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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

Twenty-fifth session
Helsinki, Finland
11 – 16 December 2001

Item 6 of the Provisional Agenda: Revision of the *Operational Guidelines for the Implementation of the World Heritage Convention*

SUMMARY

This document presents the report of the Drafting Group for the revision of the *Operational Guidelines for the Implementation of the World Heritage Convention* held at UNESCO Headquarters in Paris, France, from 8 to 12 October, 2001.

Note: Annex IV of the Report contains the 2nd Draft Annotated Revisions of the *Operational Guidelines* (October 2001).

The report of the Drafting Group (including Annex IV) was circulated to the participants of the Drafting Group for comment in November 2001. Many useful suggestions for further improvements to the revised *Operational Guidelines* were received. These will be compiled in a table in English and French. The table will be included on the web site (www.unesco.org/whc/opgu/) and will be used as a basis for discussion at the next meeting of the Drafting Group.

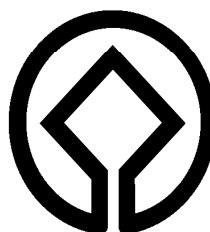
Decision required:

The Committee is requested to:

1. take note of the substantial progress made in revising the *Operational Guidelines*;
2. decide on a process and timetable for discussion and decision of the legal/policy issues identified in the report of the Drafting Group; and
3. approve the organisation of the next meeting of the Drafting Group at UNESCO Headquarters from 18 to 22 March 2002 to review the Annexes and sections of the *Operational Guidelines* still requiring finalisation.

**Report of the
Drafting Group for the Revision of the
*Operational Guidelines for the Implementation of the
World Heritage Convention***

**UNESCO Headquarters, Paris
8-12 October 2001**



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An electronic version of this report is available at
<http://www.unesco.org/whc/opgu/> in English and
<http://www.unesco.org/whc/fr/orient/> in French.

DISCLAIMER

Nothing in this document shall be construed to nullify or otherwise negatively affect the current *Operational Guidelines* (WHC.99/2 March 1999) or any past actions of the World Heritage Committee or its Bureau. Furthermore, any proposed changes to the *Operational Guidelines* identified in this document will not become operational until adopted by the World Heritage Committee.

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I SUMMARY

1. The Drafting Group to revise the *Operational Guidelines* met at UNESCO Headquarters in Paris, France from 8 to 12 October 2001. The meeting was organised by the UNESCO World Heritage Centre with funding provided from the World Heritage Fund as decided at the twenty-fifth session of the Bureau (June 2001). The Drafting Group meeting was attended by cultural and natural heritage experts from all State Party members of the Bureau with the exception of Thailand. Due to global security issues as a result of terrorist attacks that occurred in the United States of America on 11 September 2001, and other constraints, only one of the three additional experts foreseen was able to participate. Representatives of the Advisory Bodies (IUCN, ICOMOS and ICCROM) and the UNESCO World Heritage Centre also attended.

2. A List of Participants is included as Annex I to this report, and the Agenda and Timetable as Annex II.

3. The Drafting Group recalled the key recommendations of the International Expert Meeting on the Revision of the *Operational Guidelines*, Canterbury, United Kingdom (April 2000) (WHC-2000/CONF.204/INF.10). In summary these were to:

- (i) create a user-friendly document that is logical, streamlined and simplified with material being relocated to Annexes;
- (ii) retain as much of the original text of the *Operational Guidelines* as possible but adding for the first time a consolidated section on the protection and conservation of World Heritage properties; and
- (iii) propose text for paragraphs where text does not exist to date.

4. The Drafting Group recommended a number of changes to the content of the *Operational Guidelines* in line with these recommendations (see Section II.6 of this Report).

5. The Drafting Group also worked with reference to the 17 submissions received in response to Circular Letter CL/WHC.8/01 which called for responses to the Draft Annotated Revisions of the *Operational Guidelines* (22 June 2001) (see Annex III). The submissions are available on the web site <http://www.unesco.org/whc/opgu/>. A letter received from the United States of America on 7 October 2001 was, as requested, circulated to the participants of the Drafting Group and is also available on the website.

6. The Drafting Group progressed the revision of the *Operational Guidelines* and through positive and co-operative discussions seeking consensus wherever possible, produced second draft Annotated Revisions that the Drafting Group feels is reaching closure on the vast majority of issues (see Annex IV).

7. Three issues require policy and legal consideration by the Committee before drafting can be finalised for consideration by the Committee (see Section II.5). These are:

- (i) The role of State Party consent in reactive monitoring;
- (ii) The role of State Party consent for inscription of a property on the List of World Heritage in Danger; and
- (iii) The capacity of the World Heritage Committee to decide and the role of the State Party to consent to deletion of properties from the World Heritage List.

8. The text developed by the Drafting Group in October 2001 represents a significant stage in the revision of the *Operational Guidelines*. The Group recognized that further consultation and consideration is required before the text can be finalized and adopted by the Committee (see section II.6).

9. It is proposed that the next meeting of the Drafting Group could be held from 18-22 March 2002 at UNESCO Headquarters in Paris to review the Annexes and sections of the *Operational Guidelines* still requiring finalisation.

II REPORT OF THE DRAFTING GROUP

II.1 Background to the Drafting Group

10. Following the International Expert Meeting on the Revision to the *Operational Guidelines* in Canterbury, United Kingdom, from 10 to 14 April 2000, the twenty-fourth session of the World Heritage Committee (Cairns 2000) decided that the *Operational Guidelines* be restructured according to a new overall framework (WHC-2000/CONF.204/INF.10).

I INTRODUCTION

II ESTABLISHMENT OF THE WORLD HERITAGE LIST

III PROTECTION AND CONSERVATION OF WORLD HERITAGE PROPERTIES

IV INTERNATIONAL ASSISTANCE

V ACTIVITIES IN SUPPORT OF THE WORLD HERITAGE CONVENTION

11. The Committee requested that the *Operational Guidelines* be simplified, streamlined and presented in a user-friendly form with most of the supporting material (existing and new) to be moved to annexes and other documentation. The Committee asked that the *Operational Guidelines* be organized in a logical way, returning to the fundamental principles of the World Heritage Convention. It was decided that the revised *Operational Guidelines* should introduce for the first time a consolidated section on the Protection and Conservation of World Heritage Properties.

12. The Committee decided that the process for revising the *Operational Guidelines* should be co-ordinated by the World Heritage Centre through a collaborative process involving representatives of States Parties, the advisory bodies and the Secretariat. It was agreed that revised *Operational Guidelines* should reflect different regional and cultural perspectives.

13. As agreed by the Committee the following phased approach to the revision of the *Operational Guidelines* was adopted.

Phase I Meeting at UNESCO Headquarters in Paris in January 2001 to define the process for revising the *Operational Guidelines*

Phase II Preparation by the World Heritage Centre of a first draft revised text in English and French to reflect all current proposals for revision and showing the source of the proposed revisions

Phase III Circulation of the revised text to all States Parties and posting of revised text on the Web

Phase IV Contributions in writing from States Parties

Phase V Meeting to refine new *Operational Guidelines*, section by section

Phase VI Submission of revised *Operational Guidelines* to the twenty-fifth session of the World Heritage Committee in 2001 for decision.

14. Following agreement at the twenty-fifth session of the Bureau of the World Heritage Committee in June 2001, the first compilation of the *Operational Guidelines* that was prepared by the Centre was posted on the Centre's web site (<http://www.unesco.org/whc/opgu/>) and distributed to States Parties for comment in July 2001.

15. The Bureau agreed that a meeting of a small Drafting Group be held to prepare the revision of the *Operational Guidelines* at UNESCO Headquarters from 8 to 12 October 2001 (originally scheduled for September 2001). It was decided that the Drafting Group would include an expert nominated by each of the seven members of the Bureau, a representative from each of the Advisory Bodies and depending on the other expertise required, three additional experts to be defined by the Director of the World Heritage Centre in consultation with the Chair and at least two representatives of the Centre.

16. Following the meeting of the Drafting Group, the revised *Operational Guidelines* are submitted for discussion and decision to the twenty-fifth session of the Committee in Helsinki (2001). The Bureau agreed that if necessary, an additional meeting to prepare the revised *Operational Guidelines* for publication could be held either before or after the Bureau session in April 2002 and, if necessary, at the twenty-sixth session of the Committee in Budapest, Hungary. On an exceptional basis, the Bureau decided to allocate the sum of US\$30,000 from the World Heritage Fund in 2001 (Chapter III – International Assistance) for the organisation of the meeting of the Drafting Group.

II.2 Aim and objectives of the Drafting Group

17. The aim of the Drafting Group was to propose to the twenty-fifth session of the World Heritage Committee a second annotated draft of the *Operational Guidelines* that is streamlined and user-friendly, identifying policy and legal issues for further consideration by the Committee.

18. The objectives of the Drafting Group were to:

- (i) review the first version of the Draft Annotated Revisions of the *Operational Guidelines* for the Implementation of the World Heritage Convention (22 June 2001) following the key recommendations of the International Expert Meeting on the Revision of the *Operational Guidelines*, Canterbury, United Kingdom (April 2000),
- (ii) consider the 17 submissions received in response to Circular Letter CL/WHC.8/01 whereby the Draft Annotated Revisions of the *Operational Guidelines* for the Implementation of the World Heritage Convention dated 22 June 2001 were circulated for review and comment to all States Parties and Advisory Bodies;
- (iii) identify gaps, duplications and inconsistencies in the *Operational Guidelines*;
- (iv) refine the new structure, content and format for the *Operational Guidelines* to make the document more user friendly and submit the revised document for discussion and decision to the twenty-fifth session of the Committee in Helsinki (2001); and

- (v) identify unresolved policy and legal issues and prepare recommendations to be submitted for discussion and decision to the twenty-fifth session of the Committee in Helsinki (2001).

II.3 Opening Session and Adoption of the Agenda

19. The Director of the World Heritage Centre, Mr Francesco Bandarin, welcomed participants (see Annex I) to the Drafting Group meeting on behalf of the Director-General of UNESCO and declared the meeting open. During a brief visit to the meeting on Wednesday 10 October 2001, the Assistant Director-General for Culture, Mr Mounir Bouchenaki also welcomed the participants. Mr Bouchenaki stressed the importance of heritage issues (for example intangible cultural heritage and the protection of the heritage of Jerusalem) that were being discussed by the Executive Board of UNESCO and that were on the agenda to be discussed at the UNESCO General Conference.

20. The expert from Australia announced that a Federal Election would take place on 10 November 2001. Consistent with national caretaker provisions, he noted that any commitments made during the meeting would have to be clarified by the incoming government.

21. The Drafting Group was informed that the Delegation of Argentina had made a written request to attend the meeting as an observer. The Drafting Group decided against having observers attend the meeting as it had not been foreseen in the composition of the Drafting Group defined by the Bureau in June 2001.

22. The Drafting Group adopted the agenda and timetable (see Annex II) and agreed that the Rapporteur would be the Secretariat with contributions from the meeting participants upon request of the Chairperson. The Drafting Group meeting was chaired by the Director of the World Heritage Centre.

23. A brief history of the process to revise the *Operational Guidelines* to date was outlined by the Secretariat. It was suggested by the Secretariat that the Drafting Group work in reference to the key recommendations of the International Expert Meeting on the Revision of the *Operational Guidelines*, Canterbury, United Kingdom (April 2000) as well as the submissions received in response to Circular Letter CL/WHC.8/01 (see <http://www.unesco.org/whc/opgu/responses.pdf>).

II.4 Meeting Process

24. The meeting followed the order of the draft annotated revisions of the *Operational Guidelines* whereby Parts I to V were examined consecutively with the exception of Part IV International Assistance which was not reviewed due to lack of time.

25. The Annexes were not examined in detail as draft annotated revised annexes had not been circulated to all States Parties and Advisory Bodies for comment with the Circular Letter prior to the meeting. It was determined that the next Drafting Group meeting proposed to be held in March 2002 could examine the Annexes in detail after draft annotated versions have been circulated for comment.

26. The Drafting Group remained in plenary session throughout the meeting. As preliminary discussions on each section were finalised, a revised version of the *Operational Guidelines*

was provided to the Drafting Group for further comment. The decisions and comments that resulted from the preliminary and second analysis of the text comprise the second annotated revision of the *Operational Guidelines* (see Annex IV).

27. The Drafting Group decided that the Convention should only be cited in the footnotes of the *Operational Guidelines* and not incorporated into the text as the language is legalistic and not user-friendly. The use of footnotes in the annotated version of the *Operational Guidelines* was however highlighted as an effective tool to track the revision process. The source of each change to the Guidelines is documented in the footnotes.

II.5 Issues for transmission to the twenty-fifth session of the World Heritage Committee (December 2001)

28. The Drafting Group identified a number of policy and legal issues to be discussed by the Committee. On those issues for which a consensus was not reached, texts are indicated in square brackets in the Second Draft Annotated revision of the *Operational Guidelines*. It was suggested that 3 issues require policy and legal consideration by the Committee before drafting can be finalised for consideration by the Committee (see Section II.5 of this Report).

29. The Drafting Group noted that there are divergent views related to three issues that have policy implications:

- a) The role of State Party consent in reactive monitoring;
- b) The role of State Party consent for inscription of a property on the List of World Heritage in Danger; and
- c) The capacity of the World Heritage Committee to decide and the role of the State Party to consent to the deletion of properties from the World Heritage List.

30. Other issues that were identified and discussed in general terms, but not finalised include the following:

1. A consensus is required as to whether the protection of a World Heritage property refers to the conservation of all values or just the values identified as outstanding universal/World Heritage values (statement of values approved by the Committee)?
2. Is there consensus on the merging of the cultural and natural criteria and on the qualifying conditions?
3. More clarification is required for the definitions of authenticity, integrity, outstanding universal value and for the definition of mixed properties compared to cultural landscapes.
4. The new structural framework for International Assistance needs to be further discussed and referenced in Section IV of the revised *Operational Guidelines*.

II.6 Section by section discussion of the Draft Annotated *Operational Guidelines* (22 June 2001)

I. INTRODUCTION

31. One of the policy issues identified for further discussion by the World Heritage Committee was whether the World Heritage Committee has the role to decide whether a property may be deleted from the World Heritage List (Paragraph 17(v)). The expert from Australia requested that the legal opinion provided by the UNESCO Office of International Standard and Legal Affairs on 5 June 2001 be footnoted in the 2nd Draft Annotated Revisions

of the *Operational Guidelines* to assist further discussions at the World Heritage Committee. The Director of the Centre informed the Drafting Group that the Director-General of UNESCO had asked that further internal discussions on this issue take place. The Director noted that a Progress Report would be provided to the twenty-fifth session of the Committee in Helsinki.

32. Paragraph 5 on "General Principles" was entirely amended by the Drafting Group with some text placed in square brackets that requires further discussion by the World Heritage Committee.

33. A new Annex 1 was proposed that would comprise the World Heritage Convention in order to avoid incorporating legalistic Convention text in the *Operational Guidelines*.

34. In relation to paragraphs 27-31 concerning the role of the Advisory Bodies the expert from Ecuador suggested that text be inserted referring to the conduct of an annual evaluation of the Advisory Bodies. The Advisory Bodies disagreed with this suggestion and furthermore it was seen by other members of the Drafting Group as a policy change with workload implications that could not be supported. Others considered that it would be appropriate to develop operational methods to maintain a consistently high standard of contribution and accountability by the Advisory Bodies.

35. An entirely new text relating to the obligations of States Parties under the World Heritage Convention was proposed by the Drafting Group.

II. ESTABLISHMENT OF THE WORLD HERITAGE LIST

36. As noted above, the Drafting Group identified the following issues relating to Section II of the *Operational Guidelines* that have policy implications that need to be discussed by the Committee before the text of the *Operational Guidelines* can be finalised. The policy issues were as follows:

- (i) Consensus is required on the most appropriate approach for merging of the cultural and natural criteria and on the qualifying conditions
- (ii) More clarification is required for the definitions of authenticity, integrity, outstanding universal values and for the definition of mixed properties compared to cultural landscapes
- (iii) Is it necessary to include reference to the Strategic Plan in the revised *Operational Guidelines*? This issue seemed to be resolved during the discussions where it was recommended that the Strategic Plan be a separate document.

The qualifying conditions - Integrity/authenticity

37. The role and use of the qualifying conditions in the same table as the criteria was discussed in detail. Its use as a user-friendly tool for guidance was acknowledged. However, it was seen as potentially limiting as the criteria are broader than the factors contained in the qualifying conditions. It was decided that the table only contain the criteria and that the qualifying conditions be placed after the table. Furthermore, it was suggested that a glossary of terms be created to include explanations for terms such as "integrity" and "authenticity".

38. The Drafting Group noted that the two concepts of the test of authenticity and the conditions of integrity are fundamentally different.

39. For the conditions of integrity, the specific illustrations in the existing paragraphs 44(b) (i) to (iv) and (vii) have been used successfully in the past and should be kept to make it clear for site managers as to what is actually intended.

40. Concerning the test of authenticity, it was noted that the great diversity of cultural heritage makes it difficult to find illustrations applicable for all cultural contexts.

41. The Drafting Group was aware that there is currently an imbalance between a theoretical section on authenticity and specific examples on integrity applied to criteria (vii) to (x).

42. The Drafting Group agreed that during their discussions, progress was made on revising the text on authenticity and integrity drawing from the Nara Document on Authenticity and the Zimbabwe meeting on Authenticity and Integrity in an African Context. It was also agreed to use in the future the word "conditions" for both integrity and authenticity.

