unit 40

Introducing the nomination forms

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Lesson plan

Duration:

2 hours

Objective(s):

Establish an understanding of the criteria for inscription, the nomination forms and what makes a nomination file successful, so that participants become better prepared to write a successful nomination.

Description:

This unit introduces the criteria for inscription on the two Lists of the Convention for the Safeguarding of the Intangible Cultural Heritage[[1]](#footnote-1) – the Urgent Safeguarding List (USL) and the Representative List (RL). It takes participants through different sections of the nomination forms, and provides recommendations of the Committee and its evaluating bodies.

*Proposed sequence*:

* The facilitator reminds the participants about the criteria for inscription on the Lists.
* The facilitator introduces the blank nomination forms ICH-01 and ICH-02 and explains the views of the Committee and its evaluating bodies on determining compliance with the criteria.
* Participants discuss the criteria and forms.

Supporting documents:

* Facilitator’s notes Unit 40
* PowerPoint presentation Unit 40
* Participant’s text Unit 11
* Instructions for completing nomination forms ICH-01 and ICH-02, obtained from the website of the Convention: <http://www.unesco.org/culture/ich/en/forms/>
* Aide-mémoires for completing nominations to the Urgent Safeguarding List and the Representative List: <http://www.unesco.org/culture/ich/en/forms/>
* Basic Texts of the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage[[2]](#footnote-2)

Notes and suggestions

During this session, the facilitator will review the criteria for inscription, the requirements of the nomination forms and the associated process, and will discuss some of the recommendations of the Committee and its evaluating bodies on the criteria for inscription.

Please note that Unit 41 Assessing initial sample nominations will provide participants with the opportunity to evaluate sample nomination files and thereby use the theoretical knowledge from this unit.

The Instructions for completing nomination forms ICH-01 and ICH-02 address key areas of concern to those responsible for evaluation and examination of the files and contain a Checklist of required technical conditions for a nomination to be considered complete.

The Aide-mémoires for completing nominations for the Urgent Safeguarding List and Representative List reflect the advice of past and current evaluation bodies and the decisions of the Intergovernmental Committee. They are a useful resource for this unit.

Unit 40

Introducing the nomination forms

Facilitator’s narrative

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Introducing the nomination forms

###### Slide 2.

In this presentation …

###### Slide 3.

Inscription criteria for the two Lists of the Convention

These criteria are introduced in Unit 11.

Note on the examination of nomination files

The facilitator should emphasize that nomination files are examined strictly on their own merits: if information is incomplete and members of the Evaluation Body or the Committee happen to have knowledge about the element, this will not be taken into account. The files are taken at face value, and no mistakes are corrected. There are elements that meet the criteria for inscription and there may be elements that do not; some nomination files are well prepared and others are not. Only good files concerning elements that meet the criteria for inscription will probably be inscribed.

For more information on the criteria for inscription see Unit 11

###### Slide 4.

Nomination form: introductory part

The forms for nominating elements to the Lists of the Convention are intended to ensure that the Committee receives sufficient information to determine whether the nominated element meets the criteria for inscription, as set out in the Operational Directives (OD 1–2). All nomination files have to be submitted by 31 March each year.

The forms have been designed in such a way that they can be filled in by people who know the element well, but who need not be specialist researchers. Knowledgeable community members can and should be involved in the preparation of the files, if they are not preparing the nomination themselves. It should not be necessary to employ specialist consultants in the development of nomination forms, except perhaps in the production of video and photographic materials. Ten photographs and a ten-minute video should accompany every nomination file.

The forms ask many questions and provide abundant information as to how to complete the various sections. Word limits are set for the length of entries in the nomination forms providing both minimum and maximum word counts with the French limits set 15% higher than the English limits. These limits must respected otherwise the nomination file is considered incomplete. In the case of multinational nominations, the maximum word limit is increased by 50% for a file submitted by two States and by 100% for a file submitted by three or more States.

Please note that the limit on the name of the element (Section B.1 and B.2 in the forms) is expressed in characters (200 characters) and not in words.

Differences between forms for the World Heritage List and the Lists of the Convention for the Safeguarding of the Intangible Cultural Heritage

The forms ICH-01 (for USL nominations) and ICH-02 (for RL nominations) differ substantially from those required for nominations to the World Heritage List in terms of length and the kind of detail required. Nomination files for the Lists of the Intangible Heritage Convention tend to be relatively short (with the possible exception of multinational nominations), and in preparing them the main emphasis is on: (i) defining the element well by ensuring its compliance with the inscription criteria and including the definition of ICH in the Convention; (ii) ensuring community participation and consent in the process; and (iii) developing safeguarding measures for the element based on an understanding of its viability, the threats faced by it, and available resources and commitments. Historical information, comparative data, geographical coordinates and maps of associated sites are not considered necessary in ICH nominations.

