



United Nations  
Educational, Scientific and  
Cultural Organization

Organisation  
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pour l'éducation,  
la science et la culture

# World Heritage

# 43 COM

WHC/19/43.COM/12  
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## UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION

## CONVENTION CONCERNING THE PROTECTION OF THE WORLD CULTURAL AND NATURAL HERITAGE

### WORLD HERITAGE COMMITTEE

#### Forty-third session

Baku, Republic of Azerbaijan  
30 June – 10 July 2019

**Item 12 of the Provisional Agenda:** Follow-up to Recommendations of Evaluations and Audits on Working Methods and outcomes of the ad-hoc working group

**12. Follow-up to Recommendations of Evaluations and Audits on Working Methods: outcomes of the ad-hoc working group**

### SUMMARY

By Decision **42 COM 12A**, the World Heritage Committee at its 42nd session extended the mandate of the ad-hoc working group. The group was requested to examine different possibilities of reforming the nomination process as well as to discuss the modalities for the possible use of advisory services of other entities in addition to the current three Advisory Bodies.

This document presents the report of the ad-hoc working group, including a list of recommendations and a draft decision. It also comprises 4 annexes

**Draft Decision:** **43 COM 12**, see Point V.

## **I. MANDATE**

1. Through its decision **42 COM 12A**, the World Heritage Committee extended the mandate of the Ad Hoc Working Group, composed of the members of the Committee and up to two non-members per Electoral Group, to:
  - Examine different possibilities of reforming the nomination process and propose recommendations in view of increasing the balance and credibility of the World Heritage List;
  - Discuss the modalities for the possible use of advisory services of other entities with suitable experience and knowledge, in line with UNESCO's rules and regulations, and in addition to the current three Advisory Bodies;
2. The Ad Hoc Working Group commenced its work on 19 November 2018 under the Chair of Mr. Rashad Baratlí, Second Secretary, Permanent Delegation of the Republic of Azerbaijan to UNESCO, and agreed on its *modus operandi*.
3. Subsequent meetings took place on 21 January, 25 February, 18 March, 18 April and 23 May. An open-ended meeting for all States Parties was held on 29 March 2019. Representatives of the World Heritage Centre, and the Advisory Bodies participated in the meetings. Summaries were distributed after each meeting. The composition and time schedule of the Working Group are contained in Annex A to this

## **II. EXAMINATION OF DIFFERENT POSSIBILITIES OF REFORMING THE NOMINATION PROCESS AND PROPOSING RECOMMENDATIONS IN VIEW OF INCREASING THE BALANCE AND CREDIBILITY OF THE WORLD HERITAGE LIST**

4. Decision **42 COM 12A** requested that there be a reflection meeting 'to examine different possibilities for reforming the nomination and evaluation process and to propose recommendations for consideration by the World Heritage Committee in view of increasing the balance and credibility of the World Heritage List'.
5. In this regard, a meeting of experts was held from 23 to 25 January in Tunis, Tunisia, at the invitation of the Tunisian Government and with the financial support of the Australian Government. Twenty-four experts from different backgrounds from all the regions of the world as well as representatives of the Advisory Bodies, Category II Centers, and the World Heritage Centre participated in this reflection meeting.
6. The report of the expert meeting, 'Reflection on reforming the World Heritage Nomination Process - Report and Recommendations' was presented to the Ad Hoc Working Group at its third session on 25 February 2019.
7. The expert meeting acknowledged the complexity of the nomination process and recommended that all of its stages be considered in an integrated and holistic way. The meeting also noted that changes to one part of the nomination process may impact on other parts of the process and could also impact other processes as well. As such, it recommended that any proposed changes be considered within the broader context of the World Heritage Convention.
8. The group of experts had identified a set of overarching principles that they recommended guide the reform of the nomination process. These included respecting the three pillars of OUV; ensuring independence, collegiality, confidentiality, and consistency within the overall process; maintaining high standards and a scientific based approach throughout

the evaluation process; streamlining the nomination files through improving their efficacy in terms of content and length; strengthening the Tentative List processes; and promoting meaningful engagement, consultation and dialogue with all stakeholders.

9. The group of experts had also agreed to a set of recommendations on which the reform could be built:
  - a procedure of Preliminary Assessment to provide an indication as to whether a site is suitable for nomination and that the format for such an assessment be light, include sufficient details, be limited in length/volume, and that it not be considered as a 'preliminary nomination' format but as information as complementary to the preparation of the nomination file;
  - streamlining and shortening the current nomination format to possibly have a limit of the overall number of pages;
  - further enhancing the dialogue with States Parties with the Preliminary Assessment providing a new opportunity for deeper engagement between the States Parties and Advisory Bodies at an early stage;
10. Decision **42 COM 12A** also requested 'the Secretariat to consult States parties and other relevant stakeholders of the *Convention* on the matters that should be addressed at the reflection meeting'. This was undertaken through an online survey conducted by the World Heritage Centre in consultation with the Advisory Bodies. In structuring its discussion, the Working Group decided to consider both the outcomes of the expert meeting in Tunisia and the online consultation survey on nomination process undertaken by the World Heritage Centre.
11. The Ad Hoc Working Group agreed to base its work around the recommendations proposed by the group of experts. It agreed that any aspect of the reform of the nomination process needed to be considered as part of a wider package – 'Holistic Approach'. It also agreed that the referral process needed to be part of the package proposal and not as a separate proposal to be submitted to the Working Group on Operational Guidelines in the margins of the 43rd session of the World Heritage Committee.
12. After considerable deliberations the Working Group agreed to the scope for its discussion:
  - I. Upstream Process
  - II. Tentative List;
  - III. Preliminary Assessment;
  - IV. Dialogue between States Parties and other stakeholders
  - V. Package of Principles
  - VI. Capacity building
  - VII. Timing
  - VIII. Decision making block
  - IX. Code of Conduct for all stakeholders
  - X. Evaluation process
  - XI. Financial implications
13. Furthermore, it agreed that there was a need for concrete guiding principles which could be used during these and any future discussions on the reform of the nomination process. The Working Group therefore decided on the following principles to guide the review process:

**Principle 1:** Reforms must enhance the integrity of the World Heritage Convention by supporting the World Heritage List to be more representative, balanced and credible.

**Principle 2:** Reform options will be assessed on their individual merit before being considered as part of a complete package of reforms. The individual assessment will include: Issue; Outcome; Reform; Changes required; and financial implications.

**Principle 3:** Reform options will be assessed as part of a complete package of reforms before being recommended to the Committee to ensure the reforms are integrated and effective.

14. The working group agreed that the above list was not exhaustive and could be added to should the need arise in future discussions.
15. It should also be recalled that one of the main references for further discussions was the IOS Mapping Study with its four Recommendations. The Group therefore focused on IOS Recommendation 3 with regards to the discussion of the nomination reform process and Recommendation 2 with regards to the second item of its mandate.
16. In line with its own scope of discussion, the Working Group divided its work on the nomination reform into two main parts: the first on the preliminary assessment proposal, and the second on other aspects of the nomination process.
17. With respect to the financial implications of any reform proposals, the Group agreed that discussion and consideration of such implications at from the start would not be of much benefit and could in fact be detrimental. As such, the Group decided that only the reform proposals be presented for the moment and that their financial implications examined at a later stage.

#### **A. Preliminary Assessment**

18. Recommendation 6.B.1 from the Tunis expert meeting proposed the introduction of a new complementary procedure in the nomination process tentatively called “Preliminary Assessment”. This may also be described as a two-phase nomination approach, where the “Preliminary Assessment” constitutes the first phase of a nomination.
19. The working group decided to examine this recommendation in further depth, and a non-paper was prepared to assist with this task. This non-paper was meant to be read in conjunction with the “Reflection on reforming the World Heritage Nomination Process - Report and Recommendations of the Expert meeting” in Tunis, and the results of the online consultation survey sent to State Parties on the reform of the nomination process.
20. The Working Group agreed with what the Expert meeting considered, namely that developing quality nominations for sites which have a strong potential and thus will have a higher chance to succeed, the reform should be based on. The goal is to enhance the number of high-quality nomination files reaching the Committee and thus reduce the number of nominations unlikely to succeed, through encouraging a better and more focused preparation of the nomination dossiers.
21. The Preliminary Assessment phase would be a helpful tool to promote early dialogue between the Advisory Bodies and the State Parties. The outcome produced during this phase would be applied by the State Party in a voluntary manner. As such, a State Party could decide whether to continue developing its nomination taking into account the outcome of the Preliminary Assessment, or it could also decide not to pursue the nomination further.
22. The Preliminary Assessment should be seen as a positive tool. Rather than adding an additional layer of burden in the nomination process, it would contribute to a more even re-distribution of the work including specific guidance in the form of recommendations for the nominating State Parties, as well as significantly improved room for dialogue and capacity building.

