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UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION

CONVENTION CONCERNING THE PROTECTION OF THE WORLD CULTURAL AND NATURAL HERITAGE

WORLD HERITAGE COMMITTEE

Forty- third session

Baku, Republic of Azerbaijan

30 June – 10 July 2019

Item 11 of the Provisional Agenda: Operational Guidelines and Policy Compendium

11A. Revision of the *Operational Guidelines*

SUMMARY

The present document contains proposals for revision of the *Operational Guidelines* addressing specific decisions of the Committee made at the 39th, 41st and 42nd sessions. The main issues include the Upstream Process, the mainstreaming of the “Policy Document for the integration of a sustainable development perspective into the processes of the *World Heritage Convention*” into the operational procedures and the revision of the International Assistance process. It is proposed that the Committee, establishes a Consultative Body on the *Operational Guidelines* during its 43rd session to consider the proposed revision, in conformity with Article 20.1 of the Rules of procedure .

Draft Decision: 43 COM 11A, see Point III.

I. INTRODUCTION

1. The World Heritage Committee, at its 39th session (Bonn, 2015), took note of the outcomes of the work of the Working Group on the Revision of the *Operational Guidelines for the Implementation of the World Heritage Convention* established as a Consultative Body and adopted a revision to the *Operational Guidelines* in its Decision **39 COM 11**.
2. In the same decision, as well as in some other decisions, adopted at the 39th, 41st and 42nd sessions, the Committee made several specific requests to the World Heritage Centre and the Advisory Bodies to review certain issues and to report or present proposals for examination by the Committee at its 43rd session, in the framework of the agenda item on the Revision of the *Operational Guidelines*.
3. Moreover, following the Committee's Decision **39 COM 5D** (Bonn, 2015), the General Assembly of States Parties to the World Heritage Convention, at its 20th session in 2015 (Resolution **20 GA 13**), requested the World Heritage Centre and the Advisory Bodies to elaborate and submit for the consideration of the Committee proposals for the necessary changes to the *Operational Guidelines* translating the principles of the policy document on sustainable development into specific operational procedures.
4. The issues concerned by the requests from the Committee included, among others, the revision of the International Assistance process, Paragraph 108 and subsequent paragraphs where references are made to management plans and management systems, Upstream Process, Annex 3 of the *Operational Guidelines*, issues related to indigenous peoples, as well as the review of the referral procedure and its application.
5. The present document addresses most of these issues, with respective background, comments and reference to the paragraphs proposed for revision.
6. In addition to the above, the document presents a number of proposals for minor modifications, developed by the World Heritage Centre and the Advisory Bodies, for the purpose of ensuring consistency, cross-referencing and streamlining of processes. Factual update of information, such as internet addresses, and correction of language inconsistencies are also among the proposed revisions.
7. It is also to be noted that, for different reasons, it was not possible to address all above mentioned issues in the current proposal.
8. The Committee, in its Decision **39 COM 11**, paragraph 8, had decided that the Annex 3 of the *Operational Guidelines* should be reviewed entirely so as to include definitions and relevant guidance for States Parties in the preparation of Tentative Lists, nominations, management and reporting systems, and had requested the World Heritage Centre and the Advisory Bodies to organise an Expert meeting, subject to extra-budgetary funding, to provide recommendations for its revision. This Decision was recalled by the Committee at its 41st session (Krakow, 2017) in its Decision **41 COM 11**.
9. However no extra-budgetary funding has been made available for the organization of the requested Expert meeting and therefore it is not possible at this stage to propose recommendations for the revision of Annex 3. Furthermore, the report on the implementation of the 2011 Recommendation on the Historic Urban Landscape is being presented to UNESCO's Executive Board and General Conference in 2019. As this report could have an impact on the revision of Annex 3, the World Heritage Centre and the Advisory Bodies consider that the outcomes of the discussion should be taken into account by the experts in the formulation of the recommendations, when the organization of the Expert meeting will be made possible through extra-budgetary funding.

10. As to Paragraph 108 and subsequent paragraphs, the Committee, in its Decision **39 COM 11**, paragraph 13, requested the World Heritage Centre and the Advisory Bodies to undertake consultations on these paragraphs in order to address inconsistencies and ambiguities and to provide further clarifications based on the current thinking and the contents of the Resource Manuals. However, work is still in progress on the Resource Manual about Management Systems. For this reason, the World Heritage Centre and the Advisory Bodies consider that it would be premature to propose a revision at this stage.
11. Finally, regarding the review of the referral procedure and its application, the Committee, in its Decision **42 COM 8** (Manama, 2018), decided to include this item for examination in the framework of the next revision of the *Operational Guidelines* at its 43rd session in 2019.
12. At the same session, the Committee, in its Decision **42 COM 12A**, decided to undertake a reflection meeting on reforming the World Heritage Nomination Process. The meeting was held from 23 to 25 January 2019 in Tunis, Tunisia, with the objective to examine different possibilities for reforming the nomination and evaluation process. In its Final Report (see document WHC/19/43.COM/INF.8), the experts considered that the review of the referral procedure should be postponed in order to be done at the same time as the reform of the nomination process, in view of ensuring a holistic approach and consistency with other elements of the process that will undergo changes. The experts considered it premature and risky to recommend amendments in isolation of a full package of integrated reforms, all of which are interlinked.
13. The Ad Hoc Working Group 2018-2019, the mandate of which included the examination of different possibilities of reforming the nomination process, agreed with the proposed approach.

II. REVISION TO THE *OPERATIONAL GUIDELINES* REQUESTED BY THE WORLD HERITAGE COMMITTEE AND THE GENERAL ASSEMBLY

A. Upstream Process

14. The World Heritage Committee, at its 41st session (Krakow, 2017), in view of ensuring proper follow-up, greater efficiency, transparency and accountability as well as streamlining and improved coordination of the Upstream Process, approved with immediate effect, in its Decision **41 COM 9A**, paragraph 8, an Upstream Process request format and requested the Secretariat to include it in the *Operational Guidelines* during their next review.
15. Further to this decision, the Upstream Process request format is included as proposed new Annex 15 of the *Operational Guidelines* (see Annex 1 – Part A of this document).
16. In its same Decision (**41 COM 9A**), the Committee took note of the proposed amendments to the footnote of Paragraph 122 of the *Operational Guidelines* and included in the mandate of the extended Ad Hoc Working Group an item on the definition of the Upstream Process.
17. Following this decision, the Ad Hoc Working Group 2017-2018 worked on the definition of Upstream Process to be included in the footnote of Paragraph 122 of the *Operational Guidelines*. This definition was presented in document WHC/18/42.COM/12A at the 42nd session of the World Heritage Committee (Manama, 2018) and subsequently approved by the Committee in its Decision **42 COM 9A**. The Committee requested the World Heritage Centre to integrate the new definition in the *Operational Guidelines* in the framework of their revision at the 43rd session in 2019.

18. The text of the footnote of Paragraph 122, as approved by the Committee, is included in this document (Annex 1 – Part A).

B. World Heritage and Sustainable Development

19. The World Heritage Committee, in its Decision **39 COM 5D** (Bonn, 2015), endorsed the “Policy Document for the integration of a sustainable development perspective into the processes of the *World Heritage Convention*” and decided to transmit the Policy Document for discussion and adoption at the 20th General Assembly of States Parties to the World Heritage Convention in 2015. Additionally, the Committee requested the World Heritage Centre along with the Advisory Bodies, to elaborate – after the adoption by the General Assembly – proposals for specific changes to the *Operational Guidelines* that would be required to translate the principles of the Policy Document into actual operational procedures.
20. Following this decision, the General Assembly adopted at its 20th session (UNESCO, 2015) the “Policy Document for the Integration of a Sustainable Development Perspective into the Processes of the *World Heritage Convention*” (Resolution **20 GA 13**). It also requested the World Heritage Centre and the Advisory Bodies to elaborate and submit for the consideration of the Committee proposals for the necessary changes to the *Operational Guidelines*, which would translate the principles of the policy document on sustainable development into specific operational procedures.
21. In this same context, the Committee, in its Decision **39 COM 11** (Bonn, 2015), adopted the revision of Paragraphs 40 and 123 of the *Operational Guidelines*, addressing issues related to indigenous peoples, most importantly the inclusion of the established international norm of free, prior and informed consent in relation to nominations to the World Heritage List. In the same Decision, the Committee reiterated its decision to re-examine the recommendations of the International Expert Workshop on the World Heritage Convention and Indigenous Peoples (Copenhagen, 2012) following the results of the discussions of the Executive Board on the UNESCO Policy on Indigenous Peoples.
22. The Executive Board discussed the UNESCO Policy on engaging with indigenous peoples at its 202nd session (Paris, October 2017) and took note with satisfaction of the policy (202 EX/Decision 9).
23. Taking into account the decisions of the Committee and the resolution of the General Assembly related to the “Policy Document for the integration of a sustainable development perspective into the processes of the *World Heritage Convention*” and the “UNESCO Policy on engaging with indigenous peoples”, the World Heritage Centre proceeded with a screening of the *Operational Guidelines* in order to identify the paragraphs where elements of these policies were already present.
24. This process led to the conclusion that a number of elements covered by the policies are already integrated into the *Operational Guidelines*. Participation and involvement of local communities and indigenous peoples, ecologically and culturally sustainable use of resources, respect of traditional practices and traditional management systems, transmission to future generations, as well as utilization of participatory means are some key notions of the policies that have already been included in the *Operational Guidelines*.
25. Further to this conclusion, the World Heritage Centre and the Advisory Bodies identified the gaps where there was still a need to mainstream the policies’ principles and to integrate them into some of the operational procedures, as appropriate. The proposals for amendment of the related paragraphs are presented in Annex 1 – Part B of this document.

