

OPERATIONAL GUIDELINES FOR THE IMPLEMENTATION OF THE WORLD HERITAGE CONVENTION

Nomination, Inscription and Monitoring the
State of Conservation of Properties on the
World Heritage List

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Operational Guidelines

- The *Operational Guidelines for the Implementation of the World Heritage Convention* aim to facilitate the implementation of the World Heritage Convention.
- They include procedures for:
 - a) the inscription of properties;
 - b) the protection and conservation properties;
 - c) the granting of International Assistance; and
 - d) the mobilization of national and international support.
- The Operational Guidelines are periodically revised to reflect the decisions of the World Heritage Committee.

[paras 120-128, pp. 30-31]

Preparation of Nominations

- The nomination document is the primary basis on which the WH Committee considers the inscription of the properties on the World Heritage List.
- Before States Parties begin to prepare a nomination they should become familiar with the nomination cycle.

[paras 120-122, p. 30]

[paras 120-128, pp. 30-31]

Preparation of Nominations

- States Parties may submit *draft* nominations to the Secretariat for comment and review by **30 September of each year**.
- Nominations may be submitted at any time during the year, but only those that are "complete" and received on or before **1 February** will be considered during the following year.
- Nominations to the World Heritage List are not considered unless the nominated property has already been included on the State Party's **Tentative List**.

[paras 127-128, pp. 30-31]

[paras 49-53 pp. 14-15 & paras 77-78, pp. 20-21]

Outstanding Universal Value & Criteria for Inscription on the World Heritage List

[paras 49-53 pp. 14-15]

Outstanding universal value (OUV)

Outstanding universal value means:

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

As such, the permanent protection of this heritage is of the highest importance to the international community as a whole.

[para 49, p. 14]

[paras 49-53 pp. 14-15] & paras 77-79 pp. 20-25]

Criteria for assessing OUV

- Outstanding universal value of a site is assessed using the criteria set out in the Operational Guidelines [para 49, p. 14]
- The World Heritage Committee has defined 10 criteria for the assessment of Outstanding Universal Value [para 49, p. 14 & para 77, pp. 20-21]
- To be inscribed on the World Heritage list, a site needs to meet at least one of the ten criteria [para 78, p. 21]
- The site must also meet the conditions of integrity and/or authenticity and must have an adequate protection and management system [paras 79-95, pp. 21-25]

10 criteria for the assessment of Outstanding Universal Value

[para 77, pp. 20-21]



Taj Mahal, India

(i) represent a masterpiece of human creative genius



The Old Town of Lijiang, China

(ii) exhibit an **important interchange of human values**, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design



Town of Luang Prabang, Lao PDR

(iii) bear a unique or at least **exceptional testimony to a cultural tradition** or to a civilization which is living or which has disappeared



Darjeeling Railway, India

(iv) be an **outstanding example of a type of building or architectural or technological ensemble or landscape** which illustrates (a) significant stage(s) in human history



Rice Terraces of the Philippine Cordilleras

(v) be an **outstanding example of a traditional human settlement, land-use or sea-use** which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change



Hiroshima Peace Memorial, Japan

(vi) be **directly or tangibly associated with events or living traditions**, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance



Nanda Devi National Park, India

(vii) contain superlative natural phenomena or areas of exceptional natural beauty and aesthetic importance



Purnululu National Park, Australia

(viii) be outstanding examples representing major stages of earth's history, including the record of life, significant on-going geological processes in the development of land forms, or significant geomorphic or physiographic features



Kinabalu Park, Malaysia

(ix) be outstanding examples representing significant on-going ecological and biological processes in the evolution and development of terrestrial, fresh water, coastal and marine ecosystems and communities of plants and animals; or



Komodo National Park, Indonesia

(x) contain the most important and significant natural habitats for in-situ conservation of biological diversity, including those containing threatened species of outstanding universal value from the point of view of science or conservation;

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Statement of Outstanding Universal Value

- A formal statement of Outstanding Universal Value (OUV) is required for the nomination of a site for World Heritage inscription
- The statement of OUV should make it clear WHY the property is considered to merit inscription on the World Heritage List.
- Therefore, the Statement of OUV should be constructed using the criteria under which the property is proposed.

