UNITED NATIONS EDUCATIONAL SCIENTIFIC AND CULTURAL ORGANIZATION

CONVENTION CONCERNING THE PROTECTION OF THE WORLD CULTURAL AND NATURAL HERITAGE

WORLD HERITAGE COMMITTEE

Twenty-second session Kyoto, Japan 30 November - 5 December 1998

Item 14 of the Provisional Agenda: Revision of the Operational Guidelines for the Implementation of the World Heritage Convention

SUMMARY

This document includes proposed revisions to the *Operational Guidelines for the Implementation of the World Heritage Convention* as follows:

Proposed revisions to Section I ESTABLISHMENT OF THE WORLD HERITAGE LIST

Decision required: page 16

Proposed revisions to Section II REACTIVE MONITORING AND PERIOD REPORTING

Decision required: page 21

Proposed revisions to Section IV INTERNATIONAL ASSISTANCE

Decision required: page 27

Please note: Throughout this document text to be deleted is -struckthrough- and new text is shown in **bold.**

Proposed revisions to Section I: ESTABLISHMENT OF THE WORLD HERITAGE LIST

The proposed revisions to **Section I ESTABLISHMENT OF THE WORLD HERITAGE LIST** derive from the Recommendations made by the recent World Heritage Global Strategy Natural and Cultural Heritage Expert Meeting (see Information Document WHC-98/CONF.203/INF.7) and a meeting with the World Heritage Centre and the Advisory Bodies held at UNESCO Headquarters on 21 and 22 September 1998.

I. ESTABLISHMENT OF THE WORLD HERITAGE LIST

(...)

B. The Global Strategy for a representative and balanced World Heritage List

- 7. A Global Strategy for a representative and credible World Heritage List was adopted by the World Heritage Committee at its eighteenth session in December 1994. The Global Strategy was initially developed with reference to heritage of cultural value. At the request of the World Heritage Committee, the Global Strategy was subsequently expanded to also include reference to heritage of natural value and combined cultural and natural value.
- 8. In order to ensure for the future a World Heritage List that is at the same time representative, balanced, and credible, the Global Strategy seeks to increase the number of types of heritage and the regional representation of the List. It also endeavours to take into account the expanded notions of what comprises heritage¹ that have developed over the last twenty or more years. The Global Strategy seeks to redress the imbalances in the types of heritage included in the List namely the high number of monumental properties of cultural value from some regions of the world. It also seeks to achieve greater balance between the number of properties of natural value compared to cultural value inscribed on the World Heritage List. The Global Strategy seeks to ensure a more balanced and representative World Heritage List by encouraging more countries to become States Parties to the *Convention*, to prepare tentative lists and to harmonise them, and to prepare nominations of properties from categories and regions currently not well represented on the World Heritage List.

¹ The diversity of types of potential World Heritage properties includes for example, groups of urban buildings and cultural landscapes. Guidance concerning the nomination of these types of properties is provided in Annex 1.

Note: In future years it is proposed that Annex 1 will be expanded to reflect the outcomes of other meetings and studies carried out under the aegis of the Global Strategy. The purpose of Annex 1 is to provide guidance to States Parties concerning the nomination of a diversity of types of properties of cultural and/or natural value (to reflect a thematic and regional diversity) for inclusion on the World Heritage List.

9. The Global Strategy takes the form of an action programme designed to identify the major gaps relating to types of properties, regions of the world, cultures, periods, biogeographical provinces, biomes in the List. Since 1994, a number of regional and thematic Global Strategy meetings and comparative and thematic studies have been organized for this purpose. States Parties and the advisory bodies (IUCN, ICOMOS and ICCROM) are encouraged to participate in the implementation of the Global Strategy in co-operation with the UNESCO World Heritage Centre and other partners.

(a) Indications to States Parties concerning the preparation of tentative lists

- **10.7.** The Committee requests each State Party to submit to it a tentative list of properties which it intends to nominate for inscription to the World Heritage List during the following five to ten years. This tentative list will constitute the "inventory" (provided for in Article 11 of the Convention) of the cultural and natural properties of cultural and/or natural value situated within the territory of each State Party and which it considers suitable for inclusion on the World Heritage List. The purpose of these tentative lists is to enable the Committee to evaluate within the widest possible context the "outstanding universal value" of each property nominated to the List. The Committee hopes that States Parties that have not yet submitted a tentative list will do so as early as possible. States Parties are reminded of the Committee's earlier decision not to consider cultural—nominations of properties of cultural value unless such a list of cultural properties of cultural value has been submitted.
- 8.—11. In order to facilitate the work of all concerned, the Committee requests States Parties to submit their tentative lists in a <u>standard format</u> (see Annex 1) which provides for information under the following headings:
 - the name of the property;
 - the geographical location of the property;
 - a brief description of the property;
 - a justification of the "outstanding universal value" of the property in accordance with the criteria and conditions of authenticity or integrity set out in paragraph 24 and 44 below, taking account of similar properties both inside and outside the boundaries of the State concerned.

Natural Properties of natural value should be grouped according to biogeographical provinces and cultural properties should be grouped according to cultural periods or areas. The <u>order</u> in which the properties listed would be presented for inscription should also be indicated, if possible.

(b) <u>Comparative assessments to be prepared by States Parties at the time of nomination</u>

12. 9. The fundamental principle stipulated in the Convention is that properties nominated must be of outstanding universal value and the properties nominated therefore should be carefully selected. The criteria and conditions of authenticity or integrity against which the Committee will evaluate properties are set out in paragraphs 24 —and 44 below. Within a given geo-cultural region, it may be desirable for States Parties to make comparative assessments for the

harmonization of tentative lists and nominations of cultural properties. Support for the organization of meetings for this purpose may be requested under the World Heritage Fund (see Paragraphs 90 and 91).