C. International Assistance process

26. At its 42nd session, the World Heritage Committee requested “the Secretariat, in consultation with the Advisory Bodies, to propose a possible revision of the International Assistance process, for examination by the World Heritage Committee in the framework of the revision of the *Operational Guidelines*, at its 43rd session in 2019” (Decision **42 COM 13**). This decision of the Committee is based on one of the recommendations of the Ad hoc working group (Document WHC/18/42.COM/12A) and the outcomes of the Budget working group during the 42nd session of the Committee.
27. More specifically, in line with the mandate received from the World Heritage Committee at its 41st session (Krakow, 2017), the Ad hoc working group had examined in 2017-2018 the recommendations issued by the Internal Oversight Service (IOS) in its “Comparative Mapping Study of Forms and Models for use of Advisory Services by International Instruments and Programmes” (Document WHC/17/41.COM/INF.14.II), including Recommendation n°4 which suggested that the Committee “... envisage changing working methods and incorporate practices of other international instruments / programmes to generate efficiencies”. One of the changes proposed in Table 4 of IOS study concerned the evaluation of International Assistance requests, namely to “...reduce the role of the Advisory Bodies in assessing international assistance and align with the practice of 2003 Convention...”.
28. The Ad hoc group discussed the proposed change and took it on board by including it as Recommendation n°9 of its report to the World Heritage Committee (see Document WHC/18/42.COM/12A). More specifically, the Ad hoc group proposed that comments by the Advisory Bodies should be mandatory only for requests which should be submitted for decision by the Committee, i.e. requests with a budget over US\$ 30,000 and requests for Emergency Assistance with a budget over US\$ 75,000. All other requests should be assessed only by the Secretariat, which will have the possibility to ask comments from the Advisory Bodies in case of complex files or specific questions which may arise. Comments from the Advisory Bodies should be also automatically requested, if the Advisory Bodies’ involvement is specifically demanded in the request. The Ad hoc group had suggested implementing this change on an experimental basis for one cycle (2019 cycle starting on 31 October 2018) as a “live-test” phase.
29. This recommendation of the Ad hoc group was discussed by the Budget working group during the 42nd session of the World Heritage Committee (Manama, 2018). The budget group did not reach an agreement on the “live test” phase and suggested to skip this phase and instead opt directly for a revision of the *Operational Guidelines*. Following this proposal, the Committee adopted the decision concerning the revision of the *Operational Guidelines* with regard to International Assistance, at its 43rd session (Decision **42 COM 13**).
30. The proposed revision follows the IOS recommendation and the recommendation of the Ad hoc group. The purpose is to generate efficiencies by reducing the number of IA requests which are assessed by the Advisory Bodies, it being understood that the term “efficiencies” is used by IOS in a larger sense, and is not only limited to financial aspects. Following the practice of the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage, the proposed threshold for requests to be assessed by the Advisory Bodies is linked to the approving authority. It is proposed that the Advisory Bodies assess all requests for approval by the Committee, i.e. with a budget above US\$ 30,000, as well as all Emergency Assistance requests with a budget above US\$ 75,000.
31. As the case of the 2003 Convention, all requests with a budget under the threshold will be assessed by the Secretariat only. It should be noted, that under the 1972 Convention, the Secretariat has always assessed all requests irrespective of their budget or of the approving authority. Currently, the Advisory Bodies assess all requests

with a budget above US\$ 5,000. To provide an idea of what this entails concretely, an example can be given with the 2018 cycle. For the 44 International Assistance requests received for examination in 2018, 128 comments were issued: 44 by the Secretariat and 84 from the Advisory Bodies. This included 9 requests for mixed heritage commented 4 times each (Secretariat, ICOMOS, IUCN, ICCROM) and 23 requests for cultural heritage commented 3 times each (Secretariat, ICOMOS, ICCROM). For comparison, if the proposed revision was in force, the overall number of comments would have been 71, i.e. 44 from the Secretariat (for all requests) and only around 27 from the Advisory Bodies.

32. As suggested by IOS and discussed by the Ad hoc group, a smaller number of assessments will alleviate the current workload, help avoid duplications and allow for a more fluid, timely and efficient management of the whole process. While the generated savings, in terms of funding may be not substantial, or may be even marginal, the actual impact of this review of the process will be a reduced workload and improved work efficiency for the Advisory Bodies, and as a consequence, for the Secretariat, which will invest less time and effort in coordination in view of obtaining all Advisory Bodies' comments for the panel.
33. No specific change is proposed for the composition and the role of the panel, except a clearer wording of Paragraph 252. The revised process will however allow for a better preparation of the panel session, and possibly for shorter and more focused discussion only on files where a discussion is required, to some extent along the model of "opening SOCs for discussion".
34. The revision of the IA process requested by the Committee provides the opportunity to revisit another important aspect of this process, namely improving the response to emergency situations at World Heritage sites.
35. Currently, requests for Emergency Assistance can be submitted at any time. The approving authority for requests with a budget up to US\$ 75,000 is the Chairperson and for requests with a budget above US\$ 75,000 it is the World Heritage Committee. The practice shows that Emergency Assistance requests above US\$ 75,000 are exceptional cases: since 2000, only 3 such requests have been received and approved (respectively in 2001, 2010 and 2017). However, since the Committee meets once a year, depending on their date of receipt, these Emergency Assistance requests might have to "wait" for many months before the Committee meets in session and takes a decision. Coincidentally, all 3 requests mentioned above had been received only around two months before a Committee session. Nevertheless, even a two-month delay is not exactly in line with the concept of "emergency", which entails a fast decision-making mechanism. Actually, this is the case with requests under the amount of US\$ 75,000 where the approving authority is the Chairperson who can take a decision at any time during the year and thus, ensure a timely response to an emergency situation.
36. Keeping in mind the above, taking also into account the exceptional occurrence of requests over US\$ 75,000, and also the fact that the overall biennial budget for Emergency Assistance is limited to US\$ 400,000, it is proposed to put a cap for Emergency Assistance requests at US\$ 75,000.
37. Finally, some other minor changes such as the mainstreaming of sustainable development, gender and communities in the priorities of International Assistance (Paragraph 239) are included as part of the proposed sustainable development revisions. Minor changes are also proposed for Annex 8 and Annex 9 in order to reflect the above changes. All proposed modifications concerning the International Assistance process are in Annex 1 – Part C of this document.

D. Miscellaneous

38. The World Heritage Centre and the Advisory Bodies propose, as in the past, a number of modifications to the *Operational Guidelines* to improve and streamline processes, ensure consistency, reflect previous decisions of the Committee, outcomes of meetings, as well as factual update of information. The proposals for revision are included in Annex 1 – Part D.