Criteria, concepts and values

43. The Drafting Group agreed to use outstanding universal value consistently as "Outstanding Universal Value" in the *Operational Guidelines*.

44. Reference was made to the proposed change to cultural criterion (vi) as discussed by the twenty-fifth session of the Bureau (see WHC-01/CONF.208/13).

45. It was agreed that compiling all of the natural and cultural criteria into one table was useful however the table requires improvements. Furthermore there is a bias toward cultural properties over natural ones. The need to reword some of the criteria was raised, however the expert from Canada stated that it was not the mandate of the Drafting Group to change the existing wording of the natural and cultural criteria that had been developed over time on the basis of in-depth consideration. It was however suggested that the order of the criteria could change to make the document more user friendly. The difficulties that this would raise were discussed, whereby the same criteria would have a different reference number between the revised version of the *Operational Guidelines* and the existing version which could cause confusion.

46. The addition of the word 'sea' in Paragraph 44(v) was discussed in detail. It was determined that the words 'land use' also relate to sea use. It was recommended that the definition of 'land use' be included as a footnote in order to support the intentions of the Global Strategy whereby some under represented regions such as the Pacific may be encouraged to prepare nominations representing outstanding examples of traditional landuse.

47. The Drafting Group also discussed the concept of "mixed sites", versus "combined natural and cultural values" and noted that:

- the term "mixed" is colloquial and has been used over time in the implementation of the Convention (e.g. at Committee sessions);
- the term "mixed sites" does not appear in the Convention nor in the *Operational Guidelines*;
- the cultural landscape categories derived from Article 1 of the Convention ("combined works of nature and man") and were evaluated under cultural criteria. Paragraph 18 of the *Operational Guidelines* (1999) specifically refers to "properties which derive their outstanding universal value from a particularly significant combination of natural and cultural features." It was noted that mixed cultural landscape/natural sites also exist.

48. The Drafting Group agreed to maintain the current use of the terms "mixed" or "mixed natural-cultural properties" for historical reasons.

Nominations

49. The following issues relating to nominations were discussed:

Process issues

- (i) There are no clear procedures for when deferred and referred nominations may return for review by the Bureau and/or the Committee and if and when they may short-cut the full 17-month cycle.
- (ii) Revised nominations often arrive very late in the evaluation cycle causing scheduling and processing difficulties.
- (iii) Advisory Body field evaluation visits are increasingly being used by local authorities to re-write and or modify the original nomination dossier.
- (iv) There is no control over "multiple" site nominations (serial nominations). There are an estimated 5000 separate parcels on the World Heritage List.

Format Issues

- (i) The Nomination Format has encouraged a diversity of nomination formats of variable quality.
- (ii) There is no systematic presentation of boundaries of properties nominated for inclusion in the World Heritage List ultimately making conversion to GIS often difficult or impossible.

50. The Drafting Group agreed that the Nomination Format should be retained, but that a 1-page form be included at the beginning of the Format summarising the description, the significance and boundaries of the site to acknowledge the decision of the Committee and the World Heritage property boundaries decided thereon.

51. It was also decided to merge the Annexes on "Nomination Format" and the "Procedure and Timetable for Nominations" to avoid repetition and create a more comprehensive guiding document.

52. The Drafting Group discussed the publication of the nomination dossiers on the web-site and agreed that the Centre should make them available for consultation only upon request, due to copyright issues and the difficulty of scanning sizeable nominations. It was also recommended that the Advisory Body evaluations would be included on the web site.

53. It was suggested that Tentative Lists represented a State Party document, and should only be made available with the agreement of the State Party.

III. PROTECTION AND CONSERVATION OF WORLD HERITAGE PROPERTIES

54. The Drafting Group identified the following issues relating to this section of the *Operational Guidelines* that have policy implications that need to be discussed by the Committee before the text of the revised *Operational Guidelines* can be finalised:

- (i) Reactive Monitoring – is State Party consent required?
- (ii) Inscription of a property in the List of World Heritage in Danger – is State Party consent required?
- (iii) Deletion of properties from the World Heritage List – deletion is not specifically mentioned in the *Convention* – is there a legal basis, what is the capacity of the Committee to decide and is State Party consent required?

Statement of Outstanding Universal Value

55. The Advisory Bodies expressed their concern about the sole reliance on outstanding universal values as the basis for management, without consideration of the property as a whole. They considered that an exclusive focus on outstanding universal values could potentially be used to undermine the integrity of the property as a whole. The Advisory Bodies have suggested a way to address this in relation to the definition of outstanding universal value whereby they suggest the following definition for cultural and /or natural heritage:

"A cultural and/or natural heritage property is understood to be of "Outstanding Universal Value" when the whole of the property, rather than various of its component parts, is of such outstanding importance that it must be permanently protected for the benefit of all humankind."

56. The expert from Canada stated that in this context Outstanding Universal Values drive the World Heritage management process. The protection of the other heritage values are the responsibility of the State Party. The expert from Australia proposed that while the concern of the World Heritage Convention and the role of the Committee was on Outstanding Universal Value, all values need to be managed and protected in any effective management regime. This view was supported by the expert from the United Kingdom and the Advisory Bodies. Therefore, a consensus is required as to whether the protection of a World Heritage property refers to the conservation of all values or just the values identified as outstanding universal World Heritage values (statement of values approved by the Committee)?

The Definition of Management and the Management Cycle

57. The Drafting Group agreed to incorporate Australia's proposed definition of "Management" and the "Management Cycle" in the second annotated revision of the *Operational Guidelines* but with amendments in order to also apply to the traditional management concept of non-western cultures. Proposed amendments were prepared by the Drafting Group.

Periodic Reporting

58. The amendments proposed aim to make periodic reporting an integral part of good site management and part of the management cycle. The difficulty of preparing Periodic Reports for some types of heritage such as living cities was acknowledged. The Drafting Group decided to incorporate Australia's proposed definition of "Periodic Reporting" into the revised *Operational Guidelines*.

Reactive Monitoring

59. The Drafting Group hesitated to revise this section due to the outstanding legal and policy issues of the role of State Party consent in reactive monitoring.

60. Using as a starting point Australia's suggested text relating to the objectives and purpose of reactive monitoring reports, the Drafting Group made some progress in drafting new text. However, it was agreed that pending the policy/legal discussion noted above, the existing paragraph 68 would remain. New draft text prepared during the Drafting Group meeting is footnoted for reference given that there was insufficient time for a full discussion of the proposed new wording by the Drafting Group.

The List of World Heritage in Danger

61. The Drafting Group discussed the objectives of the List of World Heritage in Danger and Australia's proposed text in depth. It was agreed that the wording in the *Operational Guidelines* should be drawn from the preamble of the Convention and be positive. The expert from Australia noted that in the spirit of the Convention it is important to seek the co-operation of the States Parties on whose territory a property is located before it is inscribed on the List of World Heritage in Danger.

62. The Drafting Group acknowledged that inscription on the List of World Heritage in Danger should be viewed as both an international expression of concern and a stimulus for support of the State Party in its conservation efforts. After proposing several suggested amendments to the text, it was decided that the issues and proposed different versions of the text, including text for which a consensus was not reached shown in square brackets, be discussed by the Committee in Helsinki.

Deletion from the World Heritage List

63. The Drafting Group agreed that the Committee needed to discuss and decide on the capacity of the Committee and the role of State Party consent for deletion of properties from the World Heritage List. Therefore the Drafting Group did not amend the existing *Operational Guidelines* text on Deletion but decided to place it in square brackets pending the policy/legal decision of the Committee.

IV. INTERNATIONAL ASSISTANCE

64. Part IV of the *Operational Guidelines* "International Assistance" was not reviewed due to lack of time. Furthermore, it was considered that the new structural framework for International Assistance proposed by the Centre at the twenty-fifth session of the Bureau in June 2001 needs to be further discussed and referred to in the revised *Operational Guidelines*. In the first instance however, it is necessary to wait for orientations from the Committee on this point.

V. ACTIVITIES IN SUPPORT OF THE WORLD HERITAGE CONVENTION

65. The Secretariat tabled a proposed revised version of this section of the Draft Annotated Revisions of the *Operational Guidelines* which included the comments received from States Parties and the Advisory Bodies in response to the Circular Letter, as well as the Centre's contributions. In reviewing this section of the *Operational Guidelines* the Drafting Group paid particular attention to the following:

- 1) the deletion of text on Documentation and Storage in Section V which should be integrated in Section II.G.;
- 2) the presentation of Information, Awareness-building and Education under one unique title; and

- 3) the revision of the text on the World Heritage Emblem in view of the development of a Users' Manual by the Centre.

66. In addition, the representatives of the Advisory Bodies recommended that reference be made to the documentation research facilities provided by the Advisory Bodies.

67. Particular reference was made to the need to clarify copyright issues related to the use of photographic material provided by States Parties in the nomination files. The Secretariat specified that this would be achieved upon revision of the photo authorization sheet attached to the Nomination Format.

68. It was agreed that an introductory paragraph should be prepared stating the objectives of the activities in support of the World Heritage Convention, including a reference to Article 5 of the Convention (obligations of the State Party at the national level).

II.7. Recommended follow-up

69. During review of the Draft revised *Operational Guidelines*, the Drafting Group identified a number of issues that require follow-up either at the twenty-fifth session of the World Heritage Committee in Helsinki (December 2001) or by the next meeting of the Drafting Group.

General Recommendations

- (i) The revised *Operational Guidelines* must be more user-friendly. Professional editing, graphic design etc. will be required;
- (ii) Other language versions of the *Operational Guidelines* need to be foreseen (e.g. Spanish, Arabic etc.);
- (iii) Consideration should be given to preparing a revised Glossary of World Heritage Terms;
- (iv) Consideration should be given to the preparation of a guide to the World Heritage Convention and a Charter for World Heritage conservation;
- (v) The Rules of Procedure need to be better referenced in the *Operational Guidelines*; and
- (vi) The Strategic Plan should become a separate document and the World Heritage Committee put this issue on its agenda to be considered in the future.

Specific Recommendations

Legal/Policy issues

The following issues need to be resolved in order to facilitate the revision of the *Operational Guidelines*:

- a) The role of State Party consent in reactive monitoring;
- b) The role of State Party consent for inscription of a property on the List of World Heritage in Danger; and
- c) The capacity of the World Heritage Committee to decide and the role of the State Party to consent to deletion of properties from the World Heritage List.

Statement of "Outstanding Universal Values"

A consensus is required as to whether the protection of a World Heritage property refers to the conservation of all values or just the values identified as outstanding universal World Heritage values (statement of values approved by the Committee)?

Natural and Cultural Criteria

A working group should meet to analyse the natural and cultural criteria in depth and propose alternative text to the World Heritage Committee without holding up the revision and finalisation of the *Operational Guidelines*.

Authenticity and Integrity

ICOMOS and ICCROM should continue the reflection on concrete illustrations for the conditions of authenticity. Australia and Zimbabwe proposed to develop a concept paper on the development of regional training kits to be provided primarily to site managers on how to apply authenticity and integrity.

International Assistance

The new structural framework for International Assistance proposed by the Centre at the twenty-fifth session of the Bureau in June 2001 needs to be further discussed and referenced in the revised *Operational Guidelines* if approved by the Committee.

Follow-up on Past Committee Decisions

The Secretariat should review all past Committee decisions that relate to the *Operational Guidelines* before the World Heritage Committee meeting in Helsinki (December 2001) in order to incorporate them in alternative text to be considered by the World Heritage Committee.¹

Next meeting of the Drafting Group

The next meeting of the Drafting Group could be held from 18-22 March 2002 at UNESCO Headquarters in Paris to review the Annexes and sections of the *Operational Guidelines* still requiring finalisation.

The composition of the next Drafting Group is proposed to be as follows:

- An expert nominated by each State Party that is a Bureau member in 2002;
- The experts nominated by each State Party that were Bureau members in 2001 (Australia, Canada, Morocco and Ecuador) in order to use their experience to finalise the text;
- Representatives from the Advisory Bodies; and
- Other experts as required to be selected by the Director of the World Heritage Centre in consultation with the Chairperson of the World Heritage Committee.

II.8. Closing Session

70. The Director of the World Heritage Centre, Mr Francesco Bandarin thanked the participants of the meeting for the significant progress made during the week. He thanked the members of the Secretariat for organising the meeting and providing support throughout the process. Finally he thanked the interpreters who had worked with the group throughout the meeting. The Drafting Group thanked the Director of the World Heritage Centre for his Chairmanship. The meeting closed at 13.00 on Friday 12 October 2001.

¹ The World Heritage Centre has not been able to prepare this document for Helsinki. However, it will be included in the workplan for early 2002. The Centre suggests that this exercise also include reference to the Resolutions of the General Assembly.

List of Participants

***Drafting Group for the Revision of the
Operational Guidelines for the Implementation of the
World Heritage Convention***

**Room XVI, Miollis, UNESCO Headquarters
8-12 October 2001**

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Agenda and Timetable

***Drafting Group for the Revision of the
Operational Guidelines for the Implementation of the
World Heritage Convention***

Room XVI (Miollis) UNESCO Headquarters
8 - 12 October 2001

MONDAY 8 OCTOBER 2001

- | | |
|-------|--|
| 09:30 | Welcome
<i>Francesco Bandarin, Director, UNESCO World Heritage Centre</i> |
| 09:45 | Introduction by all meeting participants |
| 10:45 | Introduction to the meeting
<i>Francesco Bandarin, Director, UNESCO World Heritage Centre</i> |
| 11:00 | Coffee break |
| 11:30 | Adoption of the agenda and timetable (to include agreement on working method for the Drafting Group) |
| 12:00 | Review of GENERAL COMMENTS received from States Parties on the draft annotated revisions of the <i>Operational Guidelines</i> |
| 12:30 | Lunch |
| 14:30 | Review of SECTION I of the draft annotated revisions of the <i>Operational Guidelines</i> - Introduction |
| 16:15 | Coffee break |
| 16:30 | Review of SECTION I of the draft annotated revisions of the <i>Operational Guidelines</i> - Introduction (continued) |
| 17:30 | End of session |
| 18:00 | Cocktail to be hosted by the Director of the World Heritage Centre
<i>Venue: Bar Miollis</i> |

TUESDAY 9 OCTOBER 2001

- 10:00 Review of **SECTION II** of the draft annotated revisions of the *Operational Guidelines - Establishment of the World Heritage List*
- 11:00 Coffee break
- 11:30 Review of **SECTION II** of the draft annotated revisions of the *Operational Guidelines - Establishment of the World Heritage List* (continued)
- 13:00 Lunch
- 15:00 Review of **SECTION II** of the draft annotated revisions of the *Operational Guidelines - Establishment of the World Heritage List* (continued)
- 16:15 Coffee break
- 16:30 Review of **SECTION II** of the draft annotated revisions of the *Operational Guidelines - Establishment of the World Heritage List* (continued)
- 18:00 End of session

WEDNESDAY 10 OCTOBER 2001

- 10:00 Review of **SECTION III** of the draft annotated revisions of the *Operational Guidelines - Protection and conservation of World Heritage properties*
- 11:00 Coffee break
- 11:30 Review of **SECTION III** of the draft annotated revisions of the *Operational Guidelines - Protection and conservation of World Heritage properties* (continued)
- 13:00 Lunch
- 15:00 Review of **SECTION III** of the draft annotated revisions of the *Operational Guidelines - Protection and conservation of World Heritage properties* (continued)
- 16:15 Coffee break
- 16:30 Review of **SECTION III** of the draft annotated revisions of the *Operational Guidelines - Protection and conservation of World Heritage properties* (continued)
- 18:00 End of session

THURSDAY 11 OCTOBER 2001

- 10:00 Review of **SECTION IV** of the draft annotated revisions of the *Operational Guidelines - International Assistance*
- 11:00 Coffee break
- 11:30 Review of **SECTION IV** of the draft annotated revisions of the *Operational Guidelines - International Assistance* (continued)
- 13:00 Lunch
- 15:00 Review of **SECTION IV** of the draft annotated revisions of the *Operational Guidelines - International Assistance* (continued)
- 16:15 Coffee break
- 16:30 Review of **SECTION IV** of the draft annotated revisions of the *Operational Guidelines - International Assistance* (continued)
- 18:00 Close of session

FRIDAY 12 OCTOBER 2001

- 10:00 Review of **SECTION V** of the draft annotated revisions of the *Operational Guidelines - Activities in support of the World Heritage Convention*
- 11:00 Coffee break
- 11:30 Review of **SECTION V** of the draft annotated revisions of the *Operational Guidelines - Activities in support of the World Heritage Convention* (continued)
- 13:00 Lunch
- 15:00 Concluding session
- 16:15 Coffee break



United Nations Educational, Scientific and Cultural Organization
Organisation des Nations Unies pour l'éducation, la science et la culture

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Ref.: CL/WHC.8/01

20 July 2001

To: All States Parties to the World Heritage Convention

cc: Advisory Bodies to the World Heritage Committee (ICCROM, ICOMOS and IUCN)

Subject: Draft revised *Operational Guidelines for the Implementation of the World Heritage Convention*

Dear Madam/Sir,

I am writing to inform you that the first draft of the revised *Operational Guidelines for the Implementation of the World Heritage Convention* has been completed and is attached for your review and comment. The draft revised *Operational Guidelines* have been prepared in accordance with the proposed new overall framework as discussed at the twenty-fourth session of the World Heritage Committee (Cairns, 2000) (see Annex 1).

The draft revised *Operational Guidelines* are also available in electronic form on the World Heritage Centre's web site (www.unesco.org/whc/opgu/).