13. 12. When nominating properties belonging to certain well-represented categories of cultural properties of cultural value the nominating State Party should provide a comparative assessment evaluation of the property in relation to other properties of a similar type, as already required in paragraph **10** 7 with regard to the tentative lists.

(c) Maintaining a balance between the numbers of cultural and natural properties included in the World Heritage List

- **14.** 15. In nominating properties to the List, States Parties are invited to keep in mind the desirability of achieving a reasonable balance between the numbers of cultural heritage and natural heritage properties of cultural and natural value included in the World Heritage List.
- **15.**18. In keeping with the spirit of the Convention, States Parties should as far as possible endeavour to include in their submissions properties which derive their outstanding universal value from a particularly significant combination of cultural and natural features.

(d) Nomination of serial properties

- **16.** 19. States Parties may propose in a single nomination a series of cultural or natural properties **of cultural and/or natural value** in different geographical locations, provided that they are related because they belong to:
 - (i) the same historico-cultural group or
 - (ii) the same type of property which is characteristic of the geographical zone
 - (iii) the same geomorphological formation, the same biogeographic province, or the same ecosystem type

and provided that it is the <u>series</u> as such, and not its components taken individually, which is of outstanding universal value.

17. <u>20.</u> When a series of eultural or natural properties of cultural and/or natural value, as defined in paragraph 19 above, consists of properties situated in the territory of more than one State Party to the Convention, the States Parties concerned are encouraged to jointly submit a single nomination.

(e) Nomination of transboundary properties

18. 16. In cases where a cultural and/or natural property of cultural and/or natural value which fulfills the criteria adopted by the Committee extends beyond national borders the States Parties concerned are encouraged to submit a joint nomination.

(f) Nomination of immovable property which is likely to become movable

19. 25. Nominations of immovable property which are likely to become movable will not be considered **for inclusion in the World Heritage List.**

C. Criteria for the inclusion of cultural properties in the World Heritage List

20. 10. Each nomination should be presented in the form of a well-argued case. It should be submitted in on the appropriate format form (see paragraph 64 below) and should provide all the information to demonstrate that the property nominated is truly of "outstanding universal value". "Outstanding universal value", or World Heritage value, is determined on the basis of criteria and conditions of authenticity and integrity presented in paragraph 24 below.

21.23. The criteria for the inclusion of properties in the World Heritage List should always be seen in relation to one another and should be considered in the context of the definitions set out in Articles 1 and 2 of the Convention which is are reproduced below:

Article 1

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

<u>monuments</u>: 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;

<u>sites</u>: 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.

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.

22.(a) 24.Nomination criteria. A property nominated A monument, group of buildings or site – as defined above – which is nominated for inclusion in the World Heritage List will be considered to be of "outstanding universal value" for the purposes of the Convention when the Committee finds that it meets one or more of the following nomination criteria described

in para. 24. and the test of authenticity. Each property nominated should therefore : also fulfil the following conditions of integrity.

(b) Qualifying conditions.

Sites proposed for inclusion on the World Heritage List should also satisfy application of the "qualifying conditions" (test of authenticity / conditions of integrity) to ensure that the values for which nomination is proposed are genuinely manifested through the site's significant attributes.

(b.i.) Test of authenticity.

Application of the test of authenticity involves verifying the degree to which the attributes of particular sites are credible and genuine expressions of the cultural values for which inscription has been proposed. The Nara Document on Authenticity provides a practical basis for examining the authenticity of sites of cultural value nominated for inclusion in the World Heritage List. The document notes that:

"conservation of cultural heritage in all its forms and historical periods is rooted in the values attributed to the heritage. Our ability to understand these values depends in part on the degree to which information sources about these values may be understood as credible and truthful. Knowledge and understanding of these sources of information in relation to original and subsequent characteristics of cultural heritage, and their meaning, is a requisite basis for assessing all aspects of authenticity. Authenticity considered in this way and confirmed in the Charter of Venice appears as the essential qualifying factor concerning values." (Nara Document on Authenticity, Art. 9 and 10)

The Nara Document goes on to note that:

"depending on the nature of cultural heritage, its cultural context, and its evolution through time, authenticity judgements may be linked to the worth of a great variety of sources of information. Aspects of these sources may include form and design, materials and substance, use and function, traditions and techniques, location and setting, and spirit and feeling, and other internal and external factors." (Nara Document on Authenticity, Art. 13)

Hence, sites 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 site's attributes (referred to in the Nara Document as "information sources"): form and design, materials and substance, use and function, traditions and techniques, and location and setting. Ephemeral attributes noted in the Document 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 (genius loci), for example, in communities maintaining tradition and cultural continuity.

(b.2.) PARAGRAPH ON INTEGRITY TO BE INSERTED HERE

22. 45. In principle, a site could be inscribed on the World Heritage List as long as it satisfies one of the four ten criteria and the relevant conditions of integrity and authenticity. However, most inscribed sites have met two or more criteria. Nomination dossiers, IUCN

and/or ICOMOS evaluations and the final recommendations decisions of the Committee on each inscribed site are available for consultation by States Parties who may wish to use such information as guides for identifying and elaborating nomination of sites within their own territories.