23. Since the preparation of a nomination already requires considerable time from the State Party, the Preliminary Assessment would assist the State Party to decide whether or not to pursue its nomination, as well as to prepare its files in view of submission.
24. The Preliminary Assessment would also assist State Parties in other ways, such as facilitating communication internally between stakeholders with regards to expectations about pursuing specific nominations. This should result in State Parties being able to focus their investment of resources on nominations with high inscription potential.
25. The Working Group considered that the proposal of introducing a mandatory procedure of Preliminary Assessment, which could provide indications as to whether a site is suitable for nomination and/or has potential to demonstrate OUV, would be a useful tool to reform the nomination process and would ultimately contribute towards increasing the balance and credibility of the World Heritage List.
26. The Working Group agreed that the Preliminary Assessment should be undertaken for a specific site on the State Party's Tentative List, in response to a request by the State Party. The Working Group also agreed that the outcome of the Preliminary Assessment should be flexible, providing recommendations, guidance and space for dialogue between the Advisory Bodies and State Parties on how the nomination file should be developed in view of the second stage of the nomination process.
27. Based on the previously agreed understanding that the Preliminary Assessment will be the first phase of a new, two phased nomination process, the Working Group found that the Preliminary Assessment should have a single approach for all sites, it should have a light and cost-saving format with no field mission and, as such, should be conducted exclusively on the basis of a desk study.
28. The Group also agreed that there should be an electronic online submission option as well for the light proposed dossier for the PA phase. As such, this option may contribute to make the process even easier and reduce the use of excessive paper use.
29. In order to further enhance the dialogue between the submitting State Party and the Advisory Bodies, it was suggested that the State Party appoint a national focal point as a contact for the Advisory Bodies during the Preliminary Assessment phase. The Working Group considered that this would be a critical and highly beneficial element to the process.
30. The Working Group considered the question of confidentiality of the outcomes of the Preliminary Assessment, that is to say whether the final report should be made public or rather kept between the Advisory Bodies and the State Party.
31. The Working Group concluded that confidentiality would improve the chance to have a genuine dialogue between the State Party and the Advisory Bodies. It seems that the most adequate way of proceeding would be to let the State Party itself decide whether it wished to make the outcome of the Preliminary Assessment public or not.
32. The Working Group noted that there needed to be complete transparency regarding the methodology employed by the Advisory Bodies for the conduction of Preliminary Assessment. It was noted in this regard that amending Annex VI of the Operational Guidelines should eventually be pursued to include details about the above-mentioned methodology.
33. In terms of timeline of this new two stage nomination process, the Working Group agreed that a single approach and a single statutory deadline is needed for every nomination, and

that phase 1 of the nomination should be finished at least one year before the nomination cycle. It was also agreed that outcome of Preliminary Assessment phase should be actual in certain time limits (for example: 3-5 years).

34. As the Preliminary Assessment is a complex proposal that requires a change of mindset as to how State Parties, the World Heritage Center and the Advisory Bodies approach the nomination process and the preparation of files, it should be introduced in an orderly fashion, and on an experimental basis.
35. The Working Group finally produced the concrete conceptual proposal (Annex B) and agreed that it recommend to the Committee to endorse this proposal. The Group also mentioned that there was a need for more time for discussions on the modalities of this proposal in the future.
36. The Working Group noted that it is difficult at this stage to predict how much a Preliminary Assessment would cost, as the preliminary figures cannot be estimated yet. It was agreed that even for the World Heritage Fund the costs involved in the process could be expected not to differ significantly, the resources would be used more effectively as these would be moved from the later to the early stages of the nomination cycle. Although simulations and practical experience were needed to see the economic effects of the reform, the financial implications might in fact be both positive and negative. Effects may possibly be negative as the Preliminary Assessment would have a cost. But, there was great potential for positive effects because higher quality, more targeted and mature nominations might imply that fewer nominations require further evaluations and follow-up after deferral decisions, as well as reduced use of resources for follow-up due to fewer referral decisions. Ultimately there is a potential for significant positive financial effects as fewer nominations with little or no potential for successful inscription will ultimately be evaluated. Once applied, the Preliminary Assessment may in other words have a significant potential for shifting resources from nominations to conservation.
37. The financial implications should also be seen in conjunction with the Norwegian non-paper proposing a model for cost-sharing regarding evaluation of nominations, which may considerably reduce the pressure from evaluations on the World Heritage Fund. The positive financial impact for the individual States Parties is obvious. Early advice, guidance and dialogue will contribute to development of only those nominations with a clear potential for possible inscription to the World Heritage List. Further, the nomination dossiers may be expected to be more mature/complete and potentially of a higher quality as capacities are built at the national level and continuous dialogue informs the nomination file development.
38. The Working Group noted that Upstream Process fundamentally differs from the Preliminary Assessment, as it is meant to be a voluntary capacity building exercise and is tailored directly to the needs of State Parties. The Upstream also differs, as it could apply for more sites at once, like in the case of the revision of Tentative Lists. It was also noted during the discussion that further clarifications may arise, such as the need for the establishment of a priority list (in line with the provisions provided in paragraph 61 c.) of the Operational Guidelines), as well as the possible effects of the introduction of the Preliminary Assessment on the number of Upstream requests.

## **Other aspects of nomination process**

### **Tentative Lists**

39. Tentative Lists are an important planning tool in the nomination process but are not used to their full potential by States Parties.

40. The working group considered that it would be beneficial to have improved guidance for States Parties for the development of their Tentative List. As such, a manual should be developed to include best practice examples, robust processes for the selection of sites, encouraging harmonization of Tentative Lists at the regional and thematic levels and demonstrating the benefits of the Upstream Process in aiding this process. It was also agreed that States Parties should be invited to regularly review and update their Tentative List.

### **Upstream Process**

41. The working group agreed that it was important to have a clear understanding of the difference of Upstream Process and Preliminary Assessment. While the Preliminary Assessment would be mandatory, the Upstream Process would continue to be voluntary.
42. The Upstream Process was not to be replaced by the Preliminary Assessment but would continue to be used to promote early dialogue between States Parties and the Advisory Bodies before the State Party significantly invests in the development of the dossier. States Parties will have a clearer understanding and direction on a prospective nomination prior to developing a dossier.
43. Modalities of the Upstream Process therefore should be maintained. A State Party may request to have the Upstream Process after the conduct of Preliminary Assessment.

### **Nomination guidance**

44. The working group considered that by providing States Parties with improved guidance and transparency on the nomination process would facilitate the development of clear and concise nomination dossiers. As the existing nomination guidance document is dated 2011, improved guidance is timely and will complement the other reforms in this package.
45. The reform involves updating the existing guidance on the nominations process for States Parties that complements the nomination template. In the first instance the review will focus on improving advice on the technical requirements of a comparative analysis and Statement of Outstanding Universal Value. It will include best-practice methodology and examples for articulating the connection between values and attributes and comparative analysis. Options for information and capacity building, including (but not limited to) an online platform, enhanced regional networks and sharing of regional workshop outcomes will also be considered.

### **Improved nomination template**

46. This reform was recommended in the Tunis expert report and endorsed by the Ad Hoc Working Group. The outcome of the reform is to facilitate a quality nomination dossier that is clear, concise and fit for purpose. In particular, reducing the length and complexity of dossiers will benefit States Parties, as well as the Advisory Bodies and Committee in evaluating the merits of the nomination. Updating the template now will ensure consistency with the Tentative List and Preliminary Assessment templates.
47. The reform involves developing and publishing a revised nomination template, introducing a word limit on each section of the dossier as well as the overall dossier, and deleting any duplication in the template. It will involve exploring opportunities to digitize aspects of the nomination process in a way that is fair and equitable for all States Parties.

48. The reform will also include local communities, as well as Indigenous engagement and consultation processes in the nomination template and the development of guidance on what constitutes best practice community consultation. A requirement to consider gender equality throughout the full cycle of the World Heritage process is also recommended.

#### **Advisory Body methodology for evaluation of nominations**

49. The working group felt that there was a need to improve States Parties' understanding of the Advisory Bodies' methodology for evaluating nominations to assist States Parties in the development of clear and concise nomination dossiers.
50. The Advisory Bodies will publish (via World Heritage Centre website) their methodology for evaluating nominations at each stage of the nomination process.
51. The Advisory Bodies will also highlight the existing policies upon which they evaluate elements of a nomination to increase transparency and improve State Party and Committee understanding of reasoning behind their conclusions and recommendation.

#### **Advisory Body process for selecting panel members and advisors**

52. The working group was also of the view that there was a need to improve States Parties' understanding of Advisory Body selection of their World Heritage Panels, including geographical selection and technical experience (no personal information shared).
53. The reform involves the Advisory Bodies publication (via World Heritage Centre website) of their process for selecting panel members and advisors, noting that this should not identify individuals, but focus on aspects such as process and qualifications sought. The Advisory Bodies will provide a report to the Committee on composition (including technical expertise and geographical representation) of their WH Panels, and provide information on experts external to the Advisory Bodies and not on the WH Panels who have been consulted throughout the evaluation cycle.

#### **Advisory Body evaluation format**

54. The outcome of this reform is to simplify and improve the consistency of the Advisory Body reports, which corresponds with improvements to the nomination dossier for States Parties. It also aims to reduced repetition and improve clarity of language in Advisory Body reports to better enable States Parties and Committee members to understand Advisory Body evaluations.
55. The Advisory Bodies will develop and apply a consistent format to interim reports and evaluations. This includes using an agreed template for reports with a word limit for each section (consistency, reduced repetition), clear language (e.g. outcome focused requests for information in interim reports; clear recommendations for State Party in evaluation documents).

#### **Global Strategy**

56. Throughout the course of its work, the group referred to the Global Strategy and how the reforms could contribute to the outcomes of the Global Strategy to achieve a representative, balanced and credible World Heritage List.



57. The group recalled that a number of measures were already in place to progress the Global Strategy including encouraging States Parties with a substantial number of sites inscribed on the World Heritage List to suspend presentation of new nominations.
58. The working group considered that to undertake further work to support the Global Strategy was not within the current mandate of the Working Group, and, in light of the upcoming 25th Anniversary of the Global Strategy as well as the 50th Anniversary of the World Heritage Convention, considered that this was an opportune time to reinstate the shared commitment to the Global Strategy and undertake a reflection period.
59. Finally, the Group concluded that there was a need for more discussions on credibility and the balance of the World Heritage List.

### **Code of Conduct**

60. The working group agreed that a Code of Conduct for all stakeholders was necessary.
61. The Committee, the World Heritage Centre, the Advisory Bodies as well as the States Parties to the Convention have a shared obligation in upholding the credibility, integrity and high professional standards of the Convention and its implementation through collective efforts. The Ad-hoc Working Group agreed that a “Code of Conduct” for the States members of the Committee, the Advisory Bodies named in the Convention, the Secretariat to the Convention as well as the States Parties to the Convention was necessary. Such a Code should reflect the shared values, roles and responsibilities of all stakeholders expressed through the Convention, but also in its Operational Guidelines and the Rules of Procedure.