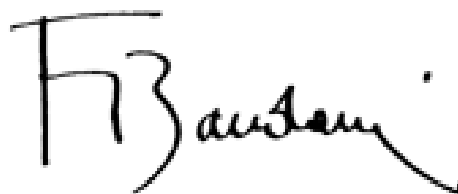
Please provide your comments in writing, in English or French to the World Heritage Center by 7 September, 2001. It would be greatly appreciated if your comments could be sent via e-mail to n.dhumal@unesco.org

It would be useful if your comments and recommended texts to be inserted could make specific reference to the relevant paragraph number in the draft revised *Operational Guidelines*.

If you have any queries relating to the draft revised *Operational Guidelines* and the review process (see Annex II), please do not hesitate to contact me.

Please be assured Madam/Sir, of the assurances of my highest consideration.

Yours sincerely,

A handwritten signature in black ink, reading 'F Bandarin'. The 'F' is large and stylized, with a horizontal bar extending to the left. The 'B' is also large and stylized, with a vertical stem and a curved bottom. The name 'Bandarin' is written in a cursive script.

Francesco Bandarin
Director
UNESCO World Heritage Centre

Attachments: Annex I, Annex II and the first draft of the revised *Operational Guidelines for the Implementation of the World Heritage Convention*.

ANNEX I

EXTRACTS FROM THE WORLD HERITAGE COMMITTEE TWENTY-FOURTH SESSION, REPORT, CAIRNS, AUSTRALIA 27 NOVEMBER - 2 DECEMBER 2000

VI. WORK OF THE WORLD HERITAGE REFORM GROUPS

4. PROPOSED REVISIONS TO THE *OPERATIONAL GUIDELINES*

The Director of the World Heritage Centre thanked English Heritage and the Government of the United Kingdom for having organized, jointly with the UNESCO World Heritage Centre, the International Expert Meeting on the Revision to the *Operational Guidelines* in Canterbury, England, from 10 to 14 April, 2000. He also thanked the Government of the United Kingdom for having offered to provide an additional financial contribution to this important activity in 2001.

Following a report on the results of the Expert Meeting by Christopher Young (United Kingdom), who had chaired the meeting, the Committee decided that *the Operational Guidelines* be restructured according to the proposed new overall framework (WHC-2000/CONF.204/INF.10).

- I INTRODUCTION
- II ESTABLISHMENT OF THE WORLD HERITAGE LIST
- III PROTECTION AND CONSERVATION OF WORLD HERITAGE PROPERTIES
- IV INTERNATIONAL ASSISTANCE
- V ACTIVITIES IN SUPPORT OF THE WORLD HERITAGE CONVENTION

The Committee requested that the *Operational Guidelines* be simplified, streamlined and presented in a user-friendly form with most of the existing and new supporting material to be moved to annexes and other documentation. The Committee asked that the *Operational Guidelines* be organized in a logical way, returning to the fundamental principles of the World Heritage Convention. The revised *Operational Guidelines* will introduce for the first time a consolidated section on the Protection and Conservation of World Heritage Properties.

IUCN welcomed the excellent work done at the Canterbury Expert Meeting to propose a reshaping of the *Operational Guidelines*. IUCN agreed that a comprehensive overhaul of this key document was required rather than the past practice of incremental, ad hoc amendments. IUCN expressed their wish to contribute to a process of revisions and proposed five objectives for the revised *Operational Guidelines*:

1. The integration of cultural and natural criteria while maintaining the current wording of the natural criteria
2. The close link between concepts of integrity and authenticity
3. Stronger emphasis placed on site management
4. Emphasis on reactive monitoring as nothing does more for the credibility of the Convention
5. More creative use of tentative lists.

The Committee decided that the process for revising the *Operational Guidelines* should be co-ordinated by the World Heritage Centre through a collaborative process involving representatives of States Parties, the advisory bodies and the Secretariat. It was agreed that revised *Operational Guidelines* should reflect different regional and cultural perspectives. The Committee agreed to the following phased approach to the revision of the *Operational Guidelines*. The Director of the World Heritage Centre noted that additional human and financial resources would be required for the Centre to co-ordinate this process.

- Phase I** Meeting at UNESCO Headquarters in Paris in January 2001 to define the process for revising the *Operational Guidelines*
- Phase II** Preparation by the Secretariat of a first draft revised text in English and French to reflect all current proposals for revision and showing the source of the proposed revisions
- Phase III** Circulation of the revised text to all States Parties and posting of revised text on the Web
- Phase IV** Contributions in writing from States Parties
- Phase V** Meeting to refine new *Operational Guidelines*, section by section
- Phase VI** Submission of revised *Operational Guidelines* to the twenty-fifth session of the World Heritage Committee in 2001 for decision.

ANNEX II

EXTRACT FROM THE REPORT OF THE RAPPORTEUR, BUREAU OF THE WORLD HERITAGE COMMITTEE, TWENTY-FIFTH SESSION, PARIS, UNESCO HEADQUARTERS, 25-30 JUNE 2001

III. REPORT OF THE ACTIVITIES UNDERTAKEN BY THE SECRETARIAT SINCE THE TWENTY-FOURTH SESSION OF THE COMMITTEE

III.51 The Bureau agreed that the first compilation of the *Operational Guidelines* that has been prepared by the Centre would be posted on the Centre's web site (www.unesco.org/whc/opgu/) and distributed to States Parties for comment in July 2001. Comments from States Parties (to be provided in writing in English or French) should be submitted to the Centre by 7 September 2001. An information meeting will be organized at UNESCO Headquarters by the Centre in September/October to inform States Parties of issues to be discussed at the forthcoming sessions of the General Assembly and World Heritage Committee. The Centre will inform the information meeting of progress with the preparation of the revised *Operational Guidelines* and provide a brief overview of the comments received from the States Parties.

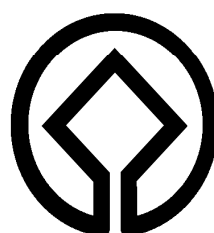
III.52 A meeting of a small Drafting Group to prepare the revision of the *Operational Guidelines* will be held at UNESCO Headquarters from 8 to 12 October 2001 instead of 10-14 September 2001 as originally arranged. The Drafting Group will include an expert nominated by each of the seven members of the Bureau, a representative from each of the Advisory Bodies and depending on the other expertise required, three additional experts to be defined by the Director of the World Heritage Centre in consultation with the Chair and at least two representatives of the Centre. The revised *Operational Guidelines* will be submitted for discussion and decision to the twenty-fifth session of the Committee in Helsinki (2001). If necessary an additional meeting to prepare the revised *Operational Guidelines* for publication could be held either before or after the Bureau session in April 2002 and, if necessary, at the twenty-sixth session of the Committee in Budapest, Hungary. On an exceptional basis, the Bureau decided to allocate the sum of US\$30,000 from the World Heritage Fund in 2001 (Chapter III – International Assistance) for the organisation of the meeting of the Drafting Group.

2ND DRAFT ANNOTATED REVISIONS

Operational Guidelines for the Implementation of the World Heritage Convention

**UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND
CULTURAL ORGANISATION**

**INTERGOVERNMENTAL COMMITTEE
FOR THE PROTECTION OF THE
WORLD CULTURAL AND NATURAL HERITAGE**



**PATRIMOINE MONDIAL
WORLD HERITAGE
PATRIMONIO MUNDIAL**

UNESCO WORLD HERITAGE CENTRE

KEY

Bold	indicates new text
Footnotes	indicate the source of the text text beginning with "Footnote:" indicates a footnote that will remain in the final revised <i>Operational Guidelines</i>
[Text in square brackets]	text where the October 2001 Drafting Group identified policy/legal issues requiring the discussion and decision of the World Heritage Committee

DISCLAIMER

Nothing in this document shall be construed to nullify or otherwise negatively affect the current *Operational Guidelines* (WHC.99/2 March 1999) or any past actions of the World Heritage Committee or its Bureau. Furthermore, any proposed changes to the *Operational Guidelines* identified in this document will not become operational until adopted by the World Heritage Committee.

The *Operational Guidelines* (in English and French), the text of the *World Heritage Convention* (in five languages), and other documents and information concerning World Heritage are available from the Secretariat :

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7, place de Fontenoy
75352 Paris 07 SP
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Tel : +33 (0)1 45 68 18 76
Fax : +33 (0)1 45 68 55 70
E-Mail : wh-info@unesco.org
www : <http://www.unesco.org/whc/>
<http://www.unesco.org/whc/opgutoc.htm> (*English*)
<http://www.unesco.org/whc/fr/orintoc.htm> (*Français*)

Draft Annotated Revisions of the *Operational Guidelines* were prepared by the UNESCO World Heritage Centre and circulated for comment to all States Parties by Circular Letter (CL/WHC.8/01) dated 20 July 2001. The Draft Annotated Revisions, the Circular Letter and the responses from States Parties are available on the World Heritage Centre's website at <http://www.unesco.org/whc/opgu/>

The 2nd Draft Annotated Revisions of the *Operational Guidelines* were prepared during a meeting of the Drafting Group on the Revision of the *Operational Guidelines* (UNESCO Headquarters, 8-12 October 2001).

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Annex 3	Typology of properties ⁵
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Annex 8	Evaluation procedures of ICOMOS and IUCN ¹⁰
Annex 9	Process of Periodic Reporting and Format and explanatory notes ¹¹
Annex 10	Process of reactive monitoring ¹²
Annex 11	Inclusion on and treatment of properties on the List of World Heritage in Danger ¹³
Annex 12	Deletion of a property from the World Heritage List ¹⁴
Annex 13	International Assistance ¹⁵

² **The Annexes were not examined in detail by the October 2001 Drafting Group as draft annotated revised annexes had not been circulated to all States Parties and Advisory Bodies for comment with the Circular Letter prior to the meeting. It was determined that the next Drafting Group meeting proposed to be held in March 2002 could examine the Annexes in detail after draft annotated versions have been circulated for comment.**

³ **October 2001 Drafting Group proposed that the full text of the *Convention* be annexed.**

⁴ This form already exists.

⁵ Note: Text needs to be developed for both natural and cultural heritage, including the existing texts on towns, cultural landscapes (cross reference in text), as well as texts from Expert Meetings on canals, itineraries etc.

⁶ The World Heritage Centre has revised this form.

⁷ Note: Text to include *Nara Document on Authenticity* and reference to text from La Vanoise on integrity. *Nara Document on Authenticity* currently included in Nomination Form to be moved to this Annex.

⁸ Note: Text to include legal and/or contractual protection (legislation), traditional protection, management mechanisms, planning mechanisms, management and conservation planning, buffer zone, boundaries, management and conservation planning, accessibility to the public.

⁹ Note: Text to include reference to the Expert Meeting on digital and cartographic guidelines for World Heritage nominations and state of conservation reports, London 1999 and clear indications of deadlines for referral, deferral, re-nomination and rejection (with graphics).

The World Heritage Centre has revised this Annex in consultation with IUCN and ICOMOS.

¹⁰ ICOMOS and IUCN have prepared the text of this Annex.

¹¹ This form already exists.

¹² New text will be prepared by the World Heritage Centre in consultation with the Advisory Bodies in preparation for the next meeting of the Drafting Group.

¹³ New text will be prepared by the World Heritage Centre in consultation with the Advisory Bodies in preparation for the next meeting of the Drafting Group.

¹⁴ New text will be prepared by the World Heritage Centre in consultation with the Advisory Bodies in preparation for the next meeting of the Drafting Group.

¹⁵ Application forms for the Organisation of Training Activities, Requests for Emergency Assistance, Request for Preparatory Assistance and Technical Assistance already exist. These forms will be reviewed and any new

Annex 14 Guidelines and Principles for the Use of the World Heritage Emblem¹⁶

BIBLIOGRAPHY/SELECT READING LIST¹⁷

WWW/INTERNET RESOURCES¹⁸

LIST OF ACRONYMS¹⁹

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forms, information and/or criteria will be developed by the World Heritage Centre in consultation with the Advisory Bodies in preparation for the next meeting of the Drafting Group.

¹⁶ Annex 2 and 3 of the March 1999 *Operational Guidelines*.

¹⁷ A Bibliography/Select Reading List will be compiled by the World Heritage Centre in consultation with the Advisory Bodies in preparation for the next meeting of the Drafting Group.

¹⁸ A list of world wide web/internet resources will be compiled by the World Heritage Centre in consultation with the Advisory Bodies in preparation for the next meeting of the Drafting Group.

¹⁹ A list of Acronyms will be compiled by the World Heritage Centre in preparation for the next meeting of the Drafting Group.

²⁰ The index to the revised *Operational Guidelines* will be prepared by the World Heritage Centre prior to finalisation of the revised *Operational Guidelines*.

I. INTRODUCTION

A. Purpose of the *Operational Guidelines*

Users and Target Audiences of the *Operational Guidelines*

1. The key users and target audiences of the *Operational Guidelines* are the States Parties to the *Convention concerning the Protection of the World Cultural and Natural Heritage*, hereinafter referred to as "*the Convention*", partners in site management, members of the World Heritage Committee, the Advisory Bodies (ICOMOS, IUCN and ICCROM) and the UNESCO World Heritage Centre as Secretariat.²¹

Principles and Procedures to Guide the Implementation of the *World Heritage Convention*

2. These *Operational Guidelines* have been prepared for the purpose of **providing information** on the principles and procedures which guide the work of the **World Heritage** Committee in establishing the World Heritage List and the List of World Heritage in Danger and in granting international assistance under the World Heritage Fund. These *Guidelines* also provide details on **reactive monitoring, periodic reporting, site management** and other **issues** which relate to the implementation of the *Convention*.²²

B. Introduction to the *World Heritage Convention*

Purpose

3 . The cultural and natural heritage **is** among the priceless and irreplaceable possessions, not only of each nation, but of **humanity** as a whole. The loss, through deterioration or disappearance, of any of these most prized possessions constitutes an impoverishment of the heritage of all the peoples **of** the world. Parts of that heritage, because of their exceptional qualities, can be considered to be of Outstanding Universal Value and as such worthy of special protection against the dangers which increasingly threaten them.²³

4 . In an attempt to remedy this perilous situation and to ensure, as far as possible, the proper identification, protection, conservation and presentation of the world's irreplaceable heritage, the Member States of UNESCO adopted in 1972 the *World Heritage Convention (Annex 1)*²⁴. The *Convention* complements heritage conservation programmes at the **international and national levels** and provides for the establishment of a "World Heritage Committee" and a "World Heritage Fund". Both the Committee and the Fund have been in operation since 1976.²⁵

General Principles²⁶

5. The following general principles guide the implementation of the *Convention*:

(i) The *Convention* provides for the protection of those properties deemed to be of Outstanding Universal Value. It is not intended to provide for the protection of all properties of great interest, importance or value, but only for a select list of the most outstanding of these from an

²¹ Canterbury expert meeting 2000 (WHC-2000/CONF.202/9) recommended that new text be added. **Text proposed by the Drafting Group in October 2001.**

²² **Paragraph 4 of the March 1999 *Operational Guidelines* with amendments proposed by the Drafting Group in October 2001.**

²³ Paragraph 1 of the March 1999 *Operational Guidelines*.

²⁴ **Additional annex proposed by the Drafting Group in October 2001.**

²⁵ Paragraph 2 of the March 1999 *Operational Guidelines*.

²⁶ **Amendments to this entire paragraph proposed by the Drafting Group in October 2001.**

international viewpoint. The cultural and natural **heritage** is defined by Articles 1 and 2 of the *Convention*.

(ii) The criteria **and qualifying conditions** for the inclusion of properties in the World Heritage List have been **developed** to enable the Committee to act with full independence in evaluating the **Outstanding Universal Value** of properties **and to guide States Parties in the implementation of the *Convention***.²⁷

(iii) **Nominations shall not be presented to the Committee** until evidence of the full commitment of the **State Party**, within its means, is demonstrated (**see Paragraphs 61-67 and Annex 5**). Evidence **shall** take the form of **necessary technical and administrative measures to protect the property and its values**.²⁸

(iv) Efforts will be made to maintain a reasonable balance between cultural and natural heritage on the **World Heritage List**.²⁹

(v) Properties are included in the World Heritage List according to an **incremental** process. No formal limit is imposed on the **total** number of properties **to be** included in the **World Heritage List**.³⁰

(vi) In order to make the **World Heritage List** universally representative, the Committee invites States Parties to consider whether their heritage is already well represented on the List and if so to slow down **voluntarily** their rate of submission of further nominations by:

- (a) **spacing voluntarily**³¹ **their nominations according to conditions that they will define;**
- (b) **proposing only properties falling into categories still under-represented;**
- (c) **linking each of their nominations with a nomination presented by a State Party whose heritage is under-represented; or**
- (d) **deciding, on a voluntary basis, to suspend the presentation of new nominations**.³²

(vii) The Committee **encourages** States Parties whose heritage is **under** represented on the **World Heritage List to submit nominations**. **These States Parties may give priority to the preparation of tentative lists and nominations, initiate and consolidate partnerships at the regional level. They may also encourage bilateral and multilateral co-operation so as to increase their expertise and the technical capacities of institutions in charge of the protection, safeguarding and management of their heritage and participate, as much as possible, in the meetings of the World Heritage Committee**.³³

(viii) When a property is **threatened by serious and specific dangers**³⁴ **[the Committee will consider placing it on the List of World Heritage in Danger**.³⁵ **When the values of the**

²⁷ Adapted from 2nd sentence of Paragraph 6(i) of the March 1999 *Operational Guidelines*.

²⁸ Adapted from paragraph 6 (v) of the March 1999 *Operational Guidelines*.

²⁹ Paragraph 6(iii) of the March 1999 *Operational Guidelines*.