24. CRITERIA

QUALIFYING CONDITIONS

(i) represent a masterpiece of the human creative genius; or	(i) The sites inscribed under this criterion should be considered authentic if they are credible and genuine demonstrations of the creative values for which inscription is proposed.
	For example: the authenticity of a designed building or landscape, or an engineered structure proposed under this criterion would be evident in the degree to which its particular design qualities (aesthetic or technological excellence/innovation, etc.), may be identified and understood, particularly through surviving material (fabric) and form.
(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, monumental arts or town- planning and landscape design; or	(ii) The sites described under this criterion should be considered authentic if they are credible and genuine demonstrations of the type of interchange of human values for which inscription has been proposed.
prainting and randscape design , or	For example: the authenticity of the buildings, landscapes or urban layouts proposed under this criterion would be evident in the degree to which the interchanges (interactions, exchanges, influences, etc.) of human values, from which they result, may be identified and understood, particularly through their surviving material (fabric), form and traditions.
(iii) bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared; or	(iii) The sites under this criterion should be considered authentic if they are credible and genuine demonstrations and testimonies to a cultural tradition or civilization for which inscription has been proposed.
	For example: the authenticity of archaeological sites or landscapes proposed under this criterion would be evident in the degree to which the qualities

(particularly their testimonies surviving material (fabric), form and setting) may be identified and understood. The authenticity of living communities proposed under this inscription criterion would be evident in the degree to which the qualities of their testimonies may be identified and understood, particularly through the continuity of use of culturally meaningful materials, forms, traditions and functions, and in relation to their setting and spirit. (iv) The sites inscribed under this criterion be an outstanding example of a type of building or architectural ensemble or should be considered authentic if they are landscape which illustrates (a) significant credible and genuine demonstrations of the stage(s) in human history; or building, architectural or landscape typologies for which nomination has been proposed. For example: the authenticity of the buildings, ensembles or landscapes proposed under this criterion would be evident in the degree to which the qualities relating to their type (excellence, uniqueness, representativeness, prototypicality, etc.) may be identified and understood, particularly through their surviving form, material (fabric) and use. be an outstanding example of a (v) The sites inscribed under this criterion should be considered authentic if they are traditional human settlement or land-use which is representative of a culture (or credible and genuine demonstrations of the cultures), especially when it has become representative qualities of a culture (or vulnerable under the impact of irreversible cultures) for which inscription has been change; or proposed. For example: the authenticity of the traditional human settlements or land-use proposed under this criterion would be evident in the degree to which their qualities (excellence, representativeness, etc.) may be identified and understood, particularly through their surviving material (fabric), form, traditions, setting, use and spirit. be directly or tangibly associated with (vi) The sites inscribed under this criterion events or living traditions, with ideas, or with should be considered authentic if they are beliefs, with artistic and literary works of credible and genuine demonstrations of outstanding universal significance (the the associative values for which inscription Committee considers that this criterion has been proposed. should justify inclusion in the List-only in

exceptional circumstances and in conjunction with other criteria cultural or natural); or	For example: the authenticity of the sites proposed under this criterion would be evident in the degree to which their associative qualities may be identified and understood, particularly in the spirit and feeling that they manifest.
(i)(vii) 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; or	(i) The sites inscribed according to this criterion described in 44(a)(i) should contain all or most of the key interrelated and interdependent elements in their natural relationships.
	For example, an "ice age" area should include 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.
(ii) (viii) be outstanding examples representing human interaction with the environment or ² 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; or	(ii) The sites inscribed according to this criterion described in 44(a)(ii) 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 and the process of past and/or continuing human interaction with the environment. ³
	For example, an area of tropical rain forest should include 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.
(iii) (ix) contain superlative natural phenomena or areas of exceptional natural beauty and aesthetic and/or spiritual	(iii) The sites inscribed according to this criterion described in 44(a)(iii) should be of outstanding aesthetic value and include areas

² At a meeting with the World Heritage Centre and the Advisory Bodies on 21-22 September 1998, the representatives of ICCROM and IUCN, expressed their concern about including this text in this criterion as had been recommended by the Expert Meeting in Amsterdam (March 1998). They questioned whether this text would be better included as a separate criterion or as an addition to criterion (ix).

³ Text suggested by ICOMOS at a meeting with the World Heritage Centre and the AdvisoryBodies on 21-22 September 1998.

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importance; or	that are essential for maintaining the beauty of the site.
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	For example, a site whose scenic values
	depend on a waterfall, should include adjacent
	catchment and downstream areas that are
	integrally linked to the maintenance of the
	aesthetic qualities of the site.
(iv) (x) contain the most important and	(iv)The sites inscribed according to this
significant natural habitats for in-situ	criterion described in paragraph 44(a)(iv)
conservation of biological diversity,	should contain habitats for maintaining the
including those containing threatened species	most diverse fauna and flora characteristic of
of outstanding universal value from the point	the bio-geographic province and ecosystems
of view of science or conservation.	under consideration.
	For example a transical seventes should
	For example, a tropical savannah should
	include 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; international
	conventions, e.g. the Convention of Wetlands
	of International Importance Especially as
	Waterfowl Habitat (Ramsar Convention), for
	ensuring the protection of habitats of migratory
	species of waterfowl, and other multi- and
	bilateral agreements could provide this
	assurance.

(b) Management requirements

(b) (i) 25. Cultural properties should meet the test of authenticity in design, material, workmanship or setting and in the case of cultural landscapes their distinctive character and components. (the Committee stressed that Reconstruction is only acceptable if it is carried out on the basis of complete and detailed documentation on the original and to no extent on conjecture).

26. (vii) Sites **inscribed according to criteria** (vii) to (x) described in paragraph 44(a) should be the most important sites for the conservation of biological diversity. Biological diversity, according to the new global Convention on Biological Diversity, means the variability among living organisms in terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part and includes diversity within species, between species and of ecosystems. Only those sites which are the most biologically diverse are likely to meet **this** criterion (iv) of paragraph 44 (a).

