



United Nations  
Educational, Scientific and  
Cultural Organization



World Heritage Convention

# CCBP

## Caribbean Capacity Building Programme

For World Heritage



Application of the World  
Heritage Convention

MODULE

# 1



# Module



# 1

## The Application of the World Heritage Convention

Drafted by: Pina Grazia Piras



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## Cultural heritage management programme for the caribbea

The Caribbean Capacity Building Programme (CCBP) is a long-term training programme focusing on cultural heritage management and aiming to create a Caribbean **network** of heritage experts. They, in turn, can share knowledge, know-how and expertise on the *modus operandi* of the World Heritage Convention and on heritage management in general.

The CCBP was conceived to respond to the needs identified in the Latin America and the Caribbean Periodic Report (<http://whc.unesco.org/en/series/18>), which showed that most of the Caribbean States Parties still lack the capacity and expertise needed to enable full protection and management of the present World Heritage sites and to identify new World Heritage sites.

The CCBP was endorsed by the World Heritage Committee in 2004 as part of the Caribbean Action Plan for World Heritage.

The CCBP is composed of a core and mandatory training module on the *Application of the World Heritage Convention* and a **series of other modules focusing on the various aspects of management** (tourism, historic centers, risks and cultural landscapes). Each module lasts 30 hours and encompasses practical exercises, analysis of regional case studies and discussions.

**UNESCO** is pleased to present this first edition of the **Module 1: Application of the World Heritage Convention**, which have been developed with the contribution of Consultant Grazia Piras.

On several occasions it was underlined that the core concepts of the World Heritage Convention such as outstanding universal value, integrity, and authenticity were not sufficiently understood by Caribbean heritage professionals and therefore the implementation of the Convention was proceeding at a slow rate. This module intends to disseminate the basics of heritage management and conservation and the core principles of the W.H. Convention and is therefore considered mandatory.

Practical exercises on how to identify and assess heritage values, how to put together a tentative World Heritage List and nomination file will enable participants not only to understand the nomination process but also to acquire a methodology that can be used in many contexts other than world heritage (e.g. elaboration of national heritage inventory, assessment of development and conservation projects, etc).

The **analysis of regional case studies**, focusing on the key elements of a management plan, will provide participants with a set of guidelines applicable in crafting any cultural heritage site management plan.

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## SESSION 1 Introduction

This session introduces participants to the objectives, structure and content of the module in relation to their expectations. It also introduces participants to the resources available

SUBJECTS	OBJECTIVES
1.1 Presentation of the Module	Participants are introduced to the module
1.2 Module's objectives	Participants discover the links between their expectations and needs, and the module's objectives
1.3 Module's structure	Participants become aware of module structure
1.4 Module's references	Participants become aware the written and web based resources proposed for the module, and how best to access and use them

### 1.1 Presentation of the Module

On several occasions it was underlined that the core concepts of the World Heritage Convention such as outstanding universal value, integrity, and authenticity were not sufficiently understood by Caribbean heritage professionals and therefore the implementation of the Convention was proceeding at a slow rate.

Thus this module intends to elucidate the basic notions and theoretical framework required for the implementation of the World Heritage Convention.

Each session contains a general overview of the main themes referring to specific subjects and then provides a specific inside into the Caribbean context through the analysis of regional case studies.

The module is designed to meet the needs of different categories of users/participants and can be implemented in different contexts (as part of university curricula as well as specific training at site level) and for different purposes (training, raising awareness, solution of specific issues).

Potential users are:

- Professionals, whose actions impact on the planning, management, conservation, and maintenance of immovable cultural heritage

- Communities, youth and other stakeholders who are located in or near cultural heritage sites
- Politicians and decision-makers
- Training institutions, instructors, researchers, university students individuals

This module does not aim at being an exhaustive manual on heritage conservation and management but rather to introduce participants to some of the core issues related to the implementation of the World Heritage Convention and the challenges and trends of a specific cultural and regional context and to provide them with some basic competence in the subject matter.

### 1.2 Module's objectives

After a formal course opening, participants should be asked to introduce themselves. They should convey their professional background, their working situation at present and what they hope to learn during the course.

The course instructor should record the objectives expressed by participants and then relate these to the module objectives.

The basic learning objectives for the module are the following:

Participants become able to relate and apply the modules' concepts to concrete working situations (e.g. elaboration of national inventories, assessment of authenticity and integrity, selection of World Heritage Criteria, preparation of world heritage nomination, site interpretation and analysis etc);

Participants achieve ability to analyse, to assess and to develop policies and strategies to better identify, preserve, manage and monitor heritage sites;

Participants gain understanding of the rich and varied Caribbean heritage and become aware of its cultural significance;

Participants learn how to deal with critical and common issues related to the dynamics between conservation and development and are able to find viable solutions for specific projects and case studies.

### 1.3 Module's structure

The module is composed by lectures and practical exercises.

Lectures provide theoretical notions and are structured in 4 parts:

1. The first set of lectures (corresponding to day 1) provides an overview of the main UNESCO cultural conventions, clarifying the objectives, main actors and operational framework. Special attention is given to the World Heritage Convention.
2. The second set of lectures (corresponding to day 2) is devoted to an in depth analysis of the core issues of the application of the world Heritage Convention: definition of the the world heritage criteria, assessment of the outstanding universal value, verification of authenticity and integrity, calendar and modalities of the nomination process.
3. Usually emphasis is given to the nomination process whereas there are few studies on what happens after the nomination. These lectures illustrate some of the key issues related to the post inscription

process: explore the benefits and constrain of world heritage listing, underline the crucial link between values and management and give an overview of the monitoring tools available under the World Heritage Convention.

4. The last session is dedicated to the implementation of the World Heritage Convention in the Caribbean. Although Caribbean case studies are constantly used in all lectures, it was felt that it was appropriated to devote a specific session to present the results of the Latin America and the Caribbean Periodic report and the results of recent regional meetings.

Exercises (field and class)

Exercises have the function to test if participants have fully understood and acquired the theory and if they are able to apply the concepts learnt to concrete situations.

Each exercise will be finalized by a collective discussion under the trainer's guidance participants will present their work and analyse it in plenary sessions.

Exercises offer an opportunity to stimulate debate foster team spirit amongst participants; furthermore exercises are a way – for the trainers – to assess if the efficacy and efficiency of the module.

### 1.4 Module references

The instructor should review the resources available for the module. These should include the following:

Human resources. Other instructors (if being used) should be introduced and their backgrounds described. While normally one instructor would run a module like this, it is always advantageous to involve local experts as resource persons, especially to support exercise(s). The chief instructor should also introduce himself/ herself, supplying some detail about relevant professional background.

Reference documents. A reference package should be put together in either paper (hard copy) form or digital form for each participant. This should be designed to serve as a reference document during the module but also be substantial enough to assist the participants when they return home.

## SESSION 2 UNESCO Cultural Conventions

**Principal theme:** This session outlines the role of UNESCO and its main cultural Conventions

SUBJECTS	OBJECTIVES
2.1 The UNESCO mandate	Participants learn about the history and core principles of UNESCO
2.2 Main UNESCO Cultural Conventions	Participants become aware of the main UNESCO cultural Conventions

### 2.1 The UNESCO mandate

UNESCO (United Nation Education Science and Culture Organization) is one of the specialized agencies of the UNITED NATIONS. Its genesis and mandate grew out of the aftermath of the Second World War.

In November 1945 upon the proposal of CAME (Conference of Allied Ministers of Education) the representatives of forty-four countries gathered in London and decided to create an organization that would embody a genuine culture of peace. The new organization would aim to establish the “intellectual and moral solidarity of mankind” and, in so doing, prevent the outbreak of another world war. The preamble of the Constitution of UNESCO, signed on that occasion, clearly expresses this view:

Since wars begin in the minds of men, it is in the minds of men that the defences of peace must be constructed (...)

A peace based exclusively upon the political and economic arrangements of governments would not be a peace which could secure the unanimous, lasting and sincere support of the peoples of the world, and the peace must therefore be founded, if it is not to fail upon the intellectual and moral solidarity of mankind”.

The governments signing the Constitution believed “in full and equal opportunities for education for all, in the unrestricted pursuit of objective truth and in the free exchange of ideas and knowledge”.

The Constitution came into force on 4 November 1946 after the ratification of the first twenty members; today UNESCO has 199 States Members.

As part of the UN family UNESCO operates under the UN principles that all States Members, no matter which convention they sign, maintain sovereignty and responsibility for their own decisions and actions<sup>1</sup>.

UNESCO has today 5 sectors: Education, Science, Social Science, Culture and Communication<sup>2</sup> and it is the leading UN agency in all issues related to the worldwide implementation of educational and cultural programmes. In terms of budget and personnel the education sector is the biggest of the five, followed by culture.

### 2.2 Main UNESCO Cultural Conventions

UNESCO has promoted several international treaties or Conventions, the ones listed below are the most relevant in the field of cultural heritage.

- Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property – 1972<sup>3</sup>

Adopted by UNESCO general Assembly in 1970, entered into force in 1972, today has 110 State Parties.

This Convention aims to set up a system of co-operation between States in order to ensure the protection of national cultural properties against illicit import, export and transfer of ownership; furthermore this Convention regulates restitutions of heritage properties which belong to the wide range of heritage categories listed in article.1.

<sup>1</sup> See UN declaration for human rights: [www.un.org/Overview/rights.html](http://www.un.org/Overview/rights.html)  
<sup>2</sup> [http://portal.unesco.org/en/ev.php-URL\\_ID=29008&URL\\_DO=DO\\_TOPIC&URL\\_SECTION=201.html](http://portal.unesco.org/en/ev.php-URL_ID=29008&URL_DO=DO_TOPIC&URL_SECTION=201.html)  
<sup>3</sup> [http://www.unesco.org/culture/laws/1970/html\\_eng/page1.shtml](http://www.unesco.org/culture/laws/1970/html_eng/page1.shtml)

Article 4 defines a National Cultural property as:

- cultural property found within the national territory;
- cultural property acquired by archaeological, ethnological or natural science missions, with the consent of the competent authorities of the country of origin of such property;
- cultural property which has been the subject of a freely agreed exchange;
- cultural property received as a gift or purchased legally with the consent of the competent authorities of the country of origin of such property.

Implementation of this convention is carried out by cultural and police institutions such as ICOM, UNESCO and INTERPOL in close collaboration with the State Party authorities. This convention has recently been in the spotlight as a result of restitution cases such as the obelisk of Axum that Italy recently returned to Ethiopia and because of the looting of cultural heritage properties in Iraq and Afghanistan (UNESCO is actively involved in retrieving and restoring Afghani cultural heritage, including the reconstruction of the Kabul National Museum and campaigns to raise public awareness of the trade of illicitly trafficked Afghani cultural heritage).

In general the last two decades have seen an unprecedented growth in the art market, which has become an active sector of the economy in which investors try to make large profits in a short space of time. This phenomenon has generated a great increase in looting of archaeological sites, stealing artworks from museums and ethnological objects from rural areas, not only in developing countries but also in Europe. Italy with its great archaeological potential is one of the continent's most badly affected countries as far as illicit excavation is concerned. In Latin America, the remains of the Maya civilization have also fallen prey to treasure hunters.

States Members are encouraged to sign this convention in order to:

- Better protect national cultural properties
- Recover national cultural properties
- Be part of an international network
- Benefit from technical assistance offered by UNESCO

–Convention on Underwater Cultural Heritage 2001<sup>4</sup>

This Convention, adopted in 2001, has not yet entered into force as it has not been ratified by sufficient States Parties (from Latin America and the Caribbean : Panama, Mexico, Paraguay, Ecuador have signed the convention). The objectives of this international treaty are to encourage States Parties to identify, protect and preserve their UNDERWATER cultural heritage.

Art.1 defines what is to be considered underwater cultural heritage as:

... all traces of human existence having a cultural, historical or archaeological character which have been partially or totally under water, periodically or continuously, for at least 100 years such as:

- (i) sites, structures, buildings, artefacts and human remains, together with their archaeological and natural context;
- (ii) vessels, aircraft, other vehicles or any part thereof, their cargo or other contents, together with their archaeological and natural context; and
- (iii) objects of prehistoric character.

**This Convention is particularly important for the Caribbean as a great portion of the 3 million of undiscovered shipwrecks are scattered across the world's Ocean lie on the Caribbean seabed<sup>5</sup>.**

The Caribbean is home to significant prehistoric and historical maritime heritage sites (Maya, Taino and Carib cultures) and centuries of trade linked to pirates, gold, slavery, sugar, wars etc. have brought treasure-laden flotillas; the physical traces of this rich and unique history are non-renewable resources therefore it is crucial to protect them. New technologies have increased accessibility of underwater heritage, which is now threatened by the following phenomena:

- Lack of resources (legal framework, qualified marine archaeologists, conservation and management policies)
- Length and cost of the excavations (e.g. publication of the results)
- Disparity in the existence and application of legal protection in different countries facilitate treasure hunters to operate
- Marine heritage sites often suffer from looting and this results in the loss and destruction of valuable significant cultural heritage
- Objects recuperated from the seabed deteriorate rapidly (oxidation process affects metal, wood and ceramics)

In order to safeguard their rich underwater heritage Caribbean States should:

- Sign the Convention
- Establish an agreement of principles between nations of the Caribbean
- Privilege in situ conservation (e.g. wrecks can become marine reserve)
- Allow only accredited research institutions to enter into negotiations for marine archaeological research and excavations
- Retain control of the findings of any marine activity

<sup>4</sup> <http://portal.unesco.org/culture/en/ev.php>

<sup>5</sup> Margaret E. Leshikar-Denton, Protecting the Underwater Cultural Heritage of the Caribbean and Latin-American Areas: Obstacles and Challenges, 2002.

– Convention on Intangible Heritage 2003<sup>6</sup>

This Convention, adopted in 2003 entered into force on 20 April 2006.

The implementation of this Convention incorporates the **Programme of the Proclamation of Masterpieces of the Oral and Intangible Heritage of Humanity**<sup>7</sup> and draws on the example of the **1972 Convention**.

The main objectives of this convention are:

- Safeguard the intangible cultural heritage<sup>8</sup>;
- Ensure respect for the intangible cultural heritage of the communities, groups and individuals concerned;
- Raise awareness at the local, national and international levels;
- Provide for international cooperation and assistance.

Intangible cultural heritage is defined in article. 1 as:

“the practices, representations, expressions, knowledge, skills – as well as the instruments, objects, artefacts and cultural spaces associated therewith – that communities, groups and, in some cases, individuals recognize as part of their cultural heritage [...] this intangible cultural heritage, transmitted from generation to generation, is constantly recreated by communities and groups in response to their environment, their interaction with nature and their history, and provides them with a sense of identity and continuity”.

**Over the past 15 years a noteworthy effort has been made to extend the conceptualization and description of the intangible heritage and closer attention is now being paid to humankind, the dramatic arts, languages and traditional music, as well as to the informational, spiritual and philosophical systems upon which creations are based.**

The main characteristics of intangible heritage are that:

- It is traditional and living at the same time
- It is constantly recreated, transmitted from generation to generation (mainly orally) by communities and groups in response to their environment, their interaction with nature, and their history
- The depository of this heritage is the human mind, the human body being the main instrument for its enactment
- The knowledge and skills are often shared within a community, and manifestations of intangible cultural heritage are often performed collectively
- It provides communities and groups with a sense of identity and continuity;

<sup>6</sup> <http://www.unesco.org/culture/ich/index.php>

<sup>7</sup> <http://www.unesco.org/culture/intangible-heritage/masterpiece.php>

<sup>8</sup> Art 2 of the Convention clarifies that “Safeguarding” means ... ensuring the viability of the intangible cultural heritage, identification, documentation, research, preservation, protection, promotion, enhancement, transmission, through formal and non-formal education, as well as the revitalization of the various aspects of such heritage.

- It promotes respect for cultural diversity and human creativity;

Similarities and differences and between the 1972 and 2003 Conventions Nobody could question the interdependence between tangible and intangible cultural heritage. Nonetheless the above listed characteristics underline important differences between these two types of heritage which lead to different approaches towards their safeguarding, justifying the creation of two separate legal instruments. That said, UNESCO is promoting an integrated approach in the implementation of these Conventions<sup>9</sup> as, even if tangible and intangible heritage are very different, they are two sides of the same coin: both carry meaning and are embedded in the memory of humanity and they rely on each other when it comes to understanding the meaning and importance of each. But in order to achieve an integrated approach towards the identification, protection and promotion of tangible and intangible heritage, specific policies and scientific methodology still need to be created.

### Main Similarities

In its general structure, the Convention for the Safeguarding of the Intangible Cultural Heritage is similar to the successful 1972 Convention concerning the Protection of the World Cultural and Natural Heritage. International cooperation and assistance mechanisms, and notably the Intangible Cultural Heritage Fund, the Representative List of the Intangible Cultural Heritage of Humanity and the List of the Intangible Cultural Heritage in Need of Urgent Safeguarding have been modeled along the lines of the World Heritage Convention (see session 3). The World Heritage Convention has thus provided a useful model in terms of the general principle of protection as well as of its mechanisms and administrative structures.

### Main differences Inventories methodology

Intangible heritage consists of processes and practices and accordingly requires a different inventorying and safeguarding approach and methodology to tangible heritage. State Parties are encouraged to establish inventories and comprehensive registers, research and documentation of their intangible national heritage. For this task new methodology and tools are currently been explored.

### Safeguarding policies

Intangible heritage is living and its safeguard relies fundamentally on those who produce and maintain it; therefore the 2003 Convention focuses on protecting the resources (often individuals) for creativity and transmission of the communities, groups and practitioners concerned.

<sup>9</sup> See: The Yamato Declaration on Integrated Approaches for Safeguarding Tangible and Intangible Cultural Heritage



Thus, the legal and administrative measures traditionally taken to protect material elements of cultural heritage are in most cases inappropriate.