³⁰ Paragraph 6(iv) of the March 1999 *Operational Guidelines*.

³¹ **Note from the Secretariat: The October 2001 Drafting Group proposed that the repetition of the word "voluntarily" should be removed. As the wording here is derived from the Resolution of the 12th General Assembly in 1999 the Secretariat considers that it should remain.**

³² **Adapted from Paragraph 6(vii) of the March 1999 *Operational Guidelines* with the addition of text from the Resolution of the Twelfth General Assembly 1999 proposed for insertion by the October 2001 Drafting Group.**

³³ Paragraph 6(vii) of the March 1999 *Operational Guidelines* **with the addition of text from the Resolution of the Twelfth General Assembly 1999 proposed for insertion by the October 2001 Drafting Group.**

³⁴ **Footnote: Article 11(4) of the *World Heritage Convention*.**

property are destroyed, the Committee will consider deleting it from the World Heritage List.^{36]}

C. Definition of World Heritage

"Outstanding Universal Value"

6. Articles 1 and 2 of the *Convention* specify that the cultural and natural heritage must be of "Outstanding Universal Value".³⁷

7. "Outstanding Universal Value" is taken to mean cultural and/or natural significance which is so exceptional at the international level that its permanent protection is important to humanity as a whole. Properties must be of Outstanding Universal Value to be inscribed on the World Heritage List.³⁸

Definition of World Heritage

8. The criteria for including properties in the World Heritage List should be applied in a way that is consistent with the definition of the cultural and natural heritage set out in Articles 1 and 2 of the *Convention*, as reproduced below.³⁹

Article 1

For the purposes of this Convention, the following shall be considered as "cultural heritage";

monuments: architectural works, works of monumental sculpture and painting, elements or structures of an archaeological nature, inscriptions, cave dwellings and combinations of features, which are of outstanding universal value from the point of view of history, art or science;

groups of buildings: groups of separate or connected buildings which, because of their architecture, their homogeneity or their place in the landscape, are of outstanding universal value from the point of view of history, art or science;

sites: works of man or the combined works of nature and of man, and areas including archaeological sites which are of outstanding universal value from the historical, aesthetic, ethnological or anthropological points of view.⁴⁰

³⁵ Footnote: Article 11 of the *World Heritage Convention*.

³⁶ The October 2001 Drafting Group did not reach agreement on the wording included within the square brackets.

Issue to be further discussed – is there authority under the *Convention* for deletion from the World Heritage List?

In September 2000 Australia recommended the following text:

"When a property appearing in the World Heritage list requires major operations for its conservation for which assistance has been requested by the relevant State Party in terms of provisions under the *Convention*, the Committee may place it on the List of World Heritage in Danger. The List may only include properties threatened by serious and specific dangers as outlined in Article 11. Properties may only be listed as in Danger with the agreement of the State Party."

³⁷ Canterbury expert meeting 2000 (WHC-2000/CONF.202/9) recommended that new text be developed. Text suggested by Australia on 11 March 2001.

³⁸ Text proposed by October 2001 Drafting Group.

³⁹ October 2001 Drafting Group proposed that in this instance it is important to quote directly from the *Convention*.

⁴⁰ Paragraph 23 of the March 1999 *Operational Guidelines*.

Article 2

For the purposes of this Convention, the following shall be considered as "natural heritage":

natural features consisting of physical and biological formations or groups of such formations, which are of outstanding universal value from the aesthetic or scientific point of view;

geological and physiographical formations and precisely delineated areas which constitute the habitat of threatened species of animals and plants of outstanding universal value from the point of view of science or conservation;

*natural sites or precisely delineated natural areas of outstanding universal value from the point of view of science, conservation or natural beauty.*⁴¹

D. Roles and Responsibilities

Ratification of the World Heritage Convention⁴²

9. States who are members of UNESCO may ratify the Convention⁴³. States who are not members of UNESCO may be invited to accede to the Convention⁴⁴. For any new State Party, the Convention will enter into force three months after the original instrument of ratification, acceptance or accession is deposited with UNESCO⁴⁵. The complete list of States Parties to the Convention may be found at <http://www.unesco.org/whc/wrldrat.htm>⁴⁶

10. A model instrument for ratification/acceptance is included as Annex 2 and is also available from the UNESCO World Heritage Centre and at the web site <http://www.unesco.org/whc/archive/modelrat.htm>

States Parties⁴⁷

11. States Parties to the Convention should provide the Secretariat with the name and address of the governmental organization(s) primarily responsible for the implementation of the Convention, so that copies of all official correspondence and documents can be sent by the Secretariat to these focal points as appropriate. A list of these addresses will be placed on the World Heritage Centre's web site at <http://www.unesco.org/whc/sp/>.⁴⁸ States Parties are encouraged to publicize this information nationally.

⁴¹ Paragraph 43 of the March 1999 Operational Guidelines.

⁴² Canterbury expert meeting 2000 (WHC-2000/CONF.202/9) recommended that this section follow the section on "States Parties". The October 2001 Drafting Group considered it more logical that the "Ratification of the World Heritage Convention" come first. The text for new Paragraph 9 derives from the Convention as proposed by the October 2001 Drafting Group.

⁴³ Footnote: Article 31 of the World Heritage Convention.

⁴⁴ Footnote: Article 32 of the World Heritage Convention.

⁴⁵ Footnote: Article 33 of the World Heritage Convention.

⁴⁶ Revisions proposed by the October 2001 Drafting Group.

⁴⁷ Canterbury expert meeting 2000 (WHC-2000/CONF.202/9) recommended that Paragraph 3 of the March 1999 Operational Guidelines be inserted here. The October 2001 Drafting Group considered that Paragraph 3 of the March 1999 Operational Guidelines is best inserted with reference to the roles of the World Heritage Committee (see new Paragraph 15 - 21).

⁴⁸ Paragraph 126 (b) of the March 1999 Operational Guidelines with revisions proposed by the October 2001 Drafting Group.

12. States Parties to the *Convention* should convene at regular intervals at the national level a joint meeting of those persons responsible for natural and cultural heritage in order that they may discuss matters pertaining to the implementation of the *Convention*.⁴⁹

Obligations under the *World Heritage Convention*⁵⁰

13. 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 duty of the international community to cooperate in the protection of this heritage. States Parties, in ratifying the *World Heritage Convention*, have the obligation to:

- (i) ensure the identification, protection, conservation, presentation, and transmission to future generations of the cultural and natural heritage found within their territory⁵¹, and give help in these tasks to other States Parties that request it;
- (ii) adopt general policies to give the heritage a function in the life of the community⁵²;
- (iii) integrate heritage protection into comprehensive planning programmes⁵³;
- (iv) set up services for the protection, conservation and presentation of the heritage⁵⁴;
- (v) develop scientific and technical studies aimed at counteracting the dangers that threaten the heritage⁵⁵;
- (vi) take appropriate legal, scientific, technical, administrative, and financial measures to protect the heritage⁵⁶;
- (vii) foster the establishment or development of national or regional centres for training in the protection, conservation and presentation of the heritage and encourage scientific research in these fields⁵⁷;
- (viii) submit to the World Heritage Committee an inventory of properties suitable for inclusion on the World Heritage List (commonly referred to as a Tentative List)⁵⁸;
- (ix) not take any deliberate measures that directly or indirectly damage the heritage⁵⁹; and

⁴⁹ Paragraph 126 (c) of the March 1999 *Operational Guidelines* with revisions proposed by the October 2001 Drafting Group.

⁵⁰ This entire section of the text was proposed by the October 2001 Drafting Group.

⁵¹ Footnote: Article 4 of the *World Heritage Convention*.

⁵² Footnote: Article 5(a) of the *World Heritage Convention*.

⁵³ Footnote: Article 5(a) of the *World Heritage Convention*.

⁵⁴ Footnote: Article 5(b) of the *World Heritage Convention*.

⁵⁵ Footnote: Article 5(c) of the *World Heritage Convention*.

⁵⁶ Footnote: Article 5(d) of the *World Heritage Convention*.

⁵⁷ Footnote: Article 5(e) of the *World Heritage Convention*.

⁵⁸ Footnote: Article 11(1) of the *World Heritage Convention*.

⁵⁹ Footnote: Article 6(3) of the *World Heritage Convention*.

- (x) provide information on the state of conservation of properties in the context of reactive and periodic reporting.⁶⁰

General Assembly of States Parties

14. The General Assembly of States Parties to the *Convention* meets during the sessions of the General Conference of UNESCO. It determines the uniform percentage of contributions to the World Heritage Fund applicable to all States Parties and elects members to the World Heritage Committee. The General Assembly receives reports from the World Heritage Committee on its activities. The General Assembly makes policy and administrative decisions and submits reports to the General Conference of UNESCO.⁶¹

World Heritage Committee

15. The Committee normally meets once a year, in June.⁶²

16. The essential functions of the Committee are to:⁶³

- (i) identify, on the basis of nominations submitted by States Parties, cultural and natural properties of Outstanding Universal Value which are to be protected under the *Convention* and to list those properties on the World Heritage List;
- (ii) monitor the state of conservation of properties inscribed on the World Heritage List, in liaison with the States Parties;
- (iii) decide which properties included in the World Heritage List are to be inscribed on the List of World Heritage in Danger;⁶⁴
- (iv) determine **how** the resources **of** the World Heritage Fund can most advantageously be used to assist States Parties in the protection of their properties of Outstanding Universal Value;⁶⁵ and

[(v) **decide whether a property may be deleted from the World Heritage List**]⁶⁶

17. The Committee decisions **will** be based on **objective and scientific** considerations, and any appraisal made on its behalf must be thoroughly and responsibly carried out. **The Committee** recognizes that objective and **scientific** decisions depend upon:

- carefully prepared **documentation**,

⁶⁰ Footnote: Article 29 of the *World Heritage Convention*.

⁶¹ Footnote: Articles 8(1), 16(1), 29(1) of the *World Heritage Convention*.

Proposed by the Drafting Group October 2001.

⁶² Text proposed by the October 2001 Drafting Group.

⁶³ Paragraph 3 of the *Operational Guidelines* with amendments proposed by the October 2001 Drafting Group.

⁶⁴ Footnote: Article 11 of the *World Heritage Convention*.

Amendment to Paragraph 3(iii) of the March 1999 *Operational Guidelines* proposed by the October 2001 Drafting Group.

⁶⁵ Amendments proposed by the October 2001 Drafting Group.

⁶⁶ The October 2001 Drafting Group did not reach agreement on the wording included within the square brackets.

Issue to be further discussed – is there authority under the *World Heritage Convention* to delete a property from the World Heritage List when the values for which it was inscribed are completely destroyed?

- thorough **and consistent** procedures, and
- evaluation by qualified experts and the use of expert referees.⁶⁷

18. The Committee, deeply concerned with maintaining a balance in the number of experts from the natural and cultural fields, urges that every effort be made by **States members of the Committee to choose as their representatives persons qualified in the field of cultural or natural heritage.**⁶⁸

19. The Committee conducts its work according to its *Rules of Procedure*, available as document WHC/1 and at <http://www.unesco.org/whc/archive/rules.htm>⁶⁹

20. The Committee **may** constitute sub-committees during its regular sessions to examine selected items of business referred to them **to report and make** recommendations to the full Committee for action.⁷⁰

21. The Committee **may** at any time invite to its meetings public or private bodies or individuals who would attend as observers **to** augment the expertise available to it **and for consultation on particular problems.**⁷¹

Financial assistance for participation of experts

22. In order to ensure a fair representation within the Committee of the various geographical and cultural areas, the Committee **allocates** in its budget a sum intended to cover the cost of participation, in its sessions and sessions of its Bureau, of representatives of States members of the Committee, **and, if the budget allows, non-members of the Committee and non States Parties**, but only for persons who are experts in cultural or natural heritage.⁷²

23. Requests for assistance to participate in the Bureau and Committee meetings should reach the Secretariat at least four weeks before the session concerned. These requests will be considered **within** the resources available as decided by the Committee, in decreasing order of **GNP income** of each State member of the Committee, and primarily for one representative from each State. In no event may the Fund finance more than two representatives by State, who must in this case be one expert in the natural and one in the cultural heritage field. **Subsequently, other requests will be considered.**⁷³

⁶⁷ Paragraph 5 of the March 1999 *Operational Guidelines* with amendments proposed by the Drafting Group in October 2001.

⁶⁸ Footnote: Article 9(3) of the *World Heritage Convention*.

Amendment proposed by the October 2001 Drafting Group.

⁶⁹ Paragraph 129 of the March 1999 *Operational Guidelines* with amendments proposed by the October 2001 Drafting Group.

⁷⁰ Footnote: Article 10(3) of the *World Heritage Convention*.

Paragraph 131 of the March 1999 *Operational Guidelines* with amendments proposed by the Drafting Group in October 2001.

⁷¹ Footnote: Article 10(2) of the *World Heritage Convention*.

Paragraph 126(f) of the March 1999 *Operational Guidelines* with amendments proposed by the Drafting Group in October 2001.

⁷² Paragraph 133 of the March 1999 *Operational Guidelines* with amendments proposed by the October 2001 Drafting Group.

⁷³ Paragraph 134 of the March 1999 *Operational Guidelines* with amendments proposed by the October 2001 Drafting Group.

Bureau of the World Heritage Committee

24. The Committee organizes its work by delegating some tasks to the Bureau. The Bureau co-ordinates the work of the Committee and fix the dates, hours and order of business of meetings. The Bureau consists of the Chairperson, the five Vice-Chairpersons and the Rapporteur. The Vice-Chairpersons and the Rapporteur shall assist the Chairperson in carrying out his/her duties.⁷⁴ It is preferable that cultural and natural experts from the Bureau be present at Bureau meetings.⁷⁵

25. The Bureau **normally** meets **once** a year, in **April** preceding the Committee's session. The Bureau **may** meet as necessary during the Committee's session.⁷⁶

Advisory Bodies to the World Heritage Committee⁷⁷

26. The Advisory Bodies to the World Heritage Committee are the International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM), the International Council on Monuments and Sites (ICOMOS), and the World Conservation Union (IUCN).

27. The roles of the Advisory Bodies are to:

- (i) attend meetings of the World Heritage Committee and the Bureau in an advisory capacity;⁷⁸
- (ii) assist the Committee in the implementation of its programmes and projects;⁷⁹
- (iii) assist the Secretariat in the preparation of the Committee's documentation and the agenda of its meetings and the implementing of the Committee's decisions;⁸⁰ and
- (iv) assist with the intellectual development of the *Convention* including the implementation of the Global Strategy.

28. ICCROM is an intergovernmental organization set up by UNESCO in 1956. Its specific role in relation to the *Convention* includes: being the priority partner in training for cultural heritage properties, monitoring the state of conservation of World Heritage properties, and reviewing requests for international assistance submitted by States Parties.

29. ICOMOS is a non-governmental organization founded in 1965. Its specific role in relation to the *Convention* includes: evaluation of properties recommended for inscription on the World Heritage List using cultural criteria, monitoring the state of

⁷⁴ Footnote: Rule 13 of the *Rules of Procedure*.

Additional text proposed by the October 2001 Drafting Group.

⁷⁵ Paragraph 126 (e) of the March 1999 *Operational Guidelines* with amendments proposed by the October 2001 Drafting Group.

⁷⁶ Paragraph 132 of the March 1999 *Operational Guidelines* amended to refer to the new cycle of World Heritage statutory meetings as approved by the Committee at its twenty-fourth session (Cairns, 2000). Amendments proposed by the October 2001 Drafting Group.

⁷⁷ Text proposed by the October 2001 Drafting Group.

⁷⁸ Footnote: Article 8.3 of the *World Heritage Convention*.

⁷⁹ Footnote: Article 13.7 of the *World Heritage Convention*.

⁸⁰ Footnote: Article 14.2 of the *World Heritage Convention*.

conservation of World Heritage properties, and reviewing requests for international assistance submitted by States Parties.

30. IUCN, established in 1948, is an international organization with governmental and non governmental members, with United Nations Observer status. Its specific role in relation to the *Convention* includes: evaluation of properties recommended for inscription on the World Heritage List using natural criteria, provision of advice on Cultural Landscapes, monitoring the state of conservation of World Heritage properties, reviewing requests for international assistance submitted by States Parties, and providing input and support for capacity building activities.

Secretariat to the World Heritage Committee⁸¹

31. The World Heritage Committee is assisted by a Secretariat appointed by the Director-General of UNESCO⁸². The Secretariat is provided by the UNESCO World Heritage Centre, established in 1992 specifically for this purpose. The World Heritage Centre works in close co-operation with the Culture, Science, Social Science, Education and Communication Sectors and many Field Offices of UNESCO. The World Heritage Centre's main tasks in the implementation of the *Convention* are:

- a) the organization of the meetings of the statutory bodies of the World Heritage *Convention* (General Assembly, Committee, Bureau);
- b) the receipt, registration, and archiving of nominations to the World Heritage List;
- c) co-ordination of studies and activities as part of the Global Strategy;
- d) the organization of the periodic and reactive monitoring process;
- e) the co-ordination of international assistance; and
- f) the promotion of World Heritage and the *Convention* and the dissemination of information to the public and to States Parties.

These activities follow the orientations expressed by the World Heritage Committee and are conducted in close co-operation with the Advisory Bodies⁸³.

Partners in the protection of World Heritage

32. Partners in the protection of World Heritage are those individuals and other stakeholders, especially local communities, governmental, non-governmental and private organizations who have an interest and involvement in World Heritage property management. A partnership approach to nomination, management and monitoring provides a significant contribution to the protection of World Heritage properties and the implementation of the *Convention*.⁸⁴

⁸¹ The Canterbury expert meeting 2000 (WHC-2000/CONF.202/9) recommended that new text be developed by referring to the World Heritage Centre and other sectors and field offices of UNESCO.

