

# Guidance on Developing and Revising World Heritage Tentative Lists



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# **Guidance on Developing and Revising World Heritage Tentative Lists**

This guidance document has been prepared by the International Council on Monuments and Sites (ICOMOS), with the assistance of the International Union for Conservation of Nature (IUCN), the International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM) and the UNESCO World Heritage Centre, as support for States Parties at the earliest stage of the World Heritage nomination process – before or *upstream* of a nomination being submitted.

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# Preface

To provide guidance and capacity building directly to States Parties, the World Heritage Committee formally adopted an “Upstream Process” in its *Operational Guidelines for the Implementation of the World Heritage Convention* in 2015. Since then, the Committee has placed a high priority on providing advice to States Parties at the earliest stage of the World Heritage nomination process, ideally when Tentative Lists are being developed or revised. As a consequence, the number of Upstream Process assistance requests related to the revision of Tentative Lists is increasing: in 2019, for instance, more than 50 percent of requests submitted by States Parties concerned Tentative Lists.

In addition to the Upstream Process, the World Heritage Committee endorsed in 2019 the principle of a two-phase nomination process, with a “Preliminary Assessment” by the Advisory Bodies of a site proposed by a State Party from its Tentative List as the first phase, before a full nomination for inscription on the World Heritage List is developed and submitted as the second phase.

As a result of these two initiatives, and as the quality of Preliminary Assessments will depend on the quality of the Tentative Lists, there is an increasing need to provide basic guidance for States Parties on the development or revision of their Tentative Lists. This guidance document responds to this need. It is based on examples of recent updates of Tentative Lists, and aims to provide guidance that is widely applicable.

In addition to suggesting the basic steps to be followed in the Tentative List process, this document identifies the stages where assistance could be helpful to States Parties, and ways in which the Advisory Bodies might be requested to provide advice, consultation and analysis to States Parties in developing or revising Tentative Lists, thereby reducing the risk of spending resources to prepare nominations that may be unlikely to succeed. It must be emphasized, though, that when providing advice as part of the Upstream Process, the Advisory Bodies *cannot* express opinions on whether a candidate site on a Tentative List has Outstanding Universal Value. They can only advise whether or not a candidate site appears to have the potential to justify Outstanding Universal Value. The World Heritage Committee alone is responsible for determining whether any site nominated for inscription on the World Heritage List has Outstanding Universal Value and thus should be inscribed on that List. Advice provided by the Advisory Bodies on the Tentative List process does not ensure inscription of any site on the World Heritage List, or represent endorsement of the outcomes of that process.

Questions about any aspect of upstream support for developing or revising Tentative Lists may be addressed to the World Heritage Centre:

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# Legend



## Advisory Bodies

Steps at which the Advisory Bodies can provide support to States Parties with advice within the Upstream process.



## Guiding questions

Guiding questions in the relevant sections of this document help assess a candidate site's potential Outstanding Universal Value (OUV), including integrity and authenticity, and help frame a preliminary comparative analysis or study to determine whether there is scope for its inclusion on the World Heritage List.



## Focus

Focus boxes provide a more in-depth examination of specific aspects and phases of the Tentative List process.



## Key messages

Key messages summarize the most important facts and advice in the respective chapters.



## Tentative List: The Basics

### Article 11.1 of the World Heritage Convention

According to Article 11.1 of the 1972 Convention Concerning the Protection of the World Cultural and Natural Heritage, “Every State Party to this Convention shall, in so far as possible, submit to the World Heritage Committee an inventory of property forming part of the cultural and natural heritage, situated in its territory and suitable for inclusion in the list provided for in paragraph 2 of this Article. This inventory, which shall not be considered exhaustive, shall include documentation about the location of the property in question and its significance.”

This inventory, called a “Tentative List,” contains cultural and natural heritage sites that a State Party may consider for nomination to the World Heritage List. These can include “mixed” sites that have a combination of cultural and natural values. They can also be component parts of an envisaged contiguous transboundary site, or of a non-contiguous transnational serial site (in which cases, all the States Parties involved will need to harmonize their respective Tentative Lists). Approximately 95 percent of States Parties to the Convention have created a Tentative List. All Tentative Lists submitted to the World Heritage Committee by States Parties are available at the following Web address: <http://whc.unesco.org/en/tentativelists>.

### Position within the overall nomination process

The *Operational Guidelines for the Implementation of the World Heritage Convention* specify that nominations to the World Heritage List will not be considered unless the nominated site has already been included on the State Party’s Tentative List for at least one year prior to the submission of any nomination. Sites on the Tentative List can be added, removed or updated at any time. The process of revising a Tentative List can take the form of both a complete revision of the List, or the addition or removal of individual sites.

States Parties are encouraged to re-examine and resubmit their Tentative Lists at least every ten years. Periodic re-examination of its Tentative List allows a State Party to review the full scope of its cultural and natural heritage and, in the light of evolving perceptions of heritage, particularly cultural heritage, to assess what might be appropriate for inclusion on its Tentative List and possible future nominations to the World Heritage List.

Developing or revising a Tentative List has an important position and role in the nomination process. The overall process begins at the Tentative List stage, when a State Party systematically identifies candidate sites on its territory that it believes have the potential to demonstrate Outstanding Universal Value (often referred to as OUV), and includes them on its Tentative List. It then selects one of these sites to be nominated. It is planned that a preliminary Advisory Body assessment of the site will occur at this point, once this additional phase in the nomination process is confirmed by the World Heritage Committee and made operational. A nomination dossier is prepared by the State Party and officially submitted to the World Heritage Centre, which forwards the dossier along with an independent

evaluation by an Advisory Body (or Bodies) to the Committee for its decision as to whether the nominated site has Outstanding Universal Value and should be inscribed on the World Heritage List.

Each stage in this process must be consistent and coherent with the other stages, and all should build upon a common foundation of the site's potential Outstanding Universal Value.

It is important to note that this nomination process does not necessarily result in the inscription of a site on the World Heritage List. A site can be inscribed on the World Heritage List only if the Committee determines it is of Outstanding Universal Value for all of humanity.



## Key messages

### **Tentative Lists are ...**

... inventories prepared by signatories to the World Heritage Convention of cultural, natural and mixed heritage sites, including component parts of potential transnational and transboundary sites, that may have the potential to be inscribed on the World Heritage List.

... a pre-condition for the nomination of a site to the World Heritage List; only sites included on a State Party's Tentative List can be nominated for inscription on the World Heritage List.

... tools that can facilitate an overall understanding of the heritage within a State Party or region that potentially has global significance, and thus has an impact on the identification of heritage that is more than national in scope.

### **Tentative Lists are not ...**

... definitive or exhaustive lists of a State Party's heritage that might be nominated, but works in progress.

... lists of sites that will necessarily be inscribed on the World Heritage List. This also applies to sites that have received "upstream" support from the Advisory Bodies.

... lists that cannot be updated: the *Operational Guidelines* encourage reviewing Tentative Lists at least every ten years.

From the preparation of a Tentative List to the inscription of a site on the World Heritage List and its ongoing conservation and management, the pivotal concept of the World Heritage system is "Outstanding Universal Value" (OUV). This concept transcends national significance and reflects the global significance of heritage sites for all of humanity forever.

## Tentative List guidance in the *Operational Guidelines*

The preparation of Tentative Lists must comply with the guidelines found in Chapter II.C (paragraphs 62 to 76), Annex 2A and Annex 2B of the most recent version of the *Operational Guidelines*, which is available at the following Web address: <https://whc.unesco.org/en/guidelines/> (see also Annex 2 of this document). Chapter II.C sets out the Tentative List procedure and format (paragraphs 62 to 69), introduces Tentative Lists as a planning and evaluation tool (paragraphs 70 to 73) and advises on assistance and capacity building for States Parties in the preparation of Tentative Lists (paragraphs 74 to 76). Annexes 2A and 2B provide the formats for submitting new or revised Tentative Lists to the World Heritage Centre.

## **Processes for the selection of sites for inclusion on Tentative Lists: general principles**

The *Operational Guidelines* do not prescribe a specific process or methodology to be followed when selecting sites for inclusion on a Tentative List, but they do include some important recommendations. First, States Parties are encouraged to seek upstream advice from the Advisory Bodies as early as possible during the development or revision of their Tentative Lists. Second, Tentative Lists should be established selectively and, most importantly, on the basis of evidence that supports the potential Outstanding Universal Value of candidate sites. Third, States Parties should consult the various thematic studies and analyses that have been prepared by ICOMOS and IUCN. And fourth, States Parties are encouraged to harmonize their Tentative Lists at regional and thematic levels. Some specific experiences of States Parties in these regards are included in Annex 3 of this document.

In addition, the compilation of Tentative Lists should take into account the Global Strategy for a Representative, Balanced and Credible World Heritage List, launched by the World Heritage Committee in 1994. The Global Strategy aims to ensure the World Heritage List reflects the diversity of the world's cultural and natural heritage. It encourages States Parties to consider sites from categories and regions that are currently not well represented on the World Heritage List, and that might also have the potential to demonstrate Outstanding Universal Value (see <https://whc.unesco.org/en/globalstrategy/>).

As the *Operational Guidelines* point out, Tentative Lists are important planning tools. Their potential to serve this role is minimized when sites are added to Tentative Lists on an ad-hoc basis or without a sound technical basis. A comprehensive process of site selection at the national level, using a systematic approach, benefits Tentative Lists as well as the national inventories that underpin them. An orderly review of a country's heritage resources can reveal patterns and relationships that are useful in many planning processes. Tentative Lists also signal at home and abroad a State Party's recognition of the cultural and natural heritage places it considers most significant in the global context.



## Why Tentative Lists are important

Sites on a Tentative List ideally reflect the heritage situated in a State Party's territory that could contribute to achieving a World Heritage List that is fully representative of the globe's most outstanding cultural and natural heritage. Inclusion on a Tentative List suggests that these sites have already been well studied and inventoried, because these two steps are indispensable for understanding their significance and their potential to enrich the World Heritage List.

The development or revision of its Tentative List presents each State Party with the opportunity to undertake an overall appraisal of the heritage located within its territory, and to examine the potential exceptionality of those heritage sites in the context of evolving perceptions of what constitutes humanity's heritage, particularly cultural heritage. Developing or revising a Tentative List thus promotes research while fostering an increased knowledge and awareness of a State Party's heritage sites.

Work on a Tentative List also creates the opportunity for preliminary consultations, collaborations and agreements among relevant stakeholders and rights-holders, including national, regional and local governments, property owners and managers, local communities, indigenous peoples, the private sector and non-governmental organizations.

Preparing or revising a Tentative List may also help a State Party identify the specific protection and management needs of candidate sites, based on input from cultural and natural heritage experts. Furthermore, Tentative Lists are useful planning tools that allow States Parties to indicate their future potential nominations to the World Heritage Committee, the World Heritage Centre and the Advisory Bodies.

Finally, Tentative Lists are a useful resource for others undertaking a comparative analysis or study as part of the process of developing a full nomination for the World Heritage List.

## Tentative Lists within the context of the Upstream Process

The Upstream Process (see Annex 1) is a mechanism that enables States Parties, through the World Heritage Centre, to receive support in the form of advice, consultation and analysis directly from the Advisory Bodies prior to the preparation or submission of a nomination to the World Heritage List.

The World Heritage Committee considers that upstream advice is very useful for developing a sound process for the selection of candidate sites to include on Tentative Lists. It therefore encourages States Parties to make use of the Upstream Process as much and as early as possible in the selection process. To this end, the Upstream Process provides an opportunity for States Parties to request assistance in the development, revision or harmonization of their Tentative Lists, subject to the availability of both human and financial resources. Some funding for preparatory assistance is available through the International Assistance mechanism of the World Heritage Fund.

As the first step in the overall nomination process, the development or revision of a robust Tentative List consists of **preparing** a sound foundation for decision-making; **proposing** appropriate candidate sites; **assessing** the candidate sites in a rigorous and informed manner; **harmonizing** the Tentative List at the regional and thematic levels; **approving and submitting** the final Tentative List to the World Heritage Centre; and subsequently **reviewing** and updating the Tentative List on a regular basis.



### How and when Advisory Bodies can assist States Parties

Each step for developing or revising a Tentative List is described in this document.

The steps at which upstream advice from the Advisory Bodies is available are identified with a symbol:

There are two different types of advice offered by the Advisory Bodies:

- **General advice** on developing or revising Tentative Lists. This advice will focus on the overall Tentative List, but will not include in-depth analyses of individual sites.
- **Specific advice** on an individual site. The site can be considered for Tentative Listing or for nomination.



# Developing and Revising Tentative Lists: A Step-by-Step Process

## 1. Preparing



### Understanding the essential World Heritage concepts

A distinct terminology and expertise for World Heritage has emerged over the decades since the World Heritage Convention came into force. A basic understanding of this terminology will make navigating the Tentative List process easier, and make achieving objectives more likely. As a starting point, glossaries and sources for basic World Heritage terminology are available at the following Web addresses: <https://whc.unesco.org/en/glossary/>; <https://www.icomos.org/en/2016-11-10-13-53-13/icomos-and-the-world-heritage-convention-4>; and also <https://www.iucn.org/theme/world-heritage/resources>.

The most pertinent World Heritage texts include the Convention; Rules of Procedure of the General Assembly of States Parties; Rules of Procedure of the World Heritage Committee; Financial Regulations for the World Heritage Fund; and, most relevant to Tentative Lists, the *Operational Guidelines*. These are all available at the following Web address: <https://whc.unesco.org/en/basictexts/>. An on-line database of World Heritage policies is also available at the following Web address: <https://whc.unesco.org/en/compendium/>. All Tentative Lists submitted by States Parties are available at the following Web address: <http://whc.unesco.org/en/tentativelists>.

A World Heritage bibliography is included at the end of the *Operational Guidelines*. In addition, some key references related specifically to Tentative Lists are provided in Annex 5 of this document. A compilation of World Heritage statutory meetings, resolutions, decisions, committee reports, general assembly summary records and mission reports is available at the following Web address: <https://whc.unesco.org/en/documents/>. If required, the World Heritage Centre may provide further bibliographic advice.



## The differences between national value and Outstanding Universal Value

The development or revision of a Tentative List is an opportunity to identify sites that might be seen to have a potential value that transcends national boundaries and are of highest relevance to all of humanity. It can sometimes be difficult for those involved in assessing such sites to move beyond the idea of national and regional importance to the idea of global importance or “Outstanding Universal Value.” Most cultural heritage inventories prepared at a national level assign a range of values, of which the highest is national value. In choosing sites that a State Party can offer to the World Heritage Convention, there is often a reasonable assumption that sites of national value – the most important designated sites within the territory of a State Party – must be the ones to consider.

Certainly it is the case that sites that are put forward for nomination ought to have the highest available national protection. But the important point to make is that the national value for which the sites are protected may not be the same as their potential Outstanding Universal Value.