III. DRAFT DECISION

Draft Decision: 43 COM 11A

The World Heritage Committee,

1. *Having examined Document WHC/19/43.COM/11A,*
2. *Recalling Decisions **39 COM 5D**, **39 COM 11**, **41 COM 9A**, **41 COM 11**, **42 COM 8**, **42 COM 9A**, **42 COM 12A** and **42 COM 13** adopted at its 39th (Bonn, 2015), 41st (Krakow, 2017) and 42nd (Manama, 2018) sessions respectively,*
3. *Adopts the proposed revision of the Operational Guidelines, as presented in Annex 1 of Document WHC/19/43.COM/11A;*
4. *Requests the World Heritage Centre to proceed with the corrections of language consistency between the English and French versions of the Operational Guidelines.*

Annex 1 – Part A (Upstream Process)

121. Annex 3 provides guidance to States Parties in preparing nominations of specific types of properties.
122. Before States Parties begin to prepare a nomination of a property for inscription on the World Heritage List, they should become familiar with the nomination cycle, described in Paragraph 168. It is desirable to carry out initial preparatory work to establish that a property has the potential to justify Outstanding Universal Value, including integrity or authenticity, before the development of a full nomination dossier which could be expensive and time-consuming. Such preparatory work might include collection of available information on the property, thematic studies, scoping studies of the potential for demonstrating Outstanding Universal Value, including integrity or authenticity, or an initial comparative study of the property in its wider global or regional context, including an analysis in the context of the Gap Studies produced by the Advisory Bodies. This first phase of work will help to establish the feasibility of a possible nomination and avoid the use of resources on preparing nominations that may be unlikely to succeed. States Parties are encouraged to seek upstream advice¹ from the relevant Advisory Body(ies) for this first phase as well as to contact the World Heritage Centre at the earliest opportunity in considering nominations to seek information and guidance.
123. Participation in the nomination process of local communities, indigenous peoples, governmental, non-governmental and private organizations and other stakeholders is essential to enable them to have a shared responsibility with the State Party in the maintenance of the property. States Parties are encouraged to prepare nominations with the widest possible participation of stakeholders and to demonstrate, as appropriate, that the free, prior and informed consent of indigenous peoples has been obtained, through, inter alia making the nominations publicly available in appropriate languages and public consultations and hearings.
124. Preparatory Assistance, as described in Chapter VII.E, may be requested by States Parties for the preparation of nominations.
125. States Parties are encouraged to contact the Secretariat, which can provide assistance throughout the nomination process.

Decision 34 COM 12 (III)
Report of the Expert meeting on
"Upstream Processes to
Nominations: Creative
Approaches in the Nomination
Process" (Phuket: 2010)

Decision 36 COM 13.I
Decision 39 COM 11

Decision 39 COM 11

¹Upstream Processes: In relation to the nomination of sites for inscription on the World Heritage List, "Upstream processes" include advice, consultation and analysis that occur prior to the submission of a nomination and are aimed at reducing the number of nominations that experience significant problems during the evaluation process. The basic principle of the upstream processes is to enable the Advisory Bodies and the Secretariat to provide support directly to States Parties, throughout the whole process leading up to a possible World Heritage nomination. For the upstream support to be effective, it should ideally be undertaken from the earliest stage in the nomination process, at the moment of the preparation or revision of the States Parties' Tentative Lists.

Upstream Process: In relation to the nomination of sites for inscription on the World Heritage List, the "Upstream Process" comprises advice, consultation and analysis that occurs prior to the preparation of a nomination and is aimed at reducing the number of nominations that experience significant problems during the evaluation process. The basic principle of the Upstream Process is to enable the Advisory Bodies and the World Heritage Centre to provide guidance and capacity building directly to States Parties, throughout the whole process leading up to the preparation of a possible World Heritage nomination. For the upstream support to be effective, it should be undertaken from the earliest stage in the nomination process, at the moment of the preparation or revision of the States Parties' Tentative Lists.

The purpose of the advice, given in the context of a nomination, is limited to providing guidance on the technical merit of the nomination and the technical framework needed, in order to offer the State(s) Party(ies) the essential tools that enable it(them) to assess the feasibility and/or actions necessary to prepare a possible nomination.

Requests for the Upstream Process shall be submitted through the official format (Annex 15 of the Operational Guidelines). Should the number of requests exceed the capacity, then the prioritization system as per paragraph 61.c will be applied.



UPSTREAM PROCESS REQUEST FORMAT

1. State(s) Party(ies)

2. Object of the advice requested from the World Heritage Centre or the Advisory Bodies
(Please tick the corresponding box)

Development, revision or harmonization of Tentative List(s)

Potential future nomination – If applicable, name of the site(s)

Brief description of the site (summary of factual information and qualities of the site) (if applicable)

3. Expected time frame for the realization of the Upstream Process

4. Would a site visit be necessary?

Yes

No

5. Availability of funds to implement the request (Please indicate how you intend to cover the costs related to the implementation of the Upstream Process request. Please also indicate whether you plan to apply for assistance from the World Heritage Fund, if eligible (International Assistance mechanism or Advisory Missions budget line) or from another funding source).

6. Any additional information you may wish to provide

7. Contact information of the responsible authorities (name, title, e-mail, telephone)

8. Signature on behalf of the State(s) Party(ies)

The original signed version of the completed Upstream Process request form should be sent in English or French to:

UNESCO World Heritage Centre

7, place de Fontenoy

75352 Paris 07 SP

France

Telephone: +33 (0)1 45 68 11 36

E-mail: wh-upstream@unesco.org

Annex 1 – Part B (Sustainable Development)

I.C The States Parties to the *World Heritage Convention*

12. States Parties to the Convention are encouraged to ensure full respect and gender-balanced ~~the~~ participation of a wide variety of stakeholders and rights-holders, including site managers, local and regional governments, local communities, indigenous peoples, non-governmental organizations (NGOs) and other interested parties and partners in the identification, nomination and protection of World Heritage properties.
14. States Parties are encouraged to bring together their cultural and natural heritage experts at regular intervals to discuss the implementation of the *Convention*. States Parties may wish to involve representatives of the Advisory Bodies and other experts and partners as appropriate.

14bis. States Parties are encouraged to mainstream into their programmes and activities related to the *World Heritage Convention* the principles of the relevant policies adopted by the World Heritage Committee, the General Assembly and the UNESCO Governing Bodies, such as the Policy Document for the Integration of a Sustainable Development Perspective into the Processes of the *World Heritage Convention* and the UNESCO policy on engaging with indigenous peoples, as well as other related policies and documents, including the 2030 Agenda for Sustainable Development.

15. While fully respecting the sovereignty of the States on whose territory the cultural and natural heritage is situated, States Parties to the Convention recognize the collective interest of the international community to cooperate in the protection of this heritage. States Parties to the World Heritage Convention, have the responsibility to:

Article 6(1) of the *World Heritage Convention*.

c) integrate heritage protection into comprehensive planning programmes and coordination mechanisms, giving consideration in particular to the resilience of socio-ecological systems of properties;

o) contribute to and comply with the sustainable development objectives, including gender equality, in the World Heritage processes and in their heritage conservation and management systems.

Policy Document for the integration of a sustainable development perspective into the processes of the *World Heritage Convention* (2015)

I.I Partners in the protection of World Heritage

39. A partnership approach, underpinned by inclusive, transparent and accountable decision-making, to nomination, management and monitoring provides a significant contribution to the protection of World Heritage properties and the implementation of the *Convention*.

II.C Tentative Lists

64. States Parties are encouraged to prepare their Tentative Lists with the full, effective and gender-balanced participation of a wide variety of stakeholders and rights-holders, including site managers, local and regional governments, local communities, indigenous peoples, NGOs and other interested parties and partners.
73. States Parties are encouraged to harmonize their Tentative Lists at regional and thematic levels. Harmonization of Tentative Lists is the process whereby States Parties, with the assistance of the Advisory Bodies, collectively assess their respective Tentative List to review gaps and identify common themes. The ~~outcome of~~ harmonization has a considerable potential to generate fruitful dialogue between States Parties and different cultural communities, promoting respect for shared heritage and cultural diversity and can result in improved Tentative Lists, new nominations from States Parties and co-operation amongst groups of States Parties in the preparation of nominations.

Assistance and Capacity-Building for States Parties in the preparation of Tentative Lists

74. To implement the Global Strategy, cooperative efforts in capacity-building and training for diverse groups of beneficiaries may be necessary to assist States Parties to acquire and/or consolidate their expertise in the preparation, updating and harmonisation of their Tentative List and the preparation of nominations.

II.E Integrity and/or authenticity

Integrity

90. For all properties nominated under criteria (vii) - (x), bio-physical processes and landform features should be relatively intact. However, it is recognized that no area is totally pristine and that all natural areas are in a dynamic state, and to some extent involve contact with people. Biological diversity and cultural diversity can be closely linked and interdependent and human activities, including those of traditional societies, ~~and~~ local communities and indigenous peoples, often occur in protected natural areas. These activities may be consistent with the Outstanding Universal Value of the area where they are ecologically sustainable.