⁸² Footnote: Article 14 of the *World Heritage Convention*.

⁸³ New text proposed by October 2001 Drafting Group.

⁸⁴ New text proposed by the October 2001 Drafting Group with reference to Paragraph 14 of the March 1999 *Operational Guidelines*.

Other Conventions and Recommendations

33. The World Heritage Committee has recognized the collective interest that would be advanced by closer coordination of its work with other international conservation instruments **and relevant UNESCO Recommendations**. These include:

- the **1949 Geneva Conventions**,
- the **1954 Hague Convention (the Convention for the Protection of Cultural Property in the Event of Armed Conflict (the 'Hague Convention') and its two protocols (1954, 1999)**,
- the **Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property (1970)**,
- **The UNIDROIT Convention on stolen or illegally exported cultural objects (1995)**,
- the **Convention on wetlands of international importance especially as waterfowl habitat (Ramsar, 1971)**,
- the **Convention on Biological Diversity (CBD, 1992)**,
- the **Convention on Migratory Species of Wild Animals (CMS, 1979)**,
- the **Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES, 1973)**,
- the **Man and the Biosphere Programme (MAB) of UNESCO**,
- the **UN Framework Convention on Climate Change (1992)**, and
- **other international conservation instruments**.

The Committee **may** invite representatives of the intergovernmental bodies under related conventions to attend its meetings as observers. Similarly, the Secretariat **may** appoint a representative to observe meetings of the other intergovernmental bodies upon receipt of an invitation.⁸⁵

Other Organizations

34. The Committee may call on other international and non-governmental organizations to assist in the implementation of its programme and projects.⁸⁶

35. The World Heritage Centre will ensure appropriate coordination and information-sharing between the Committee and other conventions, programmes and international organizations related to the conservation of cultural and natural heritage.⁸⁷

⁸⁵ Paragraph 139 of the March 1999 *Operational Guidelines* with amendments proposed by the October 2001 Drafting Group.

⁸⁶ Footnote: Article 13.7 of the *World Heritage Convention*.

⁸⁷ Paragraph 139 of the March 1999 *Operational Guidelines* with amendments proposed by the October 2001 Drafting Group.

II. ESTABLISHMENT OF THE WORLD HERITAGE LIST

A. The Global Strategy for a Balanced and Representative World Heritage List

Introduction to the Global Strategy for a Balanced and Representative World Heritage List

36. The Global Strategy takes the form of an action programme designed to identify the major gaps relating to types of properties, themes, regions of the world, cultures, periods, and biogeographical provinces (see Annex 3). States Parties and the Advisory Bodies are encouraged to participate in the implementation of the Global Strategy in co-operation with the UNESCO World Heritage Centre and other partners.⁸⁸ Regional and thematic Global Strategy meetings and comparative and thematic studies have been organized for this purpose.

37. The “Global Strategy for a representative and balanced World Heritage List”⁸⁹ was initially developed with reference to cultural heritage. At the request of the World Heritage Committee, the Global Strategy was subsequently expanded to also include reference to natural heritage and heritage of combined cultural and natural value.⁹⁰

38. In order to ensure a representative, balanced and credible World Heritage List, the Global Strategy seeks to increase the types of heritage inscribed on the List and also the regional representation of this heritage. It does this by encouraging more countries to become States Parties to the *Convention* and by encouraging States Parties to develop tentative lists, harmonise them, and to prepare nominations of properties from categories and regions currently not well represented on the World Heritage List.⁹¹

Principles for comparative assessment

39. On the basis of a review of the Tentative Lists (see Section B below), the Advisory Bodies, in cooperation with the Secretariat and States Parties, will carry out comparative analyses of existing and potential World Heritage properties. This will be undertaken on a chronological, geographical, typological and thematic basis. Global overviews of the current representation of existing World Heritage properties will be used to inform new nominations where no comparative analysis has been undertaken, and will assist in developing a representative World Heritage List.⁹²

B. Tentative Lists⁹³

40. The Global Strategy is supported by a continuous process of identification of the heritage of all States Parties. The elements of that heritage which States Parties consider suitable for inclusion in the World Heritage List are identified in the Tentative List, an inventory of those properties⁹⁴ which each State Party intends to consider for nomination during the following five to ten years. These Tentative Lists, which shall not be considered exhaustive, assist the Committee to develop a representative World Heritage List by enabling a comparison of themes, regions, geo-cultural groupings and bio-geographic provinces for prospective World Heritage properties. To this end,

⁸⁸ Text presented to the Bureau in 1999 (WHC-99/CONF.204/10).

⁸⁹ **Footnote: Adopted by the World Heritage Committee at its eighteenth session in December 1994.**

⁹⁰ Text presented to the Bureau in 1999 (WHC-99/CONF.204/10) with amendments proposed by the Drafting Group in October 2001.

⁹¹ Text presented to the Bureau in 1999 (WHC-99/CONF.204/10) with amendments proposed by the Drafting Group in October 2001.

⁹² **New text proposed by the Drafting Group October 2001.**

⁹³ **New text proposed by the October 2001 Drafting Group.**

⁹⁴ **Footnote: Article 11(1) of the *World Heritage Convention*.**

States Parties are encouraged to prepare their Tentative Lists with the participation of a wide variety of stakeholders, including site managers, local and regional governments, local communities, non-governmental organizations, and other interested parties.

41. Nominations will not be considered unless the nominated property has already been included on the State Party's Tentative List.⁹⁵

42. In cases where a nomination is presented under emergency circumstances⁹⁶, the requirement of entry on the Tentative List prior to submission of the nomination may be waived.

43. States Parties are requested to submit the properties on their Tentative Lists in a standard form (see Annex 4), in English or French, containing the name of the property, its geographical location, a brief description of the property, and justification of its "Outstanding Universal Value".

44. Tentative Lists are used as a planning tool. States Parties shall submit Tentative Lists to the World Heritage Centre, preferably at least one year prior to the submission of any nomination, in so far as possible. States Parties should re-examine and re-submit their Tentative List at least every five to ten years.

45. If all information has been provided, the property will be registered in the World Heritage Centre's Tentative List database and transmitted to the relevant Advisory Body for information. A summary of all Tentative Lists is annually presented to the Committee. When a property on a Tentative List has been inscribed on the World Heritage List, the Tentative List will be updated and notification of the change sent to the State Party concerned.

46. Assistance is available to States Parties for the purpose of preparing Tentative Lists and for organizing meetings for the harmonization of Tentative Lists within the same region (see Section IV – International Assistance).⁹⁷

C. Criteria for the inclusion of properties on the World Heritage List

47. States Parties are asked to submit properties which may have Outstanding Universal Value for consideration by the Committee to be placed on the World Heritage List. The Committee will consider a property as having Outstanding Universal Value if the property meets one or more of the 10 criteria found in Paragraph 48. In addition to having been deemed to be of Outstanding Universal Value, a property must also meet the qualifying conditions of authenticity and/or integrity and must have an adequate legal/management protection system to ensure its safeguarding.

Criteria for determining Outstanding Universal Value

48. A property which is nominated for inclusion in the World Heritage List will be considered to be of Outstanding Universal Value when the Committee finds that it meets one or more of the following criteria:

⁹⁵ Footnote: Decision of the twenty-fourth session of the World Heritage Committee, Cairns, December 2000.

⁹⁶ Paragraph 67 of the March 1999 *Operational Guidelines*.

⁹⁷ Paragraph 94(b) of the March 1999 *Operational Guidelines*.

- (i) represent a masterpiece of human creative genius;⁹⁸
- (ii) exhibit an important interchange of human values, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design;⁹⁹
- (iii) bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared;¹⁰⁰
- (iv) be an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history;¹⁰¹
- (v) be an outstanding example of a traditional human settlement or land-use¹⁰² which is representative of a culture (or cultures), **or human interaction with the environment** especially when it has become vulnerable under the impact of irreversible change;¹⁰³
- (vi) be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance¹⁰⁴;
- (vii)** contain superlative natural phenomena or areas of exceptional natural beauty and aesthetic importance;¹⁰⁵
- (viii)** be outstanding examples representing major stages of earth's history, including the record of life, significant on-going geological processes in the development of landforms, or significant geomorphic or physiographic features;¹⁰⁶
- (ix)** be outstanding examples representing significant on-going ecological and biological processes in the evolution and development of terrestrial, fresh water, coastal and marine ecosystems and communities of plants and animals;¹⁰⁷
- (x)** contain the most important and significant natural habitats for in-situ conservation of biological diversity, including those containing threatened species of Outstanding Universal Value from the point of view of science or conservation.¹⁰⁸

Test of Authenticity and Conditions of Integrity

49. The test of authenticity for cultural properties and the conditions of integrity **for natural properties** are designed to ensure that the Outstanding Universal Values which

⁹⁸ Paragraph 24(a)(i) of the March 1999 *Operational Guidelines*.

⁹⁹ Paragraph 24(a)(ii) of the March 1999 *Operational Guidelines*.

¹⁰⁰ Paragraph 24(a)(iii) of the March 1999 *Operational Guidelines*.

¹⁰¹ Paragraph 24(a)(iv) of the March 1999 *Operational Guidelines*.

¹⁰² **October 2001 Drafting Group proposed that the interpretation of "land-use" be extended to include sea use.**

¹⁰³ **Amendments to Paragraph 24(a)(v) of the March 1999 *Operational Guidelines* proposed by the October 2001 Drafting Group. "Human interaction with the environment" was included in the natural criteria prior to 1992.**

¹⁰⁴ **Paragraph 24(a)(vi) of the March 1999 *Operational Guidelines* amended in accordance with the recommendation of the twenty-fifth session of the Bureau (June 2001).**

¹⁰⁵ Paragraph 44(a)(iii) of the March 1999 *Operational Guidelines*.

¹⁰⁶ Paragraph 44(a)(i) of the March 1999 *Operational Guidelines*.

¹⁰⁷ Paragraph 42(a)(ii) of the March 1999 *Operational Guidelines*.

¹⁰⁸ Paragraph 44(a)(iv) of the March 1999 *Operational Guidelines*.

justified the inclusion in the World Heritage List are not compromised at the time of, and subsequent to, inscription.¹⁰⁹

Test of Authenticity¹¹⁰

50. Properties nominated under criteria (i) to (vi) must meet the test of authenticity. The *Nara Document on Authenticity*, in particular from paragraphs 9, 11, and 13, provides a practical basis for examining the authenticity of properties of cultural value nominated for inclusion in the World Heritage List **(see Annex 5)**.

51. The ability to understand the values, attributed to the heritage, depends on the degree to which information sources about these values may be understood as credible or truthful. Knowledge and understanding of these sources of information, in relation to original and subsequent characteristics of the cultural heritage, and their meaning, is a requisite basis for assessing all aspects of authenticity.

52. All judgments about values attributed to cultural heritage as well as the credibility of related information sources may differ from culture to culture, and even within the same culture. The respect due to all cultures requires that cultural heritage must be considered and judged primarily within the cultural contexts to which it belongs.

53. Depending on the nature of the cultural heritage, and its cultural context, properties may be understood to meet the test of authenticity if their cultural values (as recognized in the nomination criteria proposed) are truthfully and credibly expressed through a great variety of site attributes including form and design, materials and substance, use and function, traditions, techniques and **management systems**, location and setting, **language, and other forms of intangible heritage, spirit and feeling, and other internal and external factors**. Ephemeral attributes such as spirit and feeling do not lend themselves easily to practical applications of the test of authenticity, but nevertheless are important indicators of character and sense of place, for example, in communities maintaining tradition and cultural continuity¹¹¹.

54. The use of all these sources permits elaboration of the specific artistic, historic, social, and scientific dimensions of the cultural heritage being examined. "Information sources" are defined as all physical, written, oral, and figurative sources, which make it possible to know the nature, specificities, meaning, and history of the cultural heritage.

Conditions of Integrity¹¹²

55. Properties nominated under criteria (vii) – (x) must meet the conditions of integrity. Properties meet these conditions if the natural processes of Outstanding Universal Value are intact and the conditions and the level of protection ensures that the natural values are protected. For each natural criterion there is a corresponding condition of integrity which outlines the required elements which should be included within the site.

¹⁰⁹ Text proposed by the October 2001 Drafting Group.

¹¹⁰ Except when otherwise cited new text on authenticity in the following paragraphs derives from the Zimbabwe meeting on Authenticity and Integrity in an African Context (UNESCO Headquarters, Paris, September 2000) and was based on the Nara Document on Authenticity.

¹¹¹ Text in bold derives from the Zimbabwe meeting on authenticity and integrity (2000) and did not come directly from the Nara Document on Authenticity.

¹¹² IUCN recommends that the text be considered as provisional, subject to expert review comments.

56. Properties proposed under **criterion (vii)** should be of Outstanding **Universal Value** and include areas that are essential for maintaining the beauty of the site. For example, a site whose scenic values depend on a waterfall, **would meet the conditions of integrity if it includes adjacent catchment and downstream areas that are integrally linked to the maintenance of the aesthetic qualities of the site.**¹¹³

57. Properties proposed under **criterion (viii)** should contain all or most of the key interrelated and interdependent elements in their natural relationships. For example, an "ice age" area **would meet the conditions of integrity if it includes** the snow field, the glacier itself and samples of cutting patterns, deposition and colonization (e.g. striations, moraines, pioneer stages of plant succession, etc.); in the case of volcanoes, the magmatic series should be complete and all or most of the varieties of effusive rocks and types of eruptions be represented.¹¹⁴

58. Properties proposed under **criterion (ix)** should have sufficient size and contain the necessary elements to demonstrate the key aspects of processes that are essential for the long-term conservation of the ecosystems and the biological diversity they contain. For example, an area of tropical rain forest **would meet the conditions of integrity if it includes** a certain amount of variation in elevation above sea-level, changes in topography and soil types, patch systems and naturally regenerating patches; similarly a coral reef should include, for example, seagrass, mangrove or other adjacent ecosystems that regulate nutrient and sediment inputs into the reef.¹¹⁵

59. Properties proposed under **criterion (x)** should be the most important properties for the conservation of biological diversity. Only those properties which are the most biologically diverse are likely to meet this criterion. The properties should contain habitats for maintaining the most diverse fauna and flora characteristic of the bio-geographic province and ecosystems under consideration.¹¹⁶ For example, a tropical savannah **would meet the conditions of integrity if it includes** a complete assemblage of co-evolved herbivores and plants; an island ecosystem should include habitats for maintaining endemic biota; a site containing wide-ranging species should be large enough to include the most critical habitats essential to ensure the survival of viable populations of those species; for an area containing migratory species, seasonal breeding and nesting sites, and migratory routes, wherever they are located, should be adequately protected.¹¹⁷

60. Some properties nominated under criteria (i) to (vi), in particular cultural landscapes, archaeological sites and historic towns, may also be examined in regard to the conditions of integrity.¹¹⁸

Legal/Management Requirements (see Annex 6)¹¹⁹

61. Management of World Heritage properties should ensure that their condition at the time of inscription, will be maintained or enhanced in the future.

62. All properties inscribed on the World Heritage List must have adequate long-term legislative, regulatory, institutional, and/or traditional protection to ensure the

¹¹³ Paragraph 44(b)(iii) of the March 1999 *Operational Guidelines*.

¹¹⁴ Paragraph 44(b)(i) of the March 1999 *Operational Guidelines*.

¹¹⁵ Paragraph 44(b)(ii) of the March 1999 *Operational Guidelines*.

¹¹⁶ Paragraph 44 (b) (vii) of the March 1999 *Operational Guidelines*.

¹¹⁷ Paragraph 44(b)(iv) of the March 1999 *Operational Guidelines*.

¹¹⁸ In March 1998 the Expert Meeting in Amsterdam, the Netherlands suggested that integrity could also apply to properties with cultural values. **New text proposed by October 2001 Drafting Group.**

¹¹⁹ **Proposed by the October 2001 Drafting Group using elements of Paragraphs 17, 24(b)(i), 44(b)(v)(vi) in the March 1999 *Operational Guidelines*.**

safeguarding of the property. This protection should include adequately delineated boundaries.

63. Wherever necessary for the proper conservation of a cultural or natural property, an adequate buffer zone around a property should be provided and should be given the necessary protection. A buffer zone can be defined as an area surrounding the property which has restrictions placed on its use to give an added layer of protection to the property. This should include the immediate setting of the property and important views¹²⁰. The area constituting the buffer zone should be determined in each case through appropriate mechanisms. Details on the size, characteristics and authorized uses of a buffer zone, as well as a map indicating the precise boundaries of the property and its buffer zone, should be provided in the nomination.¹²¹

64. For natural properties (criteria (vii) – (x)) boundaries should reflect the spatial requirement of habitats, species, processes or phenomena that provide the basis for their inscription on the World Heritage List. The boundaries should include sufficient areas immediately adjacent to the area of Outstanding Universal Value in order to protect the property's heritage values from direct effect of human encroachments and impacts of resource use outside of the nominated area.¹²²

65. States Parties should demonstrate adequate protective legislation at the national, regional, municipal, and/or traditional level for the protection of a nominated property. Appropriate texts should be appended to the nomination dossier, and there should be a clear explanation of the way this legal protection operates to protect the site.

66. Each site should have an appropriate management plan. States Parties should prepare plans for the management of each property nominated. This management plan should demonstrate an effective administrative, contractual, and/or traditional management system or planning control. An explanation of how the protection systems and management mechanisms operate effectively should also be provided by the States Party in the nomination.