### **Dialogue and timing**

62. As the dialogue and timing aspects within the nomination reform process were considered to be important within the scope of the Working Group, the Group discussed these issues and concluded that they are partly covered by the introduction of the Preliminary Assessment proposal. Thus the introduction of the Preliminary Assessment creates new opportunities both in terms of dialogue and more time for such dialogue.
63. In the course of the Working Group’s deliberations, the Delegation of Australia provided two non-papers: one on the three guiding principles and second on the application of these principles to the different stages of nomination reform process. The Group found these non-papers useful and decided to attach them to this document (Annex C and D) to be used as a food-for-thought documents in future discussions on the nomination reform process.
64. Therefore, in the case of Preliminary Assessment the Working Group produced a concrete proposal for the Committee to endorse. However due to the complexity of the nomination process reform as such, the Group discussed only some other parts of nomination process and came up with initial set of ideas and recommendations which can be further elaborated in future discussions.

### **III. DISCUSSION OF THE MODALITIES FOR THE POSSIBLE USE OF ADVISORY SERVICES OF OTHER ENTITIES WITH SUITABLE EXPERIENCE AND KNOWLEDGE, IN LINE WITH UNESCO'S RULES AND REGULATIONS, AND IN ADDITION TO THE CURRENT THREE ADVISORY BODIES**

65. Before starting the discussion on this issue, the Working Group referred to the background information namely earlier discussions which had led to the IOS Mapping Study and its Recommendation 2: *WHC Secretariat to obtain legal advice on sourcing advisory services, i.e., definitive legal opinion on whether the Committee is compelled to use only ICCROM, IUCN and ICOMOS to provide advisory services.*
66. Furthermore this issue had been included in the mandate of the 2017-2018 Ad Hoc Working Group .f It was recalled that that the then Working Group had had extensive discussion on this and that the final outcome is reflected in the paragraphs 35-36 of the document WHC/18/42.COM/12A. The majority of the Group members reiterated this position and recalled the long and well-established cooperation among current three Advisory Bodies and other stakeholders.
67. According to its current mandate, the Group discussed the possible use of additional advisory services in addition to the current three Advisory Bodies. Several proposals were considered including possible difference in scientific views, the need for more scientific experience in some cases, the need for competition for more quality, etc.
68. In the end, however, the majority of the Group believed that there was no need to change the current practice. Therefore, should the case for such needs arise, the Committee has recourse to the use of other advisory services. The World Heritage Site of Kakadu National Park was cited as an example in this regard.
69. Furthermore it was agreed that the introduction of any new modality for the use of additional advisory services would not contribute to solving the financial problems, but rather would even further complicate the situation.
70. The Group also thought that, with the introduction of new mechanisms as a part of nomination reform, the trust and cooperation between the Advisory Bodies and States Parties could strengthen as there would be more room for dialogue.

### **IV. RECOMMENDATIONS**

The following recommendations in regards to the two items within the mandate of the Working Group are submitted to the Committee:

1. Recommends to consolidate the 3 principles (being non-exhaustive), as a basic guiding principles document, which can be used during the current and future discussions on the reform process;
2. Recommends to apply the holistic approach to the nomination process reform and in this regard, in order to avoid the further confusion, "referral" would be a part of the mainstream discussions;
3. Recommends to endorse the Preliminary Assessment proposal as a concept, and to create the further opportunities to discuss the modalities;

4. Recommends to States Parties to periodically update the Tentative List and to encourage the harmonization of it at the regional and thematic levels;
5. Recommends publishing the improved guidance “Manual” for States Parties for the development of the Tentative List after the approval of the results of the nomination process reform;
6. Recommends to update the nomination guidance document dated 2011 with the view of getting the clear and concise nomination dossiers after the approval of the results of the nomination process reform;
7. Recommends to further deliberate the nomination template with the aim of reducing the volume and complexity of dossiers;
8. Recommends to contemplate the online submission format with the optional nature of it for the sake of facilitating the work and digitalization;
9. Recommends to Advisory Bodies to publish their methodology and the existing policies of evaluation of the nominations at each stage of the nomination process, with a view of its possible improvement to increase the transparency and better understanding by the State Parties of reasoning behind their conclusions and recommendations;
10. Recommends to Advisory Bodies to publish the list of panel members and criteria of selection of the field mission experts, the panel members and advisors for the sake of transparency;
11. Recommends to revise the Global Strategy based on the current and referring to the future discussions as well as to encourage the States Parties with a significant number of sites to refrain for the sake of the credibility and balance of the World Heritage List;
12. Recommends to encourage the dialogue among all stakeholders, including State Parties, Advisory Bodies and Secretariat for the sake of efficiency and transparency;
13. Recommends to continue discussions on the introduction of Code of Conduct for Committee members, States Parties to Convention and the Advisory Bodies;
14. Recommends to retain the status-quo regarding the involvement of additional advisory services;
15. Recalling to the Decision of the General Assembly 20 GA 8, notes the financial difficulties that the World Heritage Fund is facing and invites, in this regard, the States Parties to pay the assessed annual contributions to the World Heritage Fund.
16. Recommends further elaborating the so-called “cost-sharing model” proposed by Norway.

## V. DRAFT DECISION

### **Draft Decision: 43 COM 12**

*The World Heritage Committee,*

1. *Having examined Document WHC/19/43.COM/12,*
2. *Express appreciation to the Ad Hoc Working Group for its work and recommendations;*
3. *Decides to approve the Preliminary Assessment proposal concept of Ad Hoc Working Group;*
4. *Also decides to further discuss the modalities of Preliminary Assessment proposal based on approved concept through convening an expert meeting and extended Ad Hoc Working Group;*
5. *Endorses the recommendations of the current Ad Hoc Working Group and invites the expert meeting and extended Ad Hoc Working Group to further elaborate upon these recommendations where needed;*
6. *Decides to extend the mandate of the Ad Hoc Working Group, to be composed of members of the Committee and up to two non-members per Electoral Group, including the Committee members outgoing in 2019, to:*
  - *Further elaborate upon nomination reform process and Preliminary Assessment proposal based on approved concept;*
7. *Further decides that the Ad Hoc Working Group shall work in consultation with the World Heritage Centre, Advisory Bodies and, as appropriate, relevant stakeholders, and submit its report and recommendations to the 44th session of the Committee in 2020*

**AD HOC WORKING GROUP 2018-2019**

**November 2018 – June 2019**

**Organized by the Host Country of the 43<sup>rd</sup> Session of the World Heritage Committee**

**The Republic of Azerbaijan**

## MANDATE

The mandate of the Ad Hoc Working Group is defined as following by the decision **42 COM 12 A** of the 42<sup>nd</sup> session of the World Heritage Committee:

- Examine different possibilities of reforming the nomination process and propose recommendations in view of increasing the balance and credibility of the World Heritage List;
- Discuss the modalities for the possible use of advisory services of other entities with suitable experience and knowledge, in line with UNESCO's rules and regulations, and in addition to the current three Advisory Bodies;

## METHODOLOGY

Referring to the decision 42 COM 12A, the composition of the working group has been defined as the committee member states and up to two non-member states per electoral group. As per the decision, the Chairperson of the World Heritage Committee H.E. Abulfas Garayev communicated with the chairpersons of six electoral groups and asked them to present up to two non-committee members per group. The composition of the Group is presented below.

The meetings of the Working Group is planned to be from 10.00 till 13.00, with possible extension from 15.00 till 18.00, the same day. The proposed time schedule of the meetings is presented below.

The Working Group will be chaired by the Second Secretary of the Permanent Delegation of the Republic of Azerbaijan to UNESCO, Mr Rashad Baratli.

## WORKING GROUP MEMBERS

### Committee Members

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#### Non Committee Member States as per the Electoral Groups

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## PROPOSED TIME-SCHEDULE

<b><u>DATES</u></b>	<b>MEETINGS</b>
<u>19 November 2018</u>	Inception/1 <sup>st</sup> meeting of the Ad hoc working group
<u>21 January 2019</u>	2 <sup>nd</sup> meeting of the Ad hoc working group
<u>25 February 2019</u>	3 <sup>rd</sup> meeting of the Ad hoc working group
<u>18 March 2019</u>	4 <sup>th</sup> meeting of the Ad hoc working group
<u>29 March 2019</u>	Open ended meeting
<u>18 April 2019</u>	5 <sup>th</sup> meeting of the Ad hoc working group
<u>23 May 2019</u>	6 <sup>th</sup> meeting of the Ad hoc working group
<u>17 June 2019</u>	7 <sup>th</sup> meeting of the Ad hoc working group (optional)

## Preliminary Assessment

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### Background

At its 42<sup>nd</sup> session, by Decision 42 COM 12A, the World Heritage Committee took into account the recommendations of the 2017-2018 ad-hoc Working Group and decided to review the nomination process. Pursuant the decision, a reflection meeting of a representative panel of experts took place in Tunis between the 23<sup>rd</sup> and 25<sup>th</sup> of January 2019 to examine different possibilities for reforming the nomination and evaluation process (including evaluations) and to propose recommendations for consideration by the World Heritage Committee with a view of increasing the balance and credibility of the World Heritage List. To complement this reflection, a survey on the nomination process was prepared by the World Heritage Centre in consultation with the Advisory Bodies.

The meeting agreed on a set of recommendations, encompassing aspects on which the reform could be built in order to produce highly positive benefits. **Recommendation 6.B.1** proposes the introduction of a new complementary procedure in the nomination process tentatively called “**Preliminary Assessment**”. This may also be described as a two-phase nomination approach, where the “Preliminary Assessment” constitutes the first phase of a nomination.

This document attempts to examine this recommendation in further depth, providing guidance for further discussion, taking into account the complex nature of the nomination process and the consequences such a proposal would have on the overall evaluation process.

Due to the complex nature of the proposal, the document is broken-down into nine sub-chapters. The text in boxes contains specific recommendations made in the Tunis report, followed by a succinct summary of the deliberations of the ad-hoc Working Group.

This document is meant to be read in conjunction with the “Reflection on reforming the World Heritage Nomination Process - Report and Recommendations of the Expert meeting” in Tunis, and the results of the online consultation survey sent to State Parties about the reform of the nomination process.