II.F Protection and management

Management systems

111. In recognizing the diversity mentioned above, common elements of an effective management system could include:
- a) a thorough shared understanding of the property and its universal, national and local values and its socio-ecological context by all stakeholders, including local communities and indigenous peoples, as well as respect for diversity, equity, gender equality and human rights and the use of inclusive and participatory planning and stakeholder consultation processes;

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- b) a cycle of planning, implementation, monitoring, evaluation and feedback;
- c) an assessment of the vulnerabilities of the property to social, economic, environmental and other pressures and changes, including disasters and climate change, as well as the monitoring of the impacts of trends and proposed interventions;
- d) the development of mechanisms for the involvement and coordination of the various activities between different partners and stakeholders;
- e) the allocation of necessary resources;
- f) capacity-building; ~~and~~
- g) an accountable, transparent description of how the management system functions;
- h) the alignment with broader sustainable development objectives.

112. Effective management involves a cycle of short, medium and long-term actions to protect, conserve and present the nominated property. An integrated approach to planning and management is essential to guide the evolution of properties over time and to ensure maintenance of all aspects of their Outstanding Universal Value. This approach goes beyond the property to include any buffer zone(s), as well as the broader setting. The broader setting, may relate to the property's topography, natural and built environment, and other elements such as infrastructure, land use patterns, spatial organization, and visual relationships. It may also include related social and cultural practices, economic processes and other intangible dimensions of heritage such as perceptions and associations. Management of the broader setting is related to its role in supporting the Outstanding Universal Value. Its effective management may also contribute to sustainable development, through harnessing the reciprocal benefits for heritage and society.

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117. States Parties are responsible for implementing effective management activities for a World Heritage property. State Parties should do so in close collaboration with property managers, the agency with management authority and other partners, local communities, rights-holders and stakeholders in property management by developing equitable governance arrangements, collaborative management systems and, when appropriate, redress mechanisms.

Decision 28 COM 10B.4

118. The Committee recommends that States Parties include disaster, climate change and other risk preparedness as an element in their World Heritage site management plans and training strategies.

Sustainable use

119. World Heritage properties may sustain biological and cultural diversity and provide ecosystem services and other benefits, which may contribute to environmental and cultural sustainability and support a variety of ongoing and proposed uses that are ecologically and culturally sustainable and which may enhance ~~contribute to~~ the quality of life and well-being of communities concerned. The State Party and its partners must ensure their use is equitable and that such sustainable use or any other change does not impact adversely on the, fully respects the Outstanding Universal Value of the property. For some properties, human use would not be appropriate. Legislations, policies and strategies affecting World Heritage properties should ensure the protection of the Outstanding Universal Value, support the wider conservation of natural and cultural heritage and broader sustainable development objectives, and promote and encourage the active effective, inclusive and equitable participation of the communities, indigenous peoples and other stakeholders concerned with the property as necessary conditions to its sustainable protection, conservation, management and presentation.

III PROCESS FOR THE INSCRIPTION OF PROPERTIES ON THE WORLD HERITAGE LIST

III.A Preparation of Nominations

123. Effective and inclusive participation in the nomination process of local communities, indigenous peoples, governmental, non-governmental and private organizations and other stakeholders is essential to enable them to have a shared responsibility with the State Party in the maintenance of the property. States Parties are encouraged to prepare nominations with the widest possible participation of stakeholders and to demonstrate, as appropriate, that the free, prior and informed consent of indigenous peoples has been obtained, through, inter alia making the nominations publicly available in appropriate languages and public consultations and hearings.

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III.B Format and content of nominations

132. For a nomination to be considered as "**complete**", the following requirements (see format in Annex 5) are to be met:

Decision 37 COM 12.II
Decision 39 COM 11

5. Protection and management

Management: An appropriate management plan or other management system is essential and shall be provided in the nomination. Assurances of the effective implementation of the management plan or other management system are also expected. All dimensions of Sustainable development principles should be integrated into the management system, for all types of natural, cultural and mixed properties, including their buffer zones and wider setting.

VI ENCOURAGING SUPPORT FOR THE WORLD HERITAGE CONVENTION

VI.A Objectives

Article 27 of the *World Heritage Convention*

211. The objectives are:

- a) to enhance capacity-building and research;
- b) to raise the general public's awareness, understanding and appreciation of the need to preserve cultural and natural heritage;
- c) to enhance the function of World Heritage in the life of the community; and
- d) to increase the equal, inclusive and effective participation of local and national populations, including indigenous peoples, in the protection and presentation of heritage.

Article 5(a) of the *World Heritage Convention*

VI.B Capacity-building and research

212bis. States Parties are encouraged to develop educational and capacity-building programmes that harness the reciprocal benefits of the Convention for heritage and society. The programmes may be based on innovation and local entrepreneurship, aimed in particular at medium/small/micro scale levels, to promote sustainable and inclusive economic benefits for local communities and indigenous peoples and to identify and promote opportunities for public and private investment in sustainable development projects, including those that promote use of local materials and resources and foster local cultural and creative industries and safeguard intangible heritage associated with World Heritage properties.

National training strategies and regional co-operation

214. States Parties are encouraged to ensure that their professionals and specialists, men and women, at all levels are adequately trained. To this end, States Parties are encouraged to develop national training strategies and include regional co-operation for training as part of their strategies.

Research

215. The Committee develops and coordinates international co-operation in the area of research needed for the effective implementation of the Convention. States Parties are also encouraged to make resources available to undertake research, since knowledge and understanding are fundamental to the identification, management, and monitoring of World Heritage properties.

States Parties are encouraged to support scientific studies and research methodologies, including traditional and indigenous knowledge conducted by local communities and indigenous peoples, aimed at demonstrating the contribution that the conservation and management of World Heritage properties, their buffer zones and wider setting make to sustainable development, such as in conflict prevention and resolution, including, where relevant, by drawing on traditional ways of dispute resolution that may exist within communities.

VI.C Awareness-raising and education

International Assistance

- 220.** States Parties are encouraged to develop quality educational activities related to World Heritage through a variety of learning environments tailored to each audience with, wherever possible, the participation of schools, universities, museums and other local and national educational authorities.

Article 27.21 of the *World Heritage Convention*

VII THE WORLD HERITAGE FUND AND INTERNATIONAL ASSISTANCE

VII.D Principles and priorities for International Assistance

- 239.** In addition to the priorities outlined in paragraphs 236-238 above, the following considerations govern the Committee's decisions in granting International Assistance:

Decisions 26 COM 17.2,
Decision 26 COM 20 and
Decision 26 COM 25.3

- e) the impact of the activity on furthering the Strategic Objectives or on the implementation of policies adopted ~~decided~~ by the Committee, such as the Policy Document for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention or the Policy Document on the Impacts of Climate Change on World Heritage Properties;
- j) The inclusive nature of the activity, in particular as concerns gender equality and the involvement of communities.

Paragraph 26 of *Operational Guidelines*

VIII THE WORLD HERITAGE EMBLEM

VIII.A Preamble

258. At its second session (Washington, 1978), the Committee adopted the World Heritage Emblem which had been designed by Mr. Michel Olyff. This Emblem symbolizes the interdependence of cultural and natural properties: the central square is a form created by ~~man~~ humans and the circle represents nature, the two being intimately linked. The Emblem is round, like the world, but at the same time it is a symbol of protection. It symbolizes the *Convention*, signifies the adherence of States Parties to the *Convention*, and serves to identify properties inscribed in the World Heritage List. It is associated with public knowledge about the *Convention* and is the imprimatur of the *Convention's* credibility and prestige. Above all, it is a representation of the universal values for which the *Convention* stands.

Annex 1 – Part C (International Assistance process)

VII THE WORLD HERITAGE FUND AND INTERNATIONAL ASSISTANCE

VII.A The World Heritage Fund

223. The World Heritage Fund is a trust fund, established by the *Convention* in conformity with the provisions of the Financial Regulations of UNESCO. The resources of the Fund consist of compulsory and voluntary contributions made by States Parties to the *Convention*, and any other resources authorized by the Fund's regulations. Article 15 of the *World Heritage Convention*.

224. The financial regulations for the Fund are set out in document WHC/7 available at the following Web address: <http://whc.unesco.org/en/financialregulations>

VII.B Mobilization of other technical and financial resources and partnerships in support of the *World Heritage Convention*

225. To the extent possible, the World Heritage Fund should be used to mobilize additional funds for International Assistance from other sources.