National inventories consider types of places that are typical and abundant, as well as those that are scarce and in some way exceptional. Mostly, they aim to identify places that reflect national development and support national identity. In selecting sites for a Tentative List, there is a need to stand back and consider how the sites might be valued from an international and global perspective, and in a way that is comprehensive and highly relevant to all of humanity. The Outstanding Universal Value of a site in South America, or on an island in the Pacific, or in Europe or in Central Africa needs to be well understood in all parts of the world. Thus, what needs to be articulated is how a site might be seen to contribute in an exceptional way to the great sweeps of world history, not just national history, or to be exceptional reflections of earth’s history, the record of life and/or the broad bioregions, biomes and ecosystems of the planet.

The six cultural World Heritage criteria offer six different ways in which a site may justify that contribution: as a masterpiece, as an exhibition of an important interchange of human values, as an exceptional testimony to a cultural tradition, as an outstanding illustration of a stage in human history, as an outstanding interaction with the environment, or as a reflection of associations of outstanding universal significance. The four natural World Heritage criteria offer four different ways: as a place with superlative natural phenomena or exceptional natural beauty, an outstanding example of major stages of earth’s history or significant on-going geological processes, an outstanding example of significant on-going ecological and biological processes, or the most important and significant natural habitats for in-situ conservation of biological diversity.

How the criteria are justified should spell out why a site can be seen to satisfy one or more of these possibilities in an international context, rather than in the context of national history, national environment or national associations. A site may have been shaped by all of these national factors, but there have to be some overarching reasons why it rises above national significance to stand out in its wider geo-cultural or bio-geographic context and to have the potential to gain international acclaim. The comparative analysis is an important tool in this regard, as it should help to differentiate a site from others that could be seen as similar.

## **Getting organized to develop or revise a Tentative List**

States Parties will need to determine which organizational structure is most appropriate for developing or revising their Tentative List. Factors to consider include the State Party's internal capacity, the scope of work envisioned and the anticipated schedule and budget. In some cases, the availability of international support and cooperation can also be an important factor when updating Tentative Lists. The Advisory Bodies can advise a State Party on what needs to be achieved at this stage. On this basis, the State Party can then create its own organizational framework that takes into account its specific circumstances.

The chosen organizational framework will need to accommodate finding and assembling all the relevant materials, and identifying, processing and putting forward candidate sites for assessment by the State Party's final decision-maker(s) – usually the national department or ministry responsible for natural and/or cultural heritage. It is essential that professionals with specializations in cultural and natural heritage disciplines be involved in the process. Similarly, expertise in cultural, natural and mixed heritage must also be reflected in the institutional set-up, including representation of the institutions in charge of cultural and natural heritage as well as other relevant national, regional and local authorities and agencies. Academia, non-governmental organizations and civil society may also hold relevant information and knowledge that should feed into this process. This assemblage of expertise and knowledge should be organized into an interdisciplinary working group.

Ensuring expertise in heritage places is a key consideration in organizing effectively to develop or revise a Tentative List, regardless of the scope or complexity of work envisioned. For complex projects, expertise in project management and public relations may also be warranted.

A number of States Parties that have recently undertaken substantial reviews and revisions of their Tentative Lists have created, in addition to an interdisciplinary working group, an Advisory Committee to provide advice during the entire process (see Annex 3). This Committee, comprised of qualified and credible experts in the appropriate fields, evaluates all applications for inclusion on the Tentative List and recommends to the State Party's final decision-maker(s) those sites that it believes should be included.

## INTERDISCIPLINARY WORKING GROUP

**Carries out the various stages in the Tentative List development or revision process.**

*Comprised of professionals with specializations in both cultural and natural heritage disciplines, representatives of the national department or ministry of culture and national department or ministry of environment or their equivalents, and other relevant national, regional and local authorities and agencies.*

*As required, the interdisciplinary working group engages with civil society, non-governmental organizations, local communities, indigenous peoples and other relevant stakeholders to support its work.*

## ADVISORY COMMITTEE (OPTIONAL)

**Provides advice during the entire Tentative List development or revision process.**

*Comprised of qualified experts in natural heritage, cultural heritage and the theme(s) that characterize the State Party's heritage.*

## FINAL DECISION MAKER(S)

**Validates, adopts and submits the final Tentative List to the World Heritage Centre.**

*Usually the national department or ministry responsible for natural and/or cultural heritage.*

## **Assembling research and documentation**

It is important that sufficient information about candidate sites for the Tentative List be assembled by the State Party, including available published and unpublished inventories, scientific studies, descriptions, photographic and graphic documentation, research, histories, condition or state of conservation reports, maps, remote sensing data and data from Geographic Information Systems (GIS), etc. Special efforts should be taken to identify, respect and integrate traditional ecological knowledge from indigenous peoples and local communities. Information on other sites located both within and outside the State Party and sites included on other States Parties' Tentative Lists that have the same or similar attributes and values should also be collected to facilitate the preparation of a preliminary comparative analysis / study.

Inventories of cultural and natural heritage are the first source of information to assemble, insofar as they are available. The World Heritage Convention requires that each of its States Parties identifies, protects, conserves, presents and transmits to future generations the cultural and natural heritage situated on its territory. This responsibility is meant to address all natural and cultural heritage, and not just heritage that might be suitable for the World Heritage List. This represents a key requirement of the Convention, whose ultimate aim is to ensure the safeguarding of the world's cultural and natural heritage.

In brief, inventories are instruments that assist in gathering, organizing and storing information about heritage. They are also considered as the first step of any protection or conservation system. Inventories usually include the name and location of the heritage resource, often with maps, a description of its physical form and key characteristics, its history and illustrative material such as photographs and drawings. Inventories may vary in terms of the type and scope of information collected in relation to the objective(s) for which they have been prepared.

While national inventories include potentially exhaustive lists of different types of *national* heritage, World Heritage Tentative Lists include only sites that have been selected according to their potential to demonstrate *global* significance.

A wealth of research at the national, regional and local levels has been developed on the subject of national inventories. Several models, experiences and examples exist for different types of heritage, from natural and cultural sites to movable objects to intangible practices and expressions. A sample of this research is presented in Annex 5.

## Going beyond national inventories

Heritage inventories established at the national level usually reflect national characteristics and national priorities, which influence the choice of types or categories of heritage sites, objects or themes. Inventories may also vary in terms of the type and scope of information collected in relation to the objectives for which they have been prepared. While national or local inventories are essential tools for identifying and protecting a nation's heritage, they alone may not be sufficient for the purpose of developing or revising a World Heritage Tentative List, as they probably include heritage resources that are considered significant at the national or even local level, but not necessarily at the global level.

In the first phase of the development or revision of a World Heritage Tentative List, national, regional and local inventories are particularly useful sources of basic information (name, location, owner, condition, type of heritage) that is useful when screening a country's heritage for potential Tentative List sites. If no inventory exists, a survey of heritage resources within the State Party's territory will need to be undertaken.

Inventories, particularly for cultural heritage, are often large "collections" of discrete heritage resources that contain information that is essential for the purposes of identification, protection and conservation, but are usually not well positioned to indicate whether these resources reflect one or more heritage themes or phenomena that might have potential for recognition at the World Heritage level.

National inventories of natural heritage may not be as common as is the case for cultural heritage, but are important resources whenever they are available. This includes data of species and their distribution and/or migration patterns, and inventories of specific types of terrestrial and marine ecosystems such as forests and wetlands. National and regional protected area networks represent another key source for identifying potentially relevant candidate sites. For natural heritage, it is suggested to review national, regional and international designations and international tools, such as Ramsar sites, UNESCO Biosphere Reserves, Key Biodiversity Areas, Important Birds Areas and Endemic Bird Areas, as well as Alliance for Zero Extinction sites, WWF's Global 200 Priority Ecoregions, Conservation International's Biodiversity Hotspots and High Biodiversity Wilderness Areas, and IUCN/WWF Centres of Plant Diversity.

Most importantly, national inventories of cultural heritage are normally not explicitly associated with inventories of natural heritage. However, Tentative Lists need to consider natural, cultural and mixed heritage in an integrated and holistic way. Tentative Lists are credible only if their development or revision process takes into account both cultural and natural heritage.

Developing or revising a Tentative List first requires gathering information and documentation about the most promising candidate sites already listed in the national inventories. Research should extend beyond the information found in national inventories and multiple sources such as research reports, scientific publications, historic travel books, expert opinions, etc., should be consulted, screened and cross-referenced. Examining a wide range of information sources from a World Heritage perspective may lead to the identification of heritage not currently on the national inventory that may have potential for inclusion on the Tentative List.

An exercise of this type will not only help identify suitable candidate sites for the Tentative List that escaped inventorying at the national level, and therefore activate the identification, research and protection process for the specific sites, it might also highlight possible gaps or weaknesses in the national inventory system, thereby offering the opportunity to revise and update the system itself. In some cases, it could emerge that protective legislation needs to be revised, because it has not been updated and might not reflect evolving knowledge of heritage or because certain categories may be missing from the scope of the legislation. Important habitats, biodiversity hotspots and ecosystems as well as vernacular heritage, cultural landscapes, 20th century built heritage, industrial and technological heritage and other manifestations of inheritance may not be captured in the national inventory or may not be adequately protected, even if they might be represented in the country and might have the potential to become valid candidate sites for the Tentative List.

## **Assessing existing studies, analyses and lists**

A State Party preparing a Tentative List is advised to initially take a broad view – for example, by extending the review to include national heritage that is not yet protected – to create a longer “preliminary list” of candidate sites before that list is ultimately narrowed down to the sites most likely to demonstrate Outstanding Universal Value. This broad perspective will assist in identifying places particular to the State Party and beyond that could be considered of importance to all humanity, and whose inclusion on the World Heritage List would thereby broaden and enrich it.

A suggested first step is to review other States Parties’ Tentative Lists and the World Heritage List from the perspective of the State Party’s inventory of cultural and natural heritage.

States Parties are also encouraged to use the pertinent global and regional thematic studies produced by the Advisory Bodies. These cover subjects of interest as diverse as rock art, cultural landscapes, biomes and volcanoes. They have been produced from time to time at the request of the World Heritage Committee, or when need and opportunity arise, in support of potential Tentative Listings and World Heritage nominations. They are based on technical studies performed by the Advisory Bodies and other qualified organizations and individuals, as well as reviews of States Parties’ Tentative Lists and reports of meetings on the harmonization of Tentative Lists.

A list of existing studies is available in Annex 5 of this document, and at the following Web address: <https://whc.unesco.org/en/globalstrategy>.

States Parties are also encouraged to consult analyses prepared by the Advisory Bodies to identify gaps in both the World Heritage List and the Tentative Lists (see Annex 5). These analyses can enable States Parties to compare themes, regions, geo-cultural groupings, bio-geographic provinces, and terrestrial and marine biodiversity hotspots. Regional thematic studies can be particularly helpful in identifying heritage values that transcend national boundaries and jurisdictions. Undertaking these comparisons can also provide another viewpoint from which a State Party can canvass their national inventories for candidate sites. Note that some of these analyses were prepared more than a decade ago, and should be read in conjunction with more recent work by the Advisory Bodies. It is essential to recognize that filling a gap alone is not a justification for inclusion of a site on a Tentative List; above all, the site must have the potential to demonstrate Outstanding Universal Value, which includes meeting certain requirements concerning integrity, authenticity, protection and management.

A number of analytical studies relevant to natural sites are important sources for the development or revision of Tentative Lists (see Annex 5). IUCN has published various studies to assist in identifying natural sites that could be suitable for Tentative Lists, as well as studies that identify specific areas where sites of potential Outstanding Universal Value may likely be identified.

There are other studies and international and national prioritization schemes for sites and protected areas that are useful for identifying natural sites of potential Outstanding Universal Value, particularly in relation to World Heritage criteria (ix) and (x). For instance, underrepresented examples of terrestrial and marine ecoregions may warrant consideration for Tentative Lists. The World Wildlife Fund (WWF)’s Global 200: Priority Ecoregions for Global Conservation, Conservation International’s Global Biodiversity Hotspots, WWF/IUCN’s Centres of Plant Diversity and BirdLife International’s Endemic Bird Areas and Important Bird Areas are tools that identify sites of particular importance to

all or parts of biodiversity, and are therefore particularly useful for identifying potentially relevant areas, especially related to World Heritage criterion (x).

Recently developed map compendia and online tools (e.g., the Integrated Biodiversity Assessment Tool, <https://www.ibat-alliance.org/>) integrate some of the prioritization schemes noted above, as well as additional schemes, and can thus provide further guidance. The same is true for gap analyses and prioritization exercises for national and regional protected areas, an example of which is the Convention on Biological Diversity's Programme of Work on Protected Areas (<https://www.cbd.int/protected/pow/>).

It is important to recognize that inclusion of a site in any of these studies or tools does not automatically justify its potential Outstanding Universal Value. These studies and tools have different sets of criteria, thresholds and requirements, and none apply the combined requirements of criteria, integrity, authenticity, management and protection in the same way as the World Heritage Convention. Nevertheless, they are useful for identifying sites whose values, taken together, may signal some potential for inclusion on a Tentative List – sites that can then be narrowed down further, based on site-specific information and assessment.

During the revision process for a Tentative List, States Parties should undertake a review of all the sites that are currently on their Tentative Lists to identify those that are most likely to meet the requirements of Outstanding Universal Value. When undertaking such a review, States Parties should be especially rigorous when considering adding categories of sites to their Tentative Lists that are already well-represented on the World Heritage List, and that, as a consequence, may present a challenge for inscription.



### Key messages

Undertaking a broad screening of cultural and natural heritage within a State Party to create a longer “preliminary list” of candidate sites that might be considered of global importance is advisable before narrowing that list down to the sites that are most promising in terms of their potential to demonstrate Outstanding Universal Value.

The revision of a Tentative List also needs to include a reassessment of the sites that are already included on the list.

## Engaging and supporting the participation of stakeholders

As a first step in engagement, it is helpful to survey and compile a list of key stakeholders and rights-holders who are involved with a site. Engaged and informed stakeholders will help create a better Tentative List, and help support the long-term protection, conservation and management of individual candidate sites. Engagement also allows stakeholders and rights-holders the opportunity to raise any concerns they may have. Opportunities need to be provided as early in the process as possible to discuss the implications of a site being included on a Tentative List, or possibly being inscribed on the World Heritage List, and to allow any issues to be satisfactorily addressed *before* completion of the Tentative List process. Advice on managing expectations is provided in the “Proposing” section below.

Important information and advice is often held by people associated with each candidate site. In considering possible candidate sites, it is highly desirable that appropriate consideration is made of local, traditional and indigenous knowledge, and that the local situation regarding issues such as perception and resource use is well understood. As World Heritage nominations are more likely to succeed if key stakeholders are involved and participate, such participation should be a priority throughout the Tentative List process.

The *Operational Guidelines* strongly encourage the full, effective and gender-balanced participation of a wide variety of stakeholders and rights-holders. The range of contributors should reflect the range of values of each site, and ideally should include experts who have a sound understanding of the site in an international context: some States Parties revising their Tentative Lists have engaged external specialists in World Heritage as advisors. Contributors should include, as applicable, site owners and managers, researchers and academics, local communities, and indigenous peoples, as well national heritage agencies for both cultural and natural heritage, local and regional governments, universities, local businesses, tourism operators, non-governmental organizations, and other interested parties and partners. Guidance and tools for engaging communities in World Heritage activities are available at the following Web address: <https://whc.unesco.org/en/series/40/>. The input from governmental sectors other than heritage can also be highly useful and relevant. For instance, important marine protected areas can be under a different authority than terrestrial protected areas, but should equally be considered in the process.