## **PRELIMINARY ASSESSMENT**

### **I. Scope**

- c. The Preliminary Assessment would be undertaken in response to a **request by the State Party** concerning a specific site on their Tentative List (as it is not realistic to expect that a proper Preliminary Assessment can be done for all sites on the Tentative List);
- f. The Preliminary Assessment is not meant to replace the evaluation of the nomination file to be developed in the second stage;

- The Working Group agreed with what the Expert meeting considered, namely that **developing quality nominations for sites which have a strong potential** and thus will have a higher chance to succeed, **the reform should be based on.**
- The Preliminary Assessment phase would be a helpful tool **to promote early dialogue between the Advisory Bodies and the State Parties** with the ultimate aim of bringing forward higher quality nominated sites and reduce the number of nominations that are unlikely to succeed. The outcome produced during this phase would be applied by the State Party in a **voluntary manner**. As such, a State Party could decide whether to continue developing its nomination taking into account the outcome of the Preliminary Assessment, or it could also decide not to pursue the nomination further.
- The Working Group considered that the proposal of introducing a **procedure of Preliminary Assessment**, which could **provide indications as to whether a site is suitable for nomination and/or has potential to demonstrate OUV**, would be a useful tool to reform the nomination process and would ultimately contribute towards increasing the balance and credibility of the World Heritage List.
- The Working Group, noting recommendation f.) agreed that **the Preliminary Assessment would become the first stage of the nomination process**. As such, it is part of a whole and is not meant to be seen in isolation but as an integral part and starting point of a new nomination.
- The Working Group agreed with recommendation c.), that **the Preliminary Assessment should be undertaken for a specific site on the State Party's Tentative List, in response to a request by the State Party**. The Working Group also agreed that **the outcome of the Preliminary Assessment should be flexible, providing recommendations**, guidance and space for dialogue between the Advisory Bodies and State Parties on how the nomination file should be developed in view of the second stage of the nomination process.

- The Working Group recognized that Preliminary Assessment could potentially in the future have a positive impact on the processes related to Tentative Listing, including harmonization, however it was decided that the deliberations on this issue should be resumed at a later stage, once the Preliminary Assessment has been set in place and adequate time has passed to evaluate its impact on the nomination process.

## II. Mandatory or voluntary nature

- a. The Preliminary Assessment should be a **mandatory procedure** for all nominations to maximize results and equity in the nomination process;
- b. If a mandatory Preliminary Assessment procedure does not gather full support, a voluntary Preliminary Assessment exercise coupled with clear incentives for those who would wish to undergo such an assessment could be an option as well, even though a mandatory one would be definitely a more all-encompassing, credible and thus, preferred option. In such cases, and where the preliminary assessment finds favourably that a site is suitable for nomination, incentives might include for example a more streamlined format, shorter timelines upon submission of nomination, etc.;

- The Working Group is in agreement with recommendation a.) to introduce the Preliminary Assessment as a **mandatory process** for all nominations.

## III. Methodology

- e. The Preliminary Assessment would be done by the Advisory Bodies on the basis of, at a minimum, a **desk study** and through a standard format report that would be endorsed by their Panels taking into consideration the OUV pillars, and further to the overarching principles outlined above;

- Based on the previously agreed understanding that the Preliminary Assessment will be the first phase of a new, two phased nomination process, the Working Group after examining and deliberating on recommendation e.) found that the Preliminary Assessment should have **a single approach for all sites, it should have a light and cost-saving format** and as such should be conducted exclusively **on the basis of a desk study**.
- As a logical consequence of the above, **no field mission** would be undertaken during the Preliminary Assessment. It is important to note however, that **a mandatory field mission would still take place for every site during the second phase of the nomination process**, just like in the current system.

- It was noted that **using digital solutions**, such as providing detailed, high-resolution videos or photos of the site for the Preliminary Assessment could further enhance the process of this proposed desk study format.
- In order to further enhance the **dialogue** between the submitting State Party and the Advisory Bodies, it was suggested that the State Party appoint a **national focal point** as a contact for the Advisory Bodies during the Preliminary Assessment phase. The Working Group considered that this would be a critical and highly beneficial element to the process.
- The Working Group considered the question of **confidentiality of the outcomes** of the Preliminary Assessment, that is to say, whether the final report should be made public or rather kept between the Advisory Bodies and the State Party.
- It was noted in this sense that similarly to the Upstream Process, the Committee, at its annual session would be presented with a **list of all undertaken Preliminary Assessments** that would include only the following **limited information**: State Party and name of site for which the Preliminary Assessment was requested.
- After some deliberations the Working Group concluded that **confidentiality would improve the chance to have a genuine dialogue** between the State Party and the Advisory Bodies. It seems that the most adequate way of proceeding would be **to let the State Party itself decide** whether they wish to make the outcome of the Preliminary Assessment made public or not.
- It is however understood that **regardless of the State Party's decision on making the Preliminary Assessment report initially made public or not**, once a State Party has decided to pursue the nomination, **the report of the Preliminary Assessment of the nominated site will be made public available together with the nomination dossier and the Advisory Bodies' evaluation**, as usage for all documentation relating to nominations.
- The Working Group noted that there needs to be **complete transparency regarding the methodology employed by the Advisory Bodies** for the conduction of Preliminary Assessment. It was noted in this regard that amending Annex VI of the Operational Guidelines should eventually be pursued, to include details about the above-mentioned methodology.

#### IV. Submission Format

d. The format for Preliminary Assessment should not be particularly complex and could represent an **enhanced version of the Tentative List submission format, including some more details** necessary for the Preliminary Assessment, but much lighter than the current nomination format;

The meeting considered that the **Preliminary Assessment format** should:

- be relatively **light** (e.g. “an enhanced” Tentative List submission format);
- include sufficient details, including research and documentation, necessary for undertaking an assessment of the potential of the site and, in case of favourable finding, to facilitate further evaluation;
- be **limited in length/volume**;
- not be seen as a “preliminary nomination” format, but rather as information that will be complementary and instrumental for the preparation of the nomination file (2<sup>nd</sup> stage of the process).

- The Working Group noting recommendation d.) and the comments found in the report of the Tunis meeting, agreed on **the principle that the submission format should not be complex and limited in length/volume**, and could be based on the Tentative List submission format.

## V. Financial implications

- g. Dividing the preparation of a nomination into two phases, through a Preliminary Assessment at an early stage, and an evaluation of nomination at a second stage, will expectedly make the process **more efficient and possibly less costly**;
- o. As noted above, the financial implications relating to the introduction of a Preliminary Assessment require further detailed analysis. Such a process should arguably lead to a reduction of costs for the States Parties through a more effective investment of resources at an earlier stage in the process. However, for the World Heritage Fund, the costs involved in the process could be expected not to differ significantly, but the resources would be used more effectively. Furthermore, the potential application of a cost-sharing model (see proposal by Norway to the 2017-2018 ad-hoc Working Group) may reduce the financial pressure on the World Heritage Fund, allowing more resources to be directed to conservation of sites already on the World Heritage List.

- The Working Group noted that it is difficult at this stage to predict how much a Preliminary Assessment would cost, as the preliminary figures cannot be estimated yet. It was noted in this regard that the Norwegian cost-sharing model should also be discussed in conjunction.

- The Working Group while examining **recommendation o.)** agreed that even if for the World Heritage Fund, the costs involved in the process could be expected not to differ significantly, **the resources would be used more effectively** as these would be moved from the later to the early stages of the nomination cycle.
- It may also be expected that fewer nominations that need further work, or have no potential to meet the requirements for OUV would reach the final evaluation and the World Heritage Committee, thus ultimately saving significant costs for States Parties, the Secretariat and Committee members.

## VI. Relations to Upstream

- l. Further to a standard Preliminary Assessment, **additional upstream advice and guidance** could be provided to States Parties upon request and tailored to their needs. The costs of any elaborated upstream advice of this nature would need to be fully covered by the concerned State Party or Parties.
- m. The Preliminary Assessment procedure should not be seen as excluding well-working and very useful mechanisms such as the Upstream Process, but these two should rather be seen as complementary.
- n. The Committee would be **informed annually** on the ongoing Preliminary Assessments, similar to the Upstream Process.

- While examining recommendations l.) m.) and n.), the Working Group noted **that Upstream Process fundamentally differs from the Preliminary Assessment**, as it is meant to be a voluntary capacity building exercise and it's tailored directly to the needs of State Parties. The Upstream also differs, as it could apply for more sites at once, like in the case of the revision of Tentative Lists.
- The Working Group also discussed the modalities of using the Upstream Process in relation to the Preliminary Assessment. It was noted during the discussion that **the possibility of requesting the Upstream both before and after<sup>1</sup> the Preliminary Assessment would be possible**, as the outcome of the Preliminary Assessment might suggest further work to be done for the preparation of the nomination file, which could require the State Party to have additional consultation with a view to finalizing and preparing a high-quality nomination dossier.
- It was also noted during the discussion that **further clarifications** may arise, such as the need for the establishment of a priority list (in line with the provisions provided in paragraph

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<sup>1</sup> It was noted during the discussion that this terminology may need to be revised, as the „Upstream” definition as given in the Operational Guidelines may not be fully consistent with the kind of advice a State Party would request after the Preliminary Assessment, once the process is introduced.



61 c.) of the Operational Guidelines), as well as the possible effects of the introduction of the Preliminary Assessment on the number of Upstream requests.

## VII. Timeline

- i. In terms of **timelines**, the Preliminary Assessment (stage 1) should precede, by at least one year, the submission of a nomination for stage 2 evaluation (according to a new and more streamlined format than the current one);
- j. In case of sites for which the potential has been negatively assessed through a Preliminary Assessment, States Parties will still have the possibility to submit nominations, but in view of the coherent implementation of the process and the overarching importance of the credibility of the Convention, they should be encouraged to refrain from submitting such nominations and rather focus on other sites on their Tentative Lists which have stronger potential (a disincentive would be that the evaluation process will take longer to complete – see next point);
- k. A rule concerning the **periodicity of examination of nominations** could be introduced to provide further incentives for States Parties in case of voluntary Preliminary Assessment. For example, nominations with a positive assessment could be examined every year, while nominations without Preliminary Assessment or with a negative Preliminary Assessment could only be examined every second year;

By adding the Preliminary Assessment to the nomination process it seems that an enhanced dialogue could already start taking place at the very beginning of the process, thus avoiding the extension of the overall timeline after submission of the nomination to the World Heritage Centre. The need for dialogue is all the more evident when we acknowledge that many nominations with strong potential for OUV need to be hastily recalibrated or refocused following the interim report of the ABs.