226. The Committee decided that contributions offered to the World Heritage Fund for international assistance campaigns and other UNESCO projects for any property inscribed on the World Heritage List shall be accepted and used as international assistance pursuant to Section V of the *Convention*, and in conformity with the modalities established for carrying out the campaign or project.

227. States Parties are invited to provide support to the *Convention* in addition to obligatory contributions paid to the World Heritage Fund. This voluntary support can be provided through additional contributions to the World Heritage Fund or direct financial and technical contributions to properties. Article 15(3) of the *World Heritage Convention*

228. States Parties are encouraged to participate in international fund-raising campaigns launched by UNESCO and aimed at protecting World Heritage.

229. States Parties and others who anticipate making contributions towards these campaigns or other UNESCO projects for World Heritage properties are encouraged to make their contributions through the World Heritage Fund.

230. States Parties are encouraged to promote the establishment of national, public and private foundations or associations aimed at raising funds to support World Heritage conservation efforts. Article 17 of the *World Heritage Convention*.

231. The Secretariat provides support in mobilizing financial and technical resources for World Heritage conservation and actively engages in resource mobilization, including through. ~~To this end, the Secretariat~~ developing partnerships with public and private institutions in conformity with the Decisions and the Guidelines strategies issued adopted by the World Heritage Committee and UNESCO regulations.

- 232.** The Secretariat should refer to “UNESCO’s “Comprehensive Partnership Strategy” to govern external fund-raising in favour of the World Heritage Fund. This document is available at the following Web address: <http://en.unesco.org/partnerships>.

“Comprehensive Partnership Strategy” including “Separate strategies for engagement with individual categories of partners” 192 EX/5.INF
Decision 30 COM 13.13

VII.C International Assistance

- 233.** The *Convention* provides International Assistance to States Parties for the protection of the world cultural and natural heritage located on their territories and inscribed, or potentially suitable for inscription on the World Heritage List. International Assistance should be seen as supplementary to national efforts for the conservation and management of World Heritage and Tentative List properties when adequate resources cannot be secured at the national level.

See Articles 13 (1&2) and 19-26 of the *World Heritage Convention*.

- 234.** International Assistance is primarily financed from the World Heritage Fund, established under the *World Heritage Convention*. The Committee determines the budget for International Assistance on a biennial basis.

Section IV of the *World Heritage Convention*

- 235.** The World Heritage Committee co-ordinates and allocates types of International Assistance in response to State Party requests. These types of International Assistance, described in the summary table set out below, in order of priority are:

Decision 30 COM 14A
Decision 36 COM 13.I

- a) Emergency assistance
- b) Conservation and Management assistance (incorporating assistance for training and research, technical co-operation and promotion and education)
- c) Preparatory assistance.

VII.D Principles and priorities for International Assistance

- 236.** Priority is given to International Assistance for properties inscribed on the List of World Heritage in Danger. The Committee created a specific budget line to ensure that a significant portion of assistance from the World Heritage Fund is allocated to properties inscribed on the List of World Heritage in Danger.

Article 13(1) of the *World Heritage Convention*.

- 237.** States Parties in arrears of payment of their compulsory or voluntary contributions to the World Heritage Fund are not eligible for international assistance, it being understood that this provision does not apply to requests for emergency assistance.

Decision 13 COM XII.34

- 238.** To support its Strategic Objectives, the Committee also allocates International Assistance in conformity with the priorities set out in its decisions and in the Regional Programmes it adopts as a follow up to Periodic Reports (see para. 210).

Decision 36 COM 13.I

- 239.** In addition to the priorities outlined in paragraphs 236-238 above, the following considerations govern the Committee's decisions in granting International Assistance:
- Decisions 26 COM 17.2,
Decision 26 COM 20 and
Decision 26 COM 25.3
- a) the likelihood that the assistance will have a catalytic and multiplier effect (“seed money”) and promote financial and technical contributions from other sources;
 - b) when funds available are limited and a selection has to be made, preference is given to:
 - a Least Developed Country or Low Income Economy as defined by the United Nations Economic and Social Council's Committee for Development Policy, or
 - a Lower Middle Income Country as defined by the World Bank, or
 - a Small Island Developing State (SIDS), or
 - a State Party in a post-conflict situation;
 - c) the urgency of the protective measures to be taken at World Heritage properties;
 - d) whether the legislative, administrative and, wherever possible, financial commitment of the recipient State Party is available to the activity;
 - e) the impact of the activity on furthering the Strategic Objectives or on the implementation of policies adopted ~~decided~~ by the Committee, such as the Policy Document for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention or the Policy Document on the Impacts of Climate Change on World Heritage Properties;

Paragraph 26 of *Operational Guidelines*
 - f) the degree to which the activity responds to needs identified through the reactive monitoring process and/or the analysis of regional Periodic Reports;

Decision 20 COM XII
 - g) the exemplary value of the activity in respect to scientific research and the development of cost effective conservation techniques;
 - h) the cost of the activity and expected results; ~~and~~
 - i) the educational value both for the training of experts and for the general public;
 - j) the inclusive nature of the activity, in particular as concerns gender equality and the involvement of communities.
- 240.** A balance will be maintained in the allocation of resources between cultural and natural heritage and between Conservation and Management and Preparatory Assistance. This balance is reviewed and decided upon on a regular basis by the Committee and during the second year of each biennium by the Chairperson or the World Heritage Committee.
- 65% of the total International Assistance budget is set aside for cultural properties and 35% for natural properties
Decision 31 COM 18B
Decision 36 COM 13.I
Decision 37 COM 12.II

VII.E Summary Table

- 241.** Decision 36 COM 13.I
Decision 30 COM 13.13

Type of international assistance	Purpose	Budget ceilings per request	Deadline for submission of request	Authority for approval
Emergency Assistance	<p>This assistance may be requested to address ascertained or potential threats facing properties included on the List of World Heritage in Danger and the World Heritage List which have suffered severe damage or are in imminent danger of severe damage due to sudden, unexpected phenomena. Such phenomena may include land subsidence, extensive fires, explosions, flooding or human-made disasters including war. This assistance does not concern cases of damage or deterioration caused by gradual processes of decay, pollution or erosion. It addresses emergency situations strictly relating to the conservation of a World Heritage property (see Decision 28 COM 10B 2.c). It may be made available, if necessary, to more than one World Heritage property in a single State Party (see Decision 6 EXT. COM 15.2). The budget ceilings relate to a single World Heritage property.</p> <p>The assistance may be requested to :</p> <ul style="list-style-type: none"> (i) undertake emergency measures for the safeguarding of the property; (ii) draw up an emergency plan for the property. 	<p>Up to US\$ 5.000</p> <p>Between US\$ 5.001 and 75.000</p> <p>Over US\$ 75.000</p>	<p>At any time</p> <p>At any time</p> <p>At any time before the Committee</p>	<p>Director of the World Heritage Centre</p> <p>Chairperson of the Committee</p> <p>Committee</p>
Preparatory assistance	<p>This assistance may be requested to (in order of priority):</p> <ul style="list-style-type: none"> (i) prepare or update national Tentative Lists of properties suitable for inscription on the World Heritage List; a commitment will be required from the State Party to nominate in priority on these lists sites recognized in approved thematic advice, such as the thematic studies prepared by the Advisory Bodies, as corresponding to gaps on the List; (ii) organize meetings for the harmonization of national Tentative Lists within the same geo-cultural area; (iii) prepare nominations of properties for inscription on the World Heritage List (including preparatory work such as collection of basic information, scoping studies of the potential for demonstration of Outstanding Universal Value, including integrity or authenticity, comparative studies of the property in relation to other similar properties (see 3.2 of Annex 5), including analysis in the context of the Gap Studies produced by the Advisory Bodies. Priority will be given to requests for sites recognized in approved thematic advice as corresponding to gaps on the List and/or for sites where preliminary investigations have shown that further inquiries would be justified, especially in the case of States Parties whose heritage is unrepresented or under-represented on the World Heritage List; (iv) prepare requests for Conservation & Management assistance for consideration by the World Heritage Committee. 	<p>Up to US\$ 5.000</p> <p>Between US\$ 5.001 and 30.000</p>	<p>At any time</p> <p>31 October</p>	<p>Director of the World Heritage Centre</p> <p>Chairperson of the Committee</p>
Conservation and Management Assistance (incorporating Training and Research assistance, Technical co-operation)	<p>This assistance may be requested for:</p> <ul style="list-style-type: none"> (i) the training of staff and specialists at all levels in the fields of identification, monitoring, conservation, management and presentation of World Heritage, with an emphasis on group training; (ii) scientific research benefiting World Heritage properties; 	<p>Only for requests falling under items (i) to (vi):</p> <p>Up to US\$ 5.000</p>	<p>Only for requests falling under items (i) to (vi):</p> <p>At any time</p>	<p>Only for requests falling under items (i) to (vi)</p> <p>Director of the World Heritage Centre</p>