In the case of sites affecting the lands, rights, territories or resources of indigenous peoples, the *Operational Guidelines* require that States Parties consult and cooperate in good faith with the indigenous peoples concerned through their own representative institutions in order to obtain their free, prior and informed consent before including the sites on their Tentative Lists. This is in line with the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) and the UNESCO policy on engaging with indigenous peoples (available at <https://en.unesco.org/indigenous-peoples/policy>). The *Operational Guidelines* encourage the engagement of indigenous peoples and local communities in many respects. An overview is available at <http://whc.unesco.org/en/activities/496/>.

## Who should be involved

The process of developing or revising a Tentative List is most effective when responsibility for preparing the List is expanded beyond specialists and governmental institutions to include a wider range of individuals and organizations who are given the opportunity to contribute their knowledge and understanding by means of consultations, meetings, interactive websites and other possible formats.

Such inclusive participation by local communities, indigenous peoples, governmental, non-governmental and private organizations, business sectors, resource users and other stakeholders and rights-holders will encourage a shared interest in and responsibility for the current and future conservation of the site – whether or not it is eventually inscribed on the World Heritage List.

Broad stakeholder support should therefore be sought throughout the process to ensure that any site identified as a potential World Heritage site has the support of those responsible for the site, in addition to the responsible governments, and that this support is based on a full understanding of the implications of a possible inscription.

To achieve this end, it is important to create a fair and transparent process for engaging key participants that will be respected by both stakeholders and the interested public, and enhance support for the outcomes of the Tentative List process. Expectations will need to be managed sensitively throughout this process.



### **Module 1: General or targeted capacity building on concepts (see page 50)**

## 2. Proposing



### Evaluating the national inventory in the context of World Heritage requirements

The transition of an inventory of sites that are of national significance into a list of sites that potentially demonstrate Outstanding Universal Value represents the fundamental challenge in creating a sound World Heritage Tentative List. Sites on the Tentative List should have the potential to be of “cultural and/or natural significance which is so exceptional as to transcend national boundaries and to be of common importance for present and future generations of all humanity” (paragraph 49 of the *Operational Guidelines*). National significance alone is not sufficient to justify inclusion on the Tentative List.

The World Heritage criteria are the principal tools by which sites on an inventory of national significance can be filtered down into a Tentative List of sites with potential global significance. States Parties must evaluate their national inventories through the lens of the ten World Heritage criteria to determine which sites might possibly meet this initial benchmark for inscription on the World Heritage List. Other assessments must be made to evaluate the potential of these sites to meet the requirements of the *Operational Guidelines* with respect to integrity (for both cultural and natural sites), authenticity (for cultural sites), protection and management. These are all discussed in the section on “Assessing” below.



#### Key messages

National inventories are essential sources of information about a State Party’s heritage, but need to be complemented with other sources and scientific knowledge to assess the potential global significance of sites.

National significance alone is not sufficient to justify inclusion on a Tentative List.

Inventoried heritage must be assessed through a World Heritage lens to determine its potential to satisfy the requirements for possible inscription on the World Heritage List.

### Proposing or soliciting candidate sites for the Tentative List

A number of States Parties have successfully used an approach whereby suggestions of sites for inclusion on their Tentative Lists are solicited from various site proponents, site owners/managers or the interested public. Other States Parties have requested or commissioned proposals from experts in fields relevant to the candidate sites. In both cases, using a thematic framework has proven helpful for a number of States Parties. The characteristics and capacity of the State Party will influence which approach, or combination of approaches, is most appropriate for proposing or soliciting suggestions of sites to include on its Tentative List (see Annex 3 for a selection of shared experiences). This decision, in turn, will determine what sort of structure will be used to propose or solicit applications.

An open, “bottom-up” process of soliciting proposals for the Tentative List, perhaps based on themes relevant to the State Party, could be put out for public consultation. The bottom-up approach has undoubted advantages, particularly in demonstrating local support for proposals and public engagement. It can also result in the emergence of some clear themes for the sites that are proposed for inclusion on the Tentative List. However, the bottom-up approach can also lead to an over-abundance of proposals likely to be unsuccessful, and to the deep disappointments that accompany their eventual rejection. It can also lead to a lack of nominations in other thematic areas where the State Party might be well placed to put forward sites.

On the other hand, a closed, “top-down” process based on analyses prepared by experts, rather than public input, can be a very efficient methodology, and can often claim a grounding in scientific rigour. Experience has shown, however, that a top-down approach frequently pays inadequate attention to local support and public engagement, two factors that figure strongly in terms of World Heritage objectives.

A combination of bottom-up and top-down approaches, while potentially complex, is another possibility. Whichever approach is chosen, States Parties are encouraged to give special attention to identifying notable sites within their territory that could ultimately contribute to a more representative and balanced World Heritage List. For instance, States Parties may wish to identify themes or topics that are relevant and specific to their heritage, with a view to enriching the list of the world’s most outstanding natural and cultural heritage.

Initially creating a longer “preliminary list” of sites may reveal opportunities that would otherwise be missed if the focus is too narrowly defined before a judgment is made on which sites should be put on the Tentative List in respect of their potential to justify Outstanding Universal Value.

A standardized application form can help achieve consistency and fairness in the selection process. It can also make the assessment of submissions easier, since comparable information will be provided for each candidate site. And finally, the information required in a standardized application form can serve as the basis for filling out the final “Tentative List Submission Format” for the sites that are selected to be included on the Tentative List (see “Submitting” below, and Annex 4).

Consideration will have to be given as to the total number of candidate sites the State Party wishes to include on its Tentative List. The number should be informed by the State Party’s internal capacity, and by the limitations on submitting new sites for inscription as outlined under paragraph 61.(a) of the Operational Guidelines.



## The benefits of developing a preliminary list of sites

In order to ensure that Tentative Lists have been subject to a rigorous process of selection, consideration needs to be given not only to the selection process but also to creating a longer initial or “preliminary” list of cultural, natural and mixed sites for consideration. In addition to providing sites from which can be chosen those that offer the best potential to justify Outstanding Universal Value, creating a preliminary list can also be an opportunity to add to an understanding of the scope of cultural heritage resources in a particular State Party.

Where do these sites for a preliminary list come from, how are they put forward, and what do they reflect?

There is no one set of answers to these questions, and many different approaches have been taken by States Parties. But if the outcome of the final selection process is to be credible, the preliminary list from which sites are selected also needs to have a basic credibility.

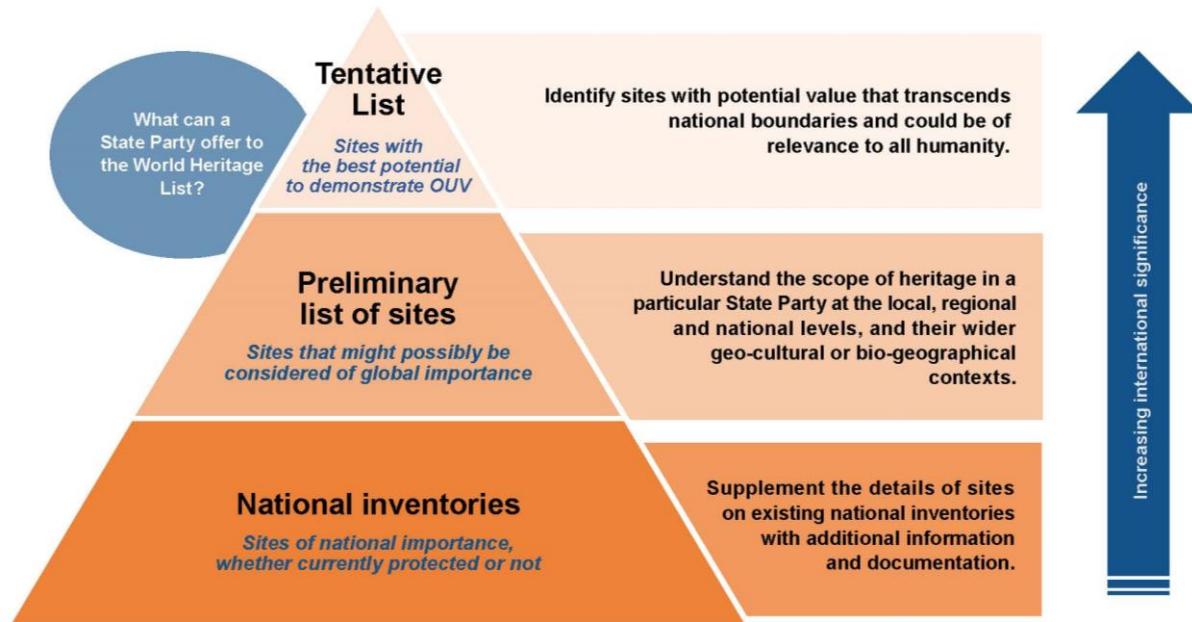
Ideally, a Tentative List should be a statement of what a specific State Party can offer to the World Heritage Convention. In other words, what heritage sites does a State Party have that are potentially globally exceptional and that other States Parties do not have, rather than sites that have strong similarities with what is already inscribed on the World Heritage List. At the same time, sites need to be seen as having more than national importance; and a unique site is not necessarily an outstanding site.

In order to identify sites that might fulfill both of these key requirements, what is needed – in addition to knowledge of the World Heritage Convention – is an understanding of the wider geo-cultural or bio-geographic context of the State Party concerned. Good starting points for creating a preliminary list of sites for discussion could include an investigation of how geological and ecological processes and the great sweeps of history shaped that area, or what developed in this location but nowhere else, or whether distinctive manifestations exist, or what cultural, natural and geographical/physical aspects have been better preserved in this specific area than elsewhere. Sites that may meet these benchmarks for a preliminary list may not have been identified previously as having national importance (see the Focus box on the “Differences between national value and Outstanding Universal Value,” p. 16).

The preliminary list might be suggested at a local level or a national level or at any level in between. Mechanisms need to be found to encourage wide, multi-disciplinary approaches to the identification of sites at all levels, since it is sometimes the case at the local level that people are too close to their heritage to fully appreciate its wider importance, while at national level, sites of national importance might assume a high priority, to the detriment of those at lower levels.

Creating such a preliminary list can allow for wide engagement and support of stakeholders, and while only some of these sites may be selected for the final official Tentative List, just being on the preliminary list can often lead to sites gaining a higher profile and attracting better protection.

## DEVELOPING A PRELIMINARY LIST OF SITES



Adapted from the World Heritage Resource Manual *Preparing World Heritage Nominations* (2011), p. 16.

### Managing expectations

Managing expectations can be a challenge when Tentative Lists are being developed or revised: there will be disappointment when some sites are not included in the final Tentative List; when candidate sites are included on the Tentative List despite the concerns of certain individuals or groups; when candidate sites are removed from the Tentative List during the regular process of review and revision; when candidate sites on the Tentative List are not nominated for inscription as quickly as some may wish; and so on.

Strategies should be developed to manage expectations before the Tentative List process progresses to the point where it may be seen in a negative light. One such strategy is to clearly communicate to the general public and to all proponents that one consistent selection process will be rigorously applied to all applications. This can be facilitated with a standardized application form that clearly spells out the information and level of detail required for a candidate site to be considered for inclusion on the Tentative List. Another strategy is to link the Tentative List process very clearly and closely to the obligations, expectations and limitations of the Convention, such as the essential focus on Outstanding Universal Value or the recommendations in the *Operational Guidelines* to revisit the Tentative List at least every ten years.



## Key message

Clear and consistent communication with all involved in the Tentative List process can help manage expectations and minimize disappointments by explaining the obligations and limitations of the Convention and its *Operational Guidelines*, and by rigorously applying a consistent selection process.



**Module 2: The process of developing or revising a Tentative List** (see page 50)



### 3. Assessing



#### Assessing the potential of candidate sites to demonstrate Outstanding Universal Value

A statement of Outstanding Universal Value encapsulates why a site is of importance to all humanity. The proposed justification for Outstanding Universal Value prepared by the State Party should summarize the main attributes that demonstrate the site's potential Outstanding Universal Value, and be written with careful reference to the *Operational Guidelines*. The site's integrity (for cultural and natural heritage), authenticity (for cultural heritage), management and protection are also part of the potential Outstanding Universal Value, and are discussed below.

Guidance on interpreting the ten criteria that are used to assess Outstanding Universal Value is available on pages 34-44 of the World Heritage Resource Manual *Preparing World Heritage Nominations* (2011), available at the following Web address: <http://whc.unesco.org/en/preparing-world-heritage-nominations>.

For more guidance on the six cultural criteria, see:

[http://www.icomos.org/publications/monuments\\_and\\_sites/16/pdf/Monuments\\_and\\_Sites\\_16\\_What\\_is\\_OUV.pdf](http://www.icomos.org/publications/monuments_and_sites/16/pdf/Monuments_and_Sites_16_What_is_OUV.pdf).

For more guidance on the four natural criteria, see:

<https://portals.iucn.org/library/node/10399> (terrestrial sites);

<https://portals.iucn.org/library/node/29196> (marine sites);

<https://portals.iucn.org/library/node/12797> (geological sites);

<https://portals.iucn.org/library/node/10424> (application of criterion (vii)).

It must be stressed that, in the context of the Upstream Process, the Advisory Bodies *cannot* express opinions on whether a site on a Tentative List demonstrates the proposed Outstanding Universal Value. The responsibility for determining the official positions of the Advisory Bodies rests exclusively with each Advisory Body's World Heritage Panel, which, after a comprehensive evaluation process following the submission of a nomination, decides the recommendation the Advisory Body will make to the World Heritage Committee in relation to Outstanding Universal Value. Furthermore, the intergovernmental World Heritage Committee is uniquely responsible for deciding whether a nominated property has Outstanding Universal Value and should be inscribed on the World Heritage List. It is also important to note that advice provided by the Advisory Bodies during the Tentative List process is without prejudice to this evaluation process and to the final decision of the World Heritage Committee as to whether a site should or should not be inscribed on the World Heritage List.

The following questions are provided to help identify aspects of a site that, in the context of its potential Outstanding Universal Value, could indicate it is a good candidate for inclusion on a Tentative List:



### Guiding questions about potential Outstanding Universal Value

- What makes this candidate site potentially globally outstanding within the context of the World Heritage Convention?
- What scientific evidence and data is available to assess the potential of the candidate site to be globally outstanding? What research is still needed?
- What is the relevant cultural and/or natural context or phenomenon in which the candidate site should be placed in order to understand its potential Outstanding Universal Value?
- Could this candidate site be considered to have potential Outstanding Universal Value for different or additional reasons than have been proposed (i.e., does it also have other cultural and/or natural values that could potentially meet other World Heritage criteria)?
- Does this candidate site have any issues or shortcomings related to its potential Outstanding Universal Value?
- What are the strengths and weaknesses of this candidate site, related to its potential Outstanding Universal Value?
- Would the values of the site be more appropriately recognized through other international designations (e.g., UNESCO Intangible Cultural Heritage, UNESCO Global Geoparks, UNESCO Biosphere Reserves, Ramsar wetlands, etc.) instead of World Heritage?