Statement of Outstanding Universal Value (new format)

- **Brief synthesis:** summary of factual information, historical context and summary of qualities (values and attributes)
- **Criteria:** (values and attributes which manifest them) and why the property justifies each criterion
- **Integrity:** the way the attributes carrying OUV may be said to be all in place within the boundaries of the property
- **Authenticity:** the way the attributes carrying OUV truthfully reflect that value (criteria i-vi)
- **Management and protection:** how plans and systems in place meet the requirements to maintain OUV, meet potential and manifest threats, and maintain community support

OUV: case study



Vat Phou and Associated Ancient Settlements within the Champasak Cultural Landscape (Lao PDR)

Year of inscription: 2001

Criteria: (iii) (iv) (vi)

Vat Phou, Champasak (Lao PDR)



Synthesis

- The Champasak cultural landscape, including the Vat Phou Temple complex, is a remarkably well-preserved planned landscape more than 1,000 years old.
- It was shaped to express the Hindu vision of the relationship between nature and humanity
- Two planned cities on the banks of the Mekong River are also part of the site, as well as Phou Kao mountain.
- The whole represents a development ranging from the 5th to 15th centuries, mainly associated with the Khmer Empire.

Vat Phou, Champasak (Lao PDR)



Criterion (iii): bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared

Argument for using Criterion (iii): The Temple Complex of Vat Phou bears exceptional testimony to the cultures of south-east Asia, and in particular to the Khmer Empire which dominated the region in the 10th–14th centuries.

Criterion (iv): be an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history

Argument for using Criterion (iv): The Vat Phou complex is an outstanding example of the integration of symbolic landscape of great spiritual significance to its natural surroundings.

Criterion (vi): be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance.

Argument for using Criterion (vi): Contrived to express the Hindu version of the relationship between nature and humanity, Vat Phou exhibits a remarkable complex of monuments and other structures over an extensive area between river and mountain, some of outstanding architecture, many containing great works of art, and all expressing intense religious conviction and commitment

OUV: case study



Sydney Opera House (Australia)

Year of Inscription: 2007

Criteria: (i)

Sydney Opera House (Australia)



Synthesis: historical context

- Inaugurated in 1973, the Sydney Opera House is a great architectural work of the 20th century that brings together multiple strands of creativity and innovation in both architectural form and structural design.
- A great urban sculpture set in a remarkable waterscape, at the tip of a peninsula projecting into Sydney Harbour, the building has had an enduring influence on architecture.
- In 1957, when the project of the Sydney Opera House was awarded by an international jury to Danish architect Jørn Utzon, it marked a radically new approach to construction.

Sydney Opera House (Australia)



Synthesis: summary of values

- The Sydney Opera House constitutes a masterpiece of 20th century architecture.
- Its significance is based on its unparalleled design and construction; its exceptional engineering achievements and technological innovation and its position as a world-famous icon of architecture.
- It is a daring and visionary experiment that has had an enduring influence on the emergent architecture of the late 20th century. Utzon's original design concept and his unique approach to building gave impetus to a collective creativity of architects, engineers and builders.
- Ove Arup's engineering achievements helped make Utzon's vision a reality. The design represents an extraordinary interpretation and response to the setting in Sydney Harbour.
- The Sydney Opera House is also of outstanding universal value for its achievements in structural engineering and building technology. The building is a great artistic monument and an icon, accessible to society at large.

Sydney Opera House (Australia)



Criterion (i): *represent a masterpiece of human creative genius*

Argument for using Criterion (i): The Sydney Opera House is a great architectural work of the 20th century. It represents multiple strands of creativity, both in architectural form and structural design, a great urban sculpture carefully set in a remarkable waterscape and a world famous iconic building.