As the expert recommendation itself notes,

- h. More time and therefore more possibility for **dialogue** and engagement between States Parties and Advisory Bodies would be available before starting the development of nominations;

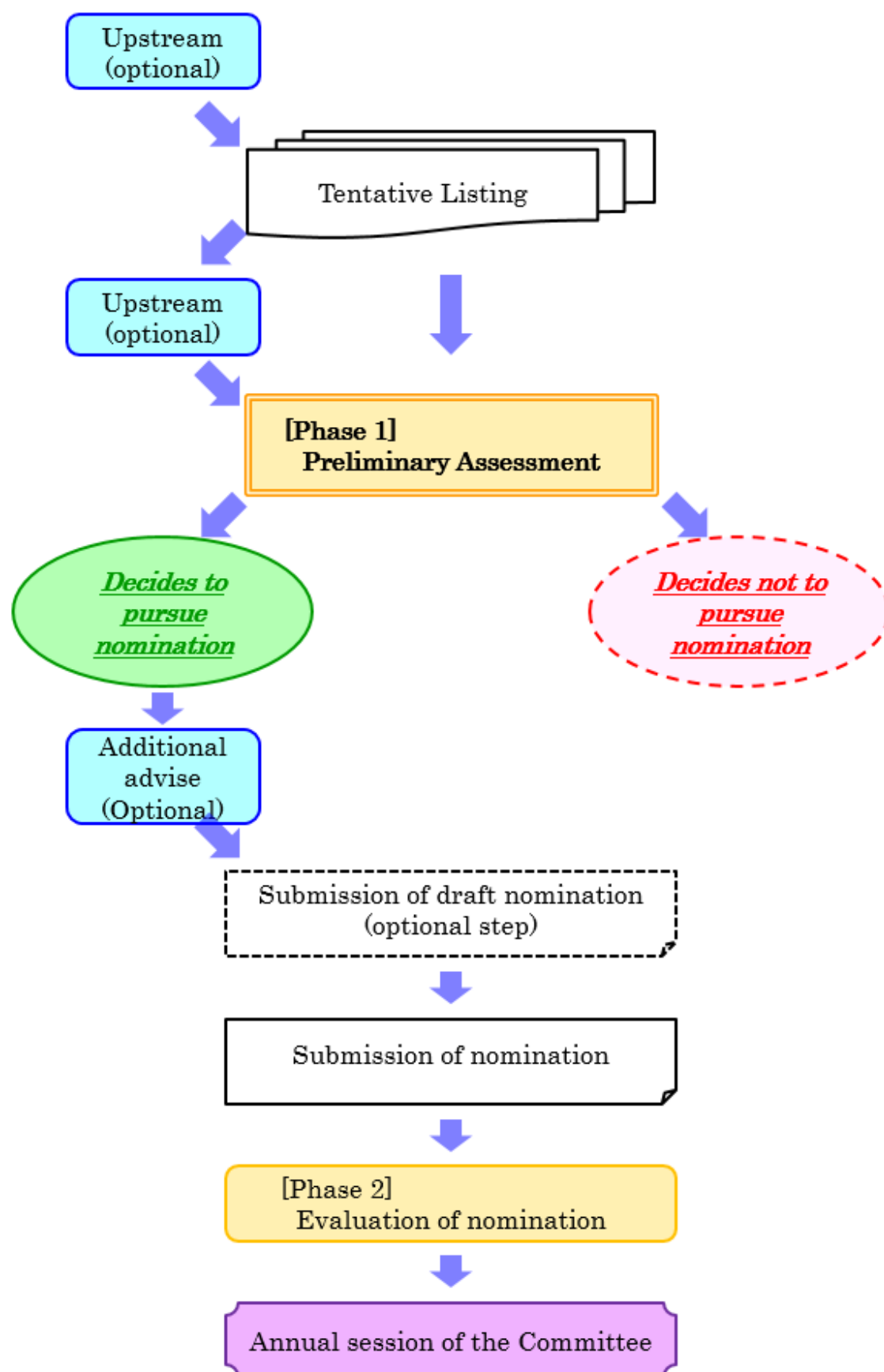
- In examining recommendation i.) the Working Group agreed that as in section III. of this proposal **a single approach and a single statutory deadline is needed for every nomination, and that phase 1 of the nomination should be finished at least one year before the nomination cycle.**
- It was acknowledged that further work will need to be done by the World Heritage Centre, in consultations with ABs, such as **preparing simulations, estimates and statistics** on the possible number and wave of nominations reaching the Committee once the new timeline is put in place.

- In deliberating about recommendations j.) and k.) **the Working Group agreed that no disincentives should be put in place between phase 1 and phase 2 of the nomination process.** The general sense was that penalizing States Parties for not taking into full account of the non-binding outcome of the Preliminary Assessment would elevate it to the same status as the formal evaluation that would follow it in phase 2.
- As the Preliminary Assessment is a complex proposal that requires a change of mindset as to how State Parties, the World Heritage Center and the Advisory Bodies approach the nomination process and the preparation of files, **the it should be introduced in an orderly fashion, on an experimental basis** in order to allow for the fine-tuning of the process, should the need arise.

In conclusion, the Working Group noted that:

- The Preliminary Assessment should be seen as a positive tool: rather than adding an additional layer of burden in the nomination process, it contributes to a more even re-distribution of the work including specific guidance in the form of recommendations for the nominating State Parties, as well as significantly improved room for dialogue and capacity building.
- It should be stressed that the Preliminary Assessment should not be seen as a mechanism to extend the nomination process, since the preparation of a nomination already requires considerable time from the State Party. Ideally the Preliminary Assessment would assist the State Party to decide whether or not to pursue its nomination, as well as to prepare its files in view of submission.
- The Preliminary Assessment should also assist the State Party enhancing the quality of the nominations adding a better protection, a better management and enhancing the integrity of the nominated sites.
- The Preliminary Assessment would also assist State Parties in other ways, such as facilitating domestic communication between stakeholders with regards to expectations about pursuing specific nominations. This should result in State Parties being able to focus their investment of resources on nominations with high inscription potential.
- Dialogue and deeper engagement between Advisory Bodies and States Parties needs to be encouraged as much as possible, providing a new opportunity for these exchanges to take place at a very early stage.
- It should be recalled, that while the Preliminary Assessment should be of mandatory nature, heeding its outcome and pursuing a nomination would still fall within the State Parties sovereignty.
- Ultimately the goal is to enhance the number of high-quality nomination files reaching the Committee and, thus, reduce the number of nominations unlikely to succeed, through encouraging a better and more focused preparation of the nomination dossiers.

## Proposed New Two-Stage Nomination Process



## Non-Paper: Australia

Ad Hoc working group meeting, 18 March 2019

**PRINCIPLES TO GUIDE THE REVIEW OF THE NOMINATION PROCESS (42 COM 12A)**

Committee Decision 42 COM 12A represents a rare opportunity to reform the nomination process and it is important that the Ad Hoc working group makes sure the reforms put forward to the Committee are fit for purpose. To support this goal and ensure the process for assessing the reform options is robust, the Ad Hoc working group should agree on the principles to guide the review process. Applying these principles will enable the Ad Hoc working group to test that the proposed reforms address the issues identified with the nomination process and deliver the outcomes sought from the review.

Australia acknowledges that some **principles to guide the review process** have been raised in the following:

- Committee Decision 42 COM 12A (Attachment A). Provides the scope of the review: nomination and evaluation processes; Tentative List and Upstream Process.
- The report of the expert meeting (Tunis) suggests principles for the reform of the nomination process (Attachment B), however Australia notes that not all of these suggestions are principles to guide the review process.
- Ad Hoc working group paper: WHC/18/42.COM/12A (discussion and recommendations of the 2018 Ad Hoc working group).

In recognition of the above, Australia proposes the Ad Hoc working group agree the following principles for the review process.

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**Principle 1: Reforms must enhance the integrity of the World Heritage Convention by supporting the World Heritage List to be more representative, balanced and credible.**

**Principle 2: Reform options will be assessed on their individual merit before being considered as part of a complete package of reforms. The individual assessment will include:**

- Issue: Identification of the issue/s that the reform is seeking to address and agreement that the issue needs to be addressed.
- Outcome: Identification of the outcome/s anticipated from the reform and agreement that the outcome is realistic and will address the issue, including how the reform will contribute to the Global Strategy.
- Reform: Examination of the detail of the reform, including (but not limited to): identification of the specific stage of the nomination process to be changed; assessment of the implications of the change relative to other stages in the process; and consideration of unintended consequences of the proposal.

- Changes required: Identification of the changes that may need to be made to implement the reform (e.g. changes to the Operational Guidelines; Rules of Procedure; etc.)
- Financial implications: Indication of whether the reform will have a financial implication, and, if yes, an estimate of the financial implication (low, medium, high cost). Note: it is not proposed that the recommendations of the working group seek to solve the issue of where additional funds would be sourced.

**Principle 3: Reform options will be assessed as part of a complete package of reforms before being recommended to the Committee to ensure the reforms are integrated and effective. This will include:**

- Consideration of the timing of the reforms – reforms will need to be staged (e.g. reforms that can be immediately implemented; those that require more steps to implement the change).
  - Consideration of the financial implications of implementing the proposed package of reforms.
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**An example of how the reforms could be considered according to ‘Principle 2’ is as follows:**

Reform option: Improved nomination template and guidance

Issues:

- Significant cost and time for States Parties to develop a nomination dossier
- Inequity in the nomination process for States Parties with reference to the above
- Committee decisions deviating from Advisory Body advice

Outcomes:

- Good quality nomination dossier (clear, concise, fit for purpose)
- Contributes to the Global Strategy by: making the dossier less resource intensive for States Parties to develop and providing technical advice to support States Parties, thereby encouraging lower-middle income countries to submit nominations.
- Clearer focus on OUV aids decision-makers (Committee) and Advisory Bodies (including in providing pre-submission/Upstream advice).