### Assessing the potential of candidate sites through a preliminary comparative analysis / study

To gain a general sense of the suitability of a candidate site for inclusion on the Tentative List it will be necessary to prepare a preliminary comparative analysis or study. A comparative analysis is intended to determine whether there is scope on the World Heritage List for the inclusion of a nominated property, and that there are no other sites with a similar combination of values and attributes elsewhere, including on other Tentative Lists. Comparisons should be drawn with sites of the same type and with similar values and attributes as the candidate site, and within a relevant geo-cultural area (cultural properties), or terrestrial or marine biogeographic realm, ecosystem type, global biodiversity hotspot, etc. (natural properties). It is important to note that a globally unique site is not necessarily a globally outstanding site within the meaning of the World Heritage Convention.

For a natural candidate site, comparisons might show that it can meet the conditions of integrity only if it is conceived as a transboundary or transnational serial site, or as a transnational serial extension of an existing World Heritage property.

At the stage of developing or revising a Tentative List, and acknowledging the challenge of preparing the comprehensive comparative analysis or study that will eventually be expected for a World Heritage nomination, a preliminary comparison of the candidate site could be limited to other similar sites already inscribed on the World Heritage List. If the site's potential Outstanding Universal Value and its attributes (the elements that express or convey that Outstanding Universal Value) are already well represented, the site may not be the best candidate for expanding the scope of the World Heritage List,

and thus not be the best candidate for inclusion on the Tentative List. Guidance on developing a comparative analysis is provided on pages 67-73 of the World Heritage Resource Manual *Preparing World Heritage Nominations* (2011), available at the following Web address: <http://whc.unesco.org/en/preparing-world-heritage-nominations/>.

Establishing an appropriate comparative framework is very important when assessing whether a site might have the potential to exhibit global significance. Some questions are provided here to help shape the comparison:



### Guiding questions about a comparative analysis / study

- What are the relevant comparative areas or themes, according to the potential Outstanding Universal Value expressed by the candidate site? For cultural sites, the geo-cultural area is usually defined as a particular region of the world, but may be worldwide; for natural sites, the themes considered and thus the areas considered will be global.
- What are the relevant scale levels for comparison? Are there other sites with similar values and attributes at the national, regional and global level?
- What are the parameters or factors that need to be taken into account in order to develop a relevant comparative analysis / study? These relate to the natural, historic and/or cultural contexts or phenomena in which the candidate site should be placed.
- Which other sites located within or outside the State Party might be fully comparable and therefore absolutely must be included in any comparative analysis / study concerning the candidate site?
- Which other sites located within the same comparative area have the same or a similar combination of values and attributes and therefore should be included in order to develop an appropriate and relevant comparative analysis?
- What makes the candidate site outstanding within the group of sites being compared?

## Assessing the potential of candidate sites to meet the conditions of integrity and authenticity

**Integrity**, in brief, relates to the completeness and intactness of the attributes that support the proposed Outstanding Universal Value, and to the absence of threats to them. **Authenticity** relates to the ability of the attributes within the candidate site to credibly and truthfully convey the proposed justification for Outstanding Universal Value. Authenticity applies only to cultural sites and to the cultural aspects of mixed cultural and natural sites. **Attributes** are the aspects (usually but not exclusively tangible) of a site that directly express or convey its proposed Outstanding Universal Value.

Integrity and authenticity are essential to demonstrate Outstanding Universal Value, and must be considered on an equal footing with justifying that a site meets one or more of the World Heritage criteria. Consequently, integrity and authenticity should be considered as carefully as possible at the Tentative List stage (and throughout the stages that might follow).

Assessing both integrity and authenticity consists of determining which attributes need to be included within the boundaries of the candidate site in order to fully understand and convey its potential Outstanding Universal Value, and, importantly, whether any important attributes are no longer

present. It is therefore advisable that the rationale supporting the potential Outstanding Universal Value is described as clearly as possible, together with its attributes, *before* the state of the candidate site's integrity and authenticity can be assessed.

Having a clear idea of the location of attributes will be a useful starting point when appropriate site boundaries (and buffer zone) are eventually delineated as part of a future nomination.

In terms of integrity, the wholeness and intactness of the candidate site need to be confirmed. Wholeness and intactness mean that all the necessary attributes are still present within the site, and that none of them have been lost or significantly damaged or decayed. In addition, none of the attributes should be threatened by development, deterioration or neglect. For cultural sites, the attributes should be in good condition, and the impact of deterioration processes controlled (see paragraph 89 of the *Operational Guidelines*). For natural sites, bio-physical processes and landform features should be relatively intact and assured of being maintained for the long term. A corresponding condition of integrity has been defined for each of the four natural criteria (see paragraphs 90 to 95 of the *Operational Guidelines*).

In terms of authenticity, the State Party will need to determine whether the relevant attributes that convey the potential Outstanding Universal Value of a cultural site (or the cultural aspects of a mixed site) do so "truthfully" (i.e., credibly, genuinely), and whether any change(s) to the relevant attribute(s) have resulted in a reduction or loss of the candidate site's ability to convey its Outstanding Universal Value in a meaningful way.

Integrity and authenticity are critical elements to demonstrate Outstanding Universal Value, and should therefore be considered as carefully as possible and practicable at this early Tentative List stage of the entire nomination process. Guidance on integrity, authenticity and attributes is provided on pages 61-67 of the World Heritage Resource Manual *Preparing World Heritage Nominations* (2011), available at the following Web address: <http://whc.unesco.org/en/preparing-world-heritage-nominations/>.

Some questions are presented here to guide this preliminary assessment of integrity and authenticity:



## Guiding questions about integrity and authenticity

### Integrity

- Which attributes need to be included within the boundaries of the candidate site in order to fully understand and express its potential Outstanding Universal Value? Are any important attributes no longer present?
- Is the candidate site an appropriate size and configuration to include all the attributes that may express Outstanding Universal Value? If these values and attributes are dispersed across different areas, does the candidate site include a finite series of component parts that may jointly demonstrate Outstanding Universal Value, but could not on their own?
- Are the attributes of the candidate site, including its physical fabric and/or its bio-physical processes and landform features, in good condition? Does the candidate site suffer from any adverse effects of development and/or neglect?
- Are there any issues or challenges that emerge when examining the wholeness and intactness of the attributes that convey the candidate site's potential Outstanding Universal Value, or in delineating boundaries in the future that will ensure the complete representation of the features and processes that convey the candidate site's significance?
- Have the *Operational Guidelines*' specific integrity condition for each natural criterion been taken into account for a candidate site that is being considered for its natural heritage values?

### Authenticity

- Which attributes are essential for conveying the potential Outstanding Universal Value of the candidate site, and how do they convey that potential Outstanding Universal Value?
- What type or degree of change to the relevant attribute(s) would cause the ability of the candidate site to convey its potential Outstanding Universal Value in a meaningful way to be reduced or lost?
- Are there any issues or challenges that emerge when identifying the relevant attributes that convey the candidate site's potential Outstanding Universal Value and examining whether they "truthfully" convey or express that value?

## Assessing the potential of candidate sites to meet the conditions of protection and management

Ideally, a candidate site for a Tentative List will be protected by the State Party's most effective long-term legislative, regulatory, institutional and/or traditional protection available in the site's jurisdiction and context. This can include protection under customary protection regimes, with the proviso that the protection of Outstanding Universal Value is first and foremost. If protective measures are not fully in place at the Tentative List stage, a description of the protective measures that will be afforded the site in the near future, based on paragraphs 96 to 102 of the *Operational Guidelines*, should be indicated. For a site to be inscribed on the World Heritage List, protection must have a special focus on the attributes that convey the potential Outstanding Universal Value.

At the Tentative List stage, States Parties are advised to evaluate the current management plan or system for each candidate site, if one exists, and to reflect on the challenges and opportunities that may exist to eventually meet the requirements of the *Operational Guidelines* (paragraphs 108 to 118) for properties being nominated for inscription on the World Heritage List. Specifically, for a site to be inscribed on the World Heritage List its management plan or system must focus primarily on the long-term protection and conservation of the attributes that support its Outstanding Universal Value.

Guidance on the general features of a heritage management system and its components can be found in Chapter 4 of the World Heritage Resource Manual *Managing Cultural World Heritage* (2013), available at the following Web address: <http://whc.unesco.org/en/managing-cultural-world-heritage/>.

For natural sites, on the basis of experience, the earlier the protection and management regime of a candidate site is aligned with the requirements of the *Operational Guidelines*, the better the outcome tends to be. In some cases, this can involve strengthening the protection and management of the site. IUCN's Protected Area Categories System can provide useful guidance in this regard (see <https://www.iucn.org/theme/protected-areas/about/protected-area-categories>).

Ultimately, management objectives must acknowledge the protection of the attributes that support the potential proposed Outstanding Universal Value as paramount, over and above any other objectives that may support multiple uses and other aims.

## Assessing the potential scope of boundaries for candidate sites

When a site is nominated for inscription on the World Heritage List, the State Party must demonstrate that its boundaries encompass all the attributes and features that convey its potential Outstanding Universal Value. In particular, the boundaries must encompass a complete and intact set of attributes necessary to meet the condition of integrity. For natural heritage sites, this condition has to be assessed under each selected criterion.

While it may be too early at the development stage of Tentative Lists to determine definitive site boundaries, some consideration should nevertheless be given to this aspect, for instance by identifying a scoping area that can be further refined and adjusted once the site's potential Outstanding Universal Value, and the attributes supporting that value, have been more clearly defined. A useful starting point for working out the most appropriate boundaries is to identify and then map the attributes that support the potential global significance of a candidate site. These preliminary boundaries will likely be adequate up to the point when the site is included on the Tentative List, keeping in mind that logical site boundaries, with an explicit rationale or explanation for their delineation, and an adequate buffer zone will eventually be required when a full nomination dossier for inscription on the World Heritage List is submitted.



### Scope and level of information

States Parties will have to determine what information – and how much information – is considered appropriate and instructive for candidate sites solicited or proposed for the Tentative List. Questions to be considered include:

- Should the applicants be permitted or requested to include supporting documentation?
- What level of refinement will be required of the preliminary comparative analysis / study?
- Does a management plan or documented management system need to be in place before sites can be included on the Tentative List?
- Will legal protection be required before sites can be included on the Tentative List?
- How should sites already on an existing Tentative List be treated during a revision of the Tentative List?

The information requested at the Tentative List stage of the process will be useful, even if it is less complete or detailed than would be expected in a fully developed nomination for inscription on the World Heritage List.

## **Fostering support for including a site on the Tentative List and the World Heritage List**

In order to assess the degree of support that exists for including a site on the Tentative List, the State Party should hold consultations with local communities, relevant stakeholders and rights-holders, in accordance with paragraph 64 of the *Operational Guidelines*. For sites with multiple landowners, such as urban complexes, the relevant governing jurisdiction(s) should be carefully examined.

Consultation and cooperation with indigenous people(s) should be prioritized if the site is located on the territory of indigenous people(s), inhabited by them, and/or in other ways important to them, or if their rights or resources may be affected. Their free, prior and informed consent is required, according to paragraphs 64 and 123 of the *Operational Guidelines*, before a site can be included on the Tentative List. Further relevant information and guidance can be found in the UNESCO policy on engaging with indigenous peoples, available at the following Web address: <https://en.unesco.org/indigenous-peoples/policy>. See also the outcomes of the 2012 International Expert Workshop on the World Heritage Convention and Indigenous Peoples (<https://whc.unesco.org/en/events/906/>) and other resources on rights-based approaches, such as the Our Common Dignity Initiative (<https://portals.iucn.org/library/node/46849>), the World Heritage and Sustainable Development policy (<https://whc.unesco.org/en/sustainabledevelopment/>), and The International Indigenous Peoples' Forum for World Heritage (<https://iipfwh.org/>).

An important consideration in the evaluation of properties being nominated to the World Heritage List is the involvement of local communities, including the support of key stakeholders. This is essential to ensure both an acceptance by local people and a clear flow of benefits to them, thereby building a culture of stewardship toward the site. Diverse types of site governance are increasingly being recognized at the World Heritage level, with successful models advocating strongly participatory approaches that empower local people in decision-making about a site and its management. A lack of stakeholder support can raise concerns about the viability of long-term management of a site, and greatly reduces the chances of being inscribed on the World Heritage List.



### **Key messages**

It is essential to determine a candidate site's attributes, features and processes, and to assess how, and how well, they express its potential Outstanding Universal Value.

Identifying and mapping potential attributes is an important first step in defining the scope of appropriate boundaries.

Identifying and involving key experts and institutions for both cultural and natural heritage, as well as key stakeholders and rights-holders, at the Tentative List stage is an important requirement that will also facilitate later steps in the nomination process.

A site must illustrate themes and values of significance to all humanity to be included on the Tentative List.

Preliminary comparative analyses or studies at the Tentative List stage are essential to identify sites that might exhibit potential global significance and thus become credible nominations.

Strengthening and expanding the protection of sites may be needed, including in their surrounding areas, in order to meet the protection and management requirements of the *Operational Guidelines*.

It is useful to anticipate any future actions that may be needed regarding a candidate site's planning, protection or management in view of a possible future nomination for inscription on the World Heritage List.



## 4. Harmonizing

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### Harmonizing the Tentative List with other Tentative Lists at the regional and thematic levels

In order to improve the collective ensemble of all Tentative Lists, States Parties are strongly encouraged to harmonize their Lists at regional and thematic levels. The process involves a number of States Parties collectively assessing their respective Tentative Lists, with the assistance of the Advisory Bodies and the World Heritage Centre if requested and subject to adequate resources, to review opportunities and identify common themes within their respective Tentative Lists (paragraph 73 of the *Operational Guidelines*). Harmonization should ideally occur before the Tentative List selection process is completed. Some specific experiences of States Parties in these regards are included in Annex 3.

Harmonization is an excellent tool for improving the quality of Tentative Lists. Moreover, it has considerable potential to encourage regional cooperation and fruitful dialogue among States Parties that are in the process of updating their Tentative Lists and preparing nominations, including possible transboundary or serial sites. In relation to the latter, all the identified component sites of the proposed series will have to be included on each participating State Party's Tentative List before a full nomination dossier for inscription on the World Heritage List can be submitted. The Tentative List submission format for transnational and transboundary nominations is found in Annex 2B of the *Operational Guidelines*.

Harmonization can also promote the updating of Tentative Lists in response to regional priority actions and regional World Heritage strategies. It may also lead to transboundary and transnational extensions of existing World Heritage properties. Finally, harmonization can promote respect for our common heritage and cultural diversity across national boundaries.



#### Key messages

Harmonizing Tentative Lists at the regional level is beneficial for all States Parties involved by:

- generating a fruitful discussion and analysis of the existing gaps and common issues in the region;
- promoting the updating of Tentative Lists according to regional priorities and thus contributing to a regional World Heritage strategy;
- for natural sites, identifying those that may meet the conditions of integrity only if they are conceived as transboundary or transnational serial sites, or transnational serial extensions;
- enhancing the integrity of existing sites through potential transboundary and transnational serial extensions.