**Role of communities and individuals**

Individuals and communities, being the heritage creators, are the focus of this Convention. It has been underlined that this Convention can be helpful in providing greater representation for those cultures of the world that attach more importance to the oral tradition than to the written one. The regions that might particularly benefit from this concept are Africa, Asia and Oceania whose heritage consists of oral traditions and cultural practices, a heritage that the monumentalist approach has neglected.

**Authenticity**

Intangible cultural heritage is constantly recreated, the term “authenticity” as applied to tangible cultural heritage is not relevant when identifying and safeguarding intangible cultural heritage (for more information on the concept of authenticity in the framework on the World Heritage Convention see session 8).

**Outstanding Universal Value**

Outstanding Universal Value is the core concept of the World Heritage Convention (see session 7 ). This is what distinguishes world heritage sites from other heritage sites, whereas it is irrelevant in the Intangible Heritage Convention.

– Convention on Cultural Diversity 2005<sup>10</sup>

The Convention entered into force in March 2007 and it is the most recent UNESCO legal instrument concerning cultural heritage. In its general structure and modus operandi, this Convention is similar to the World Heritage Convention.

The approval of this international treaty, which seeks to protect and promote cultural diversity especially in developing countries, has been considered to be a moral victory in the long-running fight against globalization and for the preservation of the world’s cultural diversity <sup>11</sup>.

The Convention seeks to strengthen the five inseparable links of the same chain: creation, production, distribution/dissemination, access and enjoyment of cultural expressions, as conveyed by cultural activities, goods and services.

In particular, the Convention aims to:

- reaffirm the sovereign right of States to draw up cultural policies
- recognize the specific nature of cultural goods and services as vehicles of identity, values and meaning
- strengthen international cooperation and solidarity so as to favour the cultural expressions of all countries

Along with the 1972 Convention concerning the Protection of the World Cultural and Natural Heritage and the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage, this Convention is one of the three pillars of the preservation and promotion of creative diversity.

It has to be underlined that as the Convention has only recently entered into force the rules and regulations for its implementation are still under discussion and expert groups are actively working on crafting the operational guidelines.

**In The Caribbean there are 5 Masterpieces**

Proclamation	Member States	Associate Themes
2001 The Garifuna Language, Dance and Music	Belize, Guatemala, Honduras and Nicaragua	Oral traditions and expressions
2003 La Tumba Francesa	Cuba	Performing arts
2003 The Maroon Heritage	Jamaica	Social Practices
2001 The Cultural Space of the Congos de Villa Mella	Dominican Republic	Cultural Space
2005 The Cocolo Dance Drama Tradition	Dominican Republic	Performing Arts

<sup>10</sup> www.unesco.org/culture/en/diversity/convention

<sup>11</sup> As examples of culture threatened by globalization, UNESCO notes that 50 per cent of world languages are in danger of extinction and that 90 per cent of them are not represented on the Internet. In addition, five countries monopolize the world cultural industries. In the field of cinema, for instance, 88 countries have never had their own film productions. Besides promoting diversity in those areas, the Convention seeks to reaffirm the links between culture, development and dialogue and to create a platform for international cooperation, including the creation of an international fund for cultural diversity.

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[http://portal.unesco.org/en/ev.php-URL\\_ID=29008&URL\\_DO=DO\\_TOPIC&URL\\_SECTION=201.html](http://portal.unesco.org/en/ev.php-URL_ID=29008&URL_DO=DO_TOPIC&URL_SECTION=201.html)

Convention on Underwater Cultural Heritage

[http://portal.unesco.org/culture/en/ev.php-URL\\_ID=2635&URL\\_DO=DO\\_TOPIC&URL\\_SECTION=201.html](http://portal.unesco.org/culture/en/ev.php-URL_ID=2635&URL_DO=DO_TOPIC&URL_SECTION=201.html)

Convention on Intangible Heritage

<http://www.unesco.org/culture/ich/index.php>

Convention on Cultural Diversity

[www.unesco.org/culture/en/diversity/convention](http://www.unesco.org/culture/en/diversity/convention)

The Yamato Declaration on Integrated Approaches for Safeguarding Tangible and Intangible Cultural Heritage

WHC-04/7 EXT.COM/INF.9

**ADDITIONAL**

Underwater Heritage from Treasure Hunters – UNESCO, Paris October 29 (No. 2001 – 118)

“Caribbean Underwater Cultural Heritage at Y2K”, published in *Memorias del Congreso Científico de Arqueología Subacuática ICOMOS - Mexico 2001*

“Caribbean Underwater Cultural Heritage in the Year 2001”, published in *Foundation Magazine*, Vo.1:1 (2001)

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**USEFUL WEB SITES**

UNESCO [www.unesco.org](http://www.unesco.org)

INTERPOL [www.interpol.int](http://www.interpol.int)

ICOM [www.icom.org/](http://www.icom.org/)

## SESSION 3 The World Heritage Convention: History, Principles and Objectives and Main Actors

**PRINCIPAL THEME:** This session provides a general overview to the operational framework of the World Heritage Convention and clarifies “who” does “what”.

SUBJECTS	LEARNING OBJECTIVES
3.1 The genesis of the World Heritage Convention	Participants learn how the concept of an heritage of universal value originated.
3.2 Principles and objectives of the World Heritage Convention	By going over the Operational Guidelines and different articles of the Convention participants become aware of the principles and objectives of the Convention.
3.3 Definition of cultural and natural heritage according to the World Heritage Convention	Participants learn what is to be considered cultural and natural heritage according to the World Heritage Convention.
3.4 The World Heritage List	Participants are introduced to the World Heritage List.
3.5 The World Heritage Convention Actors	Recipients understand functions and responsibilities of: The States Parties, The World Heritage Committee, The Advisory Bodies and The World Heritage Centre.

### OUTLINE OF SUBJECTS TO BE COVERED

#### 3.1 The genesis of the World Heritage Convention

The World Heritage Convention should be considered an innovative tool in the framework of heritage conservation for two main reasons: a) it introduces the concept of a heritage that is important for all human beings of this planet and that therefore common efforts should be mobilized to guarantee its protection for future generations; b) it is the only international treaty with the goal of conserving both cultural and natural heritage.

- a) The international concern, interest and campaign in 1959 for the safeguard of the temples of Abu Simbel, threatened by the construction of the Aswan High Dam in Egypt, can be seen as a milestone in crafting the concept of a common heritage. After an

appeal from the governments of Egypt and Sudan, UNESCO launched an international safeguarding campaign: archaeological research in the areas to be flooded was accelerated and the Abu Simbel and Philae temples were dismantled, moved to dry ground and reassembled. The campaign costed about US\$80 million, half of which was donated by some 50 countries, showing the importance of solidarity and nations’ shared responsibility in conserving outstanding cultural sites. Its success led to other safeguarding campaigns, such as saving Venice (Italy), Fez (Morocco), Katmandu (Nepal) etc.

- b) The idea of combining conservation of cultural and natural sites comes from the United States of America. A White House Conference in Washington, D.C., in 1965 called for a ‘World



Heritage Trust' that would stimulate international cooperation to protect 'the world's superb natural and scenic areas and historic sites for the present and the future of the entire world citizenry'.

In 1968, the International Union for Conservation of Nature (IUCN) developed similar proposals for its members.

These proposals were presented to the 1972 United Nations conference on the Human Environment in Stockholm, Sweden.

Finally in the same year a group of experts involving IUCN, ICOMOS and UNESCO, brought all the previous proposals together and crafted the Convention concerning the Protection of World Cultural and Natural Heritage, which was adopted by the General Conference of UNESCO in Paris on 16 November 1972. The Convention entered into force in 1975 and in 1978 the first 12 sites were inscribed on the World Heritage List<sup>1</sup>.

The Convention is much more than an international treaty. It is a living and evolving tool: the worldwide network of experts linked to its implementation meant that the Convention not only became a leading worldwide instrument in heritage conservation but also a think tank for a continuous reflection on the evolution of the significance and concept of heritage (e.g. the Convention was the first international legal instrument to recognize and protect cultural landscapes) and a laboratory for coping with the challenges imposed on heritage conservation by global changes (e.g. study on climate changes in world heritage properties)<sup>2</sup>. Therefore, in spite of the fact that the Convention is dedicated to sites of outstanding universal value its principles and achievements should serve as stimulus and inspiration to protect and preserve not only the sites inscribed on the World Heritage List, but also other sites whether they are of outstanding universal value or not.

### 3.2. Principles and objectives of the World Heritage Convention

The preamble of the Convention clarifies its mission: call upon the international aid and cooperation to avoid the disappearance and ensure the conservation of those heritage sites of outstanding universal value<sup>3</sup>.

The Convention, by encouraging States Parties to identify, protect and manage heritage properties and by providing scientific tools and technical assistance in order to do so, has fostered national identity and pride and has also allowed the identification and protection

of heritage sites that have so far not been given due attention and have remained ignored but which may be of great importance for a specific national culture and history. In this regard the implementation of the Global Strategy (see session 4), the thematic studies linked to it and the elaboration of tentative lists have been fundamental in making States Parties aware of their often rich cultural and natural heritage.

The main objectives of the Convention are:

- To foster international cooperation towards the conservation of our world's cultural and natural heritage;
- To encourage States Parties to nominate sites within their national territory for inclusion on the World Heritage List;
- To support States Parties in undertaking scientific and technical conservation research and adopt measures which give this heritage a function in the day-to-day life of the community;
- To support States Parties in establishing management plans and set up reporting systems on the state of conservation of their World Heritage sites;
- To assist States Parties in safeguarding World Heritage sites by providing technical assistance and professional training;
- To provide emergency assistance for World Heritage sites in immediate danger;
- To support States Parties' public awareness-building activities for World Heritage conservation.

### 3.3 Definition of cultural and natural heritage

The Convention defines the kind of natural or cultural sites which can be considered for inscription on the World Heritage List. These definitions are as exhaustive/broad as possible, in order to encompass all heritage categories that are represented in the world.

Art 1 defines what should be considered as "cultural heritage":

- monuments: architectural works, works of monumental sculpture and painting, elements or structures of an archaeological nature, inscriptions, cave dwellings and combinations of features, which are of outstanding universal value from the point of view of history, art or science;
- groups of buildings: groups of separate or connected buildings which, because of their architecture, their homogeneity or their place in the landscape, are of outstanding universal value from the point of view of history, art or science;
- sites: works of man or the combined works of nature and man, and areas including archaeological sites

<sup>1</sup> To find out more about the World Heritage Convention see <http://whc.unesco.org/en/convention/>

<sup>2</sup> See World Heritage Papers number 22

<sup>3</sup> See Preamble of the Convention.

which are of outstanding universal value from the historical, aesthetic, ethnological or anthropological point of view.

Art. 2 defines what should be considered as “natural heritage”:

- natural features consisting of physical and biological formations or groups of such formations, which are of outstanding universal value from the aesthetic or scientific point of view;
- geological and physiographical formations and precisely delineated areas which constitute the habitat of threatened species of animals and plants of outstanding universal value from the point of view of science or conservation;
- natural sites or precisely delineated natural areas of outstanding universal value from the point of view of science, conservation or natural beauty.

### 3.4 The World Heritage List is defined in art 11, 2 of the Convention

On the basis of the inventories submitted by States in accordance with paragraph 1, the Committee shall establish, keep up to date and publish, under the title of “World Heritage List,” a list of properties forming part of the cultural heritage and Natural heritage, as defined in Articles 1 and 2 of this Convention, which it considers as having outstanding universal value in terms of such criteria as it shall have established. An updated list shall be distributed at least every two years.

### 3.5 The World Heritage Convention Actors

#### The States Parties

The articles 5 to 7 of the Convention set out the duties of the States Parties in identifying potential sites and their role in protecting and preserving them and reporting on their state of conservation.

In particular art. 5 indicates how heritage should have an active role in everyday life: By signing the Convention, each country pledges to conserve not only the World Heritage sites situated on its territory, but also to protect its national heritage: “[to] ensure that effective and active measures are taken ... for the

adoption of a general policy to give cultural and natural heritage a function in the life of the community and to integrate protection of heritage into comprehensive planning programmes”. This article clearly shows that the whole heritage of a country can benefit of the efficient application of the principles and theoretical framework of the Convention.

The duties of the States Parties can be summarized as it follows:

- Identification of cultural and natural properties
- Protection and management of heritage sites
- Monitoring and Periodic Reporting on the state of conservation of World Heritage properties<sup>4</sup>
- Interpretation and promotion of World Heritage values<sup>5</sup>
- Cooperation towards the protection of all world heritage sites<sup>6</sup>.

#### The World Heritage Committee

The World Heritage Committee consists of representatives from 21 of the States Parties to the Convention elected by their General Assembly for terms up to six years. The election of members of the Committee shall ensure an equitable representation of the different regions and cultures of the world (from the LAC region Chile, Cuba and Peru are currently members of the Committee).

The Committee meets once a year and is responsible for the implementation of the Convention<sup>7</sup>:

- It defines the use of the World Heritage Fund and allocates financial assistance upon requests from States Parties.
- It has the final say on whether a site is inscribed on the World Heritage List. The Committee can also defer its decision and request further information on sites from the States Parties (see session 5).
- It examines reports on the state of conservation of inscribed sites, and asks States Parties to take action when sites are not being properly managed
- It decides on the inscription or deletion of sites on the List of World Heritage in Danger.

#### The Advisory Bodies

The sites to be nominated for WH listing are evaluated by the two Advisory Bodies as mandated by the Convention (see art. 14):

<sup>4</sup>The Convention stipulates the obligation of States Parties to report regularly to the World Heritage Committee on the state of conservation of their World Heritage properties. These reports are crucial to the work of the Committee as they enable it to assess the condition of the sites, decide on specific programme needs and resolve recurrent problems (see session 12).

<sup>5</sup>A very successful programme to enhance the protection of heritage properties through educational and information programmes is World Heritage in Young Hands implemented in close cooperation with the UNESCO Education sector: <http://whc.unesco.org/education/sindex.htm>. Launched in 1994 at the grassroots level by the UNESCO Associated Schools Project Network (ASPnet) and the World Heritage Centre, this Project gives young people a chance to voice their concerns and to become involved in the protection of the world's natural and cultural heritage. The World Heritage Educational Resource Kit entitled “World Heritage in young hands” was published by UNESCO in 1999 and is currently undergoing trial and being adapted in 700 Associated Schools in more than 130 countries and more than 20 national language versions are under preparation.

<sup>6</sup>By signing the Convention, each State Party pledges to preserve not only the World Heritage sites situated on its territory, but also to “recognize that such heritage constitutes a world heritage for whose protection it is the duty of the international community as a whole to co-operate” World Heritage Convention art.6.1

<sup>7</sup>Articles 7-13 of the Convention refer to the duties of the Committee.

- **ICOMOS - <http://www.icomos.org>**

The International Council on Monuments and Sites is a non governmental Organization based in Paris and provides the World Heritage Committee with evaluations of properties with cultural values proposed for inscription on the World Heritage List, as well as with comparative and thematic studies, technical assistance and reports on the state of conservation of inscribed properties.

- **IUCN - <http://www.iucn.org>**

The World Conservation Union, an international, nongovernmental organization founded in 1948, advises the World Heritage Committee on the inscription of properties with natural values. Through its worldwide network of specialists it reports on the state of conservation of World Heritage sites and provides scientific and technical support on a series of technical issues related to the conservation and management of natural heritage.

ICOMOS and IUCN work together for the evaluation of mixed (natural and cultural) properties, while IUCN also provides input, where relevant, to the ICOMOS evaluation of cultural landscapes.

- **ICCROM - <http://www.iccrom.org>**

The International Centre for the Study of the Preservation and Restoration of Cultural Property is an intergovernmental body based in Rome, which provides expert advice on how to conserve World Heritage sites, as well as training in restoration techniques. ICCROM has been involved in various world heritage training programmes amongst which Africa 2009 has proved to be very successful<sup>8</sup>.

The technical groups of experts linked to ICOMOS, ICCROM and IUCN provide a scientific and independent forum crucial for the implementation of the Convention<sup>9</sup>.

### **The World Heritage Centre (WHC)**

Created in 1992 the WHC is the secretariat of the Convention, has its headquarters in Paris and it is part of the UNESCO Culture Sector. Its mandate is to:

- Encourage Countries to sign the Convention
- Encourage States Parties to identify and propose sites for inscription on the World Heritage List
- Help States Parties safeguard World Heritage sites through different types of international assistance (see session 11)
- Encourage States Parties to set up reporting systems
- Maintain and disseminate official World Heritage information
- Organize statutory meetings

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<http://whc.unesco.org/en/convention/>

Operational Guidelines for the Implementation of the World Heritage Convention

<http://whc.unesco.org/en/guidelines>

#### **Useful web sites:**

The World Heritage Centre - <http://whc.unesco.org>

ICOMOS - <http://www.icomos.org>

IUCN - <http://www.iucn.org>

ICCROM - <http://www.iccrom.org>

<sup>8</sup><http://africa2009.net/english/home.asp>

<sup>9</sup>To find out more about the role of the Advisory Bodies and their experts groups see: <http://whc.unesco.org/en/advisorybodies/>.

## SESSION 4 The Global Strategy and the World Heritage Strategic Objectives

**PRINCIPAL THEME:** This session provides an overview of the evolution of the World Heritage List from the first inscriptions (1978) until today and analyzes the World Heritage List gaps and the strategies adopted to fill them

SUBJECTS	LEARNING OBJECTIVES
4.1 The World Heritage lists: Challenges and Trends.	Participants gain knowledge of the evolution of the World Heritage List.
4.2 The Global Strategy	Participants become aware of the results of this action plan aiming at filling the regional and thematic gaps of the World Heritage List.
4.3 Results of the Global Strategy in the Caribbean	Participants learn about the results of the Global Strategy.
4.4 The World Heritage Strategic Objectives	Participants are informed about the Strategic Objectives adopted by the World Heritage Committee in order to achieve an equitable balance between conservation, sustainability and development at world heritage sites.