67. In some circumstances (see Annex 7) a management plan may not be in place at the time when a site is nominated for the consideration of the World Heritage Committee. The State Party concerned should then indicate when such a plan will become available and how it proposes to mobilize the resources required for the preparation and implementation of the plan.¹²³

D. Nomination of properties for inclusion in the World Heritage List

Format and content of nominations¹²⁴

68. The standard format included in **Annex 7** should be used for the submission of nominations of properties **of cultural and/or natural value**. Although it is recognized that all properties have specific characteristics, States Parties are required to provide information and documentation on the following items :

¹²⁰ This sentence has been copied from the Explanatory Notes from the existing Nomination Form.

¹²¹ Paragraph 17 of the March 1999 *Operational Guidelines* with amendments in bold proposed by the October 2001 Drafting Group.

¹²² Paragraph 44b(vi) of the March 1999 *Operational Guidelines*.

¹²³ Paragraph 44(b)(v) of the March 1999 *Operational Guidelines*. Note from IUCN: This has been applied to a number of natural site nominations. Amendments in bold proposed by the October 2001 Drafting Group.

¹²⁴ Paragraph 64 of the March 1999 *Operational Guidelines*.

1. Identification of the Property
2. Justification for Inscription
3. Description
4. Management
5. Factors Affecting the Site
6. Monitoring
7. Documentation
- 8. Contact Information**
9. Signature on behalf of the State Party

69. Properties nominated must be of Outstanding Universal Value and therefore should be carefully selected. **Nominations must be justified according to one or more of the criteria, meet the test of authenticity and/or integrity and the legal and management requirements outlined in paragraphs 61 - 67 above. States Parties are requested to present accurate documents, maps, and illustrative material to avoid delays in processing and to ensure the necessary definition of the characteristics and boundaries of the proposed nomination.**¹²⁵

70. When nominating properties, the State Party should provide a comparative evaluation of the property in relation to other properties of a similar type, as already required in paragraph 40 with regard to the Tentative Lists.¹²⁶

Procedures and timetable

71. The procedures and timetable for the processing of nominations are also presented in Annex 7. **The Annex includes reference to:**

- (i) **New nominations**
- (ii) **Referred nominations**
- (iii) **Deferred nominations**
- (iv) **Re-nomination**
- (v) **Withdrawn nominations**
- (vi) **Nominations previously not inscribed**
- (vii) **Extensions**
- (viii) **Reductions**
- (ix) **Transboundary nominations**
- (x) **Serial nominations**
- (xi) **Phased nominations**
- (xii) **Emergency inscriptions**

72. The deadline for receipt of nominations is 1 February. Nominations presented after that date will only be considered for the next cycle.

73. During the review by the Bureau and Committee, nominations may be inscribed, referred back to the State Party for additional information, deferred for substantial changes, or may be not accepted for inscription on the World Heritage List. These and other terms are explained in Annex 7.¹²⁷

¹²⁵ Paragraphs 9 and 10 of the March 1999 *Operational Guidelines with amendments proposed by the October 2001 Drafting Group*.

¹²⁶ Paragraph 12 of the March 1999 *Operational Guidelines with amendments proposed by the October 2001 Drafting Group*.

¹²⁷ IUCN has noted that this paragraph repeats the text in paragraph 79.

E. Registration of nominations

74. On receipt of nominations from States Parties, the World Heritage Centre will acknowledge receipt, check for completeness and register nominations. The Centre will forward complete nominations to ICOMOS and/or IUCN for evaluation. The Centre will request any additional information from the State Party as and when required. The timetable for registration and processing of nominations is detailed in Annex 7.¹²⁸

F. Summary guidelines for the evaluation of nominations

75. The evaluation of whether or not **properties** nominated by States Parties satisfy the criteria, the **test** of authenticity **and/or the conditions of** integrity **(as appropriate) and legal and management requirements** will be carried out by ICOMOS for cultural properties and by IUCN for natural properties. In the case of nominations of cultural properties in the category of 'cultural landscapes', as appropriate, the evaluation will be carried out by ICOMOS in consultation with IUCN. **For properties nominated under both cultural and natural criteria**, the evaluation will be carried out **jointly by ICOMOS and IUCN**.¹²⁹

76. ICOMOS and IUCN are requested to:¹³⁰

- (i) be as **objective and rigorous** as possible in their evaluations;
- (ii) **evaluate** each property, including its state of **conservation**, relatively, that is, **by comparison** with that of other properties of the same type, both inside and outside the State Party's borders;¹³¹
- (iii) make comments and recommendations on the authenticity or integrity (as appropriate) and legal **and** management provisions for **the protection** of each property; and
- (iv) present evaluation reports to the Bureau and the World Heritage Committee using visual **support** as appropriate.

77. The **timetable for the evaluation is detailed in Annex 7. The procedures and format of ICOMOS and IUCN evaluations are described in Annex 8.**

G. Inscription on the World Heritage List

Decision by the World Heritage Committee

78. Representatives of a State Party, whether or not a member of the Committee, shall not speak to advocate the inclusion in the **World Heritage** List of a property nominated by that State, **but may only provide information**.¹³²

79. The Bureau may defer nominations for substantial changes, or refer nominations back to the State Party for additional information. During the review by the

¹²⁸ Text proposed by October 2001 Drafting Group.

¹²⁹ Paragraph 57 of the March 1999 *Operational Guidelines* with amendments proposed by the October 2001 Drafting Group.

¹³⁰ Paragraphs 58-61 of the March 1999 *Operational Guidelines* with amendments proposed by the October 2001 Drafting Group.

¹³¹ Paragraph 59 of the March 1999 *Operational Guidelines*.

¹³² Paragraph 62 of the March 1999 *Operational Guidelines* with amendments proposed by the October 2001 Drafting Group.

Committee, nominations may be inscribed, deferred, or may be not accepted for inscription on the World Heritage List. These and other terms are explained in Annex 7.¹³³

80. When deciding to inscribe a property on the World Heritage List the Committee, advised by the Advisory Bodies, will agree on a clearly documented statement of Outstanding Universal Value for the property. The statement of Outstanding Universal Value should be the basis for the future management and protection of the property.

81. The statement will also specify the criteria according to which the property has been inscribed, a description of its values and make any other recommendations concerning the values and protection of the property.¹³⁴

82. The statement of Outstanding Universal Value and the criteria for which a specific property is included in the World Heritage List will be set out by the Committee in its reports and publications.¹³⁵

Change of name of a World Heritage property

83. A State Party may request that the Committee authorize a change of name to a property already inscribed on the World Heritage List. A request for a name change should be received by the World Heritage Centre at least 3 months prior to the meeting of the Committee.¹³⁶

Notification of inscription to the State Party

84. Following the decision of the World Heritage Committee to inscribe a property on the World Heritage List, the World Heritage Centre will write to the State Party and site managers providing a map of the area inscribed, the criteria met, the statement of Outstanding Universal Value. This information will be based on the 1-page form at the head of the nomination format, modified as necessary by the decision of the Committee, together with the evaluation of the Advisory Body(ies) (see Annex 7).

Advice to States Parties following inscription of a property on the World Heritage List

85. The World Heritage Centre will remind States Parties, on behalf of the Committee, whose properties were inscribed on the List, of their obligations to deploy all efforts in the conservation of these properties. States Parties will be particularly reminded of their obligation to ensure maintenance of the Outstanding Universal Value for which these properties were inscribed. The new status of these properties as World Heritage, recognized by the international community, implies new obligations of the States Parties concerned so that the authenticity and/or integrity for which they were inscribed be conserved.¹³⁷

¹³³ New text proposed by the October 2001 Drafting Group.

¹³⁴ Paragraph 57 of the March 1999 *Operational Guidelines* with amendments proposed by the October 2001 Drafting Group.

¹³⁵ Paragraph 63 of the March 1999 *Operational Guidelines*.

¹³⁶ Note from the Secretariat: This provision will confirm a process already in place.

¹³⁷ Text proposed by the October 2001 Drafting Group.

Publication of the World Heritage List

86. The World Heritage List will be updated on the Centre's web site following the Committee's decision (<http://www.unesco.org/whc/heritage.htm>). The World Heritage Centre will publish these lists in print form every year.¹³⁸

87. The name of the States Parties having nominated the properties inscribed on the World Heritage List will be presented in the published form of the List under the following heading: "Contracting State having submitted the nomination of the property in accordance with the Convention".¹³⁹

H. Archiving and documentation of nominations

88. Nomination dossiers of those properties inscribed on the World Heritage List by the Committee will be made available for consultation. States Parties are urged to place a copy of the nomination dossier on their own web sites and inform the Centre of this action. States Parties preparing nominations may wish to use such information as guides for identifying and elaborating nomination of properties within their own territories.¹⁴⁰

89. Advisory Body evaluations for each nomination and the decision of the Committee concerning each nomination are available on the World Heritage Centre's web site at: <http://www.unesco.org/whc/heritage.htm>.¹⁴¹ (See also Section V of the *Guidelines on Documentation and Information Management*.)

Documentation

90. The World Heritage Centre ensures that copies of nominations of properties, including copies of maps and relevant supplementary information received from States Parties are archived in hard copy and in electronic format where possible. The Centre also arranges for the archiving of relevant information relating to inscribed properties, including assessment and other documents developed by the Advisory Bodies, any correspondence and reports received from States Parties and correspondence and material from the World Heritage Centre and World Heritage Committee.

Storage

91. Archived material will be kept in a form appropriate to long-term storage. Provision will be made for the storage of paper copies and electronic copies, as relevant. Provisions will be made for copies to be provided to States Parties as requested.

¹³⁸ Paragraph 135 of the March 1999 *Operational Guidelines*, with amendments proposed by the October 2001 Drafting Group.

¹³⁹ Paragraph 136 of the March 1999 *Operational Guidelines*.

¹⁴⁰ Part of Paragraph 45 of the March 1999 *Operational Guidelines*.

¹⁴¹ As of late 2002.

III. PROTECTION AND CONSERVATION OF WORLD HERITAGE PROPERTIES

A. Management of World Heritage Properties

Definition of Management

92. For the purposes of these *Guidelines*, management is defined as action undertaken by a State Party, and/or its partners, that seeks to promote or improve the protection, conservation, sustainable use, presentation and transmission to future generations of a World Heritage property.¹⁴²

93. It is the prime responsibility of the States Parties to make appropriate provisions and take actions for the application of the *Convention* and to put in place on-site monitoring arrangements as an integral part of day-to-day conservation and management of World Heritage properties. States Parties should do so in close collaboration with property managers, the agency with management authority, and other partners in site management. It is necessary that every year the conditions of the property be recorded by the site manager or the agency with management authority.¹⁴³ In addition to being good management practice, this recording will be useful for carrying out the periodic reporting exercise requested of States Parties.

Definition of the Management Cycle

The Management Cycle

94. In order to ensure the ongoing protection, conservation, presentation and transmission to future generations of values of a property, close attention is required to the development of management strategies, developed and designed according to the capacity and cultural context of the specific property. It is recognised that management approaches may vary according to different cultural perspectives. One means of developing such a management strategy is through a management cycle: a continuous process of planning, implementation, monitoring, reporting, review, modification of the plan and movement into a new cycle focused on the definition and protection of the property's values:

- (a) Planning – Planning is a comprehensive and integrated process of issue identification involving appropriate experts, management agencies, partners in site management and other stakeholders. During the planning phase, information about all values of the property are gathered and analysed with the aim of developing a priority list of issues to be addressed. Based on this list, a series of actions can be developed including who would be responsible for implementation of each action and the inputs (human, equipment, infrastructure, and financial) needed. A management plan for the property is the key output of this phase of the cycle. The plan needs to be built around the definition of the property's values and development of policies for their protection.**
- (b) Implementation – To ensure the property is protected, it is necessary to carry out the actions identified during the planning phase and through subsequent monitoring exercises. This could include maintenance, stabilisation, restoration, and rehabilitation, and supporting activities**

¹⁴² Text proposed by the October 2001 Drafting Group.

¹⁴³ Paragraph 72 of March 1999 *Operational Guidelines*.

including improvement of administrative, management, and human resource structures, facility development, site interpretation and presentation, and revitalization of the property in the life of the community.

- (c) **Monitoring** – Monitoring is a process of observing and recording the effect of management actions and other influences on the World Heritage property. This is to ensure that management is maintaining, improving and/or enhancing the conservation and protection of the property or, if not, providing a means of adjusting management practices accordingly. Monitoring is a continuous process, the results of which are analysed to provide the site manager with ongoing information about the state of conservation of the property. Monitoring also provides essential data for the preparation of reactive monitoring and periodic reports.
- (d) **Reporting** – Reporting is the process of collating information on the implementation of the management plan, monitoring data and other relevant details. Reporting involves passing this information to those who make decisions about actions to be taken to address issues identified and other stakeholders as appropriate. At the property management level this is a regular and ongoing process. At the level of the World Heritage Committee it may include reactive monitoring and periodic reporting.
- (e) **Review** – Reviewing the definition of the property's values, assessing the results of the current management cycle and determining what immediate, short term or longer term actions should be implemented to further conserve, protect, present and transmit to future generations, the World Heritage property. These decisions will be incorporated into the next planning cycle for the property.
- (f) **Modification of the Plan and Movement into a New Cycle** – Even if short term changes are not needed, the planning process should be seen as an ongoing cycle not a linear process. There is never a point where management, conservation, and protection has been accomplished with no need for future actions. Therefore, the management planning process will periodically need to be repeated for the long term protection and development of the property.

95. Although the management cycle represents one type of management system for a World Heritage property, good management is very much dependent on the cultural context, the type of property, and other factors. Management systems may also incorporate traditional practices, existing urban or regional planning instruments, and other planning control mechanisms. The management system for a particular World Heritage property will be dependent on its specific circumstances, but an accountable, transparent system for showing how World Heritage and other values are managed at a property is a fundamental requirement.

96. The World Heritage Committee invites the States Parties to *the Convention Concerning the Protection of the World Cultural and Natural Heritage* to inform the Committee, through the UNESCO Secretariat, of their intention to undertake or to authorize in an area protected under the *Convention* major restorations or new constructions which may affect the World Heritage value(s) of the property. The World Heritage Committee requests that States Parties to the *Convention* provide information to the

Committee on such projects, at the earliest possible stages of their planning, (see para.94 (a)) and before making any decisions that would be difficult to reverse. States Parties have an obligation, under Article 29 of the *Convention*, to inform the World Heritage Committee of their intentions and plans for all major restoration and construction projects which may have irreversible impacts on the World Heritage values of the property. Timely information provided by States Parties in this regard will assist the Committee to seek appropriate solutions to ensure that the World Heritage value(s) of the property is (are) fully preserved.¹⁴⁴

B. Periodic Reporting (see Annex 9)

Definition

97. Periodic reporting is the provision to the World Heritage Committee by States Parties at regular intervals (every six years) of a comprehensive report on the application of the relevant articles of the World Heritage *Convention*, and the State of Conservation of each of the properties located on the State Party's territory.

Authority

98. The authority for periodic reporting derives from Article 29 of the *Convention* which obliges States Parties to submit information on measures they have taken in the application of the *Convention*.

Objectives

99. Periodic Reporting is intended to serve four main purposes:

- (a) to provide an assessment of the application of the *World Heritage Convention* by the State Party;
- (b) to provide an assessment as to whether the World Heritage values of the properties inscribed on the World Heritage List are being maintained over time;
- (c) to provide updated information about the World Heritage properties to record the changing circumstances and state of conservation of the properties in order to improve site management;
- (d) to provide a mechanism for regional co-operation and exchange of information and experiences between States Parties and for promotion of the *Convention* in the various regions of the world.

Process Description

100. It is the prime responsibility of the States Parties to **make appropriate provision and take appropriate actions** for the application of the *Convention* and to put in place **any other necessary** monitoring arrangements as an integral component of day-to-day conservation and management of the properties. States Parties should do so in close collaboration with the site managers, the agency with management authority **and partners in site management**.

¹⁴⁴ Text proposed by the October 2001 Drafting Group based on Paragraph 56 of the March 1999 *Operational Guidelines*.

101. The States Parties are invited to submit to the World Heritage Committee through the World Heritage Centre, every six years, a periodic report on the application of the *World Heritage Convention*, including the state of conservation of the World Heritage properties located on its territories. To this end, the States Parties may request expert advice from the Secretariat or the Advisory Bodies. The Secretariat may also commission expert advice with the agreement of the States Parties. **The Committee will establish the schedule for each regions' participation in the Periodic Reporting process.**

Format for Periodic Reports

102. **The Periodic Reports will be divided into two parts. Section One constitutes the State Party's report on the application of the *World Heritage Convention* at the national level. Section Two is a report of the state of conservation of specific properties located on the territory of the State Party.**

103. **To promote regionalization and regional awareness**, these reports will be examined separately by region as determined by the Committee. To facilitate the work of the Committee, the World Heritage Centre will synthesize the national reports into **Regional State of the World Heritage Reports**. In doing so, full use will be made of the available expertise of the Advisory Bodies, States Parties, competent institutions and expertise available within the regions.