#### Module 3: Preliminary input on a candidate site (see page 51)



## 5. Approving and Submitting



### Validating, adopting and submitting the Tentative List to the World Heritage Centre

Once a final selection is made of candidate sites that are potentially suitable for inclusion on a Tentative List (taking into account any harmonization with other States Parties' Tentative Lists), the draft list is presented to the State Party's final decision-maker(s), usually the national department or ministry responsible for natural and/or cultural heritage, for validation and official adoption at the national level.

The public and key constituents should be informed when the proposed Tentative List has been prepared by the State Party (see "Preparing a communication plan" below). Consideration should be given to posting the draft Tentative List for public consultation prior to its official adoption. After adoption, the State Party is then requested to submit the Tentative List to the World Heritage Centre using the "Tentative List Submission Format" or "Tentative List Submission Format for Transnational and Transboundary Future Nominations" available at the following Web address: <http://whc.unesco.org/en/tentativelists>. These forms summarize the names of the candidate sites, their geographical location, brief descriptions of the sites and preliminary justifications of their proposed Outstanding Universal Value. The information that was required for the standardized application form can serve as the basis for completing a final Tentative List Submission Format document for each candidate site. The sole responsibility for the content of each Tentative List lies with the State Party concerned.

Tentative Lists are not expected to be exhaustive of all possible sites, and may be submitted or updated at any time.

### Preparing a communication plan

Communicating information about the development or revision of a Tentative List to the general public, stakeholders, team members, etc., should not be left to chance. Developing and delivering a communication plan throughout the Tentative List process can keep the public and key constituents informed about its objectives and status. A communication plan team can prepare backgrounder, questions and answers, public notices, media releases and other communication vehicles. It may be useful to post information about the process and updates on a Web site.

A communication plan typically identifies the target audience, objectives, communication vehicles, frequency and setting for each component or stage of the plan. Tentative List projects require consultation with stakeholders and the public to provide them with the opportunity to ask questions, view plans, share their views, etc. In such consultations, it is useful to try to anticipate what perceptions, concerns or sensitivities these groups and individuals may have, and consequently what questions they might ask, in order to have some relevant facts and answers prepared in advance. A communication plan specialist is typically responsible for organizing and preparing for these consultations.



## **6. Reviewing**

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### **Updating the Tentative List on a regular basis**

The World Heritage Committee asks States Parties to review their Tentative Lists regularly to identify candidate sites that may possibly demonstrate Outstanding Universal Value. The recommended cycle for such re-examinations is no more than ten years.

Depending on the scope of the intended review, a similar process as has been described in this document could be used to review and update Tentative Lists. Alternatively, a less elaborate review could be appropriate if an existing Tentative List appears to respond well to the current *Operational Guidelines*. Some specific experiences of States Parties in these regards are included in Annex 3. Reviewing or updating Tentative Lists affords States Parties a regular opportunity to examine the richness of the cultural and natural heritage situated on their territories and to ensure its identification, protection, conservation, presentation and transmission to future generations, all while building and reinforcing relationships with stakeholders and rights-holders.

A periodic review, for instance on an annual or biennial basis, could be helpful, especially if combined with a formalized assessment at the national level of the readiness of the candidate sites to enter into the nomination stage, through a structured follow-up process, including requirements to be met and deadlines to be respected. In this way, Tentative Lists can become effective planning tools for nominations.

## In summary

For reference, the following table summarizes the key actions a State Party should consider when planning to develop a Tentative List or to undertake a review of its Tentative List that involves more than straightforward individual additions or removals. Steps in the Tentative List process are indicated, and a minimum duration for each phase is suggested, based on the experiences of States Parties, the World Heritage Centre and the Advisory Bodies.

In the right-hand column, three “modules” indicate the types of advice the Advisory Bodies may provide to a State Party. They are shown in relation to the steps and key actions in the process of developing or revising a Tentative List. These modules are explained in more detail on the pages that follow.



### Key messages

There is not one single approach to develop or revise a Tentative List. There are different approaches that depend on many factors related to the specific contexts in each State Party.

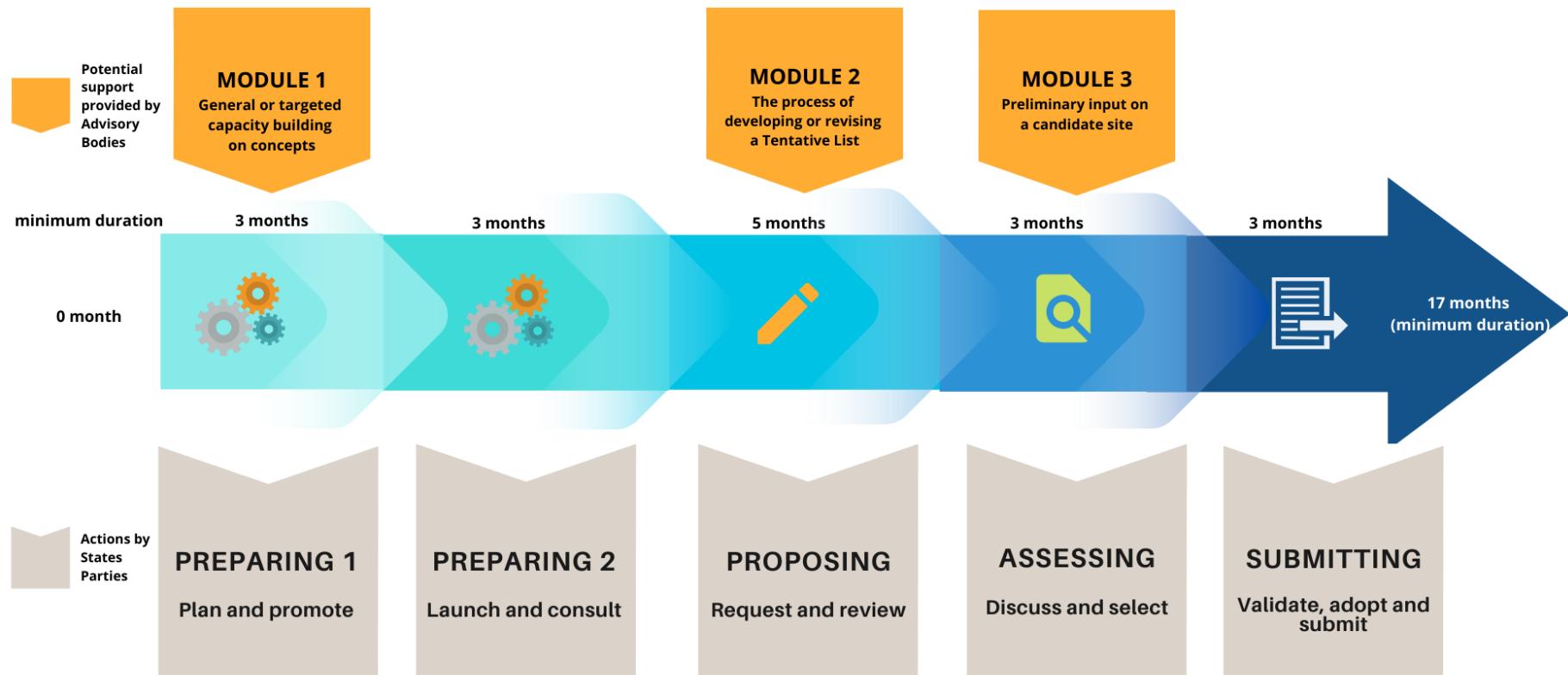
There are nevertheless essential components that underpin this process:

- thorough, scientifically based and well-researched information;
- a carefully planned, well-structured organizational scheme that includes both cultural and natural heritage expertise;
- wide consultation, inclusion of key stakeholders and encouragement of strong local support.

In general, Tentative Lists should respond to the priorities of the Committee’s Global Strategy for a Balanced, Representative and Credible World Heritage List and not promote the potential nomination of types of sites that are already well represented on the World Heritage List.

| STEP  | SUMMARY OF KEY ACTIONS BY STATES PARTIES  | MINIMUM DURATION | ADVICE BY ADVISORY BODIES   |
|---|---|------------------|---|
| <b>PREPARING 1</b><br><b>Plan and promote</b><br>            | Create Interdisciplinary Working Group; confirm project scope, process, schedule, roles and budget; [select Advisory Committee]; prepare communications products for launch; prepare application form   | 3 months         | <b>MODULE 1</b><br>General or targeted capacity building on concepts      |
| <b>PREPARING 2</b><br><b>Launch and consult</b><br>          | Public launch [and announce Advisory Committee]; hold meetings with heritage organizations to explain objectives and process  | 3 months         |   |
| <b>PROPOSING</b><br><b>Request and review</b><br>          | Propose or solicit submissions for Tentative List using a standard application form; respond to public queries; expert review of applications; [Advisory Committee meeting to review applications]  | 5 months         | <b>MODULE 2</b><br>The process of developing or revising a Tentative List |
| <b>ASSESSING</b><br><b>Discuss and select</b><br>          | Send follow-up questions to selected proponents [if requested by Advisory Committee]; undertake follow-up consultations with proponents [if requested by Advisory Committee]; consolidate information by Interdisciplinary Working Group; [meeting of Advisory Committee to draft a final recommendation] | 3 months         | <b>MODULE 3</b><br>Preliminary input on a candidate site                  |
| <b>SUBMITTING</b><br><b>Validate, adopt and submit</b><br> | Brief final decision-maker(s), who validate(s) the Tentative List; prepare communications materials; make public announcement and launch follow-up communications; provide feedback to stakeholders, and to applicants; transmit final Tentative List to World Heritage Centre                            | 3 months         |   |

## Revision of Tentative Lists and Support provided by the Advisory Bodies



# **Ways in Which the Advisory Bodies can be Involved in the Development and Revision of Tentative Lists**

The Advisory Bodies have a long record of providing a wide range of advice to States Parties on the development, revision and harmonization of Tentative Lists. While there is no “one-size-fits-all” approach, there are a number of standard formats that have proven effective in meeting the needs of States Parties. These formats fall into five general categories – workshops, expert meetings, desk reviews, site visits and reports – and are typically delivered by means of expert reviews, resource persons, workshop facilitators and guidance documents.

There are two different types of advice offered by the Advisory Bodies: **general advice** on developing or revising Tentative Lists; and **specific advice** on the merits of an individual candidate site being considered for inclusion on the Tentative List, or being considered for nomination. The latter advice is offered separately from advice provided on the overall Tentative List revision process. All are subject to the provision of sufficient resources.

## **General advice on developing and revising Tentative Lists (Modules 1 and 2)**

The Advisory Bodies and the World Heritage Centre can propose workshops or expert meetings to provide general advice on building capacity in the State Party related to World Heritage and Tentative List concepts, or on the revision process itself. Modules 1 and 2 can both be conducted at the regional level or the State Party level. Harmonization workshops related to Module 1 could be facilitated by capacity-building institutions granted the status of “Category 2 Centres under the auspices of UNESCO” and the World Heritage Centre.

### **General/Targeted Building Capacity Activity for Developing or Revising a Tentative List**

In order for the Advisory Bodies to provide timely and high-quality advice when assisting in the general process of revising a Tentative List (Module 2) or assessing the potential of an individual candidate site (Module 3; see below), a State Party’s participants should be knowledgeable about World Heritage concepts, including a basic understanding of the Tentative List process (Module 1).

### **The Process of Developing or Revising a Tentative List**

The Advisory Bodies can provide support to a State Party to clarify what needs to be achieved once the decision has been made to develop, revise or harmonize a Tentative List. This typically begins with guidance in gathering the available research and documentation, and advice about opportunities that may exist within the national inventory of cultural and natural heritage places. Offering a preliminary consideration on where potential international recognition lies in terms of themes and typologies could assist the process as well. Establishing and discussing a longer “preliminary list” of potential sites at the beginning of the process can result in having better quality candidate sites ultimately selected for the official Tentative List.

The full engagement of stakeholders, rights-holders and interested parties is a critical – and expected – activity when developing or revising Tentative Lists. The Advisory Bodies have the expertise and experience to advise States Parties on defining an engagement project’s scope, process, schedule and roles. The more stakeholders are involved, the more attention needs to be placed on a communication plan, and on managing expectations.

## **Specific advice on an individual candidate site (Module 3)**

The Advisory Bodies can also provide specific advice on an individual candidate site.

### **Preliminary Input on a Candidate Site**

Desk reviews and/or a site visit with a final report by the Advisory Bodies have proven to be practical mechanisms for providing preliminary input on an individual candidate site. The desk reviews and/or site visits draw on the expertise of international specialists in the relevant fields, and the report provides an analysis of strengths and weaknesses in order to indicate whether or not a candidate site appear to warrant further consideration for inclusion on the Tentative List.

The following table assembles into three “modules” the ways in which the Advisory Bodies and the World Heritage Centre can be involved in providing assistance to States Parties that are developing or revising their Tentative Lists. In each case, the most appropriate step(s) of the Tentative List process into which the module fits is indicated.

Upstream advice regarding Tentative Lists is provided in the full understanding that the responsibility for determining the official positions of the Advisory Bodies regarding the potential for inscription of any resulting nomination rests exclusively with each Advisory Body’s World Heritage Panel. These Panels operate within the established and transparent processes detailed in Annex 6 of the *Operational Guidelines*. They are independently responsible for determining the recommendations that the Advisory Bodies will ultimately make to the World Heritage Committee. Furthermore, the World Heritage Committee is uniquely responsible for deciding whether a nominated property will or will not be inscribed on the World Heritage List.

Upstream advice provided by the Advisory Bodies on the development or revision of Tentative Lists will be made available to their World Heritage Panel should any of the candidate properties discussed therein become the object of an Advisory Body evaluation in future nomination processes.

For subjects not covered in this document, the State Party is invited to inquire about assistance on a case-by-case basis from the World Heritage Centre or the Advisory Bodies.