### OUTLINE OF SUBJECTS TO BE COVERED

#### 4.1 The World Heritage lists: Challenges and Trends

The evolution of the WH list shows that in the first five years of life the List (the first inscriptions date from 1978) there was a tendency to list “iconic sites”; these sites were unique, well known worldwide and clearly met the “best of the best” status<sup>1</sup>. Their evaluation did not require much effort in terms of comparative and contextual analysis, the sites being exceptional and famous. The World Heritage Committee was able to reach a comfortable consensus on the outstanding universal value of such extraordinary heritage examples with basically no need for comparative studies.

If we look at the World Heritage List today, something has changed: in the last seven years only about 5% of the listed sites can be considered “iconic”<sup>2</sup>. This

significant inversion of percentages invites us to reflect on the evolution from the initial meaning of ‘outstanding universal value’ (see session 7), as “best of the best” into the alternative definition as “representative of the best”. The reason for this shift can be identified in the surprising popularity of the Convention, witnessed by the speed of States Parties in signing the Convention and the great number of nominations presented and the consequent rapid growth of the World Heritage List.

Since 1992 the World Heritage Committee has been expressing concerns about the meaning of outstanding universal value, its application and the geographical and thematic imbalance of the List<sup>3</sup>.

The World Heritage Committee was indeed aware that - if the Convention was to protect both natural and cultural heritage of outstanding universal

1 In the first five years, between 20% and 30% of listed sites could be considered iconic: Ngorongoro (Tanzania), one of the main sites of early hominid footprints; Memphis and the pyramid fields from Giza to Dahshur (Egypt), one of the seven wonders of the ancient world; Kathmandu Valley (Nepal), crossroads of the great civilizations of Asia; Historic Centre of Rome (Italy), centre of the Roman Republic and Roman Empire, then capital of the Christian world; Galapagos Islands (Ecuador), a living museum and showcase of evolution; Grand Canyon (USA), the most spectacular gorge in the world; Great Barrier Reef (Australia), the world's largest collection of coral reefs; etc.

2 E.g.: the Central Amazon site (Brazil), one of the planet's richest regions in terms of biodiversity.

3 In the List there was (and still there is) a great unbalance between natural and cultural properties. Moreover analysis showed that most of the sites are located in the European region and there is a prevalence of certain heritage categories such as Christian religious architecture, whereas sites from other heritage categories and regions of the world are not represented. As a result of this study, regions like the Caribbean, the Pacific and Africa were marked as underrepresented as well as heritage categories such as modern architecture, industrial sites, rural landscapes and canals and earthen architecture, to name but a few.

value-something needed to be changed in the application of the criteria (see session 6). The new challenge was, in fact, to ensure that the heritage in a broader framework would be equally represented (geographical balance) and express the cultural diversity and the way in which people interact with nature (thematic balance). In order to “rectify the imbalances on the List between regions of the world, types of monuments, and periods, and at the same time a move away from a purely architectural view of the cultural heritage of humanity towards one which was much more anthropological, multi-functional and universal<sup>4</sup>” the World Heritage Committee adopted the Global Strategy for a balanced, representative and credible WH List<sup>5</sup> in 1994.

## 4.2 The Global Strategy

The Global Strategy consisted of an action plan centered on 2 broad categories of universal application: “human coexistence with the land”<sup>6</sup> and “human beings in society”. These were further articulated in a series of thematic studies and groups of experts that looked at issues such as modern architecture, industrial archaeology, cultural landscapes etc.<sup>7</sup>.

The aim of the Global Strategy was in fact to encourage a wide range of nominations from diverse cultures and regions.

By promoting a thematic approach, the Global Strategy opened the perspective onto “a representative selection of the best” and allowed the following elucidations:

- The thematic approach benefits countries in areas of economic and sustainable development, and enhances the role of heritage in fostering national pride and cultural identity;
- Theme studies will identify more and more potential nominations but it is crucial to define the scientific scope and depth of each theme so that they can still warrant inscription because of their outstanding universal value;
- It is no longer feasible to limit the List to the “best of the best”.

The evaluation of the implementation of the Global Strategy presented at the 31st session of the World Heritage Committee in 2007 showed that:

- Since the launching of the Global Strategy, more than 40 new countries have ratified the World

Heritage Convention, many from small Pacific Island States, Eastern Europe, Africa and Arab States.

- The number of States Parties who have submitted Tentative Lists complying with the format established by the Committee has grown from 33 to 132.
- New categories for World Heritage sites have also been promoted, such as cultural landscapes, itineraries, industrial heritage, deserts, coastal-marine and small-island sites.
- Important conferences and thematic studies aimed at implementing the Global Strategy have been held in Africa, the Pacific and Andean sub-regions, the Arab and Caribbean regions, Central Asia and South-East Asia.

## 4.3 Results of the Global Strategy in the Caribbean

During the past ten years, the World Heritage Committee and the World Heritage Centre have paid particular attention to the Caribbean region as the Caribbean Island States were considered under-represented on the World Heritage List. More than 10 meetings seminars and conferences have been organized in the framework of the implementation of the Global Strategy for a more balanced and credible list. As a result of all these efforts the number of properties inscribed in the World Heritage List has increased from 4 in 1995 to 19 in 2007 and since 1995 5 new state parties have signed the World Heritage Convention; Suriname in 1997; Grenada in 1998; Barbados in 2002; St. Vincent and the Grenadines in 2003 and Trinidad & Tobago in 2005.

These numbers clearly show that the region responded in a positive way to implementation of the Global Strategy and an enormous progress has been made; However, in spite of all this progress, as underlined in the Latin America and The Caribbean periodic report - most of the Caribbean State Parties are still lacking the capacity and expertise needed to enable full protection and management of present World Heritage sites and to identify new potential sites and protected areas.

In fact, with some exceptions and in spite of the many thematic and regional workshops organized in the region, the new nominations and the tentative list tend to reflect a rather classic/obsolete conception of heritage and the identification of sites according to heritage categories less represented on the WH list has proved difficult.

4 Report of the Expert Meeting on the “Global Strategy and thematic studies for a representative World Heritage List”. (UNESCO headquarters, 20-22 June 1994). WHC-94/CONF.003/INF.6. p. 4.

5 Balance is not about numbers, but about representativity for bio-geographical regions or events in life history; it refers to the thematic representation of heritage categories/typologies. Credibility refers to ensuring a rigorous application of the criteria established by the Committee. Representativity refers to filling the gaps in the World Heritage List by ensuring the representation of properties of outstanding universal value from all regions on the World Heritage List.

6 Human coexistence with the land included: movement of peoples, settlement, modes of subsistence, and technological evolution; human beings in society included human interaction, cultural coexistence and spiritual/creative expression.

7 As requested by the World Heritage Committee or as necessary, ICOMOS and IUCN carry out thematic studies to evaluate proposed World Heritage properties in their regional, global or thematic context. These studies should be 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 those studies already completed may be found in section III of Annex 3 of the Operational Guidelines, and on the Web addresses of the Advisory Bodies (E.g. ICOMOS thematic group of experts at: [whc.unesco.org/archive/93-2-f04.htm](http://whc.unesco.org/archive/93-2-f04.htm) and [www.icomos.org/studies/viticoles/viticoles27.pdf](http://www.icomos.org/studies/viticoles/viticoles27.pdf)).



This situation caused – to name but a few - by:

- Lack of clear understanding of the concepts of significance, values, authenticity and integrity and their relevance for identification, management and conservation of heritage site;
- Lack of integration of heritage issues into broader planning and development schemes (which causes major conflicts between development and conservation)
- Lack of institutional continuity;
- Lack of documentation, systematization and analysis of data;

Lack of financial and human resources (e.g. National and local institutions losing highly skilled staff to economically more attractive countries or international organizations).

#### 4.4 The World Heritage Strategic Objectives are another tool for the implementation of the Convention

Generated in the framework of the reflections for the thirtieth anniversary of the Convention and of the United Nations Year for Cultural Heritage, the World Heritage Committee adopted the Budapest Declaration during its 25th session (Budapest, 2002), by which it accepted, together with its partners, “to cooperate and promote” four strategic objectives – commonly called the “4Cs” - namely:

- a. to strengthen the credibility of the World Heritage List, as a representative and geographically balanced testimony of cultural and natural properties of outstanding universal value;
- b. to ensure the effective conservation of World Heritage properties;
- c. to promote the development of effective capacity-building measures, including assistance for preparing the nomination of properties for the World Heritage List, for the understanding and implementation of the World Heritage Convention and related instruments;
- d. to increase public awareness, involvement and support for World Heritage through communication.

Since 2002, most of the programmes and projects promoted and supported by the World Centre have been structured around these 4 strategic objectives. Take the Periodic Report Action Plan for Latin America and the Caribbean, as well as several national plans for World Heritage e.g. Belize and Trinidad and Tobago.

The analysis of the implementation of the 4 Cs was presented at the 31st session of the World Heritage Committee in July 2007 in Christchurch (New Zealand)<sup>12</sup>. The Committee praised States Parties to the Convention for their commitment in the implementation of the four strategic objectives and strongly encouraged them to pursue their efforts; furthermore, recognizing the critical importance of involving indigenous, traditional and local communities in the implementation of the Convention, decided to add a fifth strategic objective: namely “communities”<sup>13</sup>:

*To enhance the role of the Communities in the implementation of the World Heritage Convention*<sup>14</sup>.

The adoption of this 5th C confirms that the Committee is giving increasing attention to the crucial role that communities play in ensuring an equitable balance between conservation, sustainability and development; for instance in the case of the Caribbean, the LAC Periodic Report showed that in the Caribbean, the preservation of heritage is to a great extent assumed by non-governmental and community-based organizations<sup>15</sup>.

The idea of ‘popular participation’ as a necessary ingredient of sustainable development was iterated in a number of important international documents leading up to the 1992 Earth Summit, and at Rio itself, where Principle 10 of the Declaration emphasized that ‘environmental issues are best handled with the participation of all concerned citizens.’

In effect the active involvement of local communities in all the heritage processes related to the identification and conservation of sites (elaboration of tentative list and nomination files and management plans) has two main advantages: World Heritage properties can be better protected and managed and the quality of life (social and economic development) of the same communities improved.

That said, it has to be underlined that often capacity building programmes need to be implemented prior to the involvement of the communities, in order to ensure the understanding of the World Heritage Convention and associated concepts as well as a wide variety of issues related to the conservation and management of cultural and natural heritage, and thus enable all stakeholders to actively and effectively participate in heritage endeavours<sup>16</sup>.

<sup>12</sup> See WHC-07/31.COM/13B available at <http://whc.unesco.org/en>

<sup>13</sup> Communities, as stated in the document WHC-07/31.COM/13B, p. 2 are all forms of non-State actors. “That is, from the smallest groups of citizens, in whichever form they manifest themselves. They may range from groupings of peoples as indigenous, traditional and/or local peoples. They may be presented as, inter alia, community groups, tribes, nongovernmental organizations, private enterprise and/or local authorities. The defining characteristic of communities, in this setting, is what they possess. They all possess a direct connection, with relevant interests, to individual sites and often they have a connection that has endured over time. Typically, these communities share a close proximity with the sites in question. These peoples and/or entities are not necessarily directly representing official State positions, and may actually be in dissent from official positions”.

<sup>14</sup>

<sup>15</sup> WHC-04/28.COM/16e, p.65.

<sup>16</sup> On the Capacity Building needs in Latin America and the Caribbean see LAC Periodic Report p.101.

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# SESSION 5 The Process for the Inscription of Properties on the World Heritage List: the Tentative List

**PRINCIPAL THEME:** This session analyzes the role of the Tentative Lists in the nomination cycle

SUBJECTS	LEARNING OBJECTIVES
5.1 The Tentative List	Participants become aware of the crucial role played by the tentative lists in the nomination cycle.
5.2 Tentative List Format	Participants analyze the tentative list format and get some suggestions for the elaboration of a tentative list .
5.3 Tentative Lists in the Caribbean	Participants are informed on the current situation of the tentative lists in the Caribbean and of the results of the St. Vincent Meeting (2003) on <i>The Harmonization of Tentative Lists and to explore possibilities for Transboundary and Serial Nominations for Eastern Caribbean Island States</i> .

## OUTLINE OF SUBJECTS TO BE COVERED

### 5.1 The Tentative List

**The Tentative List is the first step in the process for the inscription of properties on the World Heritage List.**

The *Convention* (art. 11) requests each State Party to submit an inventory of the cultural and natural properties situated within its territory, which it considers suitable for inscription on the World Heritage List, and which it intends to nominate during the following five to ten years: the tentative list.

**Inclusion in the Tentative List is mandatory for all properties which the State Party intends to nominate for inscription on the World Heritage List.**

**Tentative Lists are dynamic: there is no deadline for their submission and they can be updated anytime, although States Parties are encouraged to re-examine and re-submit them at least every ten years.**

According to paragraph 65 of the *Operational Guidelines*<sup>1</sup>, States Parties shall submit Tentative Lists preferably at least one year prior to the submission of any nomination.

The Tentative List should be submitted in the appropriate format<sup>2</sup> and rigorously in English or French to the World Heritage Centre. The World Heritage Centre checks the completeness of the list, sends a notification to the State Party and prepares

the document with an overview of all the tentative lists to be presented at the World Heritage Committee meeting. All the Tentative Lists are now available on the world heritage website and States Parties are encouraged to analyze them<sup>3</sup>.

### 5.2. Tentative List Format

The new standard format for Tentative Lists set out in the *Operational Guidelines 2005* (Annex 2), is basically a summary of a nomination file and is considerably more complicated than the old one.

The new format includes the name of the property, its geographical location, a brief description, and justification of its Outstanding Universal Value composed of three parts: justification of the selected criteria (see session 6), statements of authenticity and/or integrity (see session 8), and comparison with other similar properties.

The reason why this new format became so complicated and the requirements to fill it in so rigorous is that, increasingly, **tentative lists are considered by the Advisory Bodies and the Committee as a screening and planning tool to define the “Outstanding Universal Value” of each property to be nominated, have an overview of the comparative analyses of future nominations and better assess the undertaking of the global and thematic studies.**

### Suggestions for the drafting of Tentative Lists

The elaboration of a tentative list can be quite a lengthy process, depending on a series of factors such as:

<sup>1</sup> Articles 62-67 of the Operational Guidelines are relevant for the preparation of Tentative Lists.

<sup>2</sup> This format is available online: <http://whc.unesco.org/en/tentativelists>

<sup>3</sup> <http://whc.unesco.org/en/tentativelists>



existence of a good national inventory system, availability of scientific and accessible documentation, coordination amongst institutions responsible for heritage properties, effective legal framework, to name but a few. Indeed, there are many prerequisites for the elaboration of a tentative list.

Below is a series of suggestions useful when drafting a Tentative List:

- The compilation of tentative lists should be done by interdisciplinary groups/committees with representatives of all stakeholders who have an interest in the property;
- Tentative Lists should be seen as part of the effort of conservation of national heritage;
- Properties on Tentative Lists should have national and/or other appropriate recognition and be

protected by a legal framework;

- The compilation of Tentative Lists should involve local communities and indigenous peoples and should include public consultation where appropriate;
- The compilation of Tentative Lists should take account of the Global Strategy, comparative studies and the Advisory Bodies gap analysis;
- The preparation of Tentative Lists should pay due regard to other international conventions and programmes;
- In preparation of their Tentative Lists, States Parties should be rigorous in their local evaluation to ensure that expectations of inscription match reality;
- States Parties with no Tentative Lists should be encouraged to request preparatory International Assistance if necessary for preparing their Tentative List (see session 11);

### 5.3 TENTATIVE LISTS IN THE CARIBBEAN (August 2007)

Country	Tentative list	Comments
Antigua and Barbuda		
Barbados	18/01/2005	
Belize		In March 2005, the World Heritage organized a 4 day interactive seminar: <i>Towards A Belize World Heritage Strategy</i> . The country is currently working towards the preparation of its Tentative List.
Cuba	28/02/2003	
Dominica	República Dominicana	The only site on the Dominica Tentative list was the Morne Trois Pitons, which was inscribed on the World Heritage List in 1997.
Dominican Republic	05/04/2002	
Grenada	05/08/2004	
Haiti	21/09/2004	
Jamaica	28/08/2006	
Saint Kitts and Nevis	17/09/1998	
Saint Lucia	24/12/2002	
Saint Vincent and the Grenadines		
Suriname	12/11/1998	
Trinidad and Tobago		Trinidad and Tobago ratified the World Heritage Convention in 2005 and in August 2006 a 3 day training seminar on <i>The Implementation of the World Heritage Convention and the Development of the National Tentative List</i> was organized by the World Heritage Centre. The country is working towards the preparation of its Tentative List

## The results of the St. Vincent meeting (2003)

Since the launch of the Global Strategy several regional meetings on harmonization of Tentative Lists have been organized in different regions of the world with the aim of identifying new sites to be nominated and those for possible inclusion as transnational and transboundary properties.

In the Caribbean such a meeting was organized by the World Heritage Centre in 2003, namely the **St. Vincent Meeting**; *Meeting on the Harmonization of Tentative Lists and to explore possibilities for Transboundary and Serial Nominations for Eastern Caribbean Island States*.

During this meeting a total of eighteen Caribbean resource persons (representatives from Antigua and Barbuda, Barbados, Dominica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Trinidad and Tobago, and the French Overseas Department of Guadeloupe) explored possibilities to improve the representativity of the Caribbean region on the World Heritage List, and in particular to enhance possibilities for small Caribbean island states to nominate their heritage through a cooperative process and a more thematic approach based on current gaps in the list below.

The participants concluded that, in principle, the establishment of a Tentative List could serve multiple functions and needs, not necessarily only relating to World Heritage nomination and listing: it is primarily a tool for planning, enabling prioritization and proper management of resources for heritage conservation.

