



United Nations  
Educational, Scientific and  
Cultural Organization

Organisation  
des Nations Unies  
pour l'éducation,  
la science et la culture

World Heritage

43 COM

# REVISED DRAFT DECISION

Item of the Agenda	11A
Revised Draft Decision	43 COM 11A
Amendment submitted by	The Chairperson of the Operational Guidelines Working Group
Date	8 July 2019

## TEXT

*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), 41<sup>st</sup> (Krakow, 2017) and 42nd (Manama, 2018) sessions respectively,*
3. *Adopts the proposed revision of the Operational Guidelines, as presented in the Annex-4 of Document WHC/19/43.COM/11A the present Decision;*
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 to Decision 43 COM 11A

### Revision of the *Operational Guidelines for the Implementation of the World Heritage Convention*

#### Part A (Upstream Process)

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 advice<sup>1</sup> 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.

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

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<sup>1</sup>Upstream 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

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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](mailto:wh-upstream@unesco.org)

## Part B (Sustainable Development)

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

12. States Parties to the Convention are encouraged to ~~ensure~~adopt a human rights based approach, and ensure 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, management and protection processes 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 of States Parties to the *Convention* 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 and international human rights standards.

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. In the case of sites affecting the lands, territories or resources of indigenous peoples, States Parties shall consult and cooperate in good faith with the indigenous peoples concerned through their own representative institutions in order to obtain their free, prior and informed consent before including the sites on their Tentative List.
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 considerable potential to generate fruitful dialogue between States Parties and different cultural communities, promoting respect for common 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 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:

Decision 39 COM 11

a) a thorough shared understanding of the property, its universal, national and local values and its socio-ecological context by all stakeholders, including local communities and indigenous peoples;

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

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.

**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.

Decision 39 COM 11

**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 and indigenous peoples, rights-holders and stakeholders in property management by developing, when appropriate, equitable governance arrangements, collaborative management systems and 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.

**118bis.** Notwithstanding Paragraphs 179 and 180 of the *Operational Guidelines*, States Parties shall ensure that Environmental Impact Assessments, Heritage Impact Assessments, and/or Strategic Environmental Assessments be carried out as a pre-requisite for development projects and activities that are planned for implementation within or around a World Heritage property. These assessments should serve to identify development alternatives, as well as both potential positive and negative impacts to the Outstanding Universal Value of the property and to recommend mitigation measures against degradation or other negative impacts on the cultural or natural heritage within the property or its wider setting. This will ensure the long-term safeguarding of the Outstanding Universal Value, and the strengthening of heritage resilience to disasters and climate change.

### **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. Properties may 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 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 shall 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.

Decision 39 COM 11

### **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. 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 equitable, 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**

**212.** The Committee seeks to develop capacity-building within the States Parties in conformity with its Strategic Objectives and the World Heritage Capacity Building Strategy adopted by the Committee.



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~~ the World Heritage Capacity Building Strategy. The definition of capacity building identifies three broad areas where capacities reside and for which audiences for capacity building need targeting: practitioners, institutions, and communities and networks. The World Heritage Capacity Building Strategy provides a framework of action, and orients actors at the international, regional, or national levels to create regional and national capacity building strategies in addition to individual capacity building activities. The actions can be taken up by the many actors who currently provide or could provide capacity building activities for the benefit of World Heritage. 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 (UNESCO, 2011) (see Document WHC-11/35.COM/9B).

#### **National ~~training~~ capacity building strategies and regional co-operation**

214. States Parties are encouraged to ensure that there is a gender-balanced representation of their professionals and specialists, at all levels and that they are adequately trained. To this end, States Parties are encouraged to develop national ~~capacity building training~~ strategies and include regional co-operation for training as part of their strategies. Development of such regional and national strategies can be assisted by the Advisory Bodies and the various UNESCO Category 2 Centres related to World Heritage, taking into consideration the World Heritage Capacity Building Strategy.
- 214bis.** 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, and 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 safeguarding intangible heritage associated with World Heritage properties.

## **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 held by local communities and indigenous peoples, with all necessary consent. Such studies and research are 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 impact of Climate Change on World Heritage properties;
- j) The inclusive nature of the activity, in particular as concerns gender equality and the involvement of local communities and indigenous peoples.

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.

## Part C (International Assistance process)

### VII THE WORLD HERITAGE FUND AND INTERNATIONAL ASSISTANCE

#### VII.B Mobilization of other technical and financial resources and partnerships in support 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~~ develops 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.

#### VII.E Summary Table

Decision 36 COM 13.1  
Decision 30 COM 13.13

241.

