without efforts that transcend the immediate interests of each country or bloc of countries, and that substantially reduce the standards of consumption and their impact on nature, we will find ourselves in an unprecedented situation. Not only will we witness a rapid decline of renewable and non-renewable resources and large-scale ecological disasters, but we will also be running a great risk being drawn into international conflicts. Eric Hobsbawm, one of the greatest intellectuals and historians of today, in the epilogue to his book *The Age of Extremes: the short twentieth century, 1914-1991*, declares incisively: "We do not know where we are going. We only know that history has brought us to this point and – if readers share the argument of this book – why. However, one thing is plain. If humanity is to have a recognizable future, it cannot be by prolonging the past and or the present. If we try to build the third millennium on that basis, we shall fail. And the price of failure, that is to say, the alternative to a changed society is darkness." (Hobsbawm, 1995).

4. CULTURAL HERITAGE AND SUSTAINABLE DEVELOPMENT: A DIMENSION YET TO BE INCORPORATED

The concept of cultural heritage is dynamic and ever more comprehensive, and by nature cumulative, transmittable and diverse. As a material and immaterial manifestation of mankind's adaptive relationship with different ecological environments, cultural heritage is not restricted to objects listed in heritage inventories, and acknowledged or defined as worthy of being safeguarded or protected. The decision about what should be considered cultural heritage – a discretionary act based upon objective and subjective

value criteria pertaining to a specific society – determines in part the cultural legacy of mankind to future generations. Its relationship to and impact on nature are permanent, and intensify as the population grows.

Only recently has the cultural dimension been acknowledged as an important element of social processes, and incorporated into a critical view of development, according to Celso Furtado. This perception derives from the realization that "the quality of life does not always improve with the advancement of material wealth" (Furtado, 2000). Although sizable segments of the population may attain significant progress in terms of well-being, they remain prisoners of cultural standards dictated by religious, ethnocentric and geocentric issues, for instance. These standards should by no means be confused with the right to diversity and to identity, which are the basis of the preservation of the traditions of peoples and nations, establishing a dialogue between the past and the future without necessarily creating obstacles to sustainable development.

Globalization, although inevitable, must respect the particularities of local, non-Western cultures. A single process of development is out of the question: qualitative and quantitative choices must remain open (Sachs, 2004). This seems to be the fundamental link between the conservation and safeguard of cultural heritage and the process of development.

There are no ready-made formulas to solve the huge challenge that unites all countries in their growing interdependence, but that, simultaneously, creates contradictions and paradoxes between the rich and the poor. A synchronic commitment to the present generations and a diachronic commitment to the future ones, as well as education, are the bases that may bring about a new vision and a new mentality. In this process, as Celso Furtado reminds us, "the point of departure must be an awareness of the ends, the goals that individuals and the community set out to reach. Thus, the cultural dimension of this policy will have to prevail above all others" (Furtado, 2000). Everyday attitudes, although seemingly insignificant, tend to multiply and set up new standards of behavior. We have not yet taken in the full scope of the concept of sustainability, to the point of not mistaking it for sustainment.

A project will never be technically and financially viable if it is not sustainable. Therefore, sustainable heritage conservation can not succeed if it is not integrated to all other public policies, including the fight against poverty and unemployment; the provision of health services and sanitation; the regulation of land usage and occupation in both urban and rural environments; and the conservation of nature.

The experience of 153 countries in managing the 936 items listed in the World Heritage inventory, as well as that of individual countries in managing their own Cultural Heritage, must be equitably valued and replicated. The world map showing the distribution of World Heritage sites demonstrates the relationship between economic and social development and the conservation of Cultural Heritage, with the concentration of these sites in Europe. In contrast, we see that most of the entries in the list of endangered sites are in Africa. It is then clear that, in adopting the principles of sustainable development, we are assuming the commitment not only of preserving and safeguarding our heritage, but also of heightening the standards of education, income and employment, that is, of bringing social and economic indicators to the levels recommended by the UN and its agencies.

In order to reach that stage, an admittedly strenuous endeavor, we will have to strengthen and intensify international North/South and South/South cooperation, providing not only technical assistance but also intergovernmental and private investments and effective income transference. Simultaneously, the sphere of institutional agents and actors must be widened. The work of specialized organizations, technicians and researches must incorporate and involve not only national and local governments, but also non-governmental organizations and the general public, particularly those who interact territorially with the sites and monuments, or who are directly involved in the actions and manifestations included in the immaterial heritage.

In short, the management of cultural heritage, regardless of its level of recognition – as world, regional, national or local heritage – can only break out of its isolation and harmonize with sustainable development in the true sense

of the term if it is included in the agenda and in the planning efforts of governments and private companies. More and more, the cultural dimension will have to be incorporated into other development issues, such as social and economic matters, leaving behind the partial solutions that failed to afford alternatives to a complex and dialectic reality. When reflecting on new possibilities and options for the management of cultural heritage, thinking locally is not enough: we must think globally, as the world is getting smaller everyday.

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