- **27.** 22. Where the intrinsic qualities of a property nominated are threatened by action of man and yet meet the criteria and the conditions of authenticity or integrity set out in paragraph **24** 24 and 44, an action plan outlining the corrective measures required should be submitted with the nomination file. Should the corrective measures submitted by the nominating State not be taken within the time proposed by the State, the property will be considered by the Committee for delisting in accordance with the procedure adopted by the Committee.
- 28. ii) Properties nominated for inclusion in the World Heritage List must have adequate long-term legal, regulatory, institutional, and/or contractual and/or traditional protection and management mechanisms to ensure the conservation of the nominated cultural properties or cultural landscapes. The existence of protective legislation at the national, provincial or municipal level and/or a well-established contractual or traditional protection as well as of adequate management and/or planning control mechanisms is therefore essential and, as is clearly indicated in the following paragraph, must be stated clearly on the nomination form. Assurances of the effective implementation of these laws and/or contractual and/or traditional protection as well as of these management mechanisms are also expected. Furthermore, in order to preserve the integrity of properties cultural sites, particularly those open to large numbers of visitors, the State Party concerned should be able to provide evidence of suitable administrative arrangements to cover the management of the property, its conservation and its accessibility to the public.
- **29.** (v) The sites described in paragraph 44(a) should have a management plan. When the mechanisms described in Paragraph 27 are not in place a site does not have a management plan-at the time when the property -it is nominated for the consideration of the World Heritage Committee, the State Party concerned should indicate when such mechanisms a plan-will become available and how it proposes to mobilize the resources required for the preparation and implementation of the mechanism-plan. The State Party should also provide a description of the legal, contractual and /or traditional protection, other document(s) (e.g. operational plans) which will guide the management of the site until such time when a management plan is finalized.
- **30.** 11. Under the management section of the nomination form States Parties should provide, in addition to the legal texts protecting the property being nominated, an explanation of the way in which these laws actually operate. Such an analysis is preferable to a mere enumeration or compilation of the legal texts themselves.
- 31. States Parties are encouraged to prepare plans for the management of each **property** natural site nominated and for the safeguarding of each cultural property nominated. All information concerning these plans should be made available when technical co-operation is requested.
- 32. (vi) A site described in paragraph 44(a) should have adequate long term legislative, regulatory or institutional protection. The boundaries of a World Heritage property nominated according to criteria (vii) to (xi) that site should reflect the spatial requirements of habitats, species, processes or phenomena that provide the basis for its nomination for 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 site's heritage values from direct adverse effects of human encroachment and impacts of resource use outside of the nominated area. The boundaries of the nominated site may coincide with one or more existing or proposed protected areas, such as national parks or biosphere reserves. While an existing or proposed

protected area may contain several management zones, only some of those zones may satisfy criteria described in paragraph 24 44(a); other zones, although they may not meet the criteria set out in paragraph 24 44(a), may be essential for the management to ensure the integrity of the nominated site; for example, in the case of a biosphere reserve, only the core zone may meet the criteria and the conditions of integrity, although other zones, i.e. buffer and transitional zones, would be important for the conservation of the biosphere reserve in its totality.

- 33. The boundaries of a World Heritage property nominated according to criteria (i) to (vi) that site should reflect [text to be proposed by ICOMOS & ICCROM].
- **34.** 17. Whenever necessary for the proper conservation of a cultural or natural property nominated, an adequate "buffer zone" around a property should be provided and should be afforded 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; the area constituting the buffer zone should be determined in each case through technical studies. Details on the size, characteristics and authorized uses of a buffer zone, as well as a map indicating its precise boundaries, should be provided in the nomination file relating to the property in question.

The following paragraphs would become part of Section G FORMAT AND CONTENT OF NOMINATIONS

- 10. Each nomination should be supported by all the necessary documentation, including suitable slides and maps and other material. With regard to cultural properties, States Parties are invited to attach to the nomination forms a brief analysis of references in world literature (e.g. reference works such as general or specialized encyclopaedia, histories of art or architecture, records of voyages and explorations, scientific reports, guidebooks, etc.) along with a comprehensive bibliography. With regard to newly-discovered properties, evidence of the attention which the discovery has received internationally would be equally helpful.
- **13.** In certain cases it may be necessary for States Parties to consult the Secretariat and the specialized NGO concerned (**IUCN AND/OR ICOMOS**) informally before submitting nomination forms. The Committee reminds States Parties that assistance for the purpose of preparing comprehensive and sound nominations is available to them at their request under the World Heritage Fund.
- **14.** Participation of local people in the nomination process is essential to make them feel a shared responsibility with the State Party in the maintenance of the site.

The following text would become the new Annex I with a footnote in paragraph 8

Guidance concerning the inclusion of groups of urban buildings and cultural landscapes on the World Heritage List

A. Guidance concerning the inclusion of groups of urban buildings on the World Heritage List

- **26.** With respect to groups of urban buildings, the Committee has furthermore adopted the following Guidelines concerning their inclusion in the World Heritage List.
- **27.** Groups of urban buildings eligible for inclusion in the World Heritage List fall into three main categories, namely:
 - (i) towns which are no longer inhabited but which provide unchanged archaeological evidence of the past; these generally satisfy the criterion of authenticity and their state of conservation can be relatively easily controlled;
 - (ii) historic towns which are still inhabited and which, by their very nature, have developed and will continue to develop under the influence of socio-economic and cultural change, a situation that renders the assessment of their authenticity more difficult and any conservation policy more problematical;
 - (iii) new towns of the twentieth century which paradoxically have something in common with both the aforementioned categories: while their original urban organization is clearly recognizable and their authenticity is undeniable, their future is unclear because their development is largely uncontrollable.
- 28. The evaluation of towns that are no longer inhabited does not raise any special difficulties other than those related to archaeological sites in general: the criteria which call for uniqueness or exemplary character have led to the choice of groups of buildings noteworthy for their purity of style, for the concentrations of monuments they contain and sometimes for their important historical associations. It is important for urban archaeological sites to be listed as integral units. A cluster of monuments or a small group of buildings is not adequate to suggest the multiple and complex functions of a city which has disappeared; remains of such a city should be preserved in their entirety together with their natural surroundings whenever possible.
- 29. In the case of inhabited historic towns the difficulties are numerous, largely owing to the fragility of their urban fabric (which has in many cases been seriously disrupted since the advent of the industrial era) and the runaway speed with which their surroundings have been urbanized. To qualify for inclusion, towns should compel recognition because of their architectural interest and should not be considered only on the intellectual grounds of the role they may have played in the past or their value as historical symbols under criterion (vi) for the inclusion of cultural properties in the World Heritage List (see paragraph 24 above). To be eligible for inclusion in the List, the spatial organization, structure, materials, forms and, where possible, functions of a

group of buildings should essentially reflect the civilization or succession of civilizations which have prompted the nomination of the property. Four categories can be distinguished:

- (i) Towns which are typical of a specific period or culture, which have been almost wholly preserved and which have remained largely unaffected by subsequent developments. Here the property to be listed is the entire town together with its surroundings, which must also be protected;
- (ii) Towns that have evolved along characteristic lines and have preserved, sometimes in the midst of exceptional natural surroundings, spatial arrangements and structures that are typical of the successive stages in their history. Here the clearly defined historic part takes precedence over the contemporary environment;
- (iii) "Historic centres" that cover exactly the same area as ancient towns and are now enclosed within modern cities. Here it is necessary to determine the precise limits of the property in its widest historical dimensions and to make appropriate provision for its immediate surroundings;
- (iv) Sectors, areas or isolated units which, even in the residual state in which they have survived, provide coherent evidence of the character of a historic town which has disappeared. In such cases surviving areas and buildings should bear sufficient testimony to the former whole.
- **30.** Historic centres and historic areas should be listed only where they contain a large number of ancient buildings of monumental importance which provide a direct indication of the characteristic features of a town of exceptional interest. Nominations of several isolated and unrelated buildings which allegedly represent, in themselves, a town whose urban fabric has ceased to be discernible, should not be encouraged.
- 31. However, nominations could be made regarding properties that occupy a limited space but have had a major influence on the history of town planning. In such cases, the nomination should make it clear that it is the monumental group that is to be listed and that the town is mentioned only incidentally as the place where the property is located. Similarly, if a building of clearly universal significance is located in severely degraded or insufficiently representative urban surroundings, it should, of course, be listed without any special reference to the town.
- 32. It is difficult to assess the quality of new towns of the twentieth century. History alone will tell which of them will best serve as examples of contemporary town planning. The examination of the files on these towns should be deferred, save under exceptional circumstances.
- 33. Under present conditions, preference should be given to the inclusion in the World Heritage List of small or medium-sized urban areas which are in a position to manage any potential growth, rather than the great metropolises, on which sufficiently complete information and documentation cannot readily be provided that would serve as a satisfactory basis for their inclusion in their entirety.
- **34.** In view of the effects which the entry of a town in the World Heritage List could have on its future, such entries should be exceptional. Inclusion in the List implies that legislative and

administrative measures have already been taken to ensure the protection of the group of buildings and its environment. Informed awareness on the part of the population concerned, without whose active participation any conservation scheme would be impractical, is also essential.

B. Guidance concerning the inclusion of groups of cultural landscapes on the World Heritage List

- **35.** With respect to <u>cultural landscapes</u>, the Committee has furthermore adopted the following guidelines concerning their inclusion in the World Heritage List.
- **36.** Cultural landscapes represent the "combined works of nature and of man" designated in Article 1 of the Convention. They are illustrative of the evolution of human society and settlement over time, under the influence of the physical constraints and/or opportunities presented by their natural environment and of successive social, economic and cultural forces, both external and internal. They should be selected on the basis both of their outstanding universal value and of their representativity in terms of a clearly defined geo-cultural region and also for their capacity to illustrate the essential and distinct cultural elements of such regions.
- **37.** The term "cultural landscape" embraces a diversity of manifestations of the interaction between humankind and its natural environment.
- 38. Cultural landscapes often reflect specific techniques of sustainable land-use, considering the characteristics and limits of the natural environment they are established in, and a specific spiritual relation to nature. Protection of cultural landscapes can contribute to modern techniques of sustainable land-use and can maintain or enhance natural values in the landscape. The continued existence of traditional forms of land-use supports biological diversity in many regions of the world. The protection of traditional cultural landscapes is therefore helpful in maintaining biological diversity.
- **39.** Cultural landscapes fall into three main categories, namely:
 - (i) The most easily identifiable is the clearly defined landscape designed and created intentionally by man. This embraces garden and parkland landscapes constructed for aesthetic reasons which are often (but not always) associated with religious or other monumental buildings and ensembles.
 - (ii) The second category is the organically evolved landscape. This results from an initial social, economic, administrative, and/or religious imperative and has developed its present form by association with and in response to its natural environment. Such landscapes reflect that process of evolution in their form and component features. They fall into two sub-categories:
 - a relict (or fossil) landscape is one in which an evolutionary process came to an end at some time in the past, either abruptly or over a period. Its significant distinguishing features are, however, still visible in material form.
 - a continuing landscape is one which retains an active social role in contemporary society closely associated with the traditional way of life,

and in which the evolutionary process is still in progress. At the same time it exhibits significant material evidence of its evolution over time.

- (iii) The final category is the associative cultural landscape. The inclusion of such landscapes on the World Heritage List is justifiable by virtue of the powerful religious, artistic or cultural associations of the natural element rather than material cultural evidence, which may be insignificant or even absent.
- **40.** The extent of a cultural landscape for inclusion on the World Heritage List is relative to its functionality and intelligibility. In any case, the sample selected must be substantial enough to adequately represent the totality of the cultural landscape that it illustrates. The possibility of designating long linear areas which represent culturally significant transport and communication networks should not be excluded.
- 41. The general criteria for conservation and management laid down in paragraphs 25 to 34 24.(b).(ii) above are equally applicable to cultural landscapes. It is important that due attention be paid to the full range of values represented in the landscape, both cultural and natural. The nominations should be prepared in collaboration with and the full approval of local communities.
- 42. The existence of a category of "cultural landscape", included on the World Heritage List on the basis of the criteria set out in paragraph 24 above, does not exclude includes the possibility of sites of exceptional importance in relation to both cultural and natural value criteria continuing to be included. In such cases, their outstanding universal significance must be justified under both sets of criteria.