Reform:

- Activity: Develop and publish revised nomination template, including introduction of a word limit by section and an overall word limit for the dossier. Develop guidance for States Parties that complements the template, in the first instance focusing on

best-practice methodology and examples for (a) articulating the connection between values and attributes and (b) comparative analysis.

- No change to stage in process – only documentation that aids the process. No implications or unintended consequences identified for other aspects of the nomination process as a result of this reform.

Changes required:

- Development and publication of documents.
- Update to Operational Guidelines to reference revised template and guidance (e.g. Section III.B).

Financial implications: Yes – estimated to be low.

**NON-PAPER: AUSTRALIA****Ad Hoc working group meeting, 23 May 2019****Breakdown of reform options using the guiding principles for consideration by the Ad Hoc Working Group 2018-19**

This paper outlines a package of reform options for discussion by the Ad Hoc Working Group. These options are presented according to the guiding principles (as agreed at the meeting of 18 April 2019, refer Attachment A) to guide the review of the reform options by the Group. It is recommended that the reform options put forward by the Group be included in the final report to the Committee in this format for clarity, consistency and to aid in the implementation phase of the reforms.

Each of the reform options presented in this non-paper – with the exception of the Code of Conduct concept - was discussed at the meeting of 18 April 2019 and agreement reached [in principle] that they should be included in the Working Group's report to the Committee.

It is recommended that the reform options put forward by the Ad Hoc Working Group be included in the final report to the Committee in an Appendix in this format, as this will provide clarity and consistency, and will aid in the implementation phase of the reforms.

Each reform option has specific issues and outcomes that the reform seeks to address (refer tables below). In addition to these, the reform package as a whole seeks to address the following overarching issues and outcomes.

**Overarching issues the nomination reform package seeks to address:**

- A complicated nomination preparation process (Recommendation of the 2017-18 Ad Hoc Working Group, WHC/18/42.COM/12A), including significant cost and time for States Parties to develop nomination dossier.
- Inequity in the nomination process for States Parties given the complicated nomination process and the need to provide support to least represented States Parties (*Dec 2018 survey results*).
- Political interests and pressure given the substantial financial and human investment in the preparation of nominations (Recommendation of the 2017-18 Ad Hoc Working Group, WHC/18/42.COM/12A).
- Committee decisions deviating from Advisory Body advice (Recommendation 3, IOS Mapping Study).
- Limited time to engage with Advisory Bodies in the nomination process.
- Need for improved dialogue between nominating States Parties and Advisory Bodies to develop technically credible nominations.
- Inconsistent quality of nomination dossiers for Advisory Body evaluation and Committee review.

- Lack of written guidance for States Parties to develop Tentative Lists and nomination dossiers that meet outcomes of the Global Strategy and technical merits of inscription.

**Overarching outcomes the nomination reform package seeks to achieve:**

- Promotes early dialogue between States Parties and Advisory Bodies to get advice on nominations before development of dossiers.
- States Parties have clearer understanding and direction on a prospective nomination prior to developing dossier. This is more likely to:
  - Reduce the cost for States Parties in developing a dossier (more efficient process for prospective nominations)
  - Result in better quality nomination dossier (clear, concise, fit for purpose), including with a clearer focus on OUV that will aid decision-makers (Committee) and Advisory Bodies in the nomination process.
  - Complements the Preliminary Assessment stage (proposed reform), further reducing time/cost of the nomination process for both States Parties and Advisory Bodies.
- Contributes to the Global Strategy by: making the dossier less resource intensive for States Parties to develop and providing technical advice to support States Parties, thereby encouraging lower-middle income countries to submit nominations (Dec 2018 survey results).



## LIST OF REFORMS:

1. **Preliminary Assessment:** Initial assessment of property at start of nomination process by Advisory Bodies (*Tunisia expert report*) - See Non-paper Preliminary Assessment

Note: the information included below on this reform option is consistent with the non-paper developed by the working group on this reform.

2. **Tentative List guidance:** better guidance for Tentative List dossiers (*Tunis expert report*)
3. **Upstream Process:** Encourage use of upstream process as early as possible, highlight value throughout nomination process (*Tunis expert report*)
4. **Nomination guidance:** Update and improve guidance material on aspects of the nomination dossier such as comparative analysis and link between values and attributes.
5. **Improved nomination template:** Word limit, inclusion of Indigenous engagement and consultation processes, streamlined dossier etc. (*Tunis expert report*)
6. **Advisory Body methodology for evaluation of nominations:** Publish for transparency. Assist States Parties in targeting nomination dossier.
7. **Advisory Body process for selecting panel members and advisors:** publish for transparency. (*Tunis expert report*)
8. **Advisory Body evaluation format:** Consistent and robust format for interim reports and evaluation reports (complements consistent format for preliminary assessment reform and improved nomination template for States Parties).
9. **Code of conduct for Committee members:** (*Tunis expert report*)

Improve heritage expertise on Committee delegations: Improve Committee understanding of AB evaluations (e.g. via increased engagement between ABs and Committee prior to WHC meetings). Requirement to have experts on delegations already in Rules of Procedure, not always followed. (*Tunis expert report*)

Note: this reform is being considered as part of the non-paper on the Code of Conduct drafted by Norway.

10. **Referral process review:** Recommended by the expert working group. Requested by the Committee (Decision 42 COM 8) in the framework of the next revision of the Operational Guidelines at the 43rd session in 2019.

Note: as discussed at the meeting of 18 April 2019, the Ad Hoc Working Group considered that a review of the referral process was warranted but should be deferred until the Preliminary Assessment reform has been implemented and the impact of this reform understood. This will enable a more adequate understanding of how the referral process review can be structured. For these reasons, the reform option is included in this list for consideration at a later date but not included in the breakdown of reform options below.

## 1. Preliminary Assessment:

[Refer - Non-paper Preliminary Assessment]

<b>Issue</b>	<p>Significant cost and time for States Parties to develop nomination dossier.</p> <p>Inequity in the nomination process for States Parties with reference to the above.</p> <p>Poor quality nomination dossiers for Advisory Body evaluation and Committee review.</p> <p>Need for improved dialogue between nominating States Parties and Advisory Bodies to develop technically credible nominations.</p>
<b>Outcome</b>	<p>Submission of quality nominations for sites which have strong potential to meet requirements of inscription (<i>Tunis expert report</i>).</p> <p>Opportunity for States Parties to withdraw a nomination before significant work is undertaken.</p> <p>Reduced time and cost for States Parties in the development of the final nomination dossier (early advice from ABs; complementary template across key phases to reduce duplication and refine nomination, i.e. Tentative List, Preliminary Assessment and submission of nomination dossier).</p> <p>Reduced time and cost for Advisory Bodies in the later stages of the nomination evaluation.</p> <p>Reduced expenditure on nominations from the World Heritage Fund, resulting in improved expenditure on State of Conservation work.</p> <p>Contributes to the <u>Global Strategy</u> by: supports credibility of the List (high quality inscriptions); supports representative List (less resource intensive nomination dossier and earlier engagement with Advisory Bodies facilitate lower income and least represented countries to nominate).</p>
<b>Reform</b>	<p>Introduce a new Preliminary Assessment stage for Advisory Bodies to conduct a desktop review of a streamlined nomination before the State Party develops and submits a full nomination. This would be considered the first stage in the nomination process. [<i>Non-paper</i>]</p> <p>The Preliminary Assessment will be undertaken for a specific site on the State Party's Tentative List in response to a request by the State Party.</p> <p>The Preliminary Assessment will be mandatory for all nominations.</p> <p>The State Party will complete a new template [to be developed], which will not be complex and be based on the Tentative List submission form. The template will have a word limit on the final document for submission.</p> <p>The State Party will have guidance to complete the template [to be developed] and the Advisory Bodies will have a methodology to guide their assessment [to be developed], which will keep the State Party informed and establish transparency in the process.</p> <p>The Advisory Bodies will conduct the Preliminary Assessment on the basis of a desktop study which will then be endorsed by their Panels taking into consideration the three OUV pillars (criteria, integrity/authenticity and management). A final recommendation will be provided to the State Party.</p> <p>The Secretariat will prepare a list of preliminary assessments undertaken by the Advisory Bodies for noting by the Committee at the annual Committee meeting (outcome of assessment not conveyed). Should the State Party</p>

	<p>proceed with the nomination, the full preliminary assessment will be made available in the same manner as the nomination documentation.</p> <p><u>Stage to be changed:</u> New stage to begin after the Tentative List phase and at the start of the nomination phase. Preliminary Assessment to be finalised minimum 1 year before a complete nomination dossier is submitted by the State Party (this is to enable the State Party to apply the recommendation of the Advisory Body while the information is current).</p> <p>The Preliminary Assessment should be seen as a positive tool for early engagement and advice. No disincentives will be put in place between the Preliminary Assessment and the formal nomination evaluation period.</p> <p><u>Implications for other stages:</u> No change to Tentative List process or application process for Upstream advice. No change to existing nomination process once the Preliminary Assessment is done (i.e. retain timing of current nomination evaluation phase from the point of submission of the complete dossier and mandatory field mission to Committee decision).</p> <p>Preliminary Assessment at this early stage is designed to build upon the Tentative List submission and contribute to the final nomination dossier, and, coupled with the advice from the Advisory Bodies, will streamline the development of the final nomination dossier for the State Party.</p> <p>If the State Party follows the outcome of the preliminary assessment, and given the increased dialogue and visibility of the nomination content, the Advisory Bodies' final evaluation of the complete nomination dossier will also be streamlined.</p> <p><u>Unintended consequences:</u> should not be used in place of upstream process advice (i.e. States Parties can only put forward properties intended to go to full nomination to get early feedback on their approach; noting that States Parties can elect not to proceed with a nomination following the Preliminary Assessment). The process for Upstream Advice is <u>complementary</u> and will remain unchanged. Upstream Advice should be sought and paid for by the State Party (those not identified as priority SPs) independently of the Preliminary Assessment phase (i.e. before or after the assessment).</p>
<b>Changes required</b>	<p><u>Changes to Operational Guidelines:</u></p> <p>Update: Section III (Process for the inscription of properties on the World Heritage List).</p> <p>Include preliminary assessment stage before the existing Section III.A Preparation of Nominations.</p> <p>Update the associated timelines in the nomination phase to reflect the inclusion of the preliminary assessment phase.</p> <p>Update: Annex to include template for preliminary assessment submission.</p>
<b>Financial implications</b>	<p>Yes TBC – estimated to be low.</p> <p>Cost of developing improved guidance for States Parties and methodology for Advisory Body Preliminary Assessment.</p> <p>Reduction of cost for States Parties in developing nomination dossier.</p> <p>Significant reduction of cost for States Parties if they withdraw/cease work on nominations unlikely to meet requirements for OUV.</p> <p>WH Fund resources used for desktop assessment to be offset by a streamlined evaluation process in the existing nomination evaluation phase.</p>

Note:

World Heritage Centre survey (Dec 2018)

- A clear majority of the respondents considered that a preliminary assessment of the potential for Outstanding Universal Value (OUV) of sites on the Tentative Lists by the relevant Advisory Body(ies), before a full nomination for inscription on the World Heritage List is developed and submitted, should be mandatory (refer Question 3).
- This appears consistent with the emphasis on upstream process and Tentative Lists as underpinning areas for the reform expressed in **Question 1** above.
- For a very large majority of respondents, the critical measures appear to be the support provided to least represented States Parties (85.7%) and capacity-building for the preparation of nominations (83.1%).