Type of international assistance	Purpose	Budget ceilings per request	Deadline for submission of request	Authority for approval
<b>Emergency Assistance</b>	<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"> <li>(i) undertake emergency measures for the safeguarding of the property;</li> <li>(ii) draw up an emergency plan for the property.</li> </ul>	Up to US\$ 5.000	At any time	Director of the World Heritage Centre
		Between US\$ 5.001 and 75.000	At any time	Chairperson of the Committee
		<del>Over US\$ 75.000</del>	<del>At any time before the Committee</del>	<del>Committee</del>
<b>Preparatory assistance</b>	<p>This assistance may be requested to (in order of priority):</p> <ul style="list-style-type: none"> <li>(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;</li> <li>(ii) organize meetings for the harmonization of national Tentative Lists within the same geo-cultural area;</li> <li>(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</li> </ul>	Up to US\$ 5.000	At any time	Director of the World Heritage Centre
		Between US\$ 5.001 and 30.000	31 October	Chairperson of the Committee

Type of international assistance	Purpose	Budget ceilings per request	Deadline for submission of request	Authority for approval
	<p>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;</p> <p>(iv) prepare requests for Conservation &amp; Management assistance for consideration by the World Heritage Committee.</p>			
<p><b>Conservation and Management Assistance</b></p> <p><b>(incorporating Training and Research assistance, Technical co-operation assistance and Promotion and education assistance)</b></p>	<p>This assistance may be requested for:</p> <p>(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;</p> <p>(ii) scientific research benefiting World Heritage properties <u>or studies on the scientific and technical problems of conservation, management, and presentation of World Heritage properties</u>;</p> <p>(iii) <u>establishment / revision of national policies or legal frameworks on heritage preservation benefiting World Heritage properties</u>.</p> <p>Note: Requests for support for individual training courses from UNESCO should be submitted on the standard "Application for fellowship" form available from the Secretariat.</p> <p>(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;</p> <p>(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;</p> <p>(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.</p> <p>(vii) At the regional and international levels for Programmes, activities and the holding of meetings that could:</p> <ul style="list-style-type: none"> <li>- help to create interest in the Convention within the countries of a given region;</li> <li>- create a greater awareness of the different issues related to the implementation of the Convention to promote more active involvement in its application;</li> <li>- be a means of exchanging experiences;</li> <li>- 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.</li> </ul>	<p>Only for requests falling under items (i) to (vi):</p> <p>Up to US\$ 5.000</p> <p>Between US\$ 5.001 and 30.000</p> <p>Over US\$ 30.000</p> <p>Only for requests falling under items (vii) and (viii):</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>31 October</p> <p>31 October</p> <p>Only for requests falling under items (vii) and (viii):</p> <p>At any time</p> <p>31 October</p>	<p>Only for requests falling under items (i) to (vi)</p> <p>Director of the World Heritage Centre</p> <p>Chairperson of the Committee</p> <p>Committee</p> <p>Only for requests falling under items (vii) and (viii):</p> <p>Director of the World Heritage Centre</p> <p>Chairperson of the Committee</p>

Type of international assistance	Purpose	Budget ceilings per request	Deadline for submission of request	Authority for approval
	(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		

### VII.F Procedure and format

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.uneseo.org>.