Follow Up

104. **The World Heritage Committee will review issues raised in the periodic reports annually and will provide advice to the States Parties of the region concerned on matters arising from the periodic reports. The Committee may request the World Heritage Centre and Advisory Bodies to develop regional action plans to address issues of concern raised by the regional reports. The Committee may also invite the States Parties to report on actions taken in response to these reports.**

C. Reactive Monitoring (See Annex 10)

105. [68. Reactive monitoring is the reporting by the World Heritage Centre, other sectors of UNESCO and the advisory bodies to the Bureau and the Committee on the state of conservation of specific World Heritage properties that are under threat. To this end, the States Parties shall submit to the Committee through the World Heritage Centre, specific reports and impact studies each time exceptional circumstances occur or work is undertaken which may have an effect on the state of conservation of the property. Reactive monitoring is foreseen in the procedures for the eventual deletion of properties from the World Heritage List as set out in paras. 48-56. It is also foreseen in reference to properties inscribed, or to be inscribed, on the List of World Heritage in Danger as set out in paras. 86-93.]¹⁴⁵

¹⁴⁵ The October 2001 Drafting Group did not reach agreement on the wording included within the square brackets. A new draft revised text was proposed by some members of the Drafting Group but there was no time to discuss it and reach agreement in plenary session. The proposed draft revised text is as follows:

Objective

To provide the Bureau and Committee with independent, credible and objective information on the state of conservation of specific World Heritage properties that are under threat.

To outline options and opportunities to address issues raised, for consideration by the Bureau and Committee.

Process Description

122. When the World Heritage values of a property are under threat from significant adverse impact, the State Party on whose territory the property is situated should inform the Secretariat of the Committee by means of a Reactive Monitoring Report.

123. When the Secretariat receives information regarding a potential significant threat to the World Heritage values of a property from the State Party or any other source, it should verify the source and the contents of the information in consultation with the State Party and it may invite the State Party to provide a response to the information.

124. The Secretariat **may also** request the competent Advisory Bodie(s) (ICOMOS, IUCN or ICCROM) to **provide** a report on **the nature and level of the threats**. **There should be consultation with State Parties in the preparation of this report.**

125. **The Reactive Monitoring Report, together with the comments of the Advisory Bodie(s), will be brought to the attention of the Committee. The Committee may take one of the following steps:**

- a) It may decide that the **World Heritage values, as described in the Statement of Outstanding Universal Values, are not under threat of significant adverse impact** and that no further action should be taken;
- b) **When the Committee decides that the World Heritage are under threat of significant impact but not to the extent that the protection or restoration of the values is impossible, the Committee may decide that the property be maintained on the List, provided that the State Party implements a specified program of action that is agreed with the State Party, or that it should be considered for placement on the List of World Heritage in Danger.** The Committee may also recommend that technical assistance be provided under the World Heritage Fund for work connected with the restoration of the **values**, proposing to the State Party to request such assistance, if it has not already done so;
- c) **[When the Bureau and the State Party agree that the property has deteriorated to the point where it has irretrievably lost its World Heritage values, as described in the Statement of Outstanding Universal Values, the Committee may delete the property from the List];**
- d) **When the information available is not sufficient to enable the Bureau to take one of the measures described in (a), (b) or (c) above, the Committee may authorize the Secretariat to take such measures as are agreed [in cooperation with the State Party] to ascertain the present condition of the property, factors potentially causing a significant adverse impact/damage to the World Heritage values, and the feasibility of adequately restoring the property, and to report to the Committee on the results of its action; such measures may include the sending of a fact-finding mission or the consultation of specialists. In cases where emergency action is required, the Bureau may itself authorize the financing from the World Heritage Fund of the emergency assistance that is required.**

126. **Reactive Monitoring Reports should follow the format of State of Conservation reports (Section Two of periodic monitoring reports), with particular emphasis on possible threats of significant adverse impacts/damage to the agreed World Heritage values, the documentation of evidence of the threats (such as monitoring data, aerial photographs, etc), description of the actions that may be required to ameliorate the threat(s) and conduct necessary restoration works, and estimates of time and funds required. Threats to agreed World Heritage values include both ascertained and potential danger.**

Follow Up

127. The Committee may, on the advice of the Secretariat and Advisory Bodies, continue to request reports on the conditions of properties whose values are considered to be under threat, and the results of any ameliorative actions. States Parties are obliged to provide information to the Secretariat on the current status of any threats and the results of any action taken. Should the threats continue, or the ameliorative actions be unsuccessful, the process for listing in danger may be applied.

D. The List of World Heritage in Danger (see Annex 11)¹⁴⁶

Definition¹⁴⁷

106. The List of World Heritage in Danger is a list of those properties inscribed on the World Heritage List threatened by serious and specific, ascertained or potential danger for which major operations to conserve the property are necessary and assistance has been requested.

Authority¹⁴⁸

107. The authority for inscription of properties on the List of World Heritage in Danger derives from Article 11(4) of the *Convention*.¹⁴⁹

Objectives¹⁵⁰

108. In the case of serious and specific, ascertained or potential danger to the Outstanding Universal Values of a property, the objectives of the process of inscription on the List of World Heritage in Danger are to:

- (i) ascertain the source of that danger and the level of threat,
- (ii) publicise the need for action, and
- (iii) mobilise effective assistance to complement the action of the State Party itself.¹⁵¹

109. Inscription on the List of World Heritage in Danger should be viewed as both an international expression of concern and a stimulus for support of the State Party in its conservation efforts.

Process description

110. The Committee may include a property in the List of World Heritage in Danger when the following **criteria** are met¹⁵²:

- (i) the property under consideration is on the World Heritage List;

¹⁴⁶ The October 2001 Drafting Group agreed that there are divergent views concerning the policy/legal issue of whether State Party consent is required before a property can be inscribed on the List of World Heritage in Danger.

Before finalising the proposed revisions to this section of the *Operational Guidelines* the Drafting Group recommends that the World Heritage Committee examine this policy/legal issue.

In this section, alternative texts are proposed in square brackets for discussion and decision by the Committee.

¹⁴⁷ Proposed by the October 2001 Drafting Group.

¹⁴⁸ Proposed by the October 2001 Drafting Group.

¹⁴⁹ Footnote: Article 11(4) of the *World Heritage Convention*.

¹⁵⁰ Proposed by the October 2001 Drafting Group.

¹⁵¹ Footnote: Article 13(1) of the *World Heritage Convention*.

¹⁵² Footnote: Article 11(4) of the *World Heritage Convention*.

- (ii) the outstanding universal values of a property are threatened by **serious and specific, ascertained or potential** danger and/or major operations are necessary for the conservation of the property;
- (iii) assistance under the *Convention* has been requested **[by the State Party]**¹⁵³ for the property; the Committee is of the view that its assistance in certain cases may most effectively be limited to messages of its concern, including the message sent by inclusion of a **property** on the List of World Heritage in Danger **[and that such assistance may be requested by any Committee member or the Secretariat]**.¹⁵⁴
- (iv) **[the State Party consents to the inscription of the Site on the List of World Heritage in Danger]**¹⁵⁵

111. In addition, the factor or factors which are threatening the integrity of the property must be those which are amenable to correction by human action. Both natural factors and **human-made** factors may be threatening to the integrity of **both cultural and natural properties**. In some cases, the factors threatening the integrity of a property may be corrected by administrative or legislative action, such as the cancelling of a major public works project or the improvement of legal status.¹⁵⁶

112. When considering the inclusion of a property in the List of World Heritage in Danger, the Committee shall develop, and adopt, as far as possible, in consultation with the State Party concerned, a programme for corrective measures.¹⁵⁷

113. In order to develop the programme referred to in the previous paragraph, the Committee shall request the Secretariat to ascertain, **[as far as possible in cooperation with the State Party concerned]**¹⁵⁸, the present condition of the property, the dangers to the property and the feasibility of undertaking corrective measures. The Committee may further decide to send a mission of qualified **experts** from **the Advisory Bodies, the Secretariat** or other organizations to visit the property, evaluate the nature and extent of the threats and propose the measures to be taken.¹⁵⁹ **In the spirit of the Convention, the Committee will seek co-operation of the State Party concerned**

114. The information received, together with **any** comments of the State Party and the Advisory **Bodies will** be brought to the attention of the Committee by the Secretariat.¹⁶⁰

115. The Committee **will** examine the information available and take a decision concerning the inscription of the property on the List of World Heritage in Danger. Any such decision **will** be taken by a majority of two-thirds of the Committee members present and voting **[and will require the consent of the State Party concerned]**¹⁶¹. The Committee will then define the

¹⁵³ The October 2001 Drafting Group did not reach agreement on the wording included within the square brackets.

¹⁵⁴ Paragraph 80 of the March 1999 *Operational Guidelines*. The October 2001 Drafting Group did not reach agreement on the wording included within the square brackets.

¹⁵⁵ The October 2001 Drafting Group did not reach agreement on the wording included within the square brackets. For reference see Articles 6(2), 11(4) and 11(6) of the *World Heritage Convention*.

¹⁵⁶ Paragraph 84 of the March 1999 *Operational Guidelines*.

¹⁵⁷ Paragraph 86 of the March 1999 *Operational Guidelines*.

¹⁵⁸ The October 2001 Drafting Group did not reach agreement on the wording included within the square brackets.

¹⁵⁹ Paragraph 87 of the March 1999 *Operational Guidelines*.

¹⁶⁰ Paragraph 88 of the March 1999 *Operational Guidelines*.

¹⁶¹ The October 2001 Drafting Group did not reach agreement on the wording included within the square brackets.

programme of corrective action to be taken. This programme will be proposed to the State Party concerned for immediate implementation.¹⁶²

116. The State Party concerned **will** be informed of the Committee's decision **by the World Heritage Centre**. Public notice¹⁶³ of the decision **will** immediately be issued **and included on the World Heritage Centre's web site at <http://www.unesco.org/whc/danglist.htm>**.¹⁶⁴

117. The Committee shall allocate a specific portion of the World Heritage Fund to financing of assistance to World Heritage properties inscribed on the List of World Heritage in Danger (**see Section IV**).¹⁶⁵

118. The Committee shall review **annually** the state of **conservation of** properties on the List of World Heritage in Danger. This review shall include such monitoring procedures and expert missions as might be determined necessary by the Committee.¹⁶⁶

119. On the basis of these **annual** reviews, the Committee shall decide, in consultation with the State Party concerned whether:

- (i) additional measures are required to conserve the property;
- (ii) to delete the property from the List of World Heritage in Danger if the property is no longer under threat;
- [(iii)]** to consider the deletion of the property from both the List of World Heritage in Danger and the World Heritage List if the property has deteriorated to the extent that it has lost those Outstanding Universal Values which determined its inclusion in the World Heritage List, in accordance with the procedure set out in paragraphs 46 to 56 above.^{167]}

Criteria for the inclusion of properties in the List of World Heritage in Danger¹⁶⁸

120. A World Heritage property - as defined in Articles 1 and 2 of the *Convention* - can be entered on the List of World Heritage in Danger by the Committee when it finds that the condition of the property corresponds to at least one of the criteria in either of the two cases described below.¹⁶⁹

121. In the case of **properties with cultural values**:

- (i) **ASCERTAINED DANGER** - The property is faced with specific and proven imminent danger, such as:
 - (a) serious deterioration of materials;

¹⁶² Paragraph 89 of the March 1999 *Operational Guidelines*.

¹⁶³ **Footnote: Article 11(4) of the World Heritage Convention.**

¹⁶⁴ Paragraph 90 of the March 1999 *Operational Guidelines*.

¹⁶⁵ Paragraph 91 of the March 1999 *Operational Guidelines*.

Footnote: Article 13(1) of the World Heritage Convention.

¹⁶⁶ Paragraph 92 of the March 1999 *Operational Guidelines*.

¹⁶⁷ Paragraph 93 of the March 1999 *Operational Guidelines*.

The October 2001 Drafting Group did not reach agreement on the wording included within the square brackets.

¹⁶⁸ Paragraphs 81 – 83 and 85 of the March 1999 *Operational Guidelines*. Paragraph 84 of the March 1999 *Operational Guidelines* is now included as Paragraph 130 in Section III above.

¹⁶⁹ Paragraph 81 of the March 1999 *Operational Guidelines*.

- (b) serious deterioration of structure and/or ornamental features;
 - (c) serious deterioration of architectural or town-planning coherence;
 - (d) serious deterioration of urban or rural space, or the natural environment;
 - (e) significant loss of historical authenticity;
 - (f) important loss of cultural significance.
- (ii) POTENTIAL DANGER - The property is faced with threats which could have deleterious effects on its inherent characteristics. Such threats are, for example:
- (a) modification of juridical status of the property diminishing the degree of its protection;
 - (b) lack of conservation policy;
 - (c) threatening effects of regional planning projects;
 - (d) threatening effects of town planning;
 - (e) outbreak or threat of armed conflict;
 - (f) gradual changes due to geological, climatic or other environmental factors.¹⁷⁰

122. In the case of **properties with natural values**:

- (i) ASCERTAINED DANGER - The property is faced with specific and proven imminent danger, such as:
- (a) A serious decline in the population of the endangered species or the other species of outstanding universal value which the property was legally established to protect, either by natural factors such as disease or by man-made factors such as poaching.
 - (b) Severe deterioration of the natural beauty or scientific value of the property, as by human settlement, construction of reservoirs which flood important parts of the property, industrial and agricultural development including use of pesticides and fertilizers, major public works, mining, pollution, logging, firewood collection, etc.
 - (c) Human encroachment on boundaries or in upstream areas which threaten the integrity of the property.
- (ii) POTENTIAL DANGER - The property is faced with major threats which could have deleterious effects on its inherent characteristics. Such threats are, for example:
- (a) a modification of the legal protective status of the area;

¹⁷⁰ Paragraph 82 of the March 1999 *Operational Guidelines*.

- (b) planned resettlement or development projects within the property or so situated that the impacts threaten the property;
- (c) outbreak or threat of armed conflict;
- (d) the management plan is lacking or inadequate, or not fully implemented.¹⁷¹

123. The Committee may wish to bear in mind the following supplementary factors when considering the inclusion of a cultural or natural property in the List of World Heritage in Danger:

- (a) Decisions which affect World Heritage properties are taken by Governments after balancing all factors. The advice of the World Heritage Committee can often be decisive if it can be given before the property becomes threatened.
- (b) Particularly in the case of ascertained danger, the physical or cultural deteriorations to which a property has been subjected should be judged according to the intensity of its effects and analyzed case by case.
- (c) Above all in the case of potential danger to a property, one should consider that:
 - the threat should be appraised according to the normal evolution of the social and economic framework in which the property is situated;
 - it is often impossible to assess certain threats - such as the threat of armed conflict - as to their effect on cultural or natural properties;
 - some threats are not imminent in nature, but can only be anticipated, such as demographic growth.
- (d) Finally, in its appraisal the Committee should take into account any cause of unknown or unexpected origin which endangers a cultural or natural property.¹⁷²

[E. Deletion from the World Heritage List (see Annex 12)]¹⁷³

124. The Committee adopted the following procedure for the deletion of properties from the World Heritage List in cases:

- (a) where the property has deteriorated to the extent that it has lost those characteristics which determined its inclusion in the World Heritage List; and
- (b) where the intrinsic qualities of a World Heritage site were already threatened at the time of its nomination by action of man and where the necessary corrective measures as outlined by the State Party at the time, have not been taken within the time proposed.

¹⁷¹ Paragraph 83 of the March 1999 *Operational Guidelines*.

¹⁷² Paragraph 85 of the March 1999 *Operational Guidelines*.

¹⁷³ **The October 2001 Drafting Group agreed that the deletion of properties from the World Heritage List is a legal/policy issue. The entire section E, Paragraphs 120-134 (Paragraphs 46 – 56 of the March 1999 *Operational Guidelines*) is therefore square bracketed.**

Before revising this section of the *Operational Guidelines* the Drafting Group recommends that the World Heritage Committee examine the following questions: (a) is deletion specifically mentioned in the *Convention*, (b) is there a legal basis/authority under the *Convention* for deletion and, (c) if so, is State Party consent required?

125. When a property inscribed on the World Heritage List has seriously deteriorated, or when the necessary corrective measures have not been taken within the time proposed, the State Party on whose territory the property is situated should so inform the Secretariat of the Committee.

126. When the Secretariat receives such information from a source other than the State Party concerned, it will, as far as possible, verify the source and the contents of the information in consultation with the State Party concerned and request its comments.

127. The Secretariat will request the competent advisory **body(ies)** (ICOMOS, IUCN or ICCROM) to forward comments on the information received.

128. The information received, together with the comments of the State Party and the advisory organization(s), will be brought to the attention of the Bureau of the Committee. The Bureau may take one of the following steps:

- (a) it may decide that the property has not seriously deteriorated and that no further action should be taken;
- (b) when the Bureau considers that the property has seriously deteriorated, but not to the extent that its restoration is impossible, it may recommend to the Committee 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 Bureau may also recommend 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;
- (c) when there is evidence that the property has deteriorated to the point where it has irretrievably lost those characteristics which determined its inclusion in the List, the Bureau may recommend that the Committee delete the property from the List; before any such recommendation is submitted to the Committee, the Secretariat will inform the State Party concerned of the Bureau's recommendation; any comments which the State Party may make with respect to the recommendation of the Bureau will be brought to the attention of the Committee, together with the Bureau's recommendation;
- (d) when the information available is not sufficient to enable the Bureau to take one of the measures described in (a), (b) or (c) above, the Bureau may recommend to the Committee that the Secretariat be authorized to take the necessary action to ascertain, in consultation with the State Party concerned, the present condition of the property, the dangers to the property and the feasibility of adequately restoring the property, and to report to the Bureau on the results of its action; such measures may include the sending of a fact-finding mission or the consultation of specialists. In cases where emergency action is required, the Bureau may itself authorize the financing from the World Heritage Fund of the emergency assistance that is required.