The nomination dossier



Operational Guidelines Chapter III:

*Process for the inscription of
properties on the World
Heritage List*

[paras 120-168, pp. 30-44]

Operational Guidelines for the
Implementation of the World
Heritage Convention
(WHC, 08/01 January 2008)

[paras 129-133, pp. 31-34]

Format and content of nominations

Nominations should be prepared in accordance with the format set out in Annex 5 of the Operational Guidelines (pp. 99-111). [para 129, p. 31]

The format includes the following sections:

1. Identification of the Property
2. Description of the Property
3. Justification for Inscription
4. State of conservation and factors affecting the property
5. Protection and Management
6. Monitoring
7. Documentation
8. Contact Information of responsible authorities
9. Signature on behalf of the State Party(ies)

[para 130, p. 31]

Format and content of nominations

1. Identification of the Property

- The boundaries of the property and its buffer zone, should be clearly defined
- Maps shall be sufficiently detailed to determine precisely which area of land and/or water is nominated

Note: A nomination shall be considered "incomplete" if it does not include clearly defined boundaries

Format and content of nominations

2. Description of the Property

- The Description of the property shall include the identification of the property, and an overview of its history and development.
- The history and development of the property should describe how the property has reached its present form and the significant changes that it has undergone.

Nomination of different types of properties

Transboundary properties

- A nominated property may occur:
 - a) on the territory of a single State Party, or
 - b) on the territory of all concerned States Parties having adjacent borders (transboundary property).
- If possible, transboundary nominations should be prepared and submitted by States Parties jointly.
- Extensions to an existing World Heritage property located in one State Party may be proposed to become transboundary properties.

Nomination of different types of properties

Serial properties

- Serial properties include components that belong to:
 - a) the same historico - cultural group;
 - b) the same type of property which is characteristic of the geographical zone;
 - c) the same geological, geomorphological formation, the same biogeographic province, or the same ecosystem type.
- The serial properties together, not individually, should be of outstanding universal value.
- Serial properties may be located on the territory of a single State Party or be a serial transnational property

Format and content of nominations

3. Justification for Inscription

- A proposed Statement of Outstanding Universal Value to explain **why** the property should be on the WH List
 - Synthesis of historical context and values
 - World Heritage criteria under which the property is proposed and the argument for using each Criterion
 - Statements of integrity and/or authenticity
- A comparative analysis of the property in relation to similar properties

Format and content of nominations

4. State of conservation and factors affecting the property

- Accurate information on the present state of conservation of the property
- Information on the physical condition of the property and conservation measures in place.
- A description of the factors affecting the property (including threats).

Note: Information provided in this section constitutes the baseline data which are necessary to monitor the state of conservation of the nominated property in the future.

Format and content of nominations

5. Protection and management

Protection:

- List of the legislative, regulatory, contractual, planning, institutional and/ or traditional measures most relevant to the protection of the property
- Detailed analysis of the way in which the protection operates.

Format and content of nominations

5. Protection and management (continued)

Management:

- An appropriate management plan or other management system is essential and shall be provided in the nomination. (Management Plan should be annexed)
- Assurances of the effective implementation of the management plan or other management system are also expected.

Note: A nomination which does not include a management plan is considered incomplete

Format and content of nominations

6. Monitoring

- The nomination document should include:
 - the key indicators proposed to measure and assess the state of conservation of the property;
 - the factors affecting conservation;
 - conservation measures at the property;
 - the periodicity of their examination; and
 - the identity of the responsible authorities.

Format and content of nominations

6. Monitoring

Impact assessment methodology is recommended to ensure that monitoring is systematic, thorough and action-oriented

Format and content of nominations

6. Monitoring

- Periodic monitoring: mandatory, every 6 years
- Reactive monitoring: whenever a problem is reported
- Enhanced monitoring: when a problem has been identified and the implementation of corrective measures have been recommended

Format and content of nominations

6. Monitoring

LIST OF WORLD HERITAGE IN DANGER

- **Ascertained danger**
- **Potential danger**

List of World Heritage in Danger

CULTURAL PROPERTIES

ASCERTAINED DANGER

The property is faced with specific and proven imminent danger, such as:

- i) serious deterioration of materials;
- ii) serious deterioration of structure and/or ornamental features;
- iii) serious deterioration of architectural or town planning coherence;
- iv) serious deterioration of urban or rural space, or the natural environment;
- v) significant loss of historical authenticity;
- vi) important loss of cultural significance.

List of World Heritage in Danger

CULTURAL PROPERTIES

POTENTIAL DANGER

The property is faced with threats which could have deleterious effects on its inherent characteristics. Such threats are, for example:

- i) modification of juridical status of the property diminishing the degree of its protection;
- ii) lack of conservation policy;
- iii) threatening effects of regional planning projects;
- iv) threatening effects of town planning;
- v) outbreak or threat of armed conflict;
- vi) gradual changes due to geological, climatic or other environmental factors.