**For cultural heritage**, it was agreed to aim for a prioritization of the Slave Route Project as well as Caribbean Fortifications as potential Caribbean-wide serial nominations;

**For natural heritage**, priority should be given to nominations focusing on volcanic landforms, which run over the complete arc of Eastern Caribbean islands, as well as marine sites and dry forests;

The **Tobago Cays** were indicated as part of a potential transboundary nomination between Grenada and Saint Vincent and the Grenadines, comprising a large marine site.

## BIBLIOGRAPHY CORE

### *Operational Guidelines for the Implementation of the World Heritage Convention*

<http://whc.unesco.org/en/guidelines>

### *World Heritage Information Kit*

<http://whc.unesco.org/>

### *Latin America and the Caribbean Periodic Report 2004*

<http://whc.unesco.org/en/series/18/>

### Useful web sites:

The World Heritage Centre - <http://whc.unesco.org>

ICOMOS - <http://www.icomos.org>

IUCN - <http://www.iucn.org>

ICCROM - <http://www.iccrom.org>

# SESSION 5bis The Process for the Inscription of Properties on the WH List

**PRINCIPAL THEME:** This session goes over the nomination cycle: actors involved, prerequisites, documentation required, deadlines, evaluation process, types of nominations

SUBJECTS	LEARNING OBJECTIVES
5.1 bis. The main actors involved in the nomination process	Participants become aware of who makes what in the nomination process.
5.2 bis. The Nomination process	Participants learn about the requirements, deadlines, procedures and documentation needed to prepare a nomination file.
5.3 bis. The Nomination Format	Participants learn about the different components of the nomination format.
5.4 bis. Different types of nominations	Participants are introduced to serial, transboundary, transnational and emergency nominations.

## OUTLINE OF SUBJECTS TO BE COVERED

### 5.1 bis. The main actors involved in the nomination process

State Parties authorities (usually Ministries of Culture, Environment or Education) are the only entities entitled to choose, prepare, submit and sign the nomination file.

The sites to be nominated can be cultural, natural or mixed (with natural and cultural values)<sup>1</sup>.

The World Heritage Centre offers to States Parties preparatory assistance throughout the nomination process (see session 11), checks the completeness of the nomination files transmits the complete ones to the Advisory Bodies and submits at each Committee session a list of all nominations received.

ICOMOS and IUCN make a technical evaluation of the documentation received and visit the site to 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<sup>2</sup>.

1 Guidelines for the inscription of specific types of properties on the world heritage list are contained in annex 3.  
2 The procedures and format of ICOMOS and IUCN evaluations are described in Annex 6 of the Operational Guidelines.

On the base of this assessment the Advisory Bodies make their recommendations under three categories:

1. properties which are recommended for inscription without reservation;
2. properties which are not recommended for inscription;
3. nominations which are recommended for referral or deferral

The World Heritage Committee on the basis of the recommendations of ICOMOS and IUCN decides whether a property should or should not be inscribed<sup>3</sup> on the World Heritage List, referred<sup>4</sup> or deferred<sup>5</sup>.

### 5.2 bis. The Nomination process

The World Heritage Committee is becoming very strict and demanding with respect to the requirements that World Heritage sites have to meet in order to

3 See Operational Guidelines. art. 158. If the Committee decides that a property should not be inscribed on the World Heritage List, 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.  
4 See Operational Guidelines. art. 159. The Committee request the State Party to provide additional information – the nomination can be presented the following year. This does not imply the submission of a new nomination file.  
5 See Operational Guidelines. art. 160. The Committee request the State Party for more in-depth assessment or study. In this case a new nomination file has to be presented.

be included on the List; the nomination process can be very lengthy and costly depending on the specific conditions of the sites and on the legislative and normative framework of the State Party.

These conditions are clearly stated in articles 97 and 98 of the Operational Guidelines.

**Art. 97** *ALL properties inscribed on the WH List MUST have adequate long term legislative, regulatory, institutional and or traditional protection and management to ensure their safeguarding. This protection should include adequately delineated boundaries.*

**Art. 98** *Legislative and regulatory measures at national and local levels should assure the survival of the property and its protection against development and change that might negatively impact the outstanding universal value, or the integrity and/or authenticity of the property.*

Indeed, when choosing a site from their national tentative lists, States Parties have first to make sure that the property has a legal and administrative framework that guarantee the effective conservation and management of the property to future generations.

**Participation of local people** in the nomination process is essential to enable them to have a shared responsibility with the State Party in the maintenance of the property. States Parties are encouraged to prepare nominations with the participation of a wide variety of stakeholders, including site managers, local and regional governments, local communities, NGOs and other interested parties.

Each State Party can present only ONE nomination per year.

A State Party may **withdraw** a nomination at any time prior to the Committee session at which it is scheduled to be examined.

Once a site is inscribed on the list States Parties can present modifications to the boundaries, to the criteria used to justify inscription or to the name of a World Heritage property<sup>6</sup>.

Nominations may be submitted at any time during the year, but only those nominations that are "complete" (see paragraph Error! Reference source not found.) and received by the Secretariat on or before 1 February will be considered for inscription on the World Heritage List by the World Heritage Committee during the following year.

**This cycle normally lasts one and a half years between submission in February of Year 1 and the decision of the Committee in June of Year 2<sup>7</sup>.**

The nominations should be presented in the appropriate format along with the required documentation in two copies for cultural and three for natural properties and rigorously in French or English.

**3.The Nomination Format** includes the following sections<sup>8</sup>:

- **Identification of the Property**

The boundaries- core and buffer zone of the property being proposed shall be clearly defined. Officially up-to-date published topographic maps of the State Party annotated to show the property boundaries shall be provided.

- **Description of the Property**

Shall include the identification of the property, and an overview of its history and development. All component parts that are mapped shall be identified and described. In particular, where serial nominations are proposed, each of the component parts shall be clearly described.

- **Justification for Inscription**

This section is the heart of the nomination file: should clarify why the property is worth world heritage listing; it includes: an indication of the criteria (see session 6) under which the property is proposed, together with a clearly stated argument for the use of each criterion; statement of Outstanding Universal Value (see session 7); comparative analysis of the property in relation to similar properties, whether or not on the World Heritage List, both at the national and international levels, shall also be provided. The comparative analysis shall explain the importance of the nominated property in its national and international context; statements of integrity and/or authenticity (see session 8).

- **State of conservation and factors affecting the property**

This section shall include accurate information on the present state of conservation of the property (including information on its physical condition of the property and conservation measures in place). It shall also include a description of the factors affecting the property (including threats). 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.

- **Protection and Management**

Shall include the list of the legislative, regulatory, contractual, planning, institutional and or traditional measures most relevant to the protection of the

<sup>6</sup> See Operational Guidelines art. 163-167.

<sup>7</sup> See Operational Guidelines art.168, timetable for preparation of nominations

<sup>8</sup> The nomination format is contained on the Operational Guidelines annex

property and provide a detailed analysis of the way in which this protection actually operates. Legislative, regulatory, contractual planning and/or institutional texts, or an abstract of the texts, shall also be attached in English or French. An appropriate management plan or other management system is essential and shall be provided in the nomination.

- **Monitoring**  
States Parties shall include the key indicators proposed to measure and assess the state of conservation of the property,
- **Documentation**  
Photos, Maps etc as needed
- **Contact Information of responsible authorities**
- **Signature on behalf of the State Party**

#### 4. Different types of nominations

When a nomination occurs on the territory of all concerned States Parties having adjacent borders is a **transboundary nomination**. Wherever possible, transboundary nominations should be prepared and submitted by States Parties jointly. It is highly recommended that the States Parties concerned establish a joint management committee or similar body to oversee the management of the whole of a transboundary property.

**A serial nomination** is a collection of sites not physically connected provided it is the series as a whole belonging to:

- the same historico – cultural group;
- the same type of property which is characteristic of the geographical zone;
- the same geological, geomorphological formation, the same biogeographic province, or the same ecosystem type;

**A serial nominated** property may occur within the territory of different States Parties, which need not be contiguous and is nominated with the consent of all States Parties concerned (**serial transnational property**)

**Serial nominations**, whether from one State Party or multiple States, **can be submitted in different stages** provided that the first property nominated is of outstanding universal value in its own right.

**The possibility for Caribbean Serial transnational nomination was discussed in several occasions, (e.g. fortifications and pre-Columbian archaeology); but until today the differences in inventory and management systems and lack of cooperation amongst States Parties have been a major impediment.**

**Nominations to be processed on an emergency basis**  
**If a property suffered damage or face serious and specific dangers from natural events or human activities** and, if according to the evaluation of the relevant Advisory Bodies, still meet unquestionably the criteria for inscription, is processed on an emergency basis and can be inscribed simultaneously on the World Heritage List and on the List of World Heritage in Danger (see session 11)<sup>9</sup>. There are not many properties inscribed on an emergency base one of the most recent case was the Bamyian Buddhas.

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<sup>9</sup> See Operational Guidelines art. 161-162.

## SESSION 6 Criteria for inscription on the World Heritage List

**PRINCIPAL THEME:** This session explains the 10 World heritage criteria and provides examples of their application at world heritage sites in the Caribbean

SUBJECTS	LEARNING OBJECTIVES
6.1 The World Heritage Criteria	Participants learn about cultural and natural world heritage criteria and become aware of how the evolution of the concept of cultural heritage has had an impact on their application.
6.2 Cultural Heritage Criteria	Participants learn about the application of cultural heritage criteria at different Caribbean sites.
6.3 Natural Heritage Criteria	Participants learn about the application of natural heritage criteria at different Caribbean sites.
6.4 Updated List of the World Heritage sites in the Caribbean	In an analysis of the List, participants are familiarized with the criteria that have been used at the different sites in the Caribbean.

### OUTLINE OF SUBJECTS TO BE COVERED

#### 6.1 The World Heritage criteria

To be included on the World Heritage List, sites must be of outstanding universal value and meet at least one out of ten selection criteria. These criteria are explained in the *Operational Guidelines for the Implementation of the World Heritage*<sup>1</sup>. These criteria were formerly presented as two separate sets of criteria - criteria (i) - (vi) for cultural heritage and (i) - (iv) for natural heritage.

At the 6th extraordinary session of the World Heritage Committee in 2004 and with the adoption of the revised *Operational Guidelines* in 2005 the Committee decided to merge the criteria<sup>2</sup> resulting in today's single set of ten criteria.

The criteria are regularly revised by the Committee to reflect evolution in the concept of World Heritage itself.

Indeed the concept of cultural heritage is dynamic and the term 'cultural heritage' has not always meant what it means now. Recent decades have seen the concept of heritage—much like that of culture—undergoing profound changes.

Having at one time referred exclusively to the monumental remains of cultures, heritage has gradually come to include new heritage categories (e.g. intangible, see session 2) and new heritage dimensions.

**One could say that over the past years the conceptual focus of cultural heritage has shifted along three interrelated and complementary axes: 1) from monuments to people; 2) from objects to functions; and thus 3) from conservation per se to purposeful preservation, sustainable use, and development.**

<sup>1</sup> See Operational Guidelines 2005, art. 49 and 77

<sup>2</sup> See Decision 6 EXT.COM 5.1 A different numbering was given to the natural heritage ones.



## 6.2 Cultural Heritage Criteria

The number of cultural criteria used for each property is variable. In some cases only one criterion has been used, while in others even five or six. To these should be added natural criteria in the case of mixed properties. On average, two or three criteria are used to justify a single property. One criterion has been used in 14% of properties; two criteria in 42%, three criteria in 30%, four criteria in 10%, five criteria in 4% of all properties. All six cultural criteria have only been used in three cases: Mount Taishan (China), the Mogao Caves (China) and Venice and its Lagoon (Italy).

- **Criterion i: “Represent a masterpiece of the creative genius.”** Criterion (i) is used alone only in a couple of cases, while it is often coupled with other criteria. For example, criterion (ii) is associated with criterion (i) in 56% of the cases when it is used, which shows that (i) and (ii) can reinforce each other. The Committee has generally insisted that the use of this criterion should be restricted to cases that really merit it<sup>3</sup>.

Taking a look at the application of criterion (i), one can note a change in the frequency of its use. In the early years of the Committee, it was used recurrently, often in more than 50% of sites per year.

In the 1990s, instead, there has been a reduction in its use to 15 or 20%, with some exceptions more recently. Clearly such statistical information does not tell the whole story, and is only an indication. Much depends on the types of nominated sites and their qualities. In fact, while in the early years many sites were well-known artistic masterpieces, or ‘iconic sites’, later nominations have often represented ‘vernacular sites’, which have been justified under other criteria.

In later years, there has been an increasing number of nominations, which are less aesthetically and more technically oriented. This is without any doubt a consequence of the implementation of the Global Strategy, which fosters the identification of heritage categories less represented and seeks regional balance in the List (see session 4).

There are no sites in the Caribbean inscribed under this criterion, whereas in Latin America there are a few. The most recent example of the application of this criterion from Central America comes from Mexico the Central University City Campus of the Universidad Nacional Autónoma de México (UNAM), inscribed in 2007 under criteria i, ii and iv.

<sup>3</sup> See WHC-98/CONF.201/INF.11

It has to be noted that in this case criterion i was suggested by ICOMOS as in the original nomination file presented by the State Party the property was proposed under criteria ii, iv and vi. The justification of the use of this criterion reads as follows:

*ICOMOS proposes the inclusion of criterion i, on the basis of the consideration of the uniqueness of the case in the sense that it constitutes a collective creation in the framework of a master plan related to paradigms of social and cultural modernity.*

- **Criterion 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.**

The application of criterion (ii) has gradually increased particularly in the 1990s, reaching 80% of nominations in some years. Criterion (ii) has often been associated with criterion (i), which indicates that many important achievements of “creative genius” have also had great impact, *on developments in architecture or technology, monumental arts, town planning or landscape design* (which is not surprising).

From the Caribbean Region the most recent application of criterion ii was in the nomination of the **Paramaribo in Suriname**<sup>4</sup>. The justification of the use of this criterion reads as follows:

*Criterion ii: Paramaribo is an exceptional example of the gradual fusion of European architecture and construction techniques with indigenous South America materials and crafts to create a new architectural idiom.*

- **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.**

This criterion has been applied almost exclusively to archaeological sites.

**From the Caribbean Region the only application of this criterion is the nomination of the Archaeological Landscape of the First Coffee Plantations in the Southeast of Cuba**<sup>5</sup>. The justification of the use of this criterion reads as follows:

<sup>4</sup> The Urban Historic Centre of Paramaribo was inscribed on the World Heritage List in 2002 under criteria ii and iv. Paramaribo is a former Dutch colonial town from the 17th and 18th centuries planted on the northern coast of tropical South America. The original and highly characteristic street plan of the historic centre remains intact. Its buildings illustrate the gradual fusion of Dutch architectural influence with traditional local techniques and materials. <http://whc.unesco.org/en/list>.

<sup>5</sup> This site was inscribed in 2000 under criterion iii. The remains of the 19th-century coffee plantations in the foothills of the Sierra Maestra are unique evidence of a pioneer form of agriculture in a difficult terrain. They throw considerable light on the economic, social, and technological history of the Caribbean and Latin American region. See <http://whc.unesco.org/en/list>.

**Criterion iii:** The remains of the 19th and early 20th century coffee plantations in eastern Cuba are a unique and eloquent testimony to a form of agricultural exploitation of virgin forest, the traces of which have disappeared elsewhere in the world.

- **Criterion 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.**

**Overall this criterion (iv) has been the most-used of the ten.** Taking the different types of properties to which this criterion has been applied, 26% are religious properties, 20% historic towns, 14% military structures and 11% cultural landscapes. The application of criterion (iv) has sometimes been considered the easiest way to justify a property which does not seem to fit the other criteria. You need a footnote!

From the Caribbean Region several sites have been inscribed under this criterion, amongst which **Brimstone Hill Fortress National Park in St. Kitts and Nevis**<sup>6</sup>. The justification of the use of this criterion reads as follows:

**Criterion iv:** *Because of its strategic layout and construction, Brimstone Hill Fortress is an exceptional and well preserved example of 17th and 18th century British military architecture.*

- **Criterion 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.**

**This criterion is the least used of cultural criteria.** It would also seem that there is some ambiguity in its use. **At first it was associated with historic towns, but with time, the notion of “irreversible change” or “vulnerability” has become more emphasized and rural land use, such as agriculture, has recently been included under this criterion.**

From the Caribbean Region the only three sites where this criterion has been used are all located in Cuba, being Havana, Trinidad, and the **Castle of San Pedro de la Roca**<sup>7</sup>. In this last

case the justification of the use of this criterion reads as follows:

**Criterion v:** *The Committee decided to inscribe this property on the basis of criteria (iv) and (v), considering that the Castle of San Pedro de la Roca and its associated defensive works are of exceptional value because they constitute the largest and most comprehensive example of the principles of Renaissance military engineering adapted to the requirements of European colonial powers in the Caribbean.*

- **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**

**The Committee considers that this criterion should preferably be used in conjunction with other criteria and** there are only few cases where this criterion was used on its own (e.g; Auschwitz Concentration Camp).

**This criterion refers to the intangible and associated values of a heritage property.** The intangible dimension has become increasingly important in the ever-broadening definition of the concept of cultural heritage (see session 2)<sup>8</sup>.

In the 1980s, criterion (vi) was used in some 30% of the sites, while in the 1990s its use was limited to 10-15%. Since 2001, its use has again tended to increase. These changes show that in spite of restrictions, the criterion has continued to be well-justified in many cases. The more recent increase may also reflect an increased attention to living culture and the intangible aspects associated with heritage sites.

This criterion has been applied mostly to religious and spiritual systems (e.g. traditional beliefs, such as Great Zimbabwe) and memorials of the Second World, but its use has also been associated with sites that recall colonization processes, exploration of new lands and the development of trade on the world scale, including sites linked with the slave trade across the Atlantic.