129. The Committee will examine the recommendation of the Bureau and all the information available and will take a decision. Any such decision shall, in accordance with Article 13 (8) of the *Convention*, be taken by a majority of two-thirds of its members present and voting. The Committee shall not decide to delete any property unless the State Party has been consulted on the question.

130. The State Party shall be informed of the Committee's decision and public notice of this decision shall be immediately given by the Committee.

131. If the Committee's decision entails any modification to the World Heritage List, this modification will be reflected in the next updated list that is published.

132. In adopting the above procedure, the Committee was particularly concerned that all possible measures should be taken to prevent the deletion of any property from the List and was ready to offer technical co-operation as far as possible to States Parties in this connection. Furthermore, the Committee wishes to draw the attention of States Parties to the stipulations of Article 4 of the *Convention* which reads as follows:

"Each State Party to this *Convention* recognizes that the duty of ensuring the identification, protection, conservation, presentation and transmission to future generations of the cultural and natural heritage referred to in Articles 1 and 2 and situated on its territory, belongs primarily to that State..."

133. In this connection, the Committee recommends that States Parties co-operate with the advisory bodies which have been asked by the Committee to carry out monitoring and reporting on its behalf on the progress of work undertaken for the preservation of properties inscribed on the World Heritage List.

134. The World Heritage Committee invites the States Parties to the *Convention* Concerning the Protection of the World Cultural and Natural Heritage to inform the Committee, through the UNESCO Secretariat, of their intention to undertake or to authorize in an area protected under the *Convention* major restorations or new constructions which may affect the World Heritage value of the property. Notice should be given as soon as possible (for instance, before drafting basic documents for specific projects) and before making any decisions that would be difficult to reverse, so that the Committee may assist in seeking appropriate solutions to ensure that the world heritage value of the site is fully preserved.

IV. INTERNATIONAL ASSISTANCE (see Annex 13)¹⁷⁴

A. Principles, policy and priorities governing international assistance

Principles

System of cooperation and assistance

135. The purpose of international assistance under the *World Heritage Convention* is to provide the necessary resources for the protection of cultural and natural heritage when at the national level, because of the scale and importance of the task or insufficient means in the country where the property is located, adequate resources cannot be secured (Article 21(1) of the *Convention*).

136. The *World Heritage Convention* provides for international assistance for protection of the world cultural and natural heritage by “the establishment of a system of international cooperation and assistance designed to support States Parties to the *Convention* in their efforts to conserve and identify that heritage” (Article 7 of the *Convention*).¹⁷⁵

Primary Purpose of International Assistance

137. The World Heritage Committee will consider requests from States Parties with respect to properties forming part of the cultural and/or natural heritage located in their territories and included or potentially suitable for inclusion in the World Heritage List or the List of World Heritage in Danger (Articles 13.1, 19 and 20 of the *Convention*).

138. The Committee may support requests concerned with provision of professional expertise (studies, experts, training), equipment and financing (loans and grants) (Article 22 of the *Convention*).

International Assistance is Supplementary to National Efforts

139. International assistance will normally only be given to supplement national resources when and where these are insufficient to protect the natural and cultural heritage of Outstanding Universal Value (Paragraph 8 of the Preamble to the *Convention*).

Priority of Emergency Assistance

140. "Requests based upon disasters or natural calamities should, by reasons of the urgent work which they may involve, be given immediate, priority consideration by the Committee (Article 21(2) of the *Convention*)."

¹⁷⁴ This entire section was drafted by a working group at the Expert Meeting held in Canterbury, United Kingdom in April 2000. The March 2001 draft revised *Operational Guidelines* submitted by Australia proposes amendments in a number of paragraphs. **The October 2001 Drafting Group did not have time to discuss this section of the *Operational Guidelines*.**

¹⁷⁵ Amendment to the drafting of the Canterbury text suggested by Australia in March 2001 provides a more precise summary of the meaning of Article 7 of the *Convention*.

Definition of Policy and Priorities by the World Heritage Committee

141. The Committee shall define policies and priorities for international assistance (Article 13(4) of the *Convention*). The General Assembly may also define a policy.

Policy

Strategic Allocation of Resources

142. The allocation of resources for international assistance by the Committee shall be reflected in its Strategic Plan to be drawn up by the Committee at least every six years. The allocation shall also, in turn, be reflected in the World Heritage Centre's Work Plan. Allocation of resources, linked to the Strategic Plan, shall also take into account key factors such as the Global Strategy approach to supporting more effective representivity in World Heritage properties.¹⁷⁶

Large-Scale International Assistance and Major Operations

143. Large-scale international assistance and major operations should be undertaken in accordance with the World Heritage Committee's Strategic Plan.

Priorities

144. Notwithstanding the need for provision of Emergency Assistance, additional priorities shall be defined and updated regularly by the Committee and included as an annex to the *Operational Guidelines*. This process shall take place at least every two years and taking into consideration the results of the latest regional Periodic Reports by the World Heritage Committee.

Until the priorities are established, the following shall be used as the statement of priorities.

145. The Committee shall allocate a specific, significant portion of the World Heritage Fund to financing of possible assistance to World Heritage properties inscribed on the List of World Heritage in Danger.¹⁷⁷

146. Without prejudicing the provisions of the *Convention*, which shall always prevail, the Committee agreed on the following order of priorities with respect to the type of activities to be assisted under the *Convention*:

- emergency measures to save a property included, or nominated for inclusion, in the World Heritage List (**see Section II above**);
- preparatory assistance for drawing up tentative lists of cultural and/or natural properties suitable for inclusion in the World Heritage List as well as nominations of types of properties under-represented on the list and requests for technical co-operation; and
- projects which are likely to have a multiplier effect ("seed money") because they:

¹⁷⁶ This sentence was suggested by Australia in March 2001.

¹⁷⁷ Paragraph 91 of the March 1999 *Operational Guidelines*.

- . stimulate general interest in conservation;
- . contribute to the advancement of scientific research;
- . contribute to the training of specialized personnel;
- . generate contributions from other sources.¹⁷⁸

147. The Committee also agreed that the following factors would in principle govern its decisions in granting assistance under the *Convention*:

- (i) the urgency of the work and of the protective measures to be taken;
- (ii) the legislative, administrative and financial commitment of the recipient State to protect and preserve the property;
- (iii) the cost of the project;
- (iv) the interest for, and exemplary value of, the project in respect of scientific research and the development of cost/effective conservation techniques;
- (v) the educational value both for the training of local experts and for the general public;
- (vi) the cultural and ecological benefits accruing from the project; and
- (vii) the social and economic consequences.¹⁷⁹

148. Properties included in the World Heritage List are considered to be equal in value. For this reason, the criteria proposed above make no reference to the relative value of the properties. A balance will be maintained between funds allocated to projects for the preservation of the cultural heritage on the one hand and projects for the conservation of the natural heritage on the other hand.¹⁸⁰

149. In order to improve the balance between the cultural and natural heritage in the implementation of the *Convention*, the Committee has recommended that the following measures be taken:

- (a) Preparatory assistance to States Parties should be granted on a priority basis for:
 - (i) the establishment of tentative lists of cultural and natural properties situated in their territories and suitable for inclusion in the World Heritage List; and
 - (ii) the preparation of nominations of types of properties underrepresented in the World Heritage List.
- (b) States Parties to the *Convention* should provide the Secretariat with the name and address of the governmental organization(s) primarily responsible for cultural and natural properties, so that copies of all official correspondence and documents can be sent by the Secretariat to these focal points as appropriate.

¹⁷⁸ Paragraph 113 of the March 1999 *Operational Guidelines*.

¹⁷⁹ Paragraph 114 of the March 1999 *Operational Guidelines*.

¹⁸⁰ Paragraph 115 of the March 1999 *Operational Guidelines*.

- (c) States Parties to the *Convention* should convene at regular intervals at the national level a joint meeting of those persons responsible for natural and cultural heritage in order that they may discuss matters pertaining to the implementation of the *Convention*. This does not apply to States Parties where one single organization is dealing with both cultural and natural heritage.
- (d) States Parties to the *Convention* should choose as their representatives persons qualified in the field of natural and cultural heritage, thus complying with Article 9, paragraph 3, of the *Convention*. States members of the Committee should communicate in advance to the Secretariat the names and status of their representatives.
- (e) The Committee, deeply concerned with maintaining a balance in the number of experts from the natural and cultural fields represented on the Bureau, urges that every effort be made in future elections in order to ensure that:
 - (i) the chair is not held by persons with expertise in the same field, either cultural or natural, for more than two successive years; and
 - (ii) at least two "cultural" and at least two "natural" experts are present at Bureau meetings to ensure balance and credibility in reviewing nominations to the World Heritage List.
- (f) In accordance with Article 10.2 of the *Convention* and with Rule 7 of the *Rules of Procedure*, the Committee shall, at any time, invite to its meetings public or private bodies or individuals who would attend as observers and augment the expertise available to it. These observers shall be chosen with a view to a balanced participation between the natural and cultural heritage.¹⁸¹

B. Resourcing

Distribution¹⁸² of resources from all sources of support

150. Distribution of resources from all sources of support for international assistance (including the World Heritage Fund and other sources, such as Funds in Trust) should be coordinated to ensure allocation in conformity with the provisions of the Strategic Plan and priorities of the Committee. Review of requests for funds from all sources should normally be handled in a consistent manner, using common procedures and criteria.

151. All voluntary and obligatory contributions to the World Heritage Fund shall be distributed by the World Heritage Committee.

152. Donors of any other external contributions should be encouraged by the Committee and the Secretariat to coordinate their activities regarding the protection of World Heritage properties with the Committee and the Secretariat so that the Secretariat can inform the Committee of the results of such efforts.

World Heritage Fund

153. States Parties are encouraged to make contributions to the World Heritage Fund for the purpose of international assistance.

¹⁸¹ Paragraph 126 of the March 1999 *Operational Guidelines*.

¹⁸² Australia suggests this word be replaced with "Coordination".

154. International assistance from the World Heritage Fund is likely to have a multiplier or catalytic effect as seed money for stimulating general interest in conservation, contributing to the advancement of scientific research and the training of specialised personnel.¹⁸³

Procedures for application (See Annex 13)

Conditions

Deadlines

155. The deadlines for application for international assistance will be determined by the Committee in consultation with the Advisory Bodies and the Secretariat.

156. All requests for international assistance which are to be examined by the Bureau, with the exception of requests for emergency assistance, should be submitted before 1 **February** for consideration by the following session of the Bureau. Large-scale requests (that is those exceeding US\$ 30,000) will be forwarded, with the Bureau's recommendation, to the following session of the World Heritage Committee for decision-making.¹⁸⁴

Eligibility for Receipt of International Assistance

157. Only States Parties which are not in arrears of payment of their contributions to the World Heritage Fund for the preceding year are eligible to receive a grant of international assistance in the following calendar year, with the exception of emergency assistance.

C Planning for international assistance

Work Plan

158. The Committee shall coordinate provision of international assistance through both proactive approaches and in response to State Party requests, within the framework of a Work Plan.

159. The Work Plan shall be designed by the Committee on a regular basis, but at least every two years, taking into consideration the results of the latest regional Periodic Reports.

160. Consideration of the implementation of the Work Plan will be a permanent item on the agenda of the Committee, and will include a list of property for which international assistance has been granted.

161. Budget ceilings and authority for approval for different types of assistance will be determined by the Committee and regularly reviewed according to the provisions and needs of its Work Plan.

¹⁸³ In March 2001 Australia suggested that Paragraphs 113, 122-125 of the existing *Operational Guidelines* text are relevant to the finalisation of text relating to the World Heritage Fund.

¹⁸⁴ Paragraph 112 of the March 1999 *Operational Guidelines* adapted with reference to the Cairns 2000 Committee decision to have 1 February as the new deadline for receipt of international assistance requests to be submitted to the Bureau and/or the Committee.

162. All requests for international assistance shall be referred to the appropriate advisory body(ies) for professional review and evaluation.

Proactive Approach

163. The Committee shall foster proactive approaches in planning further effective distribution of its resources for international assistance based on its Strategic Plan and Work Plan.¹⁸⁵

State Party requests

164. States Parties may initiate requests for regular and/or emergency international assistance. The forms for application and criteria for assessment are presented in Annex 13)

D. Implementation

Contractual Arrangements

165. When international assistance is granted to a State Party, an agreement will be concluded between the Committee and the State concerned (or its nominee), in conformity with UNESCO regulations for such agreements (see Annex)

Delegation of Authority

166. The Committee may decide to delegate authority to the Chairperson or to a member of the Secretariat to sign such agreements on its behalf.

E. Evaluation and follow-up

167. A mechanism for tracking progress, evaluation and follow-up will be established to ensure the objectives of the Strategic Plan are fulfilled and updated.¹⁸⁶

¹⁸⁵ The aim of the text proposed by Australia is to introduce greater transparency in the allocation of resources.

¹⁸⁶ In March 2001 Australia suggested additional text to formalise the need for monitoring and evaluation of assistance ensuring efficient and effective use of funds.

"This will include monitoring and evaluation of the effectiveness of the international assistance provided for each application, within six months of the activity's completion. An amount of funds shall be set aside within the budget for each supported activity to undertake this monitoring and evaluation. The results of these evaluations shall be collated and maintained by the World Heritage Centre and submitted in regular reports to the World Heritage Committee that also assess the efficacy of the international assistance. Lessons learned from this process will be built into the strategic and work planning process."

V. MOBILISATION OF NATIONAL AND INTERNATIONAL SUPPORT IN FAVOUR OF THE WORLD HERITAGE CONVENTION

A. Objectives

168. The objectives are:

- (i) to raise the general public's awareness of the need to preserve cultural and natural heritage;
- (ii) to increase the participation of local and national populations in the protection and presentation of heritage; and
- (iii) to ensure the mobilisation of technical and financial resources for World Heritage.

169. States Parties are reminded that the *World Heritage Convention*¹⁸⁷ encourages them to achieve these objectives, notably by inviting donations for the protection of the World Heritage through the establishment of national, public and private foundations or associations and institutions, by establishing partnerships and by organizing educational and information programmes to promote World Heritage.

170. Article 5 of the *Convention* further calls on States Parties to ensure the protection and presentation of all cultural and natural heritage situated on their territory.

B. Information, awareness-building and education

Information

171. The World Heritage Centre, acting on behalf of the statutory bodies of the *Convention*, provides access to publicly available and copyright free information on World Heritage properties and other relevant matters, wherever possible. This material is made available notably through electronic media such as the World Wide Web and placed, in particular, on the UNESCO World Heritage web site.

172. Another web site, linked to the public web site through restricted access, is maintained by the Centre and contains specific information targeted at Committee members, other States Parties upon request, Advisory Bodies and other decision makers directly involved in World Heritage conservation.

173. (Additional text to be provided by the Advisory Bodies)

174. The World Heritage Centre maintains two electronic mailing lists: one for Committee members and one for all States Parties, wh-committee@unesco.org and wh-states@unesco.org, respectively. States Parties are requested to supply all appropriate email addresses for the establishment of these lists. These mailing lists, which will not replace the traditional means of notifying States Parties, will allow the Centre to communicate in a timely manner, announcements about the availability of documents, changes to meeting schedules, and other issues relevant to Committee members and other States Parties.

175. The World Heritage Centre holds regular information meetings at UNESCO headquarters to inform Delegations and other interested States Parties about the implementation of the *World Heritage Convention*.

¹⁸⁷ Footnote: Articles 17 and 27 of the *World Heritage Convention*.

Awareness-building

176. The World Heritage Centre provides assistance to States Parties in developing activities aimed at raising public-awareness of the *Convention*.¹⁸⁸ The Centre advises States Parties regarding the preparation and implementation of on-site promotional and educational projects to be funded through International Assistance. The Advisory Bodies and appropriate State agencies may also be solicited to provide advice on such projects.

177. The World Heritage Centre will produce and publish information materials to be distributed to the public directly or through the national and international networks established by States Parties.

Education¹⁸⁹

178. The World Heritage Committee encourages and supports the development of educational materials, activities and programmes. States Parties should, wherever possible, encourage the participation of schools, universities, museums and other local and national educational authorities in the development and use of educational activities related to World Heritage.

C. Presentation

Use of the World Heritage Emblem and the name, symbol or depiction of World Heritage properties

179. The World Heritage Emblem, designed by Mr. Michel Olyff in (date), was approved by the Committee to represent the *World Heritage Convention*. It symbolizes the interdependence of cultural and natural properties: the central square represents the result of human skill and inspiration -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. In order to ensure the Emblem benefits from as much visibility as possible and is used appropriately, specific “Guidelines and Principles for the Use of the World Heritage Emblem” were developed and are attached as Annex 14. In addition, the Committee encourages all States Parties to refer to the “Users’ Manual for the World Heritage Emblem” when designing and producing materials for information and presentation purposes.

D. Training

180. When addressing the provisions made in Article 23 of the *Convention*¹⁹⁰, it is recommended that States Parties include a focus in their training activities on post-inscription activities such as management, monitoring, reporting and presentation. This is to recognise that the management of World Heritage properties requires a high level of skills and a multidisciplinary team.

181. (ICCROM to provide additional text)

¹⁸⁸ Footnote: Article 27.2 of the *World Heritage Convention*.

¹⁸⁹ Footnote: Article 27.1 of the *World Heritage Convention*.

¹⁹⁰ Footnote: Article 23 of the *World Heritage Convention*.

E. Research

182. States Parties should foster and, wherever possible, facilitate research on World Heritage properties and issues within their territories. Research is a particularly significant factor in supporting the identification, management and monitoring of World Heritage values.¹⁹¹

¹⁹¹ Footnote: Article 5 of the *World Heritage Convention*.