**2. Tentative List guidance:** better guidance for development of Tentative Lists (*Tunis expert report*)

<b>Issues:</b>	<p>Ineffective use of Tentative Lists by States Parties (<i>Tunis expert report</i>).</p> <p>Not all Tentative Lists contain sites with strong potential to justify OUV (<i>Tunis expert report</i>).</p> <p>Lack of guidance to equip States Parties to develop Tentative Lists, e.g. process or methodology for development and review of Tentative Lists, best practice examples and regional/thematic harmonisation (<i>Tunis expert report</i>).</p> <p>Improved dialogue and advice by the Advisory Bodies to the States Parties in the early stage of the nomination process, including the Tentative List phase (<i>Dec 2018 survey results</i>).</p>
<b>Outcome:</b>	<p>Tentative Lists are established using an appropriate methodology and include sites with strong potential to justify OUV.</p> <p>States Parties have clearer understanding and direction on a prospective nomination prior to investing significant time and resources into developing a nomination dossier.</p> <p>Contributes to the <u>Global Strategy</u> by:</p> <p>Improving capacity of States Parties to develop Tentative Lists with increased chances of inscription (<i>Tunis expert report; Dec 2018 survey results</i>).</p> <p>Utilising best practice and current data to identify sites that contribute to the Global Strategy (e.g. identifying gaps, regional or thematic harmonisation).</p>
<b>Reform:</b>	<p>Develop and publish improved guidance for States Parties for the development of the Tentative List dossier (including examples), and demonstrate the benefits of the Upstream Process in aiding in this process.</p> <p>Guidance should cover:</p> <p>How States Parties can develop sound and robust processes for the selection of sites to include in Tentative Lists, with widest possible participation of stakeholders.</p> <p>Guidelines/Manual for sharing good practices with examples regarding the establishment or revision of Tentative Lists. This should include the importance of regularly reviewing the Tentative List.</p> <p>Encouraging States Parties to harmonise their Tentative Lists at regional and thematic levels, as well as to review, with the assistance of the Advisory Bodies, any gaps and site configurations, and identify common themes (para 73 of the <i>Operational Guidelines</i>).</p> <p>States Parties should be encouraged to make use of the Upstream Process as much as possible (para 71 and 122 of the <i>Operational Guidelines</i>). The guidance should demonstrate the benefits of seeking early advice from the Advisory Bodies.</p> <p><u>Stage to be changed:</u> Nil. No changes to the process outlined in the <i>Operational Guidelines</i>. Guidance provided via World Heritage Centre website. Assistance provided by Advisory Bodies.</p>

	<p><u>Implications for other stages:</u> Efficiency for States Parties and Advisory Bodies in Preliminary Assessment and Nomination phases. Improved nomination dossiers for Committee decision.</p> <p><u>Unintended consequences:</u> Nil. May reduce requests for Upstream Advice if written guidance provides adequate support for States Parties.</p>
<b>Changes required:</b>	<p>Develop improved guidance (with Advisory Bodies)</p> <p>Publish guidance (including on World Heritage Centre website)</p>
<b>Financial implications:</b>	<p>Yes TBC – estimated to be low. Cost of developing improved guidance (TBC)</p>

- **Note:** 57.1% of respondents to the World Heritage Centre's survey (Dec 2018) thought the nomination reform process should focus on the Tentative List phase.

**3. Upstream Process:** Encourage use of upstream process as early as possible; highlight value throughout nomination process (*Tunis expert report*)

<b>Issues:</b>	<p>Significant cost and time for States Parties to develop nomination dossier.</p> <p>Inequity in the nomination process for States Parties given the resources required to develop a nomination dossier.</p> <p>Committee decisions deviating from Advisory Body advice.</p> <p>Limited time to engage with Advisory Bodies in the nomination phase.</p>
<b>Outcomes:</b>	<p>Promotes early dialogue between States Parties and Advisory Bodies to get advice on nomination before development of dossier.</p> <p>States Parties have clearer understanding and direction on a prospective nomination prior to developing dossier. This is more likely to:</p> <p>Reduce the cost for States Parties in developing a dossier (more efficient process for prospective nominations)</p> <p>Result in better quality nomination dossier (clear, concise, fit for purpose), including with a clearer focus on OUV that will aid decision-makers (Committee) and Advisory Bodies in the nomination process.</p> <p>Complements the Preliminary Assessment stage (proposed reform), further reducing time/cost of the nomination processes for both States Parties and Advisory Bodies.</p> <p>Contributes to the <u>Global Strategy</u> by: making the dossier less resource intensive for States Parties to develop and providing technical advice to support States Parties, thereby encouraging lower-middle income countries to submit nominations.</p>
<b>Reform:</b>	<p>Improve World Heritage Centre website content following recent completion of the pilot phase of the Upstream Process, including:</p> <p>Improved information about the process and what it entails (for example: how to apply, when to request assistance, types of assistance, what to expect from the Advisory Bodies).</p> <p>Case study examples to demonstrate effectiveness of the process for States Parties in developing nomination dossiers.</p> <p>Details about eligibility and prioritisation of applications by the Advisory Bodies.</p> <p>Support for States Parties in applying, as well as suggested alternatives for those States Parties unlikely to be prioritised.</p> <p><u>Stage to be changed:</u> Nil.</p> <p><u>Implications for other stages:</u> Improved/targeted requests from States Parties (that may not have otherwise done so) likely to improve quality of nomination dossiers for Committee review and result in fewer decisions going against Advisory Body advice.</p> <p><u>Unintended consequences:</u> May increase requests for Upstream Advice that the Advisory Bodies cannot meet.</p>

<b>Changes required:</b>	Centre and Advisory Bodies to develop improved website content.
<b>Financial implications:</b>	Yes TBC – estimated to be low. Time/cost of producing website content.

Note:

World Heritage Centre survey (Dec 2018)

- 63.3% of respondents to the World Heritage Centre's survey (Dec 2018) thought the nomination reform should focus on the Upstream Process.
- Question 4 focused specifically on the upstream process. The replies confirm the outcomes of the 2017 upstream process survey and demonstrate that the upstream process is overwhelmingly believed to be a valuable tool towards achieving the goals of the Global Strategy, with more than 90% of the respondents having replied positively to the questions (Yes, very much – It could help).
- For a very large majority of respondents, the critical measures appear to be the support provided to least represented States Parties (85.7%) and capacity-building for the preparation of nominations (83.1%).
- In reply to **Question 6**, the overwhelming majority of respondents considered that the World Heritage List can continue to grow, with a large majority indicating that new inscriptions should focus more on under-represented regions and types of heritage.

Expert report (Tunis, p. 4)

- "the experts agreed that strengthening the Upstream Process in a more systematic and practical way can result in the development of quality nominations for sites having a strong potential of demonstrating OUV."

Report of the Ad Hoc Working Group 2017-18:

- The Upstream Process can become an effective tool to decrease the amount of Committee decisions deviating from Advisory Bodies advice.



**4. Nomination guidance:** Update and improve guidance material on aspects of the nomination dossier, such as the justification component (in particular the comparative analysis) and the Statement of OUV (particularly the link between values and attributes).

<b>Issue:</b>	The comparative analysis and value statement sections of the nomination dossiers are vital in the justification of the property for inscription, but are often the weakest part of the dossier (as evidenced by the interim reports and final evaluations of the Advisory Bodies).
<b>Outcomes:</b>	<p>Improved guidance and transparency for States Parties on the technical requirements of a comparative analysis and statement of outstanding universal value.</p> <p>Good quality nomination dossier (clear, concise, fit for purpose).</p> <p>Contributes to the <u>Global Strategy</u> by: providing technical advice to support States Parties and strengthen nominations, thereby encouraging lower-middle income countries to submit nominations.</p> <p>Clearer focus on the justification for OUV aids decision-makers (Committee) and Advisory Bodies (in assessing technical merits of nomination). Will be of great value to States Parties in the Upstream, Preliminary Assessment and Nomination preparation processes.</p>
<b>Reform:</b>	<p>Update guidance for States Parties that complements the nomination template, in the first instance focusing on best-practice methodology and examples for (a) articulating the connection between values and attributes and (b) comparative analysis (existing nomination guidance document dated 2011).</p> <p>Strengthen guidance on drafting of Statements of Outstanding Universal Value.</p> <p>Explore options for information and capacity building, including (but not limited to) an online platform, enhanced regional networks and sharing of regional workshop outcomes.</p> <p><u>Stage to be changed:</u> Nil.</p> <p><u>Implications for other stages:</u> Improved nomination dossier for Advisory Body evaluation and Committee decision.</p> <p><u>Unintended consequences:</u> Clearer Statements of OUV will likely result in improved capacity to manage and monitor inscribed properties.</p>
<b>Changes required:</b>	<p>Development and publication of documents.</p> <p>Update to Operational Guidelines to reference revised template and guidance (e.g. Section III.B).</p>
<b>Financial implications:</b>	Yes TBC – estimated to be low.