Decision required: The Committee may wish to examine the above proposed revisions of the Operational Guidelines and make comments and observations. The Committee may wish to adopt the following decision:

"The Committee requests the Secretariat in joint collaboration with the Advisory Bodies, to further develop the proposed revisions to Section I of the Operational Guidelines and submit them to the twenty-third session of the Bureau for examination.

The Committee requests the Bureau to make specific recommendations for the revision of Section I of the Operational Guidelines for examination by the Committee at its twenty-third session."

Proposed revisions to Section II: REACTIVE MONITORING AND PERIOD REPORTING

The proposed revisions to **Section II REACTIVE MONITORING AND PERIOD REPORTING** presented below derive from the decisions of the twenty-ninth General Conference of UNESCO and those proposed to be taken by the twenty-second session of the World Heritage Committee under Item 6 of the Provisional Agenda (see Working Document WHC-98/CONF.203/6).

II. **REACTIVE** MONITORING **AND PERIODIC REPORTING** THE STATE OF CONSERVATION OF PROPERTIES INSCRIBED ON THE WORLD HERITAGE LIST

A. Reactive monitoring

- 68. One of the essential functions of the Committee is to monitor the state of conservation of properties inscribed on the World Heritage List and to take action thereupon. In the following, a distinction will be made between systematic and reactive monitoring.
- 75. 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** sites 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** site. 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. 82-89.

B. Systematic monitoring and Periodic reporting

xx. The Eleventh General Assembly of States Parties to the World Heritage Convention and the twenty-ninth General Conference of UNESCO examined the matter of the periodic reporting under Article 29 of the World Heritage Convention. The General Conference adopted a resolution in which it:

<u>Invited</u> the States Parties to the World Heritage Convention to submit in accordance with Article 29 of the Convention, through the World Heritage Committee, via its secretariat the UNESCO World Heritage Centre, reports on the legislative and administrative provisions and other actions which they have taken for the application of the Convention, including the state of conservation of the World Heritage properties located on its territories;

and

<u>requested</u> the World Heritage Committee to define the periodicity, form, nature and extent of the periodic reporting on the application of the World Heritage Convention and on the state of conservation of World Heritage properties and to examine and respond to these reports while respecting the principle of State sovereignty;

- xx. The Committee, at its twenty-second session held in December 1998 took decisions on the periodicity of the periodic reporting, the handling and examination of the periodic reports and the format for these periodic reports.
- 69. Systematic monitoring and reporting is the continuous process of observing the conditions of World Heritage sites with periodic reporting on its state of conservation.
- **xx.** The objectives of systematic monitoring and periodic reporting are:

To assess the overall application of the World Heritage Convention by States Parties, as well as to assess whether the World Heritage value(s) for which a property was inscribed on the World Heritage List is(are) maintained over time with a view to contribute to:

World Heritage **property** site: Improved site management, advanced planning, reduction of emergency and ad-hoc interventions, and reduction of costs through preventive conservation.

State Party: Improved World Heritage policies, advanced planning, improved **property** site management and preventive conservation.

Region: Regional co-operation, regional World Heritage policies and activities better targeted to the specific needs of the region.

Committee/Secretariat: Better understanding of the conditions of the **properties** sites and of the needs on the site, national and regional levels. Improved policy and decision-making.

- 70. It is the prime responsibility of the States Parties to take appropriate provisions and actions for the application of the Convention and to put in place on-site monitoring arrangements as an integral component of day-to-day conservation and management of the sites. States Parties should do so in close collaboration with the site managers or the agency with management authority. It is necessary that every year the conditions of the property site be recorded by the site manager or the agency with management authority.
- 71. The States Parties are invited to submit to the World Heritage Committee through the World Heritage Centre, every six five-years, a scientific periodic report on the application of the World Heritage Convention, including the state of conservation of the World Heritage properties located on its territories—the state of conservation of the World Heritage sites on their 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.
- 72. To facilitate the work of the Committee and its Secretariat and to achieve greater regionalization and decentralization of World Heritage work, these reports will be examined

separately by region as determined by the Committee. The World Heritage Centre will synthesize the national reports by regions. In doing so, full use will be made of the available expertise of the advisory bodies and other organizations.

- 73. The Committee will decide for which regions **the periodic reports** state of conservation reports should be presented to its forthcoming sessions. The States Parties concerned will be informed **immediately of the Committee's decision** at least one year in advance so as to give them sufficient time to prepare the state of conservation reports.
- 74. The Secretariat will take the necessary measures for adequate World Heritage information collection and management, making full use, to the extent possible, of the information/documentation services of the advisory bodies and others.

C. Format and content of periodic reports

- xx. The Committee approved at its twenty-second session held in December 1998 a format for the periodic reports. This format consists of two sections:
 - Section I constitutes the State Party's report on the application of relevant articles of the World Heritage Convention, including those referring to the identification of properties of cultural and/or natural value; protection, conservation and presentation of the cultural and natural heritage; international co-operation and fund raising; and education, information and awareness building.
 - Section II refers to the state of conservation of specific World Heritage properties located on the State Party's territory.

Its main objective is to obtain an assessment of whether the World Heritage value(s) for which a property was inscribed on the World Heritage List is(are) maintained over time.

In addition, States Parties are requested to provide up-dated information on the management, factors affecting the property and monitoring arrangements.

xx. Although it is recognized that all properties have specific characteristics, States Parties are encouraged to provide information and documentation on the following items:

SECTION I: APPLICATION OF THE WORLD HERITAGE CONVENTION BY THE STATE PARTY

I.1. Introduction

- a. State Party
- b. Year of ratification or acceptance of the Convention
- c. Organization(s) or entity(ies) responsible for the preparation of the report
- d. Date of the report
- e. Signature on behalf of State Party

I.2. Identification of cultural and natural heritage properties

- a. National inventories
- b. Tentative List
- c. Nominations

I.3. Protection, conservation and presentation of the cultural and natural heritage

- a. General policy development
- b. Status of services for protection, conservation and presentation
- c. Scientific and technical studies and research
- d. Measures for identification, protection, conservation, presentation and rehabilitation
- e. Training
- I.4. International co-operation and fund raising
- I.5. Education, information and awareness building

I.6. Conclusions and recommended action

- a. Main conclusions
- **b.** Proposed future action(s)
- c. Responsible implementing agency(ies)
- d. Timeframe for implementation
- e. Needs for international assistance.