# Outline of the upstream advice available From the Advisory Bodies

## General advice on developing or revising Tentative Lists

| <span style="color: #f0c080; font-size: 2em; border-radius: 50%; padding: 5px 10px; border: 1px solid black; margin-right: 10px;"></span> <b>MODULE 1: GENERAL OR TARGETED CAPACITY BUILDING ON CONCEPTS</b>      |  |               |  |
|---|--|---------------|--|
| <b>Focus</b>  | <b>Scope of the advice that can be provided</b>  | <b>Format</b> | <b>Step</b>  |
| <b>World Heritage Concepts</b><br><br>Getting Started   | <ul style="list-style-type: none"> <li>▪ The World Heritage Convention – history, objectives, World Heritage Committee, World Heritage Centre, Advisory Bodies</li> <li>▪ The <i>Operational Guidelines</i></li> <li>▪ Outstanding Universal Value (OUV)</li> <li>▪ A representative and balanced World Heritage List</li> <li>▪ Criteria for inscription</li> <li>▪ Authenticity and integrity</li> <li>▪ Protection and management</li> </ul>  | Workshop      | <b>PREPARING 1</b><br><br>  |
| <b>Tentative List Concepts</b><br><br>Setting up the Process  | <ul style="list-style-type: none"> <li>▪ Article 11.1 of the World Heritage Convention</li> <li>▪ Definition and position within the overall nomination process</li> <li>▪ Tentative List guidance in the <i>Operational Guidelines</i></li> <li>▪ Processes for the selection of candidate sites: general principles</li> <li>▪ Harmonization at the regional and thematic levels</li> <li>▪ Regular review of sites and the selection process</li> </ul>   | Workshop      | <b>PREPARING 1</b><br><br> |
| <span style="color: #f0c080; font-size: 2em; border-radius: 50%; padding: 5px 10px; border: 1px solid black; margin-right: 10px;"></span> <b>MODULE 2: THE PROCESS OF DEVELOPING OR REVISING A TENTATIVE LIST</b> |  |               |  |
| <b>Focus</b>  | <b>Scope of the advice that can be provided</b>  | <b>Format</b> | <b>Step</b>  |
| <b>Tentative List Concepts</b><br><br>Setting up the Process  | <ul style="list-style-type: none"> <li>▪ Article 11.1 of the World Heritage Convention</li> <li>▪ Definition and position within the overall nomination process</li> <li>▪ Tentative List guidance in the <i>Operational Guidelines</i></li> <li>▪ Processes for the selection of candidate sites: general principles</li> <li>▪ Harmonization at the regional and thematic levels</li> <li>▪ Regular review of sites and the selection process</li> </ul>   | Workshop      | <b>PROPOSING</b><br><br>  |
| <b>Preparing to Develop or Revise a Tentative List</b><br><br>Assisting Screening   | <ul style="list-style-type: none"> <li>▪ Organizing: what needs to be achieved?</li> <li>▪ Gathering documentation, support, resource opportunities and constraints</li> <li>▪ Reviewing the national inventory of cultural and natural heritage</li> <li>▪ Preliminary consideration of potential themes/typologies</li> <li>▪ Establishing a longer “preliminary list” of potential sites</li> <li>▪ Discussing Tentative List candidate sites for potential development into a full nomination</li> </ul> | Workshop      | <b>PROPOSING</b><br><br>  |
| <b>Engaging Stakeholders</b>  | <ul style="list-style-type: none"> <li>▪ Engagement process, scope, schedule and roles</li> <li>▪ National, state/provincial, municipal government representatives</li> <li>▪ Indigenous peoples and local communities</li> <li>▪ Non-governmental organizations</li> <li>▪ Interested parties and the general public</li> <li>▪ Communication plan and managing expectations</li> </ul>   | Workshop      | <b>PROPOSING</b><br><br>  |

## Specific advice on an individual candidate site

| <span style="color: #0070C0; font-size: 2em;">?</span> <b>MODULE 3: PRELIMINARY INPUT ON A CANDIDATE SITE</b> |  |                            |  |
|---|--|----------------------------|--|
| <b>Focus</b>  | <b>Scope of the advice that can be provided</b>  | <b>Format</b>              | <b>Step</b>  |
| <b>Preliminary Input on a Candidate Site</b><br><br>Assessing Potential                                       | <ul style="list-style-type: none"> <li>▪ Assessing the potential to demonstrate OUV</li> <li>▪ Assessing the potential to meet the conditions of integrity and authenticity</li> <li>▪ Developing a preliminary comparative analysis / study</li> <li>▪ General methodological questions</li> <li>▪ Conclusions and recommendations – candidate sites that appear to warrant further consideration; or that need further analytical work or greater clarity; or that do not appear to warrant further consideration for Tentative Listing</li> </ul> | Desk Reviews<br>Site visit | ASSESSING<br> |



# Annex 1: The Upstream Process

## Upstream Process Request Format

To facilitate requests for upstream assistance, an “Upstream Process Request Format” has been included in the *Operational Guidelines for the Implementation of the World Heritage Convention* as Annex 15. This form requires the State Party to identify the object of the advice (which can include the development, revision or harmonization of Tentative Lists and a potential future nomination), a brief description, the expected timeframe for the Upstream Process, whether a site visit is thought necessary, and the availability of funds to implement the request. The form is available at the following Web address: <https://whc.unesco.org/en/upstreamprocess/>.

## Prioritization system for the provision of upstream advice

By means of Decision 41 COM 9A (Krakow, 2017, <https://whc.unesco.org/en/decisions/6931/>), the World Heritage Committee requires Upstream Process requests to be reviewed and prioritized twice a year, with deadlines for submission to the World Heritage Centre on 31 March and 31 October. Priority for preparation or revision of Tentative Lists is given to Least Developed Countries, Low-Income and Lower-Middle Income Countries, and Small Island Developing States.

In order to ensure a fairer and more equitable use of the resources available, whether in terms of funds or staff, the World Heritage Committee further decided to apply the prioritization system established by the mechanism of Paragraph 61.(c) of the *Operational Guidelines* in conjunction with the criteria of eligibility for receiving financial support for the provision of upstream advice. The World Heritage Centre can assist States Parties in interpreting Paragraph 61.(c) in the context of requests associated with Tentative Lists.

## International Assistance

The World Heritage Convention provides assistance to States Parties for the protection of the world cultural and natural heritage located on their territories and inscribed or potentially suitable for inscription on the World Heritage List. According to the *Operational Guidelines* (Chapter VII.C), this “International Assistance” should be seen as supplementary to national efforts for the conservation and management of World Heritage properties and Tentative List sites, when adequate resources cannot be secured at the national level.

The World Heritage Committee coordinates and allocates types of International Assistance in response to State Party requests. The “International Assistance Request Form” is Annex 8 of the *Operational Guidelines*. For reference, the “Evaluation Criteria for International Assistance Requests” is Annex 9 of the *Operational Guidelines*. The process for submitting a preparatory assistance request is described at the following Web address: <https://whc.unesco.org/en/intassistance/#preparatory>.



## Annex 2: Tentative List Guidance in the Operational Guidelines (2019)

### II.C Tentative Lists

#### Procedure and Format

62. A Tentative List is an inventory of those properties situated on its territory which each State Party considers suitable for nomination to the World Heritage List. States Parties should therefore include, in their Tentative Lists, details of those properties which they consider to be of potential Outstanding Universal Value and which they intend to nominate during the following years.
63. Nominations to the World Heritage List are not considered unless the nominated property has already been included on the State Party's Tentative List.
64. States Parties are encouraged to prepare their Tentative Lists with the full, effective and gender-balanced participation of a wide variety of stakeholders and rights-holders, including site managers, local and regional governments, local communities, indigenous peoples, NGOs and other interested parties and partners. In the case of sites affecting the lands, territories or resources of indigenous peoples, States Parties shall consult and cooperate in good faith with the indigenous peoples concerned through their own representative institutions in order to obtain their free, prior and informed consent before including the sites on their Tentative List.
65. States Parties shall submit Tentative Lists to the Secretariat, at least one year prior to the submission of any nomination. States Parties are encouraged to re-examine and re-submit their Tentative List at least every ten years.
66. States Parties are requested to submit their Tentative Lists in English or French using the standard formats in Annex 2A and Annex 2B (for transnational and transboundary future nominations), containing the name of the properties, their geographical location, a brief description of the properties, and justification of their Outstanding Universal Value.
67. The original duly signed version of the completed Tentative List shall be submitted by the State Party, to:

#### **UNESCO World Heritage Centre**

7, place de Fontenoy  
75352 Paris 07 SP  
France  
Tel: +33 (0)1 45 68 11 04  
E-mail: [wh-tentativelists@unesco.org](mailto:wh-tentativelists@unesco.org)

68. Upon reception of the Tentative Lists from the States Parties, the World Heritage Centre checks for compliance of the documentation with Annex 2. If the documentation is not considered in compliance with Annex 2, the World Heritage Centre refers it back to the State Party. When all information has been provided, the Tentative List is registered by the Secretariat and transmitted to the relevant Advisory Bodies for information. A summary of all Tentative Lists is presented annually to the Committee. The Secretariat, in consultation with the States Parties concerned, updates its records, in particular by removing from the Tentative Lists the inscribed properties and nominated properties which were not inscribed.

The Tentative Lists of States Parties are published by the World Heritage Centre on its website and/or in working documents in order to ensure transparency, access to information and to facilitate harmonization of Tentative Lists at regional and thematic levels.

The sole responsibility for the content of each Tentative List lies with the State Party concerned. The publication of the Tentative Lists does not imply the expression of any opinion whatsoever of the World Heritage Committee or of the World Heritage Centre or of the Secretariat of UNESCO concerning the legal status of any country, territory, city or area or of its boundaries.

69. The Tentative Lists of States Parties are available at: <https://whc.unesco.org/en/tentativelists>

#### **Tentative Lists as a planning and evaluation tool**

70. Tentative Lists are a useful and important planning tool for States Parties, the World Heritage Committee, the Secretariat, and the Advisory Bodies, as they provide an indication of future nominations.
71. Tentative Lists should be established selectively and on the basis of evidence that supports potential Outstanding Universal Value. States Parties are encouraged to consult the analyses of both the World Heritage List and Tentative Lists prepared at the request of the Committee by ICOMOS and IUCN to identify the gaps in the World Heritage List. These analyses could enable States Parties to compare themes, regions, geo-cultural groupings and bio-geographic provinces for prospective World Heritage properties. States Parties are encouraged to seek as early as possible upstream advice from the Advisory Bodies during the development of their Tentative Lists as appropriate.
72. In addition, States Parties are encouraged to consult the specific thematic studies carried out by the Advisory Bodies (see paragraph 147). These studies are informed by a review of the Tentative Lists submitted by States Parties and by reports of meetings on the harmonization of Tentative Lists, as well as by other technical studies performed by the Advisory Bodies and qualified organizations and individuals. A list of studies already completed is available at: <https://whc.unesco.org/en/globalstrategy>.
73. States Parties are encouraged to harmonize their Tentative Lists at regional and thematic levels. Harmonization of Tentative Lists is the process whereby States Parties, with the assistance of the Advisory Bodies, collectively assess their respective Tentative List to review gaps and identify common themes. The harmonization has considerable potential to generate fruitful dialogue between States Parties and different cultural communities, promoting respect for common heritage and cultural diversity and can result in improved Tentative Lists, new nominations from States Parties and cooperation amongst groups of States Parties in the preparation of nominations.

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

74. To implement the Global Strategy, cooperative efforts in capacity building and training for diverse groups of beneficiaries may be necessary to assist States Parties in acquiring and/or consolidating expertise in the preparation, updating and harmonization of their Tentative List and the preparation of nominations.
75. International Assistance may be requested by States Parties for the purpose of preparing, updating and harmonizing Tentative Lists (see Chapter VII).
76. The Advisory Bodies and the Secretariat will use the opportunity of evaluation missions to hold regional training workshops to assist under-represented States in the methods of preparation of their Tentative List and nominations.

## Annex 3: Shared Experiences in Revising Tentative Lists

In order to ensure that this guidance document reflects an understanding of how Tentative Lists are currently being developed and revised, and how this process might be improved, a questionnaire seeking recent experiences was sent to a number of States Parties. The responses were analyzed, and a question-by-question synthesis is presented in this annex.

The summary below has benefitted greatly from the participation of the States Parties of Algeria, Angola, Canada, Cabo Verde, Ecuador, El Salvador, Finland, Georgia, Hungary, Japan, Lebanon, Netherlands, Paraguay, Peru, Republic of Korea, United Kingdom of Great Britain and Northern Ireland, and United States of America.

The responses received from the States Parties have been organized according to the main headings of this guidance document.

### **1. Please highlight the key elements in this process which were essential to build a credible outcome.**

#### **PREPARING**

##### **Getting organized to develop or revise a Tentative List**

A number of States Parties underline the usefulness of establishing a multidisciplinary team that comprises different expertise for the evaluation of the sites being considered for the Tentative List.

Several respondents find it beneficial to ensure the involvement of professionals and academic experts with appropriate expertise in a variety of fields through the establishment of an independent advisory committee as a support to state and ministerial institutions. Careful consideration was given to the profiles of the professionals involved.

Some States Parties underline the importance of having dedicated and funded staff to support the decision-making body responsible for selecting the sites to be included on the Tentative List, as well as the possibility of them supporting communications and being available to applicants to answer questions during the process.

A number of States Parties also appreciated the cooperation with Category 2 centres, the World Heritage Centre and the Advisory Bodies to support national capacities during the process itself.

##### **Assembling research and documentation / Reviewing existing lists, studies, and analyses**

Some States Parties report that having an official national inventory of protected sites of both natural and cultural importance provides a large pool from which potential Tentative List candidate sites can be drawn. Some States Parties also report the benefit of having collected and compiled a list of possible candidate sites suggested by the public and stakeholders over a number of years.

States Parties consider it useful to provide applicants and reviewers some guidance in advance – gap analyses, themes and background studies, for instance – as well as to prepare priority categories or

topic areas in which the State Party might make a unique contribution to improving the representativeness of the World Heritage List.

## **PROPOSING**

### **Proposing or soliciting candidate sites for the Tentative List**

A number of States Parties highlight the importance of ensuring the involvement of national and local authorities, local communities, site managers and non-governmental organizations in the Tentative List process.

In terms of soliciting applications, some States Parties apply a bottom-up approach at the level of local governments to feed into the Tentative List process. This can include an invitation open to all, enabling community participation and engagement. A dedicated website to allow anyone to propose applications for the Tentative List is considered helpful.

Clear information sheets and guidelines shared with applicants and the use of an application format that mirrors the nomination format but “in miniature” are considered to be practical tools.

Some States Parties point out the need to grant sufficient time to the responsible body or team to review applications and to undertake public consultations on all the submitted applications. A number of States Parties highlight that it is useful not to add more than 10 new sites to an existing Tentative List.

## **ASSESSING**

Some States Parties highlight the following aspects to ensure a robust selection of potential Tentative List candidate sites during the assessment of applications:

- screening the candidate sites strictly against World Heritage requirements;
- using local expertise to identify sites that could justify potential Outstanding Universal Value;
- ensuring balance and representativeness in the choice of sites;
- maintaining flexibility in relation to transnational nominations.

A number of States Parties recommend considering only those candidate sites whose protection and management is guaranteed, or only sites that have been officially deemed of national significance.

### **Quotation:**

“The selection of national and international professionals, academics and specialists, coming from universities and national and local institutions, public and private sectors, with an outstanding trajectory in the different disciplines of cultural and natural heritage, was key for the final determination of the properties to be included on our Tentative List, considering the diversity of the national heritage and its representation in the under-represented categories on the World Heritage List.”

## **2. Describe briefly whether unexpected difficulties happened during the revision process, and if so, how these were addressed.**

### **PREPARING**

#### **Understanding the essential World Heritage concepts**

A number of States Parties state that a lack of adequate training in World Heritage concepts and in the preparation of Tentative Lists and nomination dossiers by the professionals involved in the process was a challenge. Lack of information for local communities and site managers on the obligations and responsibilities required of potential inscription on the World Heritage List was also raised.

Another difficulty relates to the conceptual shift applicants must make when moving beyond local and/or national values of their site to potential Outstanding Universal Value.