Type of international assistance	Purpose	Budget ceilings per request	Deadline for submission of request	Authority for approval
assistance and Promotion and education assistance)	(iii) studies on the scientific and technical problems of conservation, management, and presentation of World Heritage properties. Note: Requests for support for individual training courses from UNESCO should be submitted on the standard "Application for fellowship" form available from the Secretariat.	Between US\$ 5,001 and 30,000	31 October	Chairperson of the Committee
	(iv) provision of experts, technicians and skilled labour for the conservation, management, and presentation of properties inscribed on the List of World Heritage in Danger and the World Heritage List;	Over US\$ 30,000	31 October	Committee
	(v) supply of equipment which the State Party requires for the conservation, management, and presentation of properties inscribed on the List of World Heritage in Danger and the World Heritage List;	Only for requests falling under items (vii) and (viii):	Only for requests falling under items (vii) and (viii):	Only for requests falling under items (vii) and (viii):
	(vi) low-interest or interest-free loans for undertaking activities for the conservation, management, and presentation of properties inscribed on the List of World Heritage in Danger and the World Heritage List, which may be repayable on a long-term basis. (vii) At the regional and international levels for Programmes, activities and the holding of meetings that could: - help to create interest in the Convention within the countries of a given region; - create a greater awareness of the different issues related to the implementation of the Convention to promote more active involvement in its application; - be a means of exchanging experiences; - stimulate joint education, information and promotional programmes and activities, especially when they involve the participation of young people for the benefit of World Heritage conservation.	Up to US\$ 5,000	At any time	Director of the World Heritage Centre
	(viii) At the national level for: - meetings specifically organized to make the Convention better known, especially amongst young people, or for the creation of national World Heritage associations, in accordance with Article 17 of the Convention; - preparation and discussion of education and information material (such as brochures, publications, exhibitions, films, multimedia tools) for the general promotion of the Convention and the World Heritage List and not for the promotion of a particular property, and especially for young people.	Between US\$ 5,001 and 10,000	31 October	Chairperson of the Committee

VII.F Procedure and format

242. All States Parties submitting requests for international assistance are encouraged to consult the Secretariat and the Advisory Bodies during the conceptualization, planning and elaboration of each request. To facilitate States Parties' work, examples of successful international assistance requests may be provided upon request.

243. The application form for International Assistance is presented in Annex 8 and the types, amounts, deadlines for submission and the authorities responsible for approval are outlined in the summary table in Chapter VII.E.
244. The request should be submitted in English or French, duly signed and transmitted by the National Commission for UNESCO, the State Party Permanent Delegation to UNESCO and/or appropriate governmental Department or Ministry to the following address:

UNESCO World Heritage Centre

7, place de Fontenoy

75352 Paris 07 SP

France

Tel: +33 (0) 1 4568 12 76

E-mail: wh-intassistance@unesco.org

245. Requests for international assistance may be submitted by electronic mail by the State Party or by filling the online format on the World Heritage Centre's Website at the following address: <http://whc.unesco.org>; but they must be accompanied by an officially signed hard copy, or be filled in using the online format on the World Heritage Centre's Website at the following address: <http://whc.unesco.org>.
246. It is important that all information requested in this application form is provided. If appropriate or necessary, requests may be supplemented by additional information, reports, etc.

VII.G ~~Evaluation and approval~~ Assessment of International Assistance requests

247. Provided ~~that a request for assistance from a State Party is~~ they are complete, all requests are assessed by the Secretariat irrespective of the amount requested, with the assistance of the Advisory Bodies, for requests above US\$ 5,000, will process each request in a timely manner, as follows. In addition, requests with a budget above US\$ 30,000 are assessed as follows:
- a) By ICOMOS for requests for cultural heritage (all types of assistance) and ICCROM (all types of assistance except Preparatory assistance).
 - b) By IUCN for requests for natural heritage.
 - c) By ICOMOS and IUCN for requests for mixed heritage (all types of assistance) and ICCROM (all types of assistance except Preparatory assistance).

The Secretariat processes requests for Emergency assistance within up to 10 working days.

Whenever necessary, the Secretariat may consult the Advisory Bodies, for the assessment of requests with a budget under US 30,000.

ICOMOS, IUCN and ICCROM will be consulted on all requests which specifically demand the involvement of one or more Advisory Bodies in the respective project.

248. ~~All requests for international assistance for cultural heritage are evaluated by ICOMOS and ICCROM, except requests up to and including US\$ 5,000. Deleted~~ Decision 13 COM XII.34
Decision 31 COM 18B
249. ~~All requests for international assistance for mixed heritage are evaluated by ICOMOS, ICCROM and IUCN, except requests up to and including US\$ 5,000. Deleted~~ Decision 31 COM 18B
250. ~~All requests for international assistance for natural heritage are evaluated by IUCN, except requests up to and including US\$ 5,000. Deleted~~ Decision 31 COM 18B
251. The ~~evaluation~~ criteria used for the assessment of international assistance requests by the Advisory Bodies are outlined in Annex 9. Decision 31 COM 18B
252. ~~All requests for International Assistance of more than US\$ 5,000, except those of Emergency Assistance, are evaluated by a A panel composed of representatives of the World Heritage Centre Regional Desks and the Advisory Bodies, and if possible, the Chairperson of the World Heritage Committee or, in observer capacity, a person designated by the Chairperson, meeting once or twice a year ~~before action by the Chairperson and/or Committee. to examine the International Assistance requests of more than US\$ 5,000, except those for Emergency Assistance, and to make recommendations to the Chairperson and/or the Committee. Requests for Emergency Assistance can be submitted at any time to the Secretariat and will be submitted to the Chairperson or to the Committee at its next session for decision after comments by the Advisory Bodies and without examination by the panel.~~~~ Decision 31 COM 18B
Decision 36 COM 13.I
Decision 30 COM 13.13
253. The Chairperson is not authorized to approve requests submitted by his/her own country. These will be examined by the Committee.
254. All requests for Preparatory Assistance or Conservation and Management Assistance of more than US\$ 5,000 should be received by the Secretariat on or before 31 October. Incomplete forms which do not come back duly completed by 30 November will be sent back to the States Parties for submission to a next cycle. Complete requests are examined by a first panel held in January ~~during the meeting between the Secretariat and the Advisory Bodies~~. Requests for which the panel issues a positive or a negative recommendation will be submitted to the Chairperson/Committee for decision. A second panel may be held at least eight weeks before the Committee session for requests which were revised since the first panel. Requests sent back for a substantial revision will be examined by the panel depending on their date of receipt. Requests requiring only minor revision and no further examination by the panel must come back within the year when they were examined first; otherwise they will be sent again to a next panel. The chart detailing the submission process is attached in Annex 8.