**The only two Caribbean sites that have been inscribed under this criterion are the Colonial City of Santo Domingo and the Citadelle of Haiti**<sup>9</sup> – this last one associated with the fight against slavery. The justification of the use of this criterion reads as follows:

<sup>6</sup> This site was inscribed in 1999 under criteria iii and iv. The brief description of the site contained on the WH site reads: “Brimstone Hill Fortress National Park is an outstanding, well-preserved example of 17th- and 18th-century military architecture in a Caribbean context. Designed by the British and built by African slave labour, the fortress is testimony to European colonial expansion, the African slave trade and the emergence of new societies in the Caribbean”.

<sup>7</sup> This site was inscribed in 1997 under criteria iv and v. The brief description of the site contained on the WH site reads: “Commercial and political rivalries in the Caribbean region in the 17th century resulted in the construction of this massive series of fortifications on a rocky promontory, built to protect the important port of Santiago. This intricate complex of forts, magazines, bastions and batteries is the most complete, best-preserved example of Spanish-American military architecture, based on Italian and Renaissance design principles. See <http://whc.unesco.org/en/list>”.

<sup>8</sup> Several expert meetings, initiatives and studies have been organized by UNESCO to promote an Integrated Approaches for Safeguarding Tangible and Intangible Cultural Heritage. In particular the Yamato declaration stressed the need to elaborate on integrated and consistent approaches for safeguarding tangible and intangible cultural heritage, taking into account the interdependence and differences between them. See WHC-04/7 EXT.COM/INF.9

<sup>9</sup> The National Historic Park – Citadelle, Sans Souci, Ramiers is one of the earliest inscriptions (1982) from the Caribbean region. This group of monuments (the Palace of Sans Souci, the buildings at Ramiers and the Citadelle) dating from the beginning of the 19th century serve as a universal symbol of liberty, as they were the first to be built by black slaves who had gained their freedom. The site also benefited from a 10-year international restoration campaign financed by UNDP/UNESCO (1979-1989) which helped the local authorities and experts to carry out major consolidation and restoration works, mainly at the Citadelle.



**Criterion vi:** *In addition, these monuments, which form Henry Christophe's bequest to the Haitian people, commemorate the heroic struggle of this people for its independence. They are also a unique symbol of the re-found dignity of the black people finally freed from slavery after a bitter but triumphant struggle and serve as a universal emblem of the cause of courage and justice... However the importance of this undertaking extends beyond its symbolic value in commemorating the centuries-long tragedy of the slave trade and the great drama of the Diaspora of the people of Black Africa.*

### 6.3 Natural Heritage Criteria

A small though significant proportion of natural properties (20%) have been inscribed on the basis of a single criterion, particularly in the case of criteria (viii) and (x); in terms of frequency, criteria have been applied fairly evenly across natural properties with the apparent exception of criterion (viii).

- **Criterion vii (iii according to the old numbering): Contain superlative natural phenomena or areas of exceptional natural beauty and aesthetic importance.**

Two distinct ideas are embodied in this criterion. **The first, 'superlative natural phenomena', can often be objectively measured and assessed** (the deepest canyon, the highest mountain, the largest cave system, the highest waterfall, etc.). **The second concept, that of 'exceptional natural beauty and aesthetic importance' is harder to assess and evaluation tends to be more subjective. A total of 114 properties have been inscribed in the WH List under this criterion, most commonly in association with other criteria.**

From the Caribbean Region the most recent application of criterion vii refers to the inscription of **The Pitons Management Area (Saint Lucia)** in 2004<sup>10</sup>. The justification of the use of this criterion reads as follows:

**Criterion (vii):** *The Pitons Management Area derives its primary visual impact and aesthetic qualities from the Pitons, two adjacent forest-clad volcanic lava domes rising abruptly from the sea to heights greater*

*than 700m. The Pitons predominate over the St Lucian landscape, being visible from virtually every part of the island and providing a distinctive landmark for seafarers. The combination of the Pitons against the backdrop of green tropical vegetation and a varying topography combined with a marine foreground gives the area its superlative beauty.*

- **Criterion viii (i according to the old numbering): Be outstanding examples representing major stages of earth's history, including the record of life, significant on-going geological processes in the development of landforms, or significant geomorphic or physiographic features<sup>11</sup>;**

This criterion involves four distinct, although closely linked, natural elements relevant to geological and geomorphological science:

- Earth's history** - This subset of geological features includes phenomena that record important events in the past development of the planet such as the record of crustal dynamics, the genesis and development of mountains, plate movements, continental movement and rift valley development, meteorite impacts, and changing climate in the geological past.
- The record of life** - This subset includes palaeontological (fossil) sites
- Significant on-going geological processes in the development of landforms** - Geomorphological properties record current geological processes and their relationship to landforms and landscapes (or physiography).
- Significant geomorphic or physiographic features** - This subset includes landforms that are the products of active processes, and is intimately linked with the consideration of processes listed above. This group also includes features resulting from earlier or long-standing periods of activity, such as relict glacial landforms; extinct volcanic systems; and karst features. These features may sometimes also be considered in relation to the application of criterion (vii), in view of the aesthetic quality of some spectacular landforms.

From the Caribbean Region the most recent application of criterion viii refers to the inscription of the **Morne Trois Pitons in Dominica**<sup>12</sup> in. The justification of the use of this criterion reads as it follow:

<sup>10</sup> The site was inscribed in 2004 under criteria vii and viii. The description of the site on the World heritage web site states: "The 2,909-ha site near the town of Soufriere, includes the Pitons, two volcanic spires rising side by side from the sea (770-m 743-m high respectively), linked by the Piton Miton ridge. The volcanic complex includes a geothermal field with sulphurous fumaroles and hot springs. Coral reefs cover almost 60% of site's marine area. A survey has revealed 168 species of finfish, 60 species of cnidaria, including corals, eight molluscs, 14 sponges, 11 echinoderms, 15 arthropods and eight annelid worms. Hawksbill turtles are seen inshore, whale sharks and pilot whales offshore. The dominant terrestrial vegetation is tropical moist forest grading to subtropical wet forest with small areas of dry forest and wet elfin woodland on the summits. At least 148 plant species have been recorded on Gros Piton, 97 on Petit Piton and the intervening ridge, among them eight rare tree species. The Pitons are home to some 27 bird species (five of them endemic), three indigenous rodents, one opossum, three bats, eight reptiles and three amphibians". See <http://whc.unesco.org/en/list>.

<sup>11</sup> IUCN has undertaken a global thematic study on Geological and Geomorphological WH Properties available on its web site.

<sup>12</sup> The World Heritage Committee inscribed the Morne Trois Pitons in under criteria viii and x. Luxuriant natural tropical forest blends with scenic volcanic features of great scientific interest in this national park centred on the 1,342-m-high volcano known as Morne Trois Pitons. With its precipitous slopes and deeply incised valleys, 50 fumaroles, hot springs, three freshwater lakes, a 'boiling lake' and five volcanoes, located on the park's nearly 7,000 ha, together with the richest biodiversity in the Lesser Antilles, Morne Trois Pitons National Park presents a rare combination of natural features of World Heritage value.

**Criterion (viii):** *The Committee inscribed the Morne Trois Pitons National Park on the basis of natural criteria (viii) and (x) for its diverse flora with endemic species of vascular plants, its volcanoes, rivers and waterfalls, illustrating ongoing geo-morphological processes with high scenic value.*

- **Criterion ix (ii according to the old numbering) 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;**

The assessment of this criterion depends on the scientific knowledge and understanding of the Earth's ecosystems and the ecological and biological processes associated with their dynamics<sup>13</sup>.

In the Caribbean region criterion ix has been applied to the following sites: Central Suriname Nature Reserve - Suriname 2000 (N ii, iv), Alexander von Humboldt National Park – Cuba 2001 (N ii, iv) and the Belize Barrier-Reef Reserve System – Belize 1996 (N ii, iii, iv).

In the case of The **Central Suriname Nature Reserve**<sup>14</sup> the justification reads as follows:

**Criteria (ix) and (x):** *The site encompasses significant vertical relief, topography and soil conditions that have resulted in a variety of ecosystems. This ecosystem variation allows organisms within these*

*ecosystems to move in response to disturbance, adapt to change and maintain gene flow between populations. The site's size, undisturbed state (in general a rare condition in Amazonian forest parks) and protection of the entire Coppename watershed, will allow long-term functioning of the ecosystem. The site contains a high diversity of plant and animal species, many of which are endemic to the Guyana Shield and are globally threatened.*

- **Criterion x (iv according to the old numbering) 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.**

In the Caribbean region criterion x has been applied to the following sites: Morne Trois Pitons National Park - Dominica 1997 (N i, iv); Central Suriname Nature Reserve- Suriname 2000 (N ii, iv), Alexander von Humboldt National Park – Cuba 2001 (N ii, iv) and the Belize Barrier-Reef Reserve System – Belize 1996 (N ii, iii, iv)<sup>15</sup>.

The justification of the use of **critterion x** reads as follows: *The site provides important habitat for a number of internationally threatened marine species. Remaining pristine areas of the cays, with remnant stands of littoral forest, provide critical habitat for several endemic and migratory bird species. The area is also of major importance for research.*

<sup>13</sup> To better assess this criterion IUCN has developed a number of global thematic studies (on forests, wetlands, marine and coastal areas, mountains, small island ecosystems, and boreal forests).

<sup>14</sup> The Central Suriname Nature Reserve comprises 1.6 million ha of primary tropical forest of west-central Suriname. It protects the upper watershed of the Coppename River and the headwaters of the Lucie, Oost, Zuid, Saramaccz, and Gran Rio rivers and covers a range of topography and ecosystems of notable conservation value due to their pristine state. Its mountain and lowland forests contain a high diversity of plant life with more than 5,000 vascular plant species collected to date. The Reserve's animals are typical of the region and include the jaguar, giant armadillo, giant river otter, tapir, sloths, eight species of primates and 400 bird species such as harpy eagle, Guiana cock-of-the-rock, and scarlet macaw. See <http://whc.unesco.org/en/list>.

<sup>15</sup> The Committee inscribed the Belize Barrier Reef Reserve System in 1996 under natural criteria (vii), (ix) and (x) as the largest barrier reef in the Northern hemisphere, as a serial nomination consisting of seven sites. The Reef illustrates a classic example of reefs through fringing, barrier and atoll reef types. The Belize Barrier Reef Reserve System is the only example of a national serial nomination in the Caribbean. As indicated in the world heritage brief descriptions "The coastal area of Belize is an outstanding natural system consisting of the largest barrier reef in the northern hemisphere, offshore atolls, several hundred sand cays, mangrove forests, coastal lagoons and estuaries. The system's seven sites illustrate the evolutionary history of reef development and are a significant habitat for threatened species, including marine turtles, manatees and the American marine crocodile. See <http://whc.unesco.org/en/list>.

6.4 WH properties in the Caribbean – as per August 2007 –

Country	Cultural property	Mixed property	Natural property
<b>Antigua and Barbuda</b>			
Total: 0	0	0	0
<b>Barbados</b>			
Total: 0	0	0	0
<b>Belize</b>			- 1996 Belize Barrier-Reef Reserve System (ii, iii, iv)
Total: 1	0	0	1
<b>Cuba</b>	- 1982 Old Havana and its Fortifications (iv, v) - 1988 Trinidad and the Valley de los Ingenios (iv,v) - 1997 San Pedro de la Roca Castle, Santiago de Cuba (iv, v) - 1999 Viñales Valley (iv) - 2000 Archaeological Landscape of the First Coffee Plantations in the Southeast of Cuba (iii, iv) - 2005 Cienfuegos (ii, iv)		- 1999 Desembarco del Granma National Park (i, iii) - 2001 Alejandro de Humboldt National Park (ii, iv)
Total: 8	6	0	2
<b>Dominica</b>			- 1997 Morne Trois Pitons National Park (i, iv)
Total: 1	0	0	1
<b>Dominican Republic</b>	- 1990 Colonial City of Santo Domingo (ii, iv, vi)		
Total: 1	1	0	0
<b>Grenada</b>			
Total: 0	0	0	0
<b>Guyana</b>			
Total: 0	0	0	0
<b>Haiti</b>	-1982 National History Park - Citadel, Sans Souci, Ramiers (iv, vi)		
Total: 1	1	0	0
<b>Jamaica</b>			
Total: 0	0	0	0
<b>Saint Christopher and Nevis</b>	- 1999 Brimstone Hill Fortress National Park (iii, iv)		
Total: 1	1	0	0
<b>Santa Lucia</b>			- 2004 Pitons Management (i, iii)
Total: 1	0	0	1
<b>Saint Vincent and the Grenadines</b>			
Total: 0	0	0	0
<b>Suriname</b>	- 2002 Historic Inner City of Paramaribo (ii, iv)		- 2000 Central Suriname Nature Reserve (ii, iv)
Total: 2	1	0	1
<b>Sub-region:</b> 16 + 3 sites located in associate territories	10	0	6

**Caribbean WH properties located in associate territories – as per August 2007 –**

Country	Cultural property	Mixed property	Natural property
<b>Puerto Rico (USA)</b> Total: 0	1983 La Fortaleza and San Juan Historic Site in Puerto Rico (vi) 1	0	0
<b>Netherlands Antilles (Netherlands)</b> Total: 0	1997 Historic Area of Willemstad, Inner City and Harbour (ii, iv, v) 0	0	0
<b>Bermuda (UK)</b> Total: 1	2000 Historic Town of St George and Related Fortifications (iv) 1	0	0

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# SESSION 7 Outstanding Universal Value (OUV)

**PRINCIPAL THEME:** This session explains the concept of the Outstanding Universal Value

SUBJECTS	LEARNING OBJECTIVES
7.1 The concept of outstanding universal value	Participants learn about the core concept of the World Heritage Convention.
7.2 Differences in the application of OUV between natural and cultural heritage	Participants become aware of how the intrinsic differences between cultural and natural differences have an impact in the application of the OUV.

## OUTLINE OF SUBJECTS TO BE COVERED

### 7.1 The concept of outstanding universal value

“What is a world heritage site”? Or in other words “How does a World Heritage site differ from a national heritage site”? The answer seems to be rather simple: a world heritage site is a property which has been inscribed on the World Heritage List for its outstanding universal value and because it meets at least one out of the 10 selection criteria listed in the Operational Guidelines.

The concept of ‘outstanding universal value’ (OUV) is indeed at the heart of the *World Heritage Convention*: it occurs ten times in the text and in the new 2005 Operational Guidelines ‘outstanding universal value’ is defined in art. 49 as “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.”.

The Operational Guidelines (art. 49-53 and 155) outline the elements that should constitute the statement on outstanding universal value – which is the justification on which a property is inscribed on the List:

**Art. 155** *This statement should include a summary of the Committee’s determination that the property has outstanding universal value, identifying the criteria under which the property was inscribed, including the assessments of the conditions of integrity or authenticity, and also the requirements for protection and management in force.*

### ***The statement of OUV is the basis for the future protection and management of the property***

Basically what sets properties of OUV apart is that their values transcend national boundaries and are of common importance for humanity. They are to be identified through the application of the ten World Heritage criteria and must meet the conditions of integrity and/or authenticity. Taken together, these requirements constitute the fundamental and integral elements of the concept of OUV.

### **Therefore in considering if a property has OUV it is necessary to:**

- Define the qualities of the property and see if they fall in to one (or more) of the World Heritage Criteria
- Consider the value of these qualities
- Consider if that value is local – regional – universal
- Do a Comparative assessment
- Evaluate the authenticity and integrity of the property

Looking at the words **outstanding - universal and value** in the Oxford English dictionary we find that:

- Outstanding means something that stands out from the rest; Prominent; conspicuous, clearly visible, striking to the eye; Pre-eminent; remarkable, superior, notable, noteworthy.

**In relation to World Heritage, “outstanding” should be interpreted as: the most representative example or selection of examples (serial sites) representing an heritage category**

- **Universal** means affecting or including the whole of something specified or implied; existing or occurring everywhere or in all things. The scope of the *Convention* is universal in relation to the significance of the properties to be inscribed on the World Heritage List, as well as their importance to all people of the world. By definition, properties **cannot be considered for outstanding universal value from a national or regional perspective**.
- **Value:** The relative status of a thing, or the estimate in which it is held, according to its real or supposed worth, usefulness, or importance.

The term **“cultural significance”** is used by the cultural heritage community to represent diverse values ascribed to heritage. Key documents, such as the ICOMOS Nara Charter and the ICOMOS Australia Burra Charter have categorized these values as **“aesthetic”, “religious”, “political”, “historical”, “scientific”, “economic”,** etc. The assessment of significance and values should not only be conducted by heritage professionals and the academic community but should explicitly include other stakeholders, as values ascribed vary by social groups, such as local and indigenous communities. The assessment is as changeable and relative, as the social groups that participate in it. How values are interpreted is a reflection of the cultural, political and economic considerations of each group in a specific place and time.

The Operational Guidelines paragraphs referring to values and OUV are the following:

**80.** *The ability to understand the value attributed to the heritage depends on the degree to which **information sources about this value may be understood as credible or truthful.** Knowledge and understanding of these sources of information, in relation to original and subsequent characteristics of the cultural heritage, and their meaning, are the requisite bases for assessing all aspects of authenticity.*

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

These two paragraphs clarify two aspects of assessing heritage values: information sources have to be scientific and objective and cultural heritage should be assessed primarily within the cultural context to which it belongs. This last point which is derived by the thematic approach promote by the Global Strategy (see session 4) has a major impact on the comparative analysis (see session 5).