SECTION II:STATE OF CONSERVATION OF SPECIFIC WORLD HERITAGE PROPERTIES

II.1 Introduction

- a. State Party
- b. Name of World Heritage property
- c. Date of inscription on the World Heritage List
- **d.** Organization(s) or entity(ies) responsible for the preparation of the report
- e. Date of report
- f. Signature on behalf of State Party

II.2. Statement of significance

II.3. Statement of integrity

II.4. Management

- II.5. Factors affecting the property
- II.6. Monitoring
- II.7. Conclusions and recommended action
 - a. Main conclusions
 - **b.** Proposed future action(s)
 - c. Responsible implementing agency(ies)
 - d. Timeframe for implementation
 - e. Needs for international assistance.

xx. The Committee adopted at its twenty-second session substantive Explanatory Notes to the format for periodic reports. These Notes relate to each of the above headings and will be made available to the States Parties as an annex to the format for periodic reports in order to provide guidance to those preparing the reports.

Decision required: The Committee may wish to examine, amend if appropriate and adopt the proposed recommendations for changes to Sections II of the *Operational Guidelines for the Implementation of the World Heritage Convention*.

Proposed revisions to Section IV: INTERNATIONAL ASSISTANCE

The proposed revisions to **Section IV INTERNATIONAL ASSISTANCE** presented below are a reflection of the World Heritage Centre's experience in administering international assistance requests.

The proposed increase in the budgetary ceiling for Preparatory Assistance (Paragraph 90) derives from a specific recommendation made at the 4th Global Strategy Meeting for Western Africa, Benin, 16-18 September 1998 (see Information Document WHC-98/CONF.203/INF.9). P

Proposed changes to paragraphs 92 to 106 are made in response to recommendations of the 'Report of the External Auditor to the Director-General of UNESCO on the Management Review of the World Heritage Convention', November 1997 (WHC-98/CONF.203/INF.16) (see also WHC-98/CONF.203/11).

"IV. INTERNATIONAL ASSISTANCE

A. Different forms of assistance available under the World Heritage Fund

- (i) <u>Preparatory assistance</u>
- **90.** Assistance is available to States Parties for the purpose of:
 - (a) preparing tentative lists of cultural and/or natural properties suitable for inclusion in the World Heritage List;
 - (b) organizing meetings for the harmonization of tentative lists within the same geo-cultural area;
 - (c) preparing nominations of cultural and natural properties to the World Heritage List; and
 - (d) preparing requests for technical co-operation, including requests relating to the organization of training courses.

This type of assistance, known as "preparatory assistance", can take the form of consultant services, equipment or, in exceptional cases, financial grants. The budgetary ceiling for each preparatory assistance project is fixed at \$15,000 \$20,000.

91. Requests for preparatory assistance should be forwarded to the Secretariat which will transmit them to the Chairperson, who will decide on the assistance to be granted. Request forms (WHC/5) can be obtained from the Secretariat.

(ii) Emergency assistance

- 92. States Parties may request emergency assistance for work in connection with cultural and natural properties included or suitable for inclusion in the World Heritage List and which have suffered severe damage due to sudden, unexpected phenomena (such as sudden land subsidence, serious fires or explosions, flooding) or are in imminent danger of severe damage caused by these phenomena. Emergency assistance does not concern cases of damage or deterioration that have been caused by gradual processes such as decay, pollution, erosion, etc. Such assistance may be made available for the following purposes:
 - (a) to prepare urgent nominations of properties for the World Heritage List in conformity with paragraph 65 of these Guidelines;
 - (b) to draw up an emergency plan to safeguard properties inscribed on or nominated to the World Heritage List;
 - (c) to undertake emergency measures for the safeguarding of a property inscribed on or nominated to the World Heritage List.
- **93.** Requests for emergency assistance may be sent to the Secretariat at any time using Form WHC/5. The World Heritage Centre should consult to the extent possible relevant advisory bodies and then submit these requests to the Chairperson who has the authorization to approve emergency requests up to an amount of **US\$ 30,000** US\$50,000 whereas the Bureau can approve requests up to an amount of **US\$100,000** US\$75,000.

(iii) <u>Training</u>

- **94.** States Parties may request support for the training of specialised staff at all levels in the field of identification, protection, conservation, presentation and rehabilitation of the cultural and natural heritage. The training must be related to the implementation of the World Heritage Convention.
- **95.** Priority in training activities will be given to group training at the local or regional levels, particularly at national or regional centres in accordance with Article 23 of the Convention. The training of individual persons will be essentially limited to short term refresher programmes and exchanges of experience.
- **96.** Requests for the training of specialised staff at the national or regional level should contain the following information:
 - (a) details on the training course concerned (courses offered, level of instruction, teaching staff, number of students and country of origin, date, place and duration, etc.) and, when applicable, the functional responsibility of each participant with respect to a designated World Heritage site; priority should be given, if funds are