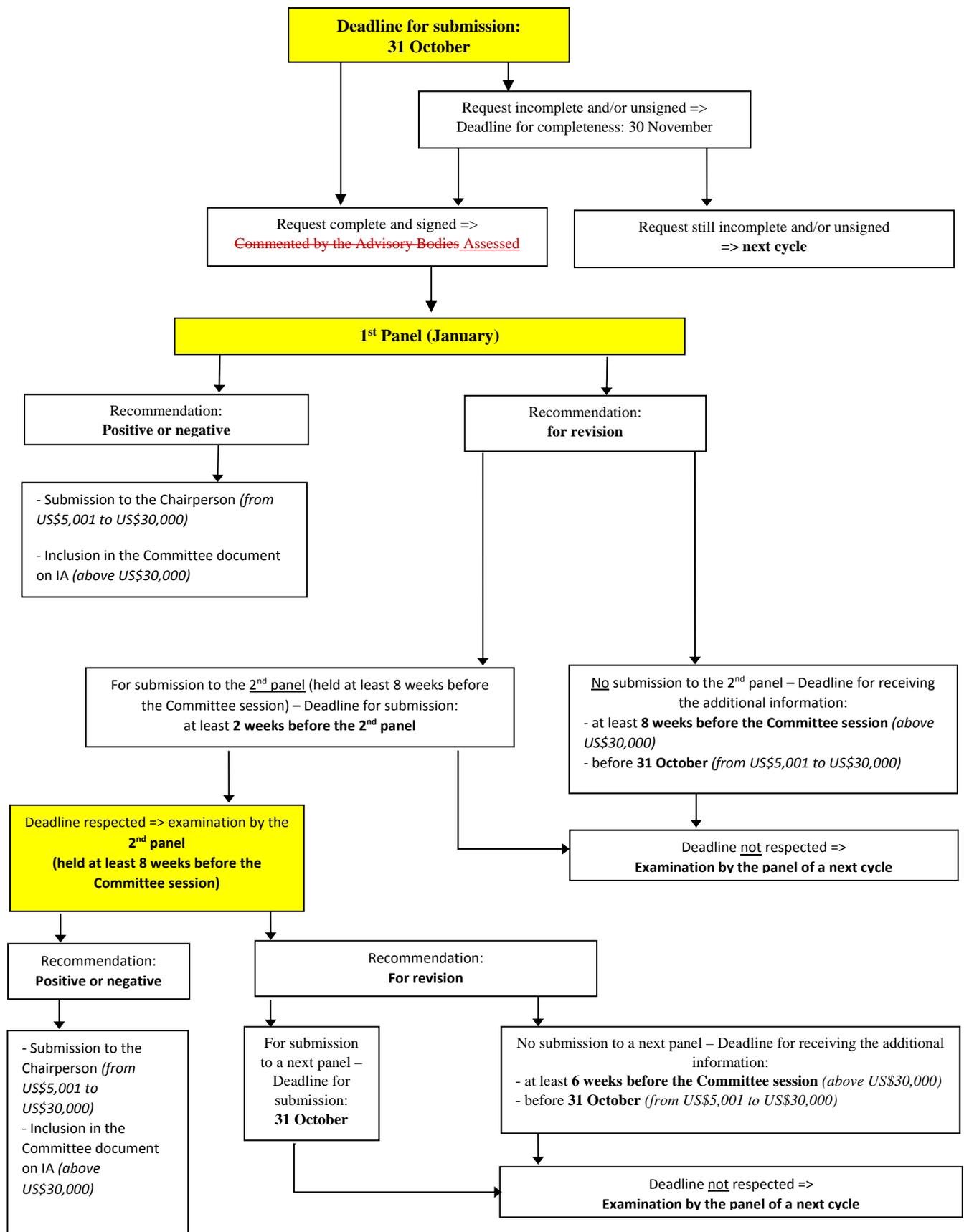
VII.H Contractual Arrangements

255. Agreements are established between UNESCO and the concerned State Party or its representative(s) for the implementation of the approved International Assistance requests in conformity with UNESCO regulations, following the work plan and budget breakdown described in the originally approved request.

VII.I Evaluation and follow-up of International Assistance

- 256.** The monitoring and evaluation of the implementation of the International Assistance requests will take place within 3 months of the activities' completion. The results of these evaluations will be collated and maintained by the Secretariat in collaboration with the Advisory Bodies and examined by the Committee on a regular basis.
- 257.** The Committee reviews the implementation, evaluation and follow-up of International Assistance in order to evaluate the International Assistance effectiveness and to redefine its priorities.

Process of submission for International Assistance requests for Conservation & Management Assistance and Preparatory Assistance above US\$5,000





EVALUATION CRITERIA ~~OF THE ADVISORY BODIES~~ FOR INTERNATIONAL ASSISTANCE REQUESTS

The following considerations are to be taken into account by the Advisory Bodies, World Heritage Centre, and the relevant Decision-maker (the Chairperson of the World Heritage Committee, the World Heritage Committee or the Director of the World Heritage Centre) when assessing International Assistance requests.

These items do not constitute a checklist, and not every item will be applicable to every International Assistance Request. Rather the appropriate items are to be considered together in an integrated manner in making balanced judgments concerning the appropriateness of allocating the limited financial support available through the World Heritage Fund.

A. Eligibility requirements

1. Is the State Party in arrears for payment of its contribution to the World Heritage Fund?
2. Is the request coming from an authorized organization/institution of the State Party?

B. Priority considerations

3. Is the request from a State Party on the list of the Least Developed Countries (LDCs), Low Income Economies (LIEs), Small Island Developing States (SIDS) or post-conflict countries?
4. Is the property on the List of World Heritage in Danger?
5. Does the request further one or more of the Strategic Objectives of the World Heritage Committee (Credibility, Conservation, Capacity building, and Communication)?
6. Does the request respond to needs identified through the Periodic Reporting process at the property and/or regional levels?
7. Is the request linked to a regional or sub-regional capacity building programme?
8. Is there a capacity building aspect to the activity (no matter what type of assistance sought)?
9. Will the lessons learned from the activity provide benefits to the larger World Heritage system?

C. Considerations linked to the specific content of the proposed activity

10. Are the objectives of the request clearly stated and achievable?
11. Is there a clear work plan for achieving the results, including a timeline for its implementation?
Is the work plan reasonable?
12. Does the agency/organization responsible for implementing the proposal have the capacity to do so, and is there a responsible person identified for ongoing contacts?
13. Are the professionals proposed to be used (whether national or international) qualified to carry out the work being requested? Are there clear terms of reference for them, including adequate period of their involvement?
14. Is the involvement of all relevant parties taken into account in the proposal (for example stakeholders, other institutions, etc.)?
15. Are the technical requirements clearly expressed and are they reasonable?

Annex 1 – Part D (Miscellaneous)

13. States Parties to the *Convention* should provide the Secretariat with the names and addresses of the governmental organization(s) primarily responsible as national focal point(s) for the implementation of the *Convention*, so that copies of all official correspondence and documents can be sent by the Secretariat to these national focal points as appropriate. A list of these addresses is available at the following Web address: <http://whc.unesco.org/en/statespartiesfocalpoints>
17. The General Assembly of States Parties to the *World Heritage Convention* meets during the sessions of the General Conference of UNESCO. The General Assembly manages its meetings according to its Rules of Procedure, available at the following Web address: <http://whc.unesco.org/en/garules>
<http://whc.unesco.org/en/ga/>
19. The World Heritage Committee is composed of 21 members and meets at least once a year (June/July). It establishes its Bureau, which meets during the sessions of the Committee as frequently as deemed necessary. The composition of the Committee and its Bureau is available at the following Web address: <http://whc.unesco.org/en/committeemembers>
<http://whc.unesco.org/en/committee/>
20. The Committee manages its meetings according to its Rules of Procedure, available at the following Web address: <http://whc.unesco.org/committeerules>
<http://whc.unesco.org/en/committee/>
22. ~~A certain number of seats may be reserved for States Parties who do not have a property on the World Heritage List, upon decision of the Committee at the session that precedes the General Assembly. At each election, due consideration shall be given to the election of at least one State Party which has never served as a Member of the World Heritage Committee.~~
28. Footnotes:
- 1 Reactive Monitoring missions are part of the statutory reporting by the Secretariat and the Advisory Bodies to the World Heritage Committee on the state of conservation of specific properties that are under threat (see Paragraph 169). They are requested by the World Heritage Committee to ascertain, in consultation with the State Party concerned, the condition of the property, the dangers to the property and the feasibility of adequately restoring the property or to assess progress made in implementing such corrective measures, and include a reporting back to the Committee on the findings of the mission (see Paragraph 176.e). The terms of reference of Reactive Monitoring missions are proposed by the World Heritage Centre, in line with the decision adopted by the World Heritage Committee, and consolidated in consultation with the State Party and the relevant Advisory Body(ies). Experts for such missions shall not be nationals of the country where the property is located. The costs of the Reactive Monitoring missions are borne by the World Heritage Fund.
- Article 8(1), of the *World Heritage Convention*, Rule 49 of the Rules of Procedure of the World Heritage Committee.
- The World Heritage Committee can be contacted through its Secretariat, the World Heritage Centre.
- Rule 14.1 of the Rules of Procedure of the General Assembly of States Parties.