## 7.2 Differences in the application between natural and cultural criteria

There has been some discussion in recent years on the WH Committee as to whether the two Advisory Bodies have equivalent standards in interpreting and applying the concept of OUV and whether their different approaches has an impact on the imbalance between cultural and natural sites inscribed on the List. The fact is that there are intrinsic differences between cultural and natural properties, as shown in the table below<sup>1</sup>, which necessarily lead to a different methodology in interpreting and assessing OUV. Nonetheless the Advisory Bodies claim that this is not a cause of the imbalance of the List.

Cultural Properties	Natural Properties
<ul style="list-style-type: none"> <li>• Sites tend to be fragmented, diverse and not evenly distributed worldwide.</li> <li>• The value or quality of sites tends to depend on things such as materials used; when and how a certain property was created; the history behind the property and the value that society may attribute to those qualities.</li> <li>• Values of sites are usually linked to regional cultural identity for which assessment is often subjective.</li> <li>• The combination of the above tends to result in a high diversity of situations, thus making cultural heritage less predisposed to evaluation through clear classification systems.</li> <li>• A typological framework (based on similarities) is generally used to assess cultural heritage, which is complemented by a chronological/ regional framework and a thematic framework. <i>el que se complementa con un marco cronológico / regional y un marco temático.</i></li> </ul>	<ul style="list-style-type: none"> <li>• Most sites are discreet territorial units, are often large, and are distributed in most biomes and ecoregions of the world.</li> <li>• The value or qualities tend to be associated with measurable characteristics such as the diversity of species, number of endemic species etc. (as far as that information and data is available).</li> <li>• The values of properties are usually linked to scientific information which facilitates objective assessment.</li> <li>• Scientific assessment (both in relation to geographical and biodiversity features) is reflected in classification systems.</li> <li>• A topological framework (based on biogeographical differences and unique characteristics) is generally used to assess natural heritage, complemented by a thematic framework.</li> </ul>

**The concept of OUV is the foundation of the WH Convention and that its rigorous and consistent interpretation and application is the key to the worldwide recognition and attention that the Convention enjoys.**

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IUCN - <http://www.iucn.org>

ICCROM - <http://www.iccom.org>

<sup>1</sup>This table was presented by ICOMOS and IUCN on the occasion of the special Expert Meeting on The Concept of Outstanding Universal Value, held in Kazan in 2005



## SESSION 8 Authenticity and Integrity

**PRINCIPAL THEME:** This session goes over the concept of authenticity and integrity – gives some example and reports on some reflections made during recent Caribbean meetings

TEMAS	OBJETIVOS INSTRUCTIVOS
8.1 Autenticidad e integridad: concepto dinámico	Mediante una rápida revisión de los principales documentos internacionales relacionados con la autenticidad, los participantes adquirirán conocimientos sobre la evolución de ese concepto.
8.2 Verificación de la autenticidad	Los participantes identificarán los elementos fundamentales que se utilizan en la evaluación de la autenticidad.
8.3 Conservación, restauración, monitoreo y reconstrucción	Los participantes conocerán el papel que desempeña la autenticidad en los procesos de conservación, restauración, monitoreo y reconstrucción del patrimonio.
8.4 Autenticidad e integridad en el contexto caribeño	Los participantes conocerán algunos de los problemas relacionados con la autenticidad y la integridad en el contexto caribeño.

### OUTLINE OF SUBJECTS TO BE COVERED

**8.1 Authenticity and integrity are essential elements in assessing the outstanding universal value of a site; which means that if a site does not demonstrate to have these two conditions cannot be inscribed on the List.**

The concept of authenticity referred to cultural heritage is in constant evolution, and especially over the past 20 years the debate around this concept and its application in relation to the World Heritage Convention has been enriched by several meetings held in various regions of the world and the concept –as clearly shown in the various international charters - has evolved in order to encompass a wide range of heritage values<sup>1</sup>.

In general one can say that the concept of authenticity has evolved from the mere conservation of the original fabric to the respect and preservation of the cultural diversity and cultural context. **The Charter of Venice and the Nara Document**, the two main international instruments for examining the authenticity of heritage properties, clearly show this paradigm shift.

1. **The Venice Charter (1964)** is more related to monuments than to sites, emphasis is laid on maintenance and the avoidance of arbitrary reconstruction and focus is put on the conservation of original material/fabric and; thus in the 1970' and 1980' efforts was put in to the development of scientific tools for the survey and analysis of historic structures and materials, as well as the utilization of the possibilities of modern technology in their conservation, consolidation and reinforcement.

2. **Nara Document on Authenticity (1994)** expanding the Venice Charter puts the accent on sites (rather than monuments) and gives major attention to cultural diversity and cultural specificity and gives emphasis to the credibility and truthfulness of related information sources. More than ever before, the policies of heritage conservation are seen in relation to specific cultural context.

Although there is no universal definition of Authenticity, the test of authenticity can be seen as the search for truth in the field of culture. This search, however, becomes complex, considering that in the

<sup>1</sup> Over the last years the World heritage Centre has promoted various regional meetings with the aim to explore the concept of authenticity in various cultural contexts: Africa Saouma-Forero, Gallia, (comp.), Authenticity and Integrity in an African Context: Expert Meeting, Great Zimbabwe, Zimbabwe, 26-29 may 2000, UNESCO – World Heritage Centre, Paris; Latin America Interamerican Symposium on Authenticity in the Conservation and Management of Cultural Heritage. San Antonio Texas 1996; Caribbean Sub-Regional Conference on "Outstanding Universal Value, Authenticity & Integrity in a Caribbean Context", Barbados May 2006.

cultural field, **truth is related to the understanding of values**, and there may be more than one response. Indeed, **much depends on the way we define our heritage, and what is considered valuable in the heritage resource, i.e., what qualities society or particular communities associate with such objects or places.**

Artefacts or buildings, are in fact associated with the cultural, social and physical conditions of a particular time, and are defined by a set of values that relate to the culture or cultures concerned. **Due to the fact that values are not permanent, but are continuously generated by individuals and communities, they necessarily vary over time.** As a result, a construction when built acquires a particular significance in relation to the relevant cultural context at that specific moment (and, for example, would be different from our conception at the present time). **Consequently, the work attains authenticity in relation to the process that has generated its design and physical construction in that particular time and place.**

**The understanding of values and the processes that generated a specific heritage property are therefore the first step in the verification of authenticity and play a fundamental role in all scientific studies of the cultural heritage:** conservation and restoration planning, as well as within the inscription procedures used for the World Heritage Convention and other cultural heritage inventories.

Finally, as Stovel clearly states: *efforts to determine authenticity in a manner respectful of cultures and heritage diversity requires approaches which encourage cultures to develop analytical processes and tools specific to their nature and needs<sup>2</sup>.*

## 8.2 Authenticity assessment

The Operational Guidelines art. **82** rather than defining authenticity identifies the attributes against which authenticity can be assessed.

*Depending on the type of cultural heritage, and its cultural context, properties may be understood to meet the conditions of authenticity if their cultural value (as recognized in the nomination criteria proposed) are truthfully and credibly expressed through a variety of attributes including:*

- *form and design;*
- *materials and substance;*
- *use and function;*

- *traditions, techniques and management systems;*
- *location and setting;*
- *language, and other forms of intangible heritage;*
- *spirit and feeling;*
- *and other internal and external factors applications of the conditions of authenticity, but nevertheless are important indicators of character and sense of place, for example, in communities maintaining tradition and cultural continuity.*

*Attributes such as spirit and feeling do not lend themselves easily to practical applications of the conditions of authenticity, but nevertheless are important indicators of character and sense of place, for example, in communities maintaining tradition and cultural continuity.*

For the above mentioned, **the issue of authenticity is not only an administrative verification of truth; it is above all the critical foundation for the conservation, restoration and monitoring of heritage properties.**

## 8.3 Conservation, restoration, monitoring and reconstruction

### Conservation

The best way to guarantee authenticity is **preventive maintenance** that should be based on a scheduled routine taking into account any potential risks (anthropic and natural ones)

**Any change needs to be gradual, and so managed that the essential characteristics of the place are maintained.** The **identification of the limits of change** and what should be preserved are problems that have to be addressed in the planning process and viable solutions have to be foreseen.

According to the **Venice Charter an historic monument should be maintained with regard to its aesthetic and historic values;** the use of such monuments and places should be managed so as to guarantee proper care without introducing incompatible changes or transformations. The charter, furthermore, insists that the monument is part of its historic setting, and that its **historically achieved integrity should be defended.** Such integrity embraces the various changes and additions that have taken place.

Conservation of cultural heritage remains a cultural problem. It is not only a problem for experts, but especially a problem for all community, and it is encouraging that the importance of **sensitization of communities at the grass-root level** is gradually recognized both at the local and the international levels<sup>3</sup>.

<sup>2</sup> See Operational guidelines annex 4, Authenticity in relation to World Heritage Convention

<sup>3</sup> See session 4 on the role of local communities in heritage conservation and management processes



The purpose of **restoration** is to start by identifying the current state of the monument and its significant transformations in time, and to develop an understanding of its character and significance as a basis for any intervention. Priority should be given to **preservation in situ**. **Any removal of parts of the historic whole should be considered carefully** and any reconstruction or reintegration of lost elements should be undertaken according to specified guidelines, respecting the historical integrity of the monument (on reconstruction see section below).

### Monitoring (see also session 10)

The concept of 'monitor' is originally Latin, and means one who reminds. The Latin verb *moneo* means to remind, admonish, warn.

The general meaning of 'to monitor' is to observe, supervise, or keep under review; to measure or test at intervals, especially for the purpose of regulation or control. To monitor a heritage site means to observe and document its condition periodically, to understand and measure the trends in the impact of its use, decay and weathering over time, to anticipate any risks in or around the site, and to report into the conservation management process for the purpose of corrective action and forward planning.

An essential condition for - and in fact an essential part of any monitoring process - is the existence and **preparation of firm references, baseline records, against which situations at later points in time can be measured**. These will also be important for restoration and repair in case any damage or undesired alteration occurs to an historic structure. **Recording is necessary for the purposes of inventory and for research, and it should be undertaken before, during and after any works that cause changes to the existing condition of a heritage site**. Such recording processes should also fundamentally incorporate understanding, definition and recognition of the values of the cultural heritage.

In the framework of the implementation of the World Heritage Convention **Reconstruction** is barely tolerated and many heritage sites (especially archaeological ones) fail to be included on the World Heritage List because of inappropriate or extensive reconstructions. Reconstructions and major alterations to heritage structures are also one of most frequent causes of reactive monitoring (see session 10).

**Art. 86 of the Operational Guidelines refers to reconstruction and states:** In relation to authenticity, the reconstruction of archaeological remains or historic buildings or districts is justifiable only in exceptional circumstances. Reconstruction is acceptable only on

the basis of complete and detailed documentation and to no extent on conjecture.

### Integrity<sup>4</sup>

The general meaning of the word '**integrity**' refers to material wholeness, completeness, and unimpaired condition of the natural and/or cultural heritage and its attributes.

In the case of **natural heritage**, the 'condition of integrity' would refer to an organic or functional whole.

In the case of **cultural heritage**, this can lead to contradictions in the presentation of ancient architectural remains in fragmentary condition. However, the notion will be useful for conservation management purposes, once the heritage resource and its qualities have been defined. This is particularly the case with historic settlements and cultural landscapes, which often have strong historical integrity and where the notion of functional integrity would relate single elements (buildings, squares, gardens) with the system of infrastructures and functions as these evolve over time.

According to **art. 88** of the Operational Guidelines, examining the conditions of integrity, therefore requires assessing the extent to which the property:

1. includes all elements necessary to express its outstanding universal value;
2. is of adequate size to ensure the complete representation of the features and processes which convey the property's significance;
3. suffers from adverse effects of development and/or neglect.

### 8.4 Authenticity and integrity in the Caribbean Context

The below reflections were made by Caribbean heritage experts in a recent sub-Regional Conference on "Outstanding Universal Value, Authenticity & Integrity in a Caribbean Context", Barbados May 2006.

On this occasion particular notice was made of the importance of **defining Caribbean identity** prior to the process of identification of heritage, which would impact on the notion of authenticity as well. Authenticity, it was explained, was a paradox regarding the nature of the Caribbean, which is a melting pot of imported and immigrated populations on (very) small island territories (as opposed to continents,

<sup>4</sup> Operational Guidelines articles referring to integrity 87-95

like the United States of America). The theme for the Caribbean could be “Unity in Diversity” and suggestions were made to look for funding to execute a Caribbean-wide study to define identity in relation to authenticity in a Caribbean context.

Considerations for **AUTHENTICITY** included the following:

- Determination of authenticity depends on an objective evaluation based on: historical and archaeological research, the review of testimonials, observation and comparisons, and by verifying the correspondence between the significant historic functions and the existing main characteristics of the property;
- Authenticity should be established by sound scientific research and academic investigation which has produced considerable documentation and chronological confirmation;
- Spirit and feeling are important attributes of authenticity and may be expressed through: design, use of colour, etc
- The recognition of replacement & repair is part of the Caribbean reality because of the susceptibility of the materials to environmental conditions.
- Authenticity may be found where intervention in the form of conservation has focused on stabilization instead of reconstruction;
- The value of the property remains regardless of the additions that have occurred over time except in cases where it goes against its values;
- Many of the Amerindian sites are buried and therefore have remained undisturbed by modern human activities.

Considerations for **INTEGRITY** included the following;

- Recognize that all Caribbean heritage sites are threatened by extensive and uncontrolled physical development and natural disasters.
- Based on the smallness of the areas, the impact on the natural properties of these islands from human influence, and their vulnerability to natural disasters is relatively high<sup>5</sup>.
- Because of the small size of the islands representation of part of the uniqueness of the geological formations of the Caribbean area may be submerged under the sea. A high percentage of positive responses to the art. 88 a, b & c will ensure that the integrity of sites are not endangered.
- An effective management plan should be in place at the time of nomination including continuous monitoring and evaluation.

<sup>5</sup> See Operational Guidelines 2005, art. 90 For all properties nominated under criteria (vii) - (x), bio-physical processes and landform features should be relatively intact. However, it is recognized that no area is totally pristine and that all natural areas are in a dynamic state and to some extent involve contact with people. Human activities, including those of traditional societies and local communities, often occur in natural areas. These activities may be consistent with the outstanding universal value of the area where they are ecologically sustainable.

- Promotion of continuous research and scientific studies on the existing biodiversity and biological processes in the Caribbean region is essential to ensure compliance with art 80 of the Operational Guidelines 2005<sup>6</sup>.
- The information prepared for support of the nomination should be from a credible source or peer reviewed.

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<sup>6</sup> Operational Guidelines 2005, art. 80 The ability to understand the value attributed to the heritage depends on the degree to which information sources about this value may be understood as credible or truthful. Knowledge and understanding of these sources of information, in relation to original and subsequent characteristics of the cultural heritage, and their meaning, are the requisite bases for assessing all aspects of authenticity.

## SESSION 9 Post inscription process: from values to management

**PRINCIPAL THEME:** This session explains why the inscription of a property on the World Heritage List is just the beginning of a process in which States Parties have to guarantee that the values for which the sites were inscribed on the List are maintained over time

SUBJECTS	LEARNING OBJECTIVES
9.1 From values to management	Participants learn why management is rooted in the values attributed to the heritage.
9.2 Reaching consensus on the sites' values	Participants learn about the importance of involving and creating consensus amongst all stakeholders.
9.3 Some key elements of management planning	Participants become aware of some of the key elements that each management plan should contain.
9.4 Some benefits and constrains of world heritage listing	Participants are informed of some of the advantages and disadvantages of world heritage listing.
9.5 Conservation and development	Participants become aware of some of the issues related to the complex dynamics between conservation and development.

### OUTLINE OF SUBJECTS TO BE COVERED

#### 9.1 From values to management

World Heritage sites belong to all the peoples of the world, irrespective of the territory on which they are located; inscribing a property in the World Heritage List is not the end of a process but rather the beginning of a major responsibility for ensuring that the property is effectively protected and managed for the benefit of humankind as a whole – for this and future generations.

World heritage sites listing implies setting up leading methodologies in conservation, management and heritage promotion; world heritage sites are requested to set up and implement best practices: the benchmarks are as high as expected to « be the best of the best » not only in terms of their outstanding universal value

but also in terms of **managing and maintaining the values for which they were inscribed on the list.**

Heritage conservation goes behind the preservation of sites; individual and collective histories, traditions, memories and identity are linked to the ensembles where people live: their monuments, towns, villages, natural areas, cultural landscapes etc. Thus there is spiritual nourishment that these sites can provide, giving people a sense of their identity and their place in the world.

The Caribbean region, characterized by small and island states, is particularly vulnerable to the negative effects of globalization and heritage conservation can contribute to widening and deepening of the sense of a Caribbean community and identity and

can be a key factor of economical, social and human development.

## 9.2 Reaching consensus on the sites' values

**Heritage conservation and management is rooted in the values attributed to the heritage and a management plan is the legal, administrative and strategic tool that should enable the preservation the sites' values that stakeholders have prioritized at a specific moment in time.**

People care and make efforts to preserve what they consider important, what they don't want to lose. Now, the perception of what is important and relevant is different depending on who is valorizing a specific site<sup>1</sup>; therefore the first crucial step in elaborating a management plan is to create consensus amongst all stakeholders on the significance of the site. All stakeholders have to be actively involved in designing and implementing the management plan, thus management planning has to be created through a multidisciplinary team. Frequently these stakeholders are the same ones who finance certain actions of the plan.

**Often one of the hardest challenges in management planning is to strike a balance between various stakeholders' interests: mediation, reconciliation and capacity building play a crucial role in moving the planning process ahead.**

**Indeed, any process driven by interests—be they tourism or political ones—is dangerous.**

**The risk of developing plans in isolation is that they don't get implemented:** if experts from a foreign country sort of parachute in, do a plan, and leave, the plan hasn't got the buy-in from the site manager, the local authorities, and the stakeholders. So there is nothing to sustain it, and it goes on a shelf (unfortunately this is the case of several management plans in Latin America: foreigner experts come, produce a plan or a report and then leave the site, without really involving the local communities, building capacities and creating a vision for the place; as a result the reports just pile up and nothing really changes).