#### **Getting organized to develop or revise a Tentative List**

Some States Parties underline the difficulty of designing a process for an exercise that is undertaken only once a decade. The possibility of receiving an unmanageable number of applications was also noted, as well as the question of whether relevant interest groups are sufficiently engaged.

The challenge of managing a process that has to accommodate, mediate and reconcile both the scientific and political spheres is pointed out.

Another challenge noted is that changes in government can have impacts on the timeline and process of developing or revising a Tentative List.

#### **Engaging and supporting the participation of stakeholders**

In relation to engaging relevant stakeholders, some States Parties note as an issue the lack of interest of local governments in supporting the process of reviewing and assessing the candidate sites located in their jurisdictions.

Conflicting interests between the conservation of heritage and development strategies, including tourism development, can be an obstacle to including a site on the Tentative List.

States Parties favour ensuring that the Tentative List process is transparent and appealing to the public. This requires translating abstract concepts and language into accessible and comprehensive communications while not diluting key concepts.

### **PROPOSING**

#### **Evaluating the national inventory in the context of World Heritage requirements**

Incomplete nation-wide inventories of heritage are noted by States Parties as a difficulty when developing or revising a Tentative List.

#### **Managing expectations**

Some States Parties mention that the process of soliciting applications had the effect of creating a significant political interest, raising expectations that candidate sites would be included on the Tentative List, while only a limited number could ultimately be included.

## **ASSESSING**

Some States Parties mention as a difficulty the fact that some applications did not fully articulate their potential for Outstanding Universal Value and had to be further revised to present a more appropriate case for Outstanding Universal Value.

States Parties raise the issue of over-representation of certain categories of heritage among the potential candidate sites.

The difficulty of preparing a comparative analysis and the lack of adequate legislative mechanisms in place for the potential candidate sites are underlined as well.

An issue for some States Parties is how to group individual candidate sites when considering serial nominations.

### **Quotations:**

“At the beginning, one challenge we encountered was the lack of interest of local governments to support the process of review and evaluation of the sites in their localities. We addressed this challenge by holding meetings with key actors and the National Directorate. At these meetings, our objective was to raise awareness of the importance of their participation and contribution to the construction of knowledge of each site.”

“The approach of soliciting [candidate sites] created a large concern, which caused the quality of applications to vary widely and an enormous political interest to occur.”

“It was felt that with a revision taking place once every 10 years, the potential for some transnational serial nominations might be inadvertently restricted, so provision was made for additions to be made to the Tentative List between reviews for such nominations, subject to strict conditions.”

**3. As you know, States Parties are encouraged to harmonize their Tentative Lists at regional and thematic levels (see para. 73 of the *Operational Guidelines*). Was a step planned to enable the harmonization of Tentative Lists at a regional (multi-country) level during the revision process? If so, please briefly explain how it was carried out.**

Harmonizing Tentative Lists at regional and thematic levels does not seem to have been implemented very often by States Parties, according to the few answers received on this question.

Difficulties encountered by some States Parties when trying to harmonize their Tentative Lists at a regional level include achieving a consensus among them all, especially in relation to the different approaches of each concerning the types of sites, their values and the World Heritage criteria that could be applied. Challenges also lie in the political situation and sensitivities related to the notion of common heritage and national identities, which could create difficult ground for discussions on the harmonization of Tentative Lists at a regional level.

Some States Parties share their experiences on how they undertook strategic reflections on harmonizing Tentative Lists with other States Parties from the same region, including on a thematic level. Workshops seem to be the method most used to discuss harmonization, with international experts joining at the very beginning of the project, and government representatives from local municipalities at a later stage. Other States Parties are presently considering holding workshops for future discussions on revising and harmonizing their Tentative Lists at a regional level.

Many States Parties explain that discussions about harmonization often arise only when a future serial nomination project is conceived: one State Party raises the idea, undertakes research on the area(s) and theme(s) of the project, and then consults with other States Parties in the region to determine (or promote) the feasibility of a serial nomination.

Only two States Parties mention close collaboration in harmonizing their Tentative Lists, achieved by organizing regional expert meetings, discussing comparable properties and sharing best practices and experiences.

In conclusion, it seems that harmonizing Tentative Lists at the regional and thematic levels is a step that many States Parties recognize as being important, but that little action in this regard has been undertaken.

**4. Please briefly describe whether the approach you adopted for your most recent Tentative List revision differed from revision exercises carried out in the past. If it did differ, please explain how. Do you envisage changing the most recently used approach for the next revision exercise? If so, how do you intend to change it, and why?**

The responses to this question vary greatly from one State Party to another. All States Parties have taken into account the experiences gained from previous Tentative List revision exercises when undertaking the next exercise. For some States Parties no previous exercise was carried out, and for others it is too early to say what changes could be implemented in the future, as the next revision will not take place until about a decade from now.

In terms of improvements adopted for the most recent Tentative List revisions, the following can be highlighted:

- enhancing awareness of national expertise, professional audience and stakeholders towards the general principles of the World Heritage Convention in advance of completing an update of the Tentative List;
- ensuring a balance between natural and cultural candidate sites, thereby creating a thematic balance and greater territorial representativeness in the choices made;
- ensuring that the revision process is conducted within a reasonable period of time;
- ensuring and strengthening the participation of a wider, more complete and more effective gender-balanced range of stakeholders and rights-holders representing many more institutions;
- augmenting the application format to require more detailed information;
- changing the approach from “top down,” with national government or non-governmental experts selecting candidate sites, to “bottom up” by soliciting applications from local authorities and communities;
- changing the approach from a Tentative List developed on the basis of applications, which required owner consent as a starting point, to an expert-driven process to first identify the best candidate sites;
- reflecting on whether it may or may not be possible to bring forward further proposals representing certain categories of heritage that are already well represented on the World Heritage List.

Some States Parties highlight on-going work on the sites already included on their Tentative Lists as regards the future preparation of nomination dossiers, such as the improvement of protection and management systems and monitoring.

**Quotations:**

“There is no standard or required process for developing a Tentative List in our country.”

“The overall approach to the revision is likely to be one of evolutionary change, while retaining processes that worked effectively previously.”

“It is likely that there will be a strong emphasis on places that have the potential not only to demonstrate Outstanding Universal Value, but which also help to fill gaps in the World Heritage List. Places aspiring to a place on the revised Tentative List will need to demonstrate a very clear commitment to protection and management and to the provision of the resources necessary to implement this commitment fully, in line with the requirements of the Convention.”

**5. Have you considered the possibility of putting forward an Upstream Process request for the preparation/ revision of your national Tentative List?**

Requesting upstream advice within the framework of revising a Tentative List is considered useful by many States Parties. Some have previously benefited from Advisory Body advice through this process, and acknowledge that the advice provided for the revision and the selection of the most promising sites for inclusion on the Tentative List was helpful.

Many States Parties currently applying for upstream assistance highlight the delay in addressing their requests due to the large number of requests received by the World Heritage Centre.

Most States Parties that have considered requesting upstream advice for revising their Tentative Lists have not yet applied, but may do so in the near future.

Of the States Parties that have not applied for upstream advice, some explain that there is enough capacity at the national level to undertake the revision process without the assistance of the Advisory Bodies. One State Party mentions that professionals at the national level were trained earlier by the Advisory Bodies, hence upstream advice was not needed.

Providing upstream advice for revising Tentative Lists is considered by many States Parties to be useful in helping to build capacities at the national and local levels, and in providing guidance in the selection of sites with potential for World Heritage recognition. The number of States Parties applying to receive upstream assistance, and the ones considering to apply in the future, reflect the increasing importance given by States Parties to the Upstream Process in revising their Tentative Lists.

**Quotations:**

“An Upstream Process request for the preparation/revision of our National Tentative List is needed because it can help in building capacities.”

“As a State Party, we consider that it is very important to receive ... the specialized support of the experts to aid in the revision [and] to maximize the quality of the documentation to be presented and the outcome of the project.”

## **6. Please provide any practical advice you would like to share with other States Parties.**

Considerable practical advice is provided in the responses from States Parties, such as:

- Establish a specific unit or committee at the ministerial level that is responsible for the implementation of the World Heritage Convention at the national level driving effective activities.
- Carefully select the national technical team to carry out the Tentative List revision process and identify specialists with confirmed and relevant professional experience in order to achieve a good result. It is not a question of quantity, but of professional expertise and interdisciplinary capacity.
- Involve local communities in the identification of sites for the Tentative List as a priority. It is important to raise their awareness in terms of the World Heritage Convention and to work jointly with local actors.
- Involve key stakeholders at the Tentative List stage, which is key for the conservation of the site and the future development of nomination dossiers. These include local and regional governmental institutions, non-governmental organizations, local communities, and government agencies responsible for cultural and natural heritage, nature conservation, regional planning and tourism.
- Ensure continuous communication and monitoring with relevant management bodies after a site has been included on the Tentative List.
- Before including sites on the Tentative List, screen all candidates to determine the most suitable and effective international designation and protection, according to the specificities of each site.
- National governments are better positioned than local or regional governments to take the initiative for candidate sites related to potential serial nominations whose components are located in different regions.

### **Quotations:**

“Establishing a national inventory of both natural and cultural properties recognized for their national importance from which to draw is key. Also, comprehensively revising the Tentative List on a regular schedule, such as every decade, allows for a fair and transparent process which stakeholders will respect. The project’s success was in part due to careful advance planning and inclusion of key stakeholders to enhance support for the outcomes.”

“Allow time and resources for this process! It will pay off to have a sound selection of strong Tentative List sites well into the future.”

“It is difficult to be critical of your own Tentative List sites, for numerous reasons. If you want to make a strong list, with little chance of problems during the UNESCO evaluations, be stringent.”

## Annex 4: Application Form Examples



### UK Tentative List of Potential Sites for World Heritage Nomination: Application form

Please save the application to your computer, fill in and email to:  
[UKTL.Application@culture.gsi.gov.uk](mailto:UKTL.Application@culture.gsi.gov.uk)

The application form should be completed using the boxes provided under each question, and, where possible, within the word limit indicated.

Please read the Information Sheets before completing the application form. It is also essential to refer to the accompanying Guidance Note for help with each question, and to the relevant paragraphs of UNESCO's *Operational Guidelines for the Implementation of the World Heritage Convention (OG)* available at:  
<http://whc.unesco.org/en/guidelines>

Applicants should provide only the information requested at this stage. Further information may be sought in due course.

#### (1) Name of Proposed World Heritage Site

#### (2) Geographical Location

Name of country/region

Grid reference to centre of site

Please enclose a map preferably A4-size, a plan of the site, and 6 photographs, preferably electronically.

### **(3) Type of Site**

Please indicate category:

Natural  Cultural  Mixed  Cultural Landscape

### **(4) Description**

Please provide a brief description of the proposed site, including the physical characteristics. 200 words

### **(5) History**

Please provide a short summary statement of any significant events in the history of the site. 200 words

**(6) Why do you think this site should be inscribed as a World Heritage Site?**  
Give reasons. 200 words

**(7) Please say why the site has Outstanding Universal Value and specify the main features which underpin its importance.** 200 words

**(8) Outstanding Universal Value**

Please state which of the 10 UNESCO criteria for Outstanding Universal Value the proposed site meets, and describe briefly why the criteria were chosen. Please see criteria note at the end of the form.

| <b>UNESCO criterion</b> | <input checked="" type="checkbox"/> | <b>Why was this criterion chosen?</b> 100 words |
|-------------------------|-------------------------------------|---|
| (i)                     | <input type="checkbox"/>            |   |
| (ii)                    | <input type="checkbox"/>            |   |
| (iii)                   | <input type="checkbox"/>            |   |
| (iv)                    | <input type="checkbox"/>            |   |

| <b>UNESCO criterion</b> | <input checked="" type="checkbox"/> | <b>Why was this criterion chosen? 100 words</b> |
|-------------------------|-------------------------------------|---|
| (v)                     | <input type="checkbox"/>            |   |
| (vi)                    | <input type="checkbox"/>            |   |
| (vii)                   | <input type="checkbox"/>            |   |
| (viii)                  | <input type="checkbox"/>            |   |
| (ix)                    | <input type="checkbox"/>            |   |
| (x)                     | <input type="checkbox"/>            |   |

#### **(9) Authenticity (for cultural or mixed sites only)**

Authenticity concerns the current state of conservation of a cultural or mixed site; especially whether its importance, its Outstanding Universal Value, is still obvious from its physical condition. Please outline the condition of the site. 200 words

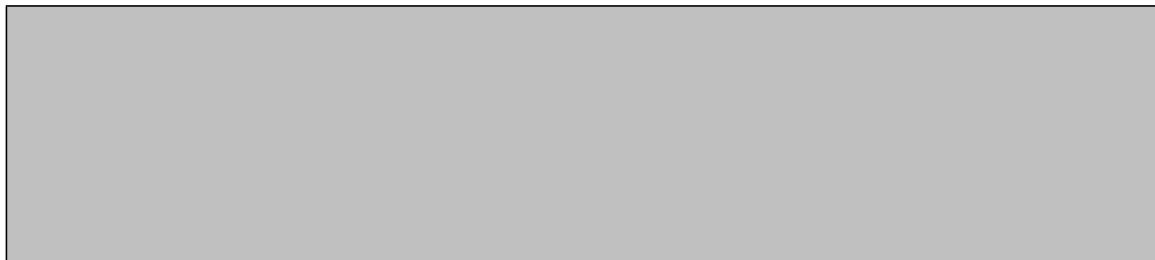
#### **(10) Integrity**

For cultural or mixed sites, please state how much original fabric is included in the proposed site, and its condition. For guidance on how the test of integrity is met for natural sites under criteria (vii) – (x), please refer to the OG 90-94. Information Sheet 6 also provides help on this point. 200 words

**(11) Are there other examples of this kind of site already on the World Heritage List?**

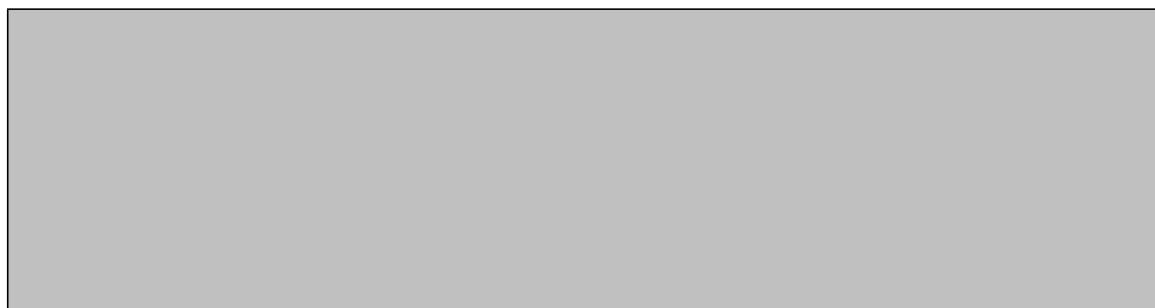
Yes  No

If yes, please list. 100 words



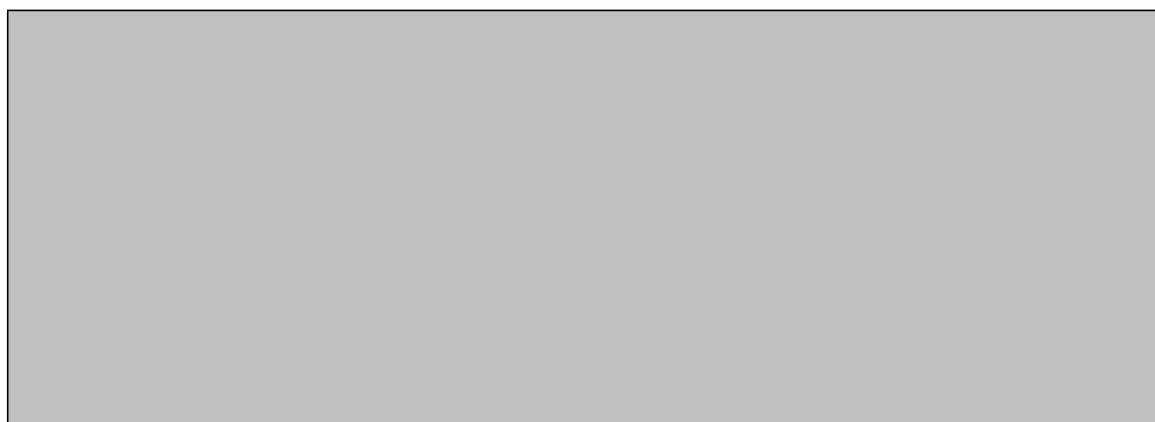
**(12) What distinguishes this site from other similar sites?**

150 words



**(13) How does the site contribute to meeting UNESCO's priorities for a balanced World Heritage List?**

200 words



**(14) What benefits do you think World Heritage Site inscription would bring?**

Please indicate the main opportunities and benefits.

|              |                          |            |                          |                |                          |
|--------------|--------------------------|------------|--------------------------|----------------|--------------------------|
| Education    | <input type="checkbox"/> | Tourism    | <input type="checkbox"/> | Regeneration   | <input type="checkbox"/> |
| Conservation | <input type="checkbox"/> | Protection | <input type="checkbox"/> | Other benefits | <input type="checkbox"/> |

Please describe. 100 words.