2 Advisory missions are not part of the strict statutory and mandatory processes, as they are voluntarily initiated by States Parties and depend on the considerations and judgement of the States Parties requesting them. Advisory missions are to be understood as missions providing expert advice to a State Party on specific matters. They can concern provision of “upstream” support and advice on identification of sites, tentative lists or nomination of sites for inscription on the World Heritage List or alternatively, they can relate to the state of conservation of properties and provide advice in evaluating possible impact of a major development project on the Outstanding Universal Value of the property, advice in the preparation/revision of a management plan, or in the progress achieved in the implementation of specific mitigation measures, etc. The terms of reference of Advisory missions are proposed by the State Party itself, and consolidated in consultation with the World Heritage Centre and the relevant Advisory Bod(ies) ~~or~~, other organizations ~~(s) or experts~~. Experts for such missions shall not be nationals of the country where the property is located. The entire costs of Advisory missions are borne by the State Party inviting the mission, except where the State Party is eligible for relevant International Assistance or funding from the new budget line for Advisory missions approved by Decision **38 COM 12**.

61. The Committee has decided to apply the following mechanism:

~~Until 1 February 2018 (incl.):~~

- ~~a) — examine up to two complete nominations per State Party, provided that at least one of such nominations concerns a natural property or a cultural landscape and;~~
- ~~a) — set at 45 the annual limit on the number of nominations it will review, inclusive of nominations deferred and referred by previous sessions of the Committee, extensions (except minor modifications of limits of the property), transboundary and serial nominations;~~
- ~~b) — the following order of priorities will be applied in case the overall annual limit of 45 nominations is exceeded:

 - ~~i) — nominations of properties submitted by States Parties with no properties inscribed on the List;~~
 - ~~ii) — nominations of properties submitted by States Parties having up to 3 properties inscribed on the List;~~
 - ~~iii) — nominations of properties that have been previously excluded due to the annual limit of 45 nominations and the application of these priorities;~~
 - ~~iv) — nominations of properties for natural heritage;~~
 - ~~v) — nominations of properties for mixed heritage;~~
 - ~~vi) — nominations of transboundary/transnational properties;~~
 - ~~vii) — nominations from States Parties in Africa, the Pacific and the Caribbean;~~~~

Decisions
 24 COM VI.2.3.3,
 28 COM 13.1 and
 7 EXT.COM 4B.1
 29 COM 18A
 31 COM 10
 35 COM 8B.61
 40 COM 11

- ~~viii) nominations of properties submitted by States Parties having ratified the *World Heritage Convention* during the last ten years;~~
- ~~ix) nominations of properties submitted by States Parties that have not submitted nominations for ten years or more;~~
- ~~x) when applying this priority system, date of receipt of full and complete nominations by the World Heritage Centre shall be used as a secondary factor to determine the priority between those nominations that would not be designated by the previous points.~~
- ~~e) the States Parties co-authors of a transboundary or transnational serial nomination can choose, amongst themselves and with a common understanding, the State Party which will be bearing this nomination; and this nomination can be registered exclusively within the ceiling of the bearing State Party.~~

As from 2 February 2018:

- a) examine one complete nominations per State Party,
- b) set at 35 the annual limit on the number of nominations it will review, inclusive of nominations deferred and referred by previous sessions of the Committee, extensions (except minor modifications of limits of the property), transboundary and serial nominations,
- c) the following order of priorities will be applied in case the overall annual limit of 35 nominations is exceeded:
 - i) nominations of properties submitted by States Parties with no properties inscribed on the List;
 - ii) nominations of properties submitted by States Parties having up to 3 properties inscribed on the List,
 - iii) resubmitted referred nominations that were not transmitted to the relevant Advisory Bodies for evaluation further to the application of paragraph 61.b)¹
 - iv) nominations of properties that have been previously excluded due to the annual limit of 35 nominations and the application of these priorities,
 - v) nominations of properties for natural heritage,
 - vi) nominations of properties for mixed heritage,
 - vii) nominations of transboundary/transnational properties,
 - viii) nominations from States Parties in Africa, the Pacific and the Caribbean,

¹ This provision also applies in case the resubmitted referred nomination is received in the third year following the referral decision.

- ix) nominations of properties submitted by States Parties having ratified the *World Heritage Convention* during the last twenty years,
 - x) nominations of properties submitted by States Parties that have not submitted nominations for five years or more,
 - xi) nominations of States Parties, former Members of the Committee, who accepted on a voluntary basis not to have a nomination reviewed by the Committee during their mandate. This priority will be applied for 4 years after the end of their mandate on the Committee,
 - xii) when applying this priority system, date of receipt of full and complete nominations by the World Heritage Centre shall be used as a secondary factor to determine the priority between those nominations that would not be designated by the previous points.
- d) the States Parties co-authors of a transboundary or transnational serial nomination can choose, amongst themselves and with a common understanding, the State Party which will be bearing this nomination; and this nomination can be registered exclusively within the ceiling of the bearing State Party.

This decision will be implemented on a trial basis for 4 years and takes effect on 2 February 2018, in order to ensure a smooth transition period for all States Parties. The impact of this decision will be evaluated at the Committee's 46th session (2022).

III.J Timetable – overview

168.

Decision 39 COM 11

Timetable	Procedures
<u>28 February Year 2</u>	Additional information shall be submitted in the same number of copies and electronic formats as specified in Paragraph 132 to the Secretariat. To avoid confusing new and old texts, if the additional information submitted concerns changes to the main text of the nomination, the State Party shall submit these changes in an amended version of the original text. The changes shall be clearly identified. An electronic version (CD-ROM or diskette <u>USB Flash Drive</u>) of this new text shall accompany the paper version.

IV.A Reactive Monitoring

Decision 39 COM 11

176. The information received, together with the comments of the State Party and the Advisory Bodies, will be brought to the attention of the Committee in the form of a state of conservation report for each property, which may take one or more of the following steps:

b) when the Committee considers that the property has seriously deteriorated, but not to the extent that its restoration is impossible, it may decide that the property be maintained on the List, provided that the State Party takes the necessary measures to restore the property within a reasonable period of time. The Committee may also decide that technical co-operation be provided under the World Heritage Fund for work connected with the restoration of the property, proposing to the State Party to request such assistance, if it has not already been done; in some circumstances States Parties may wish to invite an Advisory mission by the relevant Advisory Body(ies) or other organization(s) or expert(s) to seek advice on necessary measures to reverse deterioration and address threats.

VI.B Capacity-building and research

The ~~Global Training Strategy~~ World Heritage Capacity Building Strategy

213. Recognizing the high level of skills and multidisciplinary approach necessary for the protection, conservation, and presentation of the World Heritage, the Committee has adopted a ~~Global Training Strategy for World Cultural and Natural Heritage~~ World Heritage Capacity Building Strategy. The primary goal of the ~~Global Training Strategy~~ Capacity Building Strategy is to ensure that necessary skills are developed by a wide range of actors for better implementation of the *Convention*. In order to avoid overlap and effectively implement the Strategy, the Committee will ensure links to other initiatives such as the Global Strategy for a Representative, Balanced and Credible World Heritage List and Periodic Reporting. The Committee will annually review relevant capacity-building training issues, assess ~~capacity-building training~~ needs, review annual reports on ~~capacity-building training~~ initiatives, and make recommendations for future ~~capacity-building training~~ initiative.

Global Training Strategy for World Cultural and Natural Heritage adopted by the World Heritage Committee at its 25th session (Helsinki, Finland, 2001) (see ANNEX X of document WHC-01/CONF.208/24).

World Heritage Capacity Building Strategy adopted by the World Heritage Committee at its 35th session (Paris, 2011) (see Document WHC-11/35.COM/9B).

IX.A Information archived by the Secretariat

280. The Secretariat maintains a database of all documents of the World Heritage Committee and the General Assembly of States Parties to the *World Heritage Convention*. This database is available at the following Web address: <http://whc.unesco.org/en/statutorydoe> <http://whc.unesco.org/en/documents/>

284. ~~Advisory Body evaluations for each nomination and the decision of the Committee concerning each nomination are available at the following Web address: <http://whc.unesco.org/en/advisorybodies>~~

Advisory Body evaluations and the decision of the Committee concerning each inscribed property are available on the World Heritage Centre's Website on the page dedicated to each property of the World Heritage List. For the sites not inscribed on the List, the Advisory Body evaluation is available on the World Heritage Centre's Website on the page dedicated to the Committee session when the nomination was examined.

IX.B Specific Information for World Heritage Committee members and other States Parties

286. ~~Circular letters to the States Parties are available at the following Web address: <http://whc.unesco.org/en/circularletters>~~

~~Another Web address, linked to the public Web address through restricted access, is maintained by the Secretariat and contains s~~Specific information targeted at Committee members, other States Parties and Advisory Bodies is available on the World Heritage Centre's Website (<http://whc.unesco.org>) with restricted access.