Sometimes local communities are not even aware why a place is important in terms of historical or scientific significance nor are interested in these aspects. It is

important not only to understand the communities' needs and to make them feel like owners of the plan, which can help guarantee the plan's sustainability. As owners of the plan, local communities will actively promote the raising of funds for the actions outlined by the plan. If people do not get involved in a project, then there is no political, social, and financial support for implementation.

The local government and community rejected a recent world heritage nomination as they were not involved and informed of the nomination process and they felt they were not prepared and did not have the capacity to manage the site.

## 9.3 Some key elements of management planning

A management plan should set out the long-term vision for a site **and should focus on the benefits of heritage conservation for human development.**

The plan should provide indications of what "can and not be done" at the site. Should be the instrument to manage future changes/threats/challenges that can occur at the site; thus, it should be **a visionary document.**

At the same time as **values and peoples' priorities change over time** and it can be difficult to integrate the notion of change when trying to make long-term decisions about what should happen at a site, therefore **the plan should also be dynamic** and should be reviewed periodically.

Although each management plan should be site tailored there are essential components of management planning that can be universally applied:

- The language should be as simple as possible and should be accompanied by illustrations
- The significance statement, why the place is important should guide the conservation strategies)
- A general vision for the site should be defined
- The framework of what can and cannot be done (this comes from the consensus of the different stakeholders) and of the strategies to make things happen should be drawn

From the Latin America and the Caribbean Periodic Report emerged that in the region there is hardly a long term vision and that is reflected not only in cultural heritage but also in general policy development. Plans

<sup>1</sup> Article 11 from the Nara Conference on Authenticity clarifies the concept that attributing values to a heritage site can not be done according to a universal matrix but depends on the cultural contexts and interest of who is identifying and assessing these values: "It's not possible to base judgments of value and authenticity on fixed criteria. On the contrary, respect due to all cultures requires that cultural heritage must be considered and judged within the cultural context to which it belongs."

tend to be very limited, with short-term objectives and are generally linked to political turn over; the idea of building for the future is certainly not embedded in the way cultural projects are handled.

#### 9.4 Some benefits and constrains of world heritage listing

At present there are no scientific studies that have quantified the benefits and problems derived from world heritage listing.

The inscription on the List is instrumental to raise awareness for heritage preservation but we have no statistics about this.

We know that sites on the List become **pivot for international cooperation** and may even receive **financial assistance** for their conservation from a variety of sources (but the success in raising funds often depends on the initiative of site managers and national Governments).

We are aware that the world heritage status changes the **values of real estate**, usually an increase in the price of land of properties located in or near WH heritage site. This process constitutes a potential source of income for local governments through fiscal policies or other financial and regulatory instruments, but at the same time activates speculation, corruption and gentrification. In particular Caribbean sites affected by this phenomenon are Pitons Management Area (St. Lucia)<sup>2</sup> and Santo Domingo (Dominican Republic)<sup>3</sup>.

We also know that tourism pressure increase as soon as a site is inscribed on the list<sup>4</sup>. **Tourism** if poorly managed can overwhelm and destroy heritage; but if well-managed, cultural tourism can contribute to local economies and reinforce awareness and education about the importance of heritage sites. **Heritage tourism needs authenticity**, if it is going to provide the basis for understanding cultural diversity and contributing to local social and economical development.

There is a major change in the relationship between tourism and conservation, in large measure because the tourism industry has matured a great deal in the last decade. The old paradigm supported the view that tourists were a threat to be managed. The new

paradigm leads to the view that conservation is driven by the need to make heritage resources available to tourists. The new approach encourages partnerships and long-term sustainability.

Tourism can bring a number of benefits, including the enhancement of economic opportunities through increasing jobs for local residents, increasing incomes and the stimulation and creation of local and regional markets. Tourism can also help to protect natural and cultural heritage, transmit conservation values through education and interpretation, and help to support research and development of good environmental practices. Tourism can also help to enhance quality of life through improved infrastructures, enhanced intercultural understanding and the valuation by local people of their culture, their heritage and traditions.

The World Heritage Centre has developed a sustainable tourism programme that encourages the development of planning methodologies so that tourism development remains within the limits of acceptable change to those values for which the sites were listed as World Heritage<sup>5</sup>.

However, World Heritage sites have also been reported to the World Heritage Committee for a number of issues relating to tourism which are all relevant for the Caribbean, including:

- Impacts of the development of tourism-related facilities, including on-site facilities, parking and souvenir shops, hotels, roads or airports;
- Physical and environmental impacts, such as accelerated erosion of ground, floor surfaces, pollution, destruction of ecosystems or risks to wildlife;
- Social impacts including exploitation of local populations or mass consumption of sites and monuments by tourists;
- Inappropriate site interpretation, reconstruction of sites and monuments and vulgarization of living traditions.

All the issues above mentioned are relevant for the Caribbean, which is a major tourist destination.

#### 9.5 Conservation and development

**Heritage resources are non-renewable**; without proper management to ensure the long-term survival of these resources, there is a risk that during our lifetime we may witness the consumption and permanent loss of this legacy

<sup>2</sup> The Pitons Management Area was inscribed on the World Heritage List in 2004, under criteria N (vii)(viii). See session 6 for more information on the use of the criteria.

<sup>3</sup> The Colonial city of Santo Domingo was inscribed on the World Heritage List in 1990, under criteria C ii,iv,vi. See session 6 for more details on the use of the criteria.

<sup>4</sup> With regards to the benefits derived from sustainable tourism projects in World Heritage Sites refer to Pedersen, A. 2005: Gestión del turismo en sitios de patrimonio mundial: manual practico para administradores de sitios del Patrimonio Mundial. World Heritage Paper series. Manual 1. On line English version at <http://whc.unesco.org/en/series/1/>. With regard to tourism development in Caribbean heritage sites see Module 2 of the Caribbean Capacity Building Programme.

<sup>5</sup> World Heritage Sustainable tourism programme, see [whc.unesco.org/en/sustainabletourism](http://whc.unesco.org/en/sustainabletourism)



### Striking a balance between conservation and development can be a very difficult endeavor.

Developments, in particular large scale ones, might have detrimental and irreversible effects on the outstanding universal value of World Heritage sites. Types of development that may affect heritage sites include:

- Infrastructure construction or modifications such as roads, airports, bridges, harbours;
- Urbanization and gentrification e.g. construction of new housing to cater for population increase;
- Hydroelectric development, e.g. dam construction;
- Waste disposal, e.g. construction of incinerators;
- Industrial developments, e.g. construction of factories.
- Mining activities mining activities, oil and gas extraction and energy production,

The World Heritage Convention has helped to mitigate a number of these development pressures and to halt unsustainable and unacceptable development projects. Recommendations and guidelines have been published for the planning and implementation of sustainable and acceptable development projects. The Vienna Conference and Memorandum (2005)<sup>6</sup> presented a number of recommendations to ensure that any development of World Heritage cities does not threaten their outstanding universal value.

As matter of facts cities are dynamic organisms having the constant need for upgrading or further development of infrastructure, housing and services; thus are particularly vulnerable to development projects that fail to understand and take in account the historic fabric, texture, morphology and traditional patterns of use<sup>7</sup>.

IUCN has also stressed the importance of zoning as part of the management cycle to define the activities that can occur in specific areas of a park 'in terms of natural resources management.

The activities and example of UNESCO have prompted many governments to increase their support for heritage conservation, to enact conservation laws and regulations, and to create specialized research and management institutions.

The World Heritage Convention has been able to play a central role in this system. Today, the Convention supports the most comprehensive site monitoring system in the world; intervenes regularly in support of conservation; provides a forum for the intellectual

advancement of the concepts, methods and policies of conservation; and fundraises in favour of countries with lower levels of technical and financial capacity.

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##### Useful web sites

The World Heritage Centre - <http://whc.unesco.org>

ICOMOS - <http://www.icomos.org>

IUCN - <http://www.iucn.org>

ICCROM - <http://www.iccrom.org>

Vienna Memorandum - <http://whc.unesco.org/events/112>

<sup>6</sup>The Memorandum stresses the importance of taking into careful consideration the urban context and continuity in planning new developments, against 'iconic' architecture based on design models not related to the specific tradition of a place. See also [whc.unesco.org/uploads/activities/documents/activity-48-3.doc](http://whc.unesco.org/uploads/activities/documents/activity-48-3.doc)

<sup>7</sup>Module 5 of the CCBP is dedicated to management of historic centers.



# SESSION 10 Monitoring, danger listing and international assistance

**PRINCIPAL THEME:** This session explains the different monitoring systems and assistance available under the World Heritage Convention framework

SUBJECTS	LEARNING OBJECTIVES
Processes for monitoring the State of Conservation of World Heritage Properties	Participants learn about reactive monitoring and periodic reporting.
List of World Heritage in Danger	Participants become aware of the reasons why a site is inscribed on the List of World Heritage in Danger.
International Assistance	Participants become aware of the types of assistance available under the World Heritage Fund.

## OUTLINE OF SUBJECTS TO BE COVERED

### 10.1 Processes for monitoring the State of Conservation of World Heritage Properties

**The effective monitoring of a site is the key to maintaining the credibility of the List and ensuring high standards of conservation over time.**

World heritage monitoring is done in two ways: **Reactive Monitoring**<sup>1</sup>, i.e. the assessment of the state of conservation of sites whenever problems are identified, and **Periodic Reporting**<sup>2</sup>, i.e. the six-year cyclical review of States Parties’ policies and legislation, as well as of the organization, management and conservation of each site in a given region.

These two tools perform different, albeit complementary functions:

- **Reactive Monitoring** is a policy guidance tool, aimed to provide benchmarks, orientations and deadlines to the actions of the States Parties;
- **Periodic Reporting** provides an assessment of national policies and capacities to ensure site conservation.

**While both systems are necessary to guide decision-making and to establish short- and medium-term strategies, they are expensive and complex.** As a result, the Committee is reflecting on the most effective way to proceed<sup>3</sup>. It is increasingly clear, for example, that the **Periodic Reporting system needs to be simplified in order to focus attention on critical issues and develop an effective system of indicators** (there is a big lack of indicators to effectively monitor the changes affecting World Heritage sites) **that are easy to compile and interpret, to support and guide decision-making.**

It is also clear that better links between the two monitoring processes are needed to optimize the use of financial and technical resources. Furthermore, monitoring systems should focus more regularly on the issues most critical to the Convention, such as long-term threats or the loss of outstanding universal value as a effect of natural or human-induced processes.

Finally, **as more sites are listed, as threats multiply and diversify, and conservation becomes more and more complex, requiring not only an**

<sup>1</sup>See Operational Guidelines art. 169-176

<sup>2</sup> See Operational Guidelines art. 199-210. See also art. 29 of the World Heritage Convention ; the format for periodic reporting is contained in annex 7 of the Operational Guidelines

<sup>3</sup> See Reflection Year on World Heritage Periodic Reporting. 2005/2006. <http://whc.unesco.org/en/reflectionyear/>

**effective monitoring systems and the capacity to identify and prevent threats and impacts, but the definition of clear guidelines for conservation policies for States Parties to adopt.**

## 10.2 List of World Heritage in Danger<sup>4</sup>

The World Heritage Committee can, in accordance with Article 11.4 of the Convention, inscribe a site on the List of World Heritage in Danger if it is threatened by ascertained or potential danger.

These dangers include the threat of disappearance caused by accelerated deterioration, large-scale development projects; the outbreak or the threat of an armed conflict; calamities and cataclysms, and natural disasters. When deciding to inscribe a site on the Danger List, the Committee seeks, on the one hand, to inform the international community of the real or potential threats to the site and mobilize international aid for it, and, on the other hand, to encourage the State Party where the site is located to take remedial conservation measures so that gradually the conditions of the site can be gradually re-established.

**The listing of a site as World Heritage in Danger should in any case not be considered as a sanction, but as a mechanism that triggers international solidarity.** And sometimes the mere prospect of inscribing a site on the Danger List can encourage States Parties to take urgent conservation measures.

Removing sites from the Danger List and shortening the time they remain in this condition, by establishing appropriate benchmarks and channeling funds and technical assistance, remains one of the biggest challenges to the World Heritage Convention.

**Currently there are 30 properties which the World Heritage Committee has decided to include on the List of World Heritage in danger, none in the Caribbean and 4 in Latin America** being: archaeological site of Chan Chan (Peru) inscribed in the Danger List 1986; Humberstone and Santa Laura mines (Chile) inscribed at the same time on the world heritage List in the Danger List in 2005; Galapagos islands (Ecuador) inscribed in the Danger List 2007 and Coro y La Vela (Venezuela) inscribed in the Danger List 2005.

## 10.3 International assistance (IA)<sup>5</sup>

The World Heritage Fund was created in 1972<sup>6</sup> in order to assist States Parties in identifying, preserving and promoting World Heritage sites.

Contributions to the Fund are made by States Parties, on a compulsory or a voluntary basis. Compulsory contributions represent one percent of their annual UNESCO dues.

**States Parties have to submit to the World Heritage Centre the requests of IA according to a form** (see annex 8 of the Operational Guidelines) in English or French; usually the authority that approves the requests is the Chairperson of the Committee but if the amount is superior to 75.000 USD (in case of emergency assistance) and 30.000 USD (in case of training and technical cooperation) the requests are analyzed at the Committee meeting.

**The Committee allocates funding on a priority basis, with a particular focus on the most threatened sites**, including those listed as World Heritage in Danger, as well as on properties situated in developing countries.

**The funds allocated correspond to small amounts and are ment to have a catalytic- multiplier effect and promote financial and technical contributions from other sources.**

**There are five clearly defined categories of IA:**

**Preparatory assistance (up to 30.000 USD can be presented any time)** helps with the preparation of inventories of potential World Heritage sites (Tentative Lists), of nominations to the World Heritage List, and of requests for technical cooperation, including training courses.

**Technical cooperation** responds to States Parties' requests for help in projects aimed at safeguarding properties already inscribed on the World Heritage List.

This can be in the form of studies or the provision of experts, technicians or equipment.

**Emergency assistance (up to 75.000 USD can be presented any time; over 75.000 should be requested 1 February)** is provided to sites in imminent danger due to severe damage from sudden events, such as land subsidence, fires, flooding, or outbreak of war. Emergency assistance can provide help for drawing up an emergency plan to safeguard an endangered property or taking other emergency measures to protect the site.

**Training (up to 30.000 USD can be presented any time; over 30.000 should be requested 1 February)** Priority is given to group training at the local and regional level and to the personnel working at World Heritage sites.

<sup>4</sup> A list of the sites inscribed on the Danger List is available at <http://whc.unesco.org/en/danger/>

<sup>5</sup> Operational Guidelines art. 233-240.

<sup>6</sup> See art. 13 and 19-26 of the World Heritage Convention.

**Educational and promotional assistance (between 5.000-10.00 USD can be presented any time)** is allocated for building awareness about World Heritage, an essential task. This takes two forms: promoting the World Heritage concept, by sensitizing the general public or specific interest groups, and developing teaching programmes and educational materials for use in schools and universities.

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### **Useful web sites:**

The World Heritage Centre- <http://whc.unesco.org>

# SESSION 11 Implementation of the Convention in the Caribbean: Results of the Latin America and the Caribbean Periodic Report

**PRINCIPAL THEME:** This session provides with the main information on the process and results of the Periodic Report in Latin America

TEMAS	OBJETIVOS
11.1 Concepto general y propósitos de la Presentación de Informes Periódicos sobre la aplicación de la Convención del Patrimonio Mundial (PIP).	Los participantes conocerán la función de la PIP como herramienta de monitoreo y planificación.
11.2 El Informe periódico para América Latina y el Caribe (IP ALC).	Los participantes adquirirán conocimientos sobre el proceso de elaboración del IP ALC y sus resultados.
11.3 Planes de acción para el Patrimonio Mundial.	Los participantes recibirán una panorámica del modo en que las necesidades y deficiencias identificadas en el IP ALC sirvieron para construir un marco regional para la implementación de la Convención.

## OUTLINE OF SUBJECTS TO BE COVERED

### 11.1 General notion and purposes of the Periodic Reporting on the application of the World Heritage Convention (PR)

The Periodic Reporting on the application of the World Heritage Convention (PR) takes place under **Article 29** of the Convention<sup>1</sup> and includes the reporting, by the States Parties, on the application of the Convention and the state of conservation of World Heritage properties on their territory.

#### Duties and responsibilities

- **States Parties:** Fill in, in due time, the PR forms with updated, scientific information
- **Secretariat and Advisory Bodies:** Advice on the compilation of the PR forms
- **WH Centre:** Makes a synthesis report of the PR forms

The periodic reporting is one of the main **monitoring tool** set by the Convention and is intended to serve five main purposes: 1) to provide

an assessment of the application of the World Heritage Convention by the State Party; 2) to provide an assessment as to whether the World Heritage values of the properties inscribed on the World Heritage List are being maintained over time; 3) to provide up-dated information about the World Heritage properties to record the changing circumstances and state of conservation of the properties; 4) to provide a mechanism for regional co-operation and exchange of information and experiences between States Parties concerning the implementation of the Convention; 5) to elaborate conservation and management planning programme tailored to the specific characteristics of each region.

The Periodic Report is not only a monitoring tool but also a **planning tool**: upon request of the World Heritage Committee, on the basis of the results of this exercise, **regional programmes** to strengthen the application of the World Heritage Convention and contribute to the achievement of the **four Strategic Objectives** (the Four “C’s” see session 4)<sup>2</sup> ought to be established.