- not sufficient to satisfy all requests, to those concerning management or conservation personnel of inscribed properties;
- (b) type of assistance requested (financial contribution to costs of training, provision of specialised teaching staff, provision of equipment, books and educational materials for training courses);
- (c) approximate cost of support requested, including as appropriate tuition fees, daily subsistence allowance, allocation for purchase of educational material, travel costs to and from training centre, etc.
- (d) other contributions: national financing, received or anticipated multilateral or bilateral contributions;
- (e) for recurring training courses, an in-depth report of the results obtained in each previous session shall be submitted by the recipient government or organization. The report shall be forwarded to the appropriate advisory body for review and for its recommendations in connection with additional funding requests, as appropriate.
- **97.** Requests for support for individual training courses should be submitted on the standard "Application for Fellowship" form used for all fellowships administered by UNESCO and which can be obtained from UNESCO National Commissions, UNESCO offices and the offices of the United Nations Development Programme in Member States, as well as from the Secretariat. Each request should be accompanied by a statement indicating the relationship of the proposed study plan to the implementation of the World Heritage Convention within the State Party submitting the request and by a commitment to submit a final technical report on the results obtained as a result of the training grant.
- **98.** All requests for support for training activities should be transmitted to the Secretariat which will ensure that the information is complete and forward these requests along with an estimation of the costs to the Chairperson for his approval. In this regard the Chairperson can approve amounts up to **US\$ 30,000** US\$20,000. Requests for sums above this amount follow the same procedure for approval as for requests for technical cooperation set out in paragraphs 100-104.

(iv) Technical co-operation

- **99.** States Parties can request technical co-operation for work foreseen in safeguarding projects for properties included in the World Heritage List. This assistance can take the forms outlined in paragraph 22 of the Convention for World Heritage properties.
- **100.** In order to make best use of the limited resources of the World Heritage Fund and because of the increasing number of cultural sites to be assisted, the Committee, while recognizing the importance of archaeological objects coming from sites inscribed on the World Heritage List, has decided not to accept requests which may be submitted for equipment for archaeological site museums whose function is the preservation of movables.
- **101.** The following information should be provided in requests for technical co-operation:

- (a) Details of property
 - date of inscription in the World Heritage List,
 - description of property and of dangers to property,
 - legal status of property;
- (b) Details of request
 - scientific and technical information on the work to be undertaken.
 - detailed description of equipment requested (notably make, type, voltage, etc.) and of required personnel (specialists and workmen), etc.,
 - if appropriate, details on the "training" component of the project,
 - schedule indicating when the project activities will take place;
- (c) Cost of proposed activities
 - paid nationally,
 - requested under the Convention,
 - other multilateral or bilateral contributions received or expected, indicating how each contribution will be used;
- (d) National body responsible for the project and details of project administration
- (e) The Committee, wishing to establish a link between the monitoring of the state of conservation of World Heritage Sites and the granting of international assistance, has established as a requirement that requests for technical cooperation be accompanied by a state of conservation report of the property or site concerned.
- **102.** The Secretariat, if necessary, will request the State Party concerned to provide further information. The Secretariat can also ask for expert advice from the appropriate organization (ICOMOS, IUCN, ICCROM).
- 103. The Bureau will consider the requests that are presented at its meetings and will make recommendations thereon to the Committee. The Secretariat will forward the Bureau's recommendation to all the States members of the Committee.
- 104. If the recommendation is positive, the Secretariat will proceed with all the preparatory work necessary for implementing the technical co-operation immediately after the Committee has decided to approve the project.
- **105.** At the **Bureau** Committee meeting, the **Bureau** Committee will make a decision on each request for technical cooperation, and for emergency assistance and training beyond amounts authorized for approval by the Chairperson and Bureau, taking account of the Bureau's

recommendation. Representatives of a States Party, whether or not a member of the **Bureau** Committee, shall not speak to advocate the approval of an assistance request submitted by that State, but only to deal with a point of information in answer to a question. The **Bureau's** Committee decisions will be forwarded to the States Parties and the Centre will proceed to implement approved projects.

106. The above schedule does not apply, however, to projects the cost of which does not exceed a ceiling of \$30,000 for which the following simplified procedure will be applied.

- (a) In the case of requests not exceeding US\$ 30,000 US\$20,000, the Secretariat after examining the dossier and receiving the advice of ICCROM, ICOMOS or IUCN, as appropriate, will forward the request accompanied by all other relevant documents directly to the Chairperson, who is authorized to take decisions on the financing of such projects up to the total amount set aside for this purpose in the annual allocation from the World Heritage Fund, on the understanding that no more than 20 percent of the total annual assistance budget, including technical co-operation and training (but excluding emergency assistance and preparatory assistance, for which separate rules have been established) may be allocated by the Chairperson. The Chairperson is not authorized to approve requests submitted by his own country.
- (b) The Bureau is authorized to approve requests up to a maximum of \$30,000 except for requests from States members of the Bureau; in such cases, the Bureau can only make recommendations to the Committee.
 - (v) <u>Assistance for **education**, **information and** promotional activities</u>
- **107.** (a) at the regional and international levels:

With reference to Article 27 of the Convention, the Committee has agreed to support **programmes, activities and** the holding of meetings that could:

- help to create interest in the Convention within the countries of a given region;
- create a greater awareness of the different issues related to the implementation of the Convention to promote more active involvement in its application;
- be a means of exchanging experiences;
- stimulate joint **education**, **information and** promotional **programmes and** activities, **especially when they involve the participation of young people for the benefit of World Heritage conservation**.
 - (b) at the national level:

The Committee felt that requests concerning national activities for promoting the Convention could be considered only when they concern:

- meetings specifically organized to make the Convention better known, **especially amongst young people,** or for the creation of national World Heritage associations, in accordance with Article 17 of the Convention;
- preparation of **education and** information material for the general promotion of the Convention and not for the promotion of a particular site, **and especially for young people**.

The World Heritage Fund shall provide only small contributions towards national **education, information and** promotional **programmes and** activities on a selective basis and for a maximum amount of \$10,000 \$5,000. However, requests for sums above this amount could exceptionally be approved for projects which are of special interest: the Chairperson's agreement would be required and the maximum amount approved would be \$20,000 \$10,000.

Decision required: The Committee may wish to examine, amend if appropriate and adopt the proposed recommendations for changes to Section IV of the *Operational Guidelines for the Implementation of the World Heritage Convention*.