**5. Improved nomination template:** Word limit, inclusion of Indigenous engagement and consultation processes, streamlined dossier, etc. (*Tunis expert report*)

<b>Issues:</b>	<p>Nomination dossiers are lengthy and repetitious, resulting in large workloads for all parties (States Parties, Advisory Bodies and the Committee).</p> <p>The current system is largely paper-based, which is counter to the predominantly digital development and management of documentation.</p> <p>Nomination template does not provide a mechanism or prompt to ensure Indigenous engagement has been undertaken and does not outline expectations for consultation processes (for example, implementation of Paragraph 123, Operational Guidelines concerning Free, Prior, Informed Consent).</p> <p>Nomination template or <i>Operational Guidelines</i> do not ensure consideration of gender equality throughout the full cycle of World Heritage processes, particularly in the preparation and content of nomination dossiers.</p>
<b>Outcomes:</b>	<p>Good quality nomination dossier (clear, concise, fit for purpose)</p> <p>Contributes to the <u>Global Strategy</u> by: making the dossier less resource intensive for States Parties to develop, thereby encouraging lower-middle income and least represented countries to submit nominations.</p> <p>Clearer focus on OUV aids decision-makers (Committee) and Advisory Bodies.</p>
<b>Reform:</b>	<p>Develop and publish revised nomination template, including introduction of a word limit by section and an overall word limit for the dossier, delete any duplication in template. Ensure consistency with Tentative List and Preliminary Assessment formats.</p> <p>Inclusion of Indigenous engagement and consultation processes in the nomination template. Develop guidance on what constitutes best practice community consultation.</p> <p>Inclusion in the <i>Operational Guidelines</i> and nomination template, the requirement to consider gender equality throughout the full cycle of the World Heritage process.</p> <p>Explore opportunity to digitise nomination process that is fair and equitable for all States Parties.</p> <p><u>Stage to be changed</u>: Nil. Amendment to existing format requirements.</p> <p><u>Implications for other stages</u>: Assist evaluation by Advisory Bodies and Committee delegations.</p> <p><u>Unintended consequences</u>: Nil.</p>
<b>Changes required:</b>	<p>Development of revised nomination template.</p> <p>Update to <i>Operational Guidelines</i> to include:</p> <ul style="list-style-type: none"> <li>revised template and changes in submission procedure (e.g. Section III.B).</li> <li>revise Section III.A Preparation of nomination (Gender equality)</li> </ul>

<b>Financial implications:</b>	Yes TBC – estimated to be very low.
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Note:

World Heritage Centre survey (Dec 2018)

- While the **nomination format** was not among the areas which have been considered among the priority ones on which the reform should focus under **Question 1**, it comes up regularly as a topic addressed in the comments.

Related UNESCO policies/agreements:

- Policy for the Integration of a Sustainable Development Perspective into the Processes of the World Heritage Convention (WHC-15/20.GA/INF.13)
- United Nations Declaration on the Rights of Indigenous Peoples (2008)
- Gender Equality Priority of UNESCO

**6. Advisory Body methodology for evaluation of nominations:** Publish for transparency.  
Assist States Parties in targeting nomination dossier.

<b>Issue:</b>	States Parties currently dedicate significant time and resources to developing nomination dossiers to meet the technical requirements of the Convention, as evaluated by the Advisory Bodies, but with limited understanding of the methodology the Advisory Bodies adopt to undertake the evaluations.
<b>Outcome:</b>	States Parties have improved understanding of the Advisory Body methodology for evaluating nominations.  This will encourage better quality nomination dossiers (clear, concise, fit for purpose) with a clearer focus on the justification of OUV that will aid decision-makers (Committee) and Advisory Bodies in the nomination process.
<b>Reform:</b>	Advisory Bodies to publish (via World Heritage Centre website) their methodology for evaluating nominations at each stage of the nomination process.  Advisory Bodies to highlight their existing policies upon which they evaluate elements of a nomination to increase transparency and improve State Party and Committee understanding of reasoning behind their conclusions and recommendation.  Note: ICOMOS and IUCN outline a lot of this work in the annual nomination evaluation documents presented to the Committee, however not all States Parties focus/read the front end of these documents. Communicating already established processes in an accessible way is vital to increase trust and understanding.  <u>Stage to be changed:</u> Nil.  <u>Implications for other stages:</u> Improved nomination phase for States Parties.  <u>Unintended consequences:</u> Nil.
<b>Changes required:</b>	Development of documentation and online publication by Advisory Bodies.  Identification of Advisory Body Policies used throughout the evaluation cycle.
<b>Financial implications:</b>	Yes TBC – estimated to be very low.

**7. Advisory Body process for selecting panel members and advisors:** publish for transparency (*Tunis expert workshop*).

<b>Issue:</b>	Concerns that Advisory Bodies do not seek diverse or culturally appropriate advice when undertaking evaluations (including in missions, individual evaluations and panel discussions) ( <i>JOS Mapping Study 2017</i> ).
<b>Outcome:</b>	States Parties have improved understanding of the Advisory Body selection of their World Heritage Panels, including geographical selection and technical experience.
<b>Reform:</b>	<p>Advisory Bodies to publish (via World Heritage Centre website) their process for selecting panel members and advisors, but focus on aspects such as process and qualifications sought.</p> <p>Advisory Bodies to provide a report to the Committee on composition (including technical expertise and geographical representation) of their WH Panels In addition provide information on experts external to the Advisory Bodies and not on the WH Panels who have been consulted throughout the evaluation cycle.</p> <p>Note: ICOMOS and IUCN outline a lot of this work in the annual nomination evaluation documents presented to the Committee, however not all States Parties focus/read the front end of these documents. Communicating already established processes in an accessible way is vital to increase trust and understanding.</p> <p><u>Stage to be changed:</u> Nil.</p> <p><u>Implications for other stages:</u> Improved nomination phase for States Parties.</p> <p><u>Unintended consequences:</u> Nil.</p>
<b>Changes required:</b>	Development of documentation and online publication by Advisory Bodies.
<b>Financial implications:</b>	Yes TBC – estimated to be very low.

**8. Advisory Body evaluation format:** Consistent and robust format for interim reports and evaluation reports (complements consistent format for preliminary assessment reform and improved nomination template for States Parties).

<b>Issue:</b>	Advisory Body interim reports and final evaluations do not currently follow a consistent format and it is often difficult for States Parties to understand the crux of the matter the Advisory Bodies are conveying.
<b>Outcome:</b>	<p>Simplified, consistent format for reports from the Advisory Bodies, which corresponds with improvements to the nomination dossier for States Parties.</p> <p>Reduced repetition and clarity of language in Advisory Body reports.</p> <p>Contributes to the <u>Global Strategy</u> by: improving the capability of States Parties to understand and address what the Advisory Bodies are seeking in terms of additional information (e.g. interim report) and in cases where changes are advised to dossiers (e.g. evaluation of nominations).</p>
<b>Reform:</b>	<p>Advisory Bodies to develop (refinement) and apply consistent format for the development of interim reports and evaluations. This includes using an agreed template for reports with a word limit for each section (consistency, reduced repetition), clear language (e.g. outcome focused requests for information in interim reports; clear recommendations for State Party in evaluation documents).</p> <p><u>Stage to be changed:</u> Nil.</p> <p><u>Implications for other stages:</u> Improved quality of advice from States Parties in response to interim reports and in the review of nomination dossiers for resubmission to the Committee.</p> <p>Improved efficiency for Advisory Bodies in undertaking evaluations in a consistent format.</p> <p>Improved understanding by the Committee of Advisory Body evaluations.</p> <p><u>Unintended consequences:</u> Nil.</p>
<b>Changes required:</b>	Development (or refinement) of a consistent format for interim reports and evaluation reports. Anticipate utilise existing information.
<b>Financial implications:</b>	Yes TBC – estimated to be very low.

Note:

World Heritage Centre survey (Dec 2018):

- Evaluations by the Advisory Bodies were considered an important area for the reform by more than half of the respondents (54.5%).

## 9. Code of conduct for Committee members: (*Tunis expert workshop*)

<b>Issue:</b>	Committee decisions deviating from Advisory Body advice.
<b>Outcome:</b>	The World Heritage Committee, Secretariat, Advisory Bodies and States Parties to the Convention adhere to core principles and behaviours that support the integrity of the World Heritage Convention and contribute to a representative, balanced and credible World Heritage List.
<b>Reform:</b>	<p>[Refer Non-paper, Ad Hoc Working Group]</p> <p>The Code of Conduct outlines principles and behaviours to guide the implementation of the Convention, with a view to promoting those behaviours considered integral to retaining the integrity of the Convention and the technical credibility of the Committee's decisions.</p> <p>As the key decision-makers, the Code of Conduct focuses principally on the Committee's responsibilities, but recognises shared responsibilities with the Secretariat, Advisory Bodies and States Parties to the Convention.</p> <p>The Code of Conduct is designed to complement the existing guiding documents (including the World Heritage Convention, Operational Guidelines and Rules of Procedure).</p> <p>The Code of Conduct is enacted when agreed and adopted by the World Heritage Committee.</p> <p><u>Stage to be changed:</u> Nil.</p> <p><u>Implications for other stages:</u> Nil.</p> <p><u>Unintended consequences:</u> Nil.</p>
<b>Changes required:</b>	The Code of Conduct is enacted when agreed and adopted by the World Heritage Committee.
<b>Financial implications:</b>	Nil.

Note:

World Heritage Centre survey (Dec 2018):

- Close to half of the replies show an interest in addressing the way the World Heritage Committee operates, identifying its decision-making process as an area for improvement as well as the possibility of introducing a "code of conduct".
- To recall, a "code of conduct" for the Committee was suggested by the Ad hoc working group in 2017-2018 as a possible way to avoid deviations between Advisory Bodies evaluations and Committee decisions and was referred to by the Committee in its Decision **42 COM 12A** which launched the reflection on the reform of the nomination process.