List of World Heritage in Danger

NATURAL PROPERTIES

ASCERTAINED DANGER

The property is faced with specific and proven imminent danger, such as:

- i) A serious decline in the population of the endangered species or the other species of outstanding universal value for which the property was legally established to protect, either by natural factors such as disease or by man-made factors such as poaching.

List of World Heritage in Danger

NATURAL PROPERTIES

ASCERTAINED DANGER

The property is faced with specific and proven imminent danger, such as:

- ii) Severe deterioration of the natural beauty or scientific value of the property, as by human settlement, construction of reservoirs which flood important parts of the property, industrial and agricultural development including use of pesticides and fertilizers, major public works, mining, pollution, logging, firewood collection, etc.

List of World Heritage in Danger

NATURAL PROPERTIES

ASCERTAINED DANGER

The property is faced with specific and proven imminent danger, such as:

- iii) Human encroachment on boundaries or in upstream areas which threaten the integrity of the property.

List of World Heritage in Danger

NATURAL PROPERTIES

POTENTIAL DANGER

The property is faced with specific and proven imminent danger, such as:

- i) a modification of the legal protective status of the area;
- ii) planned resettlement or development projects within the property or so situated that the impacts threaten the property;
- iii) outbreak or threat of armed conflict;
- iv) the management plan or management system is lacking or inadequate, or not fully implemented.

Format and content of nominations

7. Documentation

- In addition to what has already been mentioned, all necessary documentation to substantiate the nomination shall be provided, including :
 - photographs and/or 35 mm slides;
 - image inventory and;
 - photograph authorization form.

Note: The text of the nomination shall be transmitted in printed form as well as in electronic format.

Registration of nominations

- The Secretariat will, on receipt of nominations, check for completeness
- The Secretariat will forward complete nominations to the relevant Advisory Bodies for evaluation
- The Secretariat will request any additional information when required by Advisory Bodies

Note: A nomination passes through a cycle between the time of its submission and the decision by the World Heritage Committee which normally lasts one and a half years.

Evaluation of nominations by the Advisory Bodies

- The Advisory Bodies will evaluate whether or not properties nominated by States Parties
 - have outstanding universal value,
 - meet the conditions of integrity and/or authenticity and
 - meet the requirements of protection and management.
- Evaluations of cultural heritage nominations will be carried out by ICOMOS.
- Evaluations of natural heritage nominations will be carried out by IUCN.

Evaluation of nominations by the Advisory Bodies

- ICOMOS and IUCN make their recommendations under three categories:
 - a) properties which are recommended for inscription without reservation;
 - b) properties which are not recommended for inscription;
 - c) nominations which are recommended for referral or deferral.

Decision of the World Heritage Committee

The World Heritage Committee decides whether a property should or should not be inscribed on the World Heritage List, referred or deferred.



Decision of the World Heritage Committee

Inscription

- When inscribing a property on the World Heritage List, the Committee, guided by the Advisory Bodies, adopts a Statement of Outstanding Universal Value for the property.
- At the time of inscription, the Committee may also make other recommendations concerning the protection and management of the World Heritage property.

Decision of the World Heritage Committee

Decision not to inscribe

- If the Committee decides that a property should not be inscribed, the nomination may not again be presented to the Committee except in exceptional circumstances.
- These exceptional circumstances may include new discoveries, new scientific information about the property, or different criteria not presented in the original nomination. In these cases, a new nomination shall be submitted.

Decision of the World Heritage Committee

Referral of Nominations

- Nominations which the Committee decides to refer back to the State Party for additional information may be resubmitted to the following Committee session for examination.
- A referred nomination which is not presented to the Committee within three years of the original Committee decision will be considered as a new nomination when it is resubmitted for examination.

Decision of the World Heritage Committee

Deferral of Nominations

- The Committee may decide to defer a nomination for more in-depth assessment or study, or a substantial revision by the State Party.
- Resubmitted nominations will be reevaluated by the relevant Advisory Bodies during the course of the full year and a half evaluation cycle.