<sup>1</sup> Art. 29 1 The States Parties to this Convention shall, in the reports which they submit to the General Conference of the United Nations Educational, Scientific and Cultural Organization on dates and in a manner to be determined by it, give information on the legislative and administrative provisions which they have adopted and other action which they have taken for the application of this Convention, together with details of the experience acquired in this field. 2. These reports shall be brought to the attention of the World Heritage Committee. 3. The Committee shall submit a report on its activities at each of the ordinary sessions of the General Conference of the United Nations Educational, Scientific and Cultural Organization.

<sup>2</sup> See Committee document WHC-02/CONF.202/5

The World Heritage Committee in 2002 also set the **principles for the periodic reporting process as being regional, participatory and forward looking** and established to examine these regional reports according to a pre-established schedule. based on a **six-year cycle**<sup>3</sup>.

The PR is composed by two sections:

**Section I** constitutes the State Party's report on the application of relevant articles of the World Heritage Convention, including those referring to: the identification of properties of cultural and/or natural value; protection, conservation and presentation of the cultural and natural heritage; international co-operation and fund raising; and education, information and awareness building.

**Section II** refers to the state of conservation of specific World Heritage properties located on the State Party's territory. States Parties are requested to provide updated information on the management, factors affecting the property and monitoring arrangements. The main objective of this section is to obtain an assessment of whether the World Heritage value(s) for which a property was inscribed on the World Heritage List are maintained over time.

**11.2 The Latin America and the Caribbean Periodic Report (LAC PR)<sup>4</sup>**

The first LAC PR was successfully presented at the World Heritage Committee in 2004. The process that led to its elaboration was praised and the end product well received by the World Heritage community.

The properties affected by this exercise were 62 (see table below for details)

Sub-region	Number of States Parties	Number of properties inscribed up to the end of 1995			
		Total	Cultural	Mixed	Natural
South America	10	35	24	2	9
Central America/ Mexico	7	23	17	1	5
The Caribbean	14	4	4	0	0
Total region	31	62	45	3	14

**Methodology and principles of the LAC PR**

The LAC Periodic Report was drafted seeking transparency and participatory approach.

In accordance with these principles a series of **Periodic Reporting meetings** were organised in the 3 sub-regions:

1. South America (Montevideo - Uruguay, March 2002)
2. Central America (Campeche - Mexico May 2002)
3. Caribbean (Haiti, June 2003 and St. Lucia 2004)

Furthermore specific **advisory missions** were conducted in the region to clarify the process and the methodology of the PR.

In order to facilitate the exchange of information within the States Parties and the World Heritage Centre, **national focal points for periodic reporting** (one for the natural and one for the cultural heritage) were designated by each State Party

To make full use of the expertise available in the region, the World Heritage Centre appointed a **Regional Group of Experts** in order to assist in the analysis of the Periodic Reports questionnaires and in the preparation of the regional synthesis report; moreover the group provided a regional perspective of current trends and challenges for the World Heritage in Latin America and the Caribbean (chapt. V). **The Group was composed by focal points of the Advisory Bodies and a number of high-level regional experts.**

To keep **communication** flow up to date amongst all actors involved in the process two specific web sites were created [unesco.org.uy/patrimonio/](http://unesco.org.uy/patrimonio/) and [whc.unesco.org/reporting/lac](http://whc.unesco.org/reporting/lac). These sites provided with: a) information and documentation on the implementation of the periodic reporting work plan for Latin America and the Caribbean; b) a mechanism for consultations and exchange of information between World Heritage partners involved in the periodic reporting process.

Finally, the **Regional Advisor for World Heritage** based at the UNESCO Office in Montevideo ensured the coordination and actual implementation of the periodic reporting process.

**Results**

The implementation rate for the periodic reports was 75.8 % for Section I and 91.9 % for **Section II**.

<sup>3</sup> The cycle and the format are currently under revision and a special group of expert has been appointed for this task. See latest Committee document and decision WHC-07/31.COM/11D.1

<sup>4</sup> Summary versions of the LAC PR are available in English, French and Spanish – whereas the full version is available in English and French. All these versions have been published under the World Heritage Series and are available at: <http://whc.unesco.org/en/series/18/>



**Both sections demonstrated that over the past thirty years the Latin America and the Caribbean region has been an active partner in the implementation of the World Heritage Convention.**

The fact that LAC sites were amongst the first ones to be inscribed on the list demonstrates that the region was very receptive with respect to the implementation of the Convention. However, in the latest years the interest and commitment especially in Central America (with the exception of Mexico) seems to have faded. An analysis of the representativity of the World Heritage List as well as of the properties included on the Tentative Lists – **shows that the full range of cultural and natural diversity that the region has to offer is not adequately reflected on these lists and that there are themes and geographical areas that are under-represented.** This phenomenon can be conducted to several factors: a) new Tentative Lists are not the result of a process of in-depth and systematic reflection on heritage diversity and often do not take in to account the changes in the concept of heritage which have occurred over the last three decades; b) the concepts of OUV, authenticity and integrity are still not well understood and therefore it is arduous for States Parties to discriminate between sites of national interest and sites of outstanding universal value.

Finally, the effective implementation of management policies, the set up of clear indicators and monitoring systems for the sites inscribed on the list seem to be common weakness throughout the region.

In particular from the analysis of **Section I** emerged that:

- The integration of heritage issues into broader planning and development schemes appears to be scarce
- There is very limited co-ordination and integration of natural and cultural heritage preservation
- There is lack of institutional memory (basic documents and nomination dossiers were missing)
- Measures for heritage identification, conservation, and management need to be reviewed
- Only 29.8% of the States Parties have developed their own training modules or programmes for World Heritage. For the Caribbean, only Cuba reports offering specific World Heritage training
- As for International Co-operation and Fund-raising, while the World Heritage Convention can be considered as a major instrument for international cooperation, its potential in this respect is not fully utilized in the region

**Section II showed that:**

- There is little profound understanding of values, authenticity and integrity (23.0% indicate changes to the authenticity/integrity since inscription, and 36.1% foresee changes to the authenticity/integrity in the near future)
- 34% of the buffer zones and core zones need to be reviewed
- There are few monitoring systems with indicators in place, therefore much of the information collected in the reports had to be improvised by the site managers
- There are few emergency or risk preparedness plans in place
- Just over 50 % of the cultural sites have management plans in place and extremely high number of respondents state that the protection of the property is insufficient and that it is necessary to revise its administrative and management arrangements
- Almost all reports that point out that both staffing and funding are insufficient

### 11.3 The Actions Plans for World Heritage

To respond to needs identified in the LAC PR, the Secretariat elaborated an action plan - based on the 4 WH strategic objectives (see session 4) and aiming at providing the entire LAC region with a general framework for the implementation of the Convention and for the protection and management of the properties already inscribed on the List. The World Heritage Secretariat has organised several meetings to ensure the follow-up and implementation of the Action Plans: Cartagena (Colombia) 2004; San Jose (Costa Rica) 2004; Kingston (Jamaica) 2004; Ciudad de Mexico (Mexico) 2007 – see in bibliography Committee Reports.

In consideration of the peculiarities of the sub-region a specific Caribbean Action Plan for World Heritage was elaborated in St. Lucia and further developed at the Kingston meeting in 2004. One of the key and long term action foreseen in the Caribbean Action Plan was to create a Caribbean Programme to vigorously promote, discuss and provide capacity building in World Heritage core concepts, as well as all the components of the World Heritage management cycle, such as the identification of management objectives, the preparation of integrated management plans, including risk preparedness and emergency plans, monitoring and evaluation mechanisms, and participatory approaches to management<sup>5</sup>.

<sup>5</sup>As part of the development of a Caribbean Capacity Building Programme, a Caribbean Training Needs Survey was executed with the aim to: 1. determine the training needs of technical staff as well as managers and decision makers in cultural and natural (world) heritage conservation in the Caribbean; 2. to execute a survey and quality assessment of existing Caribbean training institutes and facilities in the field of conservation and management of cultural and natural heritage; 3. on the basis of this information, to prepare a first Draft for an Integrated Training Programme for the Caribbean first to assess past activities, achievements, lessons learnt and needs identified. The results of the Caribbean Training Needs Survey have been published as part of the LAC PR. To know more about the implementation of the Caribbean Action Plan for World Heritage see: WHC-04/7 EXT.COM/5



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Periodic Report: State of the World Heritage in Latin America and the Caribbean, 2004 WHC-04/28.COM/16

Follow-up on the Periodic Report in Latin America and the Caribbean

WHC-04/7 EXT.COM/5

**Useful web sites**

The World Heritage Centre - <http://whc.unesco.org>

ICOMOS - <http://www.icomos.org>

IUCN - <http://www.iucn.org>

ICCROM - <http://www.iccrom.org>

# SESSION 12 The implementation of the World Heritage Convention and the application of the concept of Outstanding Universal Value in the Caribbean

**PRINCIPAL THEME:** This session gives an overview of the most recent reflections and debates on the application of the concept of Outstanding Universal Value in the Caribbean

SUBJECTS	LEARNING OBJECTIVES
12.1 The Caribbean Context	Participants learn about Caribbean features relevant for World heritage listing.
12.2 The application of the concept of Outstanding Universal Value (OUV)	Participants are informed about the results of the debate on OUV in the Caribbean.

## RESUMEN DE LOS CONTENIDOS QUE SERÁN TRATADOS

### 12.1 The Caribbean Context

According to the World Heritage regional work units, the Caribbean refers to the Insular Caribbean (Greater and Lesser Antilles) and includes all the states part of the CARICOM<sup>1</sup>. Of these 15 Island States 14 have signed the Convention with the exception of the Bahamas.

#### Regional strengths and challenges:

This relatively small region of the world has been the object of rivalry between world powers, the platform for the **interaction between diverse cultures and civilizations** and has been the arena of processes (discovery, genocide, slavery, resistance, independence etc) that have contributed significantly to the economical, socio-political, and cultural morphology of the modern world. In fact the Caribbean Archipelago has been, and continues to be, an important **route of migration and encounter for diverse cultures** over several millennia, beginning from Paleo-indian times to the modern era. All these elements contributed to create **an extremely rich cultural diversity throughout the region**.

Furthermore the specific parameters/expressions created through the **creolization** phenomenon have led to the development of a specific Caribbean

cultural identity, which has been interpreted through a peculiar lifestyle, which finds expression in language, the arts (music, literature, and dance), cuisine and architecture. These expressions have led to the recognition of Caribbean culture worldwide.

On the other hand the insular nature of the Caribbean characterized by **small and fragile economies** makes this region particularly vulnerable to global market forces and in particular to changes affecting the stability of financial markets.

**Tourism is with no doubt the main source of income for many islands.**

In 2006<sup>2</sup>, 19.5 million tourists visited the Insular Caribbean, a 3 % increase on the previous year. This figure represents 3 % of worldwide tourism and resulted in revenues (calculated according to gross revenues of the destinations) of nearly \$20 billion USD.

Direct and indirect impacts of tourism account for 18% of total GDP in the region and absorb almost 20% of the workforce<sup>3</sup>. However, tourism has not created strong linkages within national economies. Tourism infrastructure is mostly foreign owned and investment is being driven by substantial financial and tax incentives granted by the individual countries in competition with one another.

<sup>1</sup> [http://www.caricom.org/jsp/community/member\\_states.jsp?menu=community](http://www.caricom.org/jsp/community/member_states.jsp?menu=community)

<sup>2</sup> UNWTO. World tourism barometer. Volume 5, Nº 1, January 2007  
<sup>3</sup> Sostenibilidad Ambiental en el Caribe, Beethoven Herrea Valencia, CSI/ORIT, 2005

Unfortunately this intensive tourism development exposes Caribbean heritage sites to a continuous pressure as very few have appropriate legal and management instruments to regulate the changes imposed by this growth.

The **geographically dispersed nature** combined with **poor communication and transportation** (air, sea and land transport, telecommunications) contribute to the **isolation of the single islands** and represent another crucial challenge for the regional economical development.

**Eastern Caribbean countries are twelve times as exposed to natural disasters as the world average:** hurricanes, earthquakes, volcanic activity and tidal waves, make the region one of the most disaster prone areas in the world, entailing high economic and social costs.

In addition to natural disasters, Caribbean states face many environmental challenges including land degradation, deforestation, scarce water resources, fish stocks management, biodiversity loss, waste and toxic chemical management and more recently climate change, all of which impact strongly on the region's economic and social development.

### The Caribbean and World Heritage

Today there are 19 WH sites in the Caribbean. The first Caribbean inscriptions on the world heritage list date the early 80, the latest, the Historic Center of Cienfuegos, Cuba, dates from 2005.

As the biggest island in the Caribbean and with a solid heritage conservation system, Cuba hosts the largest number of WH sites (eight) in the region (for an overview of the WH sites in the Caribbean (see session 6).

There is unbalance between natural and cultural sites, but this is not as extreme as in other regions: 6 natural sites vs 13 cultural heritage (7 of which are historic centers).

### 13.2 The application of the concept of Outstanding Universal Value (OUV)

A recent meeting organized in Barbados (*Outstanding Universal Value, Authenticity and Integrity in the Caribbean Context* - Barbados, 8-11 May 2006)<sup>4</sup> in the framework of the implementation of the

Caribbean Action plan for World Heritage, aimed at exploring heritage themes peculiar to the Caribbean in order to make sure that this themes are reflected in future nomination so that the variety of the Caribbean heritage can be represented in WH List.

#### Cultural heritage

Caribbean cultural heritage elements of outstanding value were analyzed following a chronological approach and three phases were identified: **pre-Columbian, colonial and post-colonial**. The experts identified for each of these periods a number of themes and typologies, which were unanimously accepted as contributing to a Caribbean ethos.

As per the **pre-Columbian time** it was stressed that:

1. The fragility of the archaeological record in the region, and the pressures of development, threatens the integrity of these sites;
2. Many sites in the region are fundamental to an understanding of the first encounters between Amerindians, Africans and Europeans, and are still barely studied in their national and international significance;
3. Amerindian sites are culturally significant for helping us to understand the past, to enrich the present, and are of value to future generations;
4. The educational value of these sites elucidates the contribution and role of the Amerindian cultures in human history.

The following themes were considered as relevant to defining the cultural heritage of the sub-region during the **colonial and post-colonial periods**

1. Migration
2. Creolization/Syncretism/Multi-culturalism
3. Places of Worship
4. Resistance
5. Memory
6. Peaceful coexistence
7. Emancipation Socio-political -Revolution & resistance (Trade Unionism, Caribbean based movements)
8. Other world impacts (pan-Africanism, Garveyism, Negritude, Caribbean Nobel laureates)
9. First encounters
10. Religion/ Spirituality

<sup>4</sup> The conference was organized by the WHC in close collaboration with the UNESCO regional offices of Kingston and La Havana, with generous financial support from the Governments of Barbados and the Netherlands and in the framework of the implementation of the Caribbean Action Plan for World Heritage.

The main purposes of the meeting were: to enhance understanding of the Outstanding Universal Value concepts in relation to the Caribbean; to facilitate preparation of improved nominations in the sub-region; and to provide for a solid foundation for World Heritage conservation and management (ref. 2004 Periodic Report, Summary version, August 2004, p. 30). Representatives of 18 Caribbean States Parties, the 3 Advisory Bodies (IUCN, ICOMOS and ICCROM), internationally and regionally renowned experts attended the conference.

11. Music/Arts
12. Agricultural & Industrial systems
13. Trade
14. Education
15. Tourism

As underrepresented **categories** of sub-regional cultural heritage were identified

1. Cultural Routes (e.g. Slave routes and Places of Memory)
2. Cultural landscapes
3. Vernacular architecture
4. Post colonial Nineteenth and Twentieth century's architecture
5. Mixed sites
6. Places of Entertainment, Sports
7. Botanic Gardens /Research stations

The **natural heritage themes of outstanding value identified were the following:**

The **rich biodiversity** and the **high degree of endemism**, which exist within the region, make the Caribbean outstanding. The role of the wider Caribbean in certain evolutionary and biological processes for example migratory species is significant.

The most representative features of **Natural heritage** in the region include:

### a.) Ongoing geological processes (Criterion viii)

1. The evolution and development of the island arc system
2. Dome forming volcanic eruptions
3. Plate tectonics, plate boundary margins
4. Evolution and development of coral reefs
5. Development of karst landscapes

### b.) Geomorphic features (criterion viii)

1. Rock formations
2. Waterfalls
3. Mountains
4. Karst features
5. Blue holes

### c.) Habitat for conservation of biodiversity and biological processes (criteria ix & x)

1. High degree of endemism in most states (rare, endangered and threatened species); considered one of the world's eight hot spots
2. Habitat for migratory species such as turtles and migratory birds
3. Coastal and Marine ecosystems and biological processes,

4. Coral Reefs
5. Sea Mounts
6. Coastal areas
7. Sea grass beds
8. Nesting sites for turtles
9. Mangroves
10. Littoral forests
11. Wet lands
12. Terrestrial ecosystems
13. Wet, moist and dry vegetation
14. Montane and lowland vegetation

Another crucial issue that was discussed during the meeting was "**Smallness**" which was very often (especially in the case of natural heritage) considered as an impediment for meeting the requirements of OUV.

It was agreed that **size does not matters if the values are well represented** and that even in smallness, the Caribbean possesses rich biodiversity and endemism and resources, which have the potential to claim outstanding universal value.

For what concerns **cultural heritage** it was underlined that **the process of Creolization** has birthed philosophies and ideologies which have had global impact which when connected to specific sites, imbue them with a significance that **transcends their relatively small size**.

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WHC-05/29.COM/INF.9B

#### Useful web sites:

CARICOM - <http://www.caricom.org>

ICOMOS - <http://www.icomos.org>

IUCN - <http://www.iucn.org>

ICCROM - <http://www.iccrom.org>

The World Heritage Centre- <http://whc.unesco.org>









# CCBP

## Caribbean Capacity Building Programme

For World Heritage



United Nations  
Educational, Scientific and  
Cultural Organization

Regional Bureau for Culture  
in Latin America and the Caribbean

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MODULE

# 1

PATRIMONIO  
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