### 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.

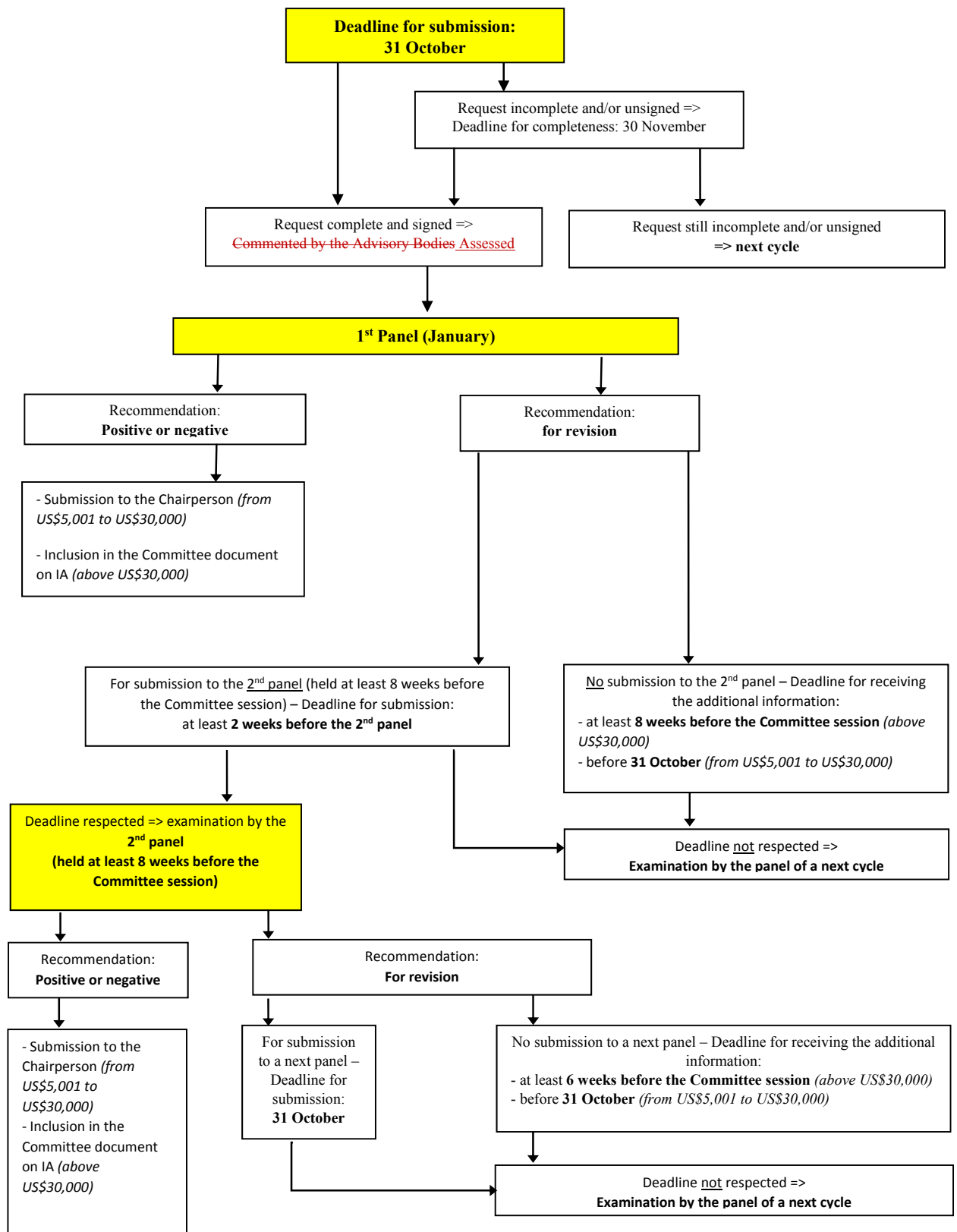
ICOMOS, IUCN and ICCROM will be consulted on all requests which specifically demand the involvement of one or more Advisory Bodies in the respective project.

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 Δ 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. Decision 36 COM 13.I

**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?

## 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>. Article 8(1), of the *World Heritage Convention*, Rule 49 of the Rules of Procedure of the World Heritage Committee.
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/> The World Heritage Committee can be contacted through its Secretariat, the World Heritage Centre.
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.~~ Rule 14.1 of the Rules of Procedure of the General Assembly of States Parties.
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. It is however encouraged that, where possible, they be from the same region as the property. The costs of the Reactive Monitoring missions are borne by the World Heritage Fund.

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. It is however encouraged that, where possible, they be from the same region as the property. 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,~~

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

- ~~vii) nominations from States Parties in Africa, the Pacific and the Caribbean;~~
- ~~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)<sup>1</sup>
  - 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,

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

- viii) nominations from States Parties in Africa, the Pacific and the Caribbean,
  - 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
<b><u>28 February Year 2</u></b>	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 <del>diskette</del> <b>USB Flash Drive</b> ) of this new text shall accompany the paper version.

### **III.K Financing of evaluation of nominations**

168bis. States Parties submitting new nominations are expected to make voluntary contributions towards funding evaluation of nominations by the Advisory Bodies, taking into account the average costs of evaluations as indicated by the Secretariat in the document related to the World Heritage Fund presented at each Committee session. The modalities are as follows:

- a) The contributions shall be made to a dedicated sub-account of the World Heritage Fund;
- b) No contributions would be expected from Least Developed Countries or Low-Income Economies (as defined by the United Nations Economic and Social Council's Committee for Development Policy), Lower Middle-Income Countries as defined by the World Bank, Small Island Developing States and States Parties in conflict or post-conflict situations;
- c) The contributions are expected to be made after the nomination enters the evaluation cycle upon a positive outcome of the completeness check;
- d) This mechanism shall not impact the objective evaluation of sites by the Advisory Bodies, nor the order of priority as defined in the Operational Guidelines to be used when handling nominations.

Decision 43 COM 14

### **IV.A Reactive Monitoring**

**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.

Decision 39 COM 11

## **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/statutorydoc>~~ <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.