**(15) Are there any known threats to the proposed World Heritage Site?**

Yes  No

Please indicate any proposed developments, or other potential impacts on the site.

| Impact        | <input checked="" type="checkbox"/> | Please describe. 100 words for each issue. |
|---------------|-------------------------------------|--|
| Development   | <input type="checkbox"/>            |  |
| Environmental | <input type="checkbox"/>            |  |
| Other         | <input type="checkbox"/>            |  |

### **(16) Legal Protection**

Please list any legal and other protections, including cultural and natural designations, which cover the whole or part of the proposed site. 200 words

### **(17) Ownership**

Please list the main owners of the site, where possible.

Do the owners support the application? Yes  No

A statement of support from the principle owners of the proposed site should be attached to the application, preferably electronically.

### **(18) Local Authority support for the site**

Please list all Local Authorities with an interest in the proposed site.

Does the proposed site have local Authority support?

Yes  No

Please attach a statement of support from each one in relation to the application.

Please indicate whether the site is included in the local plan/s by specific policies.

Yes  No  Partly

Please describe. 200 words.

#### **(19) Stakeholders**

Please list the main parties with an interest in the site. 100 words

#### **(20) How will the Site be managed?**

Please outline the management arrangements for the proposed World Heritage Site, including where the responsibilities lie. 200 words

**(21) Funding: the nomination**

Please indicate how the preparation of the nomination would be funded. 100 words

**(21) Funding: management**

Please outline how the future management would be funded. 100 words

**Name and Contact Details of Applicant**

|           |  |
|-----------|--|
| Name      |  |
| Status    |  |
| Address   |  |
| Telephone |  |
| Email     |  |

Completed applications should be forwarded, preferably in electronic format, to the World Heritage Team, Department for Culture, Media and Sport at the following email address:  
[UKTL.Application@culture.gsi.gov.uk](mailto:UKTL.Application@culture.gsi.gov.uk)

Any material that cannot be sent electronically should be sent to the following address:

World Heritage Team, Department for Culture, Media and Sport  
2-4 Cockspur Street  
London  
SW1 5DH

The closing date for applications is 11th June 2010

# Canada's Tentative List for World Heritage Sites

## Application Form

Please use Parks Canada's [Information Document – Updating Canada's Tentative List for World Heritage Sites](#) as a reference in the completion of this application form.

**Check to confirm that you have submitted the following documents with your application form:**

- Signed letter of consent by landowner
- Letters of support by community members and stakeholder organizations (encouraged but not required; these can be submitted up until April 30, 2017)
- Supporting photos and images (maximum of 10)
- Map of site

|                          |   |
|--------------------------|---|
| <input type="checkbox"/> | <p>By submitting this completed form, you authorize Parks Canada to collect, use, disclose and otherwise manage the personal information and materials (e.g., statements, text, photos) you provide. Further, you warrant, covenant and agree that to the extent the completed form includes the personal information of third parties, you have the consent of those third parties to disclose the personal information to Parks Canada for the purpose of collecting, using, disclosing and otherwise managing the personal information and materials. You agree that you have received consent from all identified people in submitted photos for Parks Canada to collect, use, disclose and otherwise manage the photos. The personal information and materials you submit will be used only for the purposes of reviewing the application for Canada's Tentative List for World Heritage Sites and will be protected pursuant to the <i>Privacy Act</i>. For more information on personal information banks related to the Indigenous Affairs and Cultural Heritage Directorate of Parks Canada, please refer to InfoSource, which is a Government of Canada publication available in major libraries, at government information offices and from the constituency offices of federal Members of Parliament, or contact the program at <a href="mailto:tentativelist@pc.gc.ca">tentativelist@pc.gc.ca</a>.</p> |
|--------------------------|---|

|      |                        |                                   |
|------|------------------------|-----------------------------------|
| Date | Applicant Name Printed | X<br>_____<br>Applicant Signature |
|------|------------------------|-----------------------------------|

**Print, sign and send your application to:  
[tentativelist@pc.gc.ca](mailto:tentativelist@pc.gc.ca) by January 27, 2017**

### **Deadlines**

The final deadline for receipt of applications is **January 27, 2017**.

At the request of applicants, Parks Canada will review individual applications submitted by December 16, 2016 to ensure all information is complete, and respond to proponents by January 06, 2017.

Additional information related to engagement with Indigenous communities (Section 5C), local communities and stakeholders, including letters of support (Section 5D), can be submitted up until April 30, 2017.

|                    |  |
|--------------------|--|
| OFFICE USE:        |  |
| Application number |  |
| Date of Receipt    |  |

| <b>PART A – APPLICANT INFORMATION</b>                       |  |
|---|--|
| <b>Name</b>   |  |
| <b>Title and Organization<br/>(if applicable)</b>           |  |
| <b>Mailing Address</b>                                      |  |
| <b>Email</b>  |  |
| <b>Telephone</b>  |  |
| <b>Preferred language of communication (English/French)</b> |  |

| <b>PART B – SITE INFORMATION</b>                                    |  |
|---|--|
| <b>Site name</b>  |  |
| <b>Location / Address</b>   |  |
| <b>Geographic coordinates<br/>(latitude &amp; longitude or UTM)</b> |  |

|  | <u>Reference</u><br><u>paragraph in</u><br><u>Operational</u><br><u>Guidelines<sup>1</sup></u> |
|--|--|
| <b>PART C – HERITAGE VALUES FOR WHICH THE SITE IS PROPOSED</b>   |  |
| <b>Section 1 – Identification of the Site</b>  |  |
| <b>Section 1A - Indicate the category:</b><br><input type="checkbox"/> Natural<br><input type="checkbox"/> Cultural<br><input type="checkbox"/> Mixed (Cultural and Natural)<br><input type="checkbox"/> Cultural Landscape  | <b>45-47</b>   |
| <b>Section 2 – Description and History</b>   |  |
| <b>Section 2A – Description of the site (maximum 200 words)</b><br>Provide a brief description of the proposed site, including its main heritage features and relevant geographic characteristics. The main focus should be on those features which are relevant to its Outstanding Universal Value. |  |
|  |  |
| <b>Section 2B – History and development of the site (maximum 200 words)</b><br>Provide a brief history of the proposed site, including significant events and the development of its major heritage features.  |  |

<sup>1</sup> The procedures, criteria and requirements for the inscription of properties on the World Heritage List are prescribed in the Operational Guidelines for the Implementation of the World Heritage Convention.

|   |              |
|---|--------------|
|   |              |
| <b>Section 3 – Proposed Outstanding Universal Value (OUV)</b>   |              |
| <b>Section 3A – Justification for adding the site to Canada’s Tentative List</b><br>Propose why the site may have Outstanding Universal Value. OUV encapsulates why the site is of importance to all humanity. The description should summarize the main attributes which demonstrate the site’s OUV. It should be written with careful reference to the <i>Operational Guidelines for the Implementation of the World Heritage Convention</i> . (maximum of 200 words) | <b>49-53</b> |
|   |              |
| <b>Section 3B – Proposed Outstanding Universal Value by criteria</b><br>State which one or more of the 10 criteria for Outstanding Universal Value are being proposed for this site and describe briefly why each was chosen.<br><i>*Refer to Parks Canada’s Information Document – Updating Canada’s Tentative List for World Heritage Sites or the Operational Guidelines for the definition of each criterion.</i>   | <b>77-78</b> |
| <b>World Heritage criterion</b>   | <b>X</b>     |
| <b>Why was this criterion chosen? (maximum of 50 words)</b>   |              |
| (i)   |              |
| (ii)  |              |
| (iii)   |              |
| (iv)  |              |
| (v)   |              |
| (vi)  |              |
| (vii)   |              |
| (viii)  |              |
| (ix)  |              |
| (x)   |              |
| <b>Section 3C – Authenticity of the site (*for cultural criteria only)</b>  | <b>79-86</b> |

|   |       |
|---|-------|
| <b>Describe the authenticity of the site. Authenticity concerns the measure of how well and how truthfully a site's features express potential OUV. (maximum of 100 words)</b>  |       |
|   |       |
| <b>Section 3D – Integrity of the site (for both cultural and natural criteria)</b><br>Describe the integrity of the site. Integrity is a measure of the completeness or intactness of the features that convey proposed OUV. Key areas to consider are wholeness, adequate size, and absence of threats. (maximum of 100 words)   | 87-95 |
|   |       |
| <b>Section 3E – Indicate what distinguishes this site from other similar heritage properties around the world, including other properties on the World Heritage List? Give details on its significance in relation to a maximum of 5 properties of comparable heritage value found worldwide. (maximum of 400 words)</b>  |       |
|   |       |
| <b>Section 3F – Identify whether the site addresses a particular gap or under-represented area or theme on the World Heritage List.</b><br><i>*Note this is not a requirement, but evidence that a site helps address a gap in the World Heritage List can help substantiate the relevance of your application.</i>   | 54-59 |
|   |       |
| <b>Section 4 – State of Conservation</b>  |       |
| <b>Section 4A – Describe the current state of conservation of the site, including details on any potential environmental or development threats to the site, or risks presented by natural disasters. Indicate any mitigation measures in place for the threats identified. (maximum of 200 words)</b>  |       |
|   |       |
| <b>Section 5 – Protection and Management</b>  |       |
| <b>Section 5A – Demonstrate how the property has adequate long-term legislative, regulatory, institutional and/or traditional protection. If protection measures are not currently in place, indicate what protection mechanism will be afforded the property in the near future, and include a supporting letter from the relevant authority. (maximum of 100 words)</b> | 98    |
|   |       |

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|---|----------------|
| <b>Section 5B – List the principle owners or competent authorities of the site. As an annex, include a letter from the site owner indicating their consent for this submission. (maximum of 100 words)</b>  |                |
| <i>*For sites with multiple landowners, such as urban complexes, provide a breakdown of the number of individual legal property parcels with information on zoning (i.e. commercial vs residential). In this case, the letter of support should come from the relevant governing jurisdiction.</i>  |                |
| <b>Section 5C – Identify whether the site is located on Indigenous traditional territory (asserted or confirmed)*. Indicate efforts to make these Indigenous communities aware of the application, with a view towards ensuring their support. Summarize the results of these discussions, including indication of support, issues or concerns raised, and desired level of involvement in the project.</b> |                |
| <i>* Contact Parks Canada if you require assistance in identifying whether the site is located on traditional territory (asserted or confirmed). Information regarding engagement with Indigenous communities can be submitted up until April 30, 2017.</i>   |                |
| <b>Section 5D – List any community groups and/or major stakeholders with an interest in the site and provide a brief summary of their views regarding its proposed inclusion on the Tentative List. Summarize any discussions you've had with your provincial / territorial parks or heritage department regarding your application. (maximum of 200 words)</b>   |                |
| <i>*Please annex any related letters of support (encouraged but not required). Information regarding community and stakeholder interest, including letters of support, can be submitted up until April 30, 2017.</i>  |                |
| <b>Section 5E – Describe whether a management plan is in place, or how it would be developed that specifies how the Outstanding Universal Value of the property would be protected, presented and transmitted to future generations. (maximum of 100 words)</b>   | <b>108-118</b> |
| <b>Section 6 – Development of a nomination dossier</b>  |                |
| <b>Section 6A – Indicate how the preparation of a World Heritage nomination dossier would be undertaken and resourced, in the event that the site is added to the Tentative List.</b>   |                |
|   |                |

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|---|--|
| <b>Section 7 – Documentation</b>  |  |
| <b>Section 7A – Applications can include a limited number of additional support materials beyond this completed application form. Please help ensure that the review of your application focusses on directly relevant supporting materials, which give evidence and/or reinforce the information provided in this application form. All supporting materials should be referenced in the appropriate section of this application form; identify the specific pages within the supporting materials that are critical to substantiating the relevance of the application.</b> |  |
|   |  |
| <b>Section 8 – Maps</b>   |  |
| <b>Section 8A – Include a map of the site, with additional insert maps as deemed necessary. The map should include coordinates (latitude &amp; longitude or UTM) and a clear boundary identification.</b>   |  |
|   |  |
| <b>List of annexed items (please number)</b>  |  |
|   |  |

## Annex 5: Resources

### General resources

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## **Thematic studies**

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Expert Meeting on Cultural Landscapes in Central America, San José (Costa Rica), September 2000.

<https://whc.unesco.org/en/events/1105/>

Regional Expert Meeting on Plantation Systems in the Caribbean, Paramaribo (Suriname), 17–19 July 2001.

<https://unesdoc.unesco.org/ark:/48223/pf0000126499>

## **Other resources**

The ICOMOS procedure for evaluating nominations to the World Heritage List:

<http://www.icomos.org/en/what-we-do/image-what-we-do/646-the-icomos-procedure-for-evaluating-nominations-to-the-world-heritage-list>

The IUCN procedure for evaluating nominations to the World Heritage List:

[https://www.iucn.org/sites/dev/files/import/downloads/guidelines\\_for\\_evaluators\\_2013.pdf](https://www.iucn.org/sites/dev/files/import/downloads/guidelines_for_evaluators_2013.pdf)



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