Nomination forms for the World Heritage List, by contrast, are usually very sizeable documents, often prepared by specialist consultants. They have to include a description of the site (called a ‘property’), a historical overview, maps and plans, geographical coordinates of the site, a detailed justification for inscription, a comparative analysis of similar properties, a discussion of integrity and/or authenticity, and a management plan for the property.

Forms ICH-01and ICH-02

Forms ICH-01 and ICH-02, which largely coincide, were initially developed for the 2009 cycle and have been altered several times since.

Facilitators should introduce workshop participants to the detailed instructions for completing the nomination forms that can be found on the website above and which include at the end a checklist of required technical conditions for a nomination to be considered complete. The differences between the forms should be clarified in the discussion.

The Secretariat compiled and regularly updates two Aides-mémoires (one for the USL and the other for the RL) containing all lessons learnt, observations and recommendations with an aim to assisting States Parties in elaborating files. The Aide-mémoires addresses certain general content issues and basic technical requirements.

Forms ICH-01, ICH-02, Instructions and Aide-mémoires are available on the ICH website: http://www.unesco.org/culture/ich/en/forms/.

States Parties should take careful heed of the relevant decisions of the Committee as well as the observations and suggestions offered by the Evaluation Body to endeavour to submit files of the highest quality, providing all of the information needed for their proper evaluation.

Information presented below describes what is required on the forms and also gives some additional guidance for filling them out. Some – but not all – of the guidance is repeated in Facilitator’s notes Unit 41 for each sample nomination where further explanation of problems in the nominations is required.

Facilitators should familiarize themselves with the relevant documentation from the most recent Committee meetings (available on the ICH website) in order to ensure that the information they are providing to workshop participants is up to date.

### States Parties

Section A (both forms): The submitting State(s) should be indicated here. The State or States have to be States Parties to the Convention.

In the case of multinational nominations, all submitting States Parties should be mentioned in the order they have agreed upon. Official representatives from all the States Parties involved have to sign the form in Section 7. The communities concerned from all submitting States must have been consulted and consented to the content and the submission of the nomination file.

Multinational nominations are encouraged and given priority in the examination of nomination files (OD 34). The Committee established an online resource for States Parties to communicate about their intention to submit possible multinational nominations.

For more information on the online resource for multinational nominations, see: http://www.unesco.org/culture/ich/index.php?lg=en&pg=00560

### Naming the element

Section B (both forms): Here, the name of the element should be given: first, the official name in English or French (B.1), then the official name in the language and script of the community concerned (B.2), and then any other names by which the element is known (B.3).

Nominated elements need to have appropriate and informative names. The purposes of inscription on the Lists cannot be served if an element’s name is understandable only to those already familiar with it.

States are advised to choose a name that makes sense in English or French to people who may never have experienced the element itself and that allows them to grasp its identity. Original language terms can be included in titles, but they should be accompanied by a translation or paraphrase in English or French.

When naming element, States are requested to avoid unnecessary references to specific countries or adjectives of nationality that may inadvertently provoke sentiments contrary to the Convention’s principle of international cooperation.

### Communities concerned

Section C (both forms): This section should identify the communities, groups and/or individuals who recognize the element as part of their culture heritage. States Parties should clearly identify the communities concerned and explain how they were identified or selected.

Communities are central to each of the five criteria for inscription on the Lists. The nomination has to make a convincing case that communities were involved in the initiation and elaboration of the nomination, that they had a voice in the design of the safeguarding measures proposed, that they would be involved in their implementation, that they provided free, prior and informed consent for the nomination, and that they participated in the identification of the element and its inclusion in an inventory.

Communities are not homogenous, but are divided into groups by age, gender and other factors. It is important to have clear information about the internal segments or sub-groups within a community. Attention should be paid to the inclusion of women and youth, where appropriate, in the definition of communities and groups.

The description of the communities concerned should be consistent within the nomination. Different communities and groups should not be mentioned in different parts of nomination files.

Although the communities concerned are not necessarily formally organized with committees and representatives, in some cases the community might consist of a relatively small group of professional practitioners. Excessive professionalization, sometimes with international competitions and huge funding, makes it difficult to identify the community concerned or feel confident that they are the agents and beneficiaries of the inscription process. In certain cases, institutions and professional practitioners could constitute the community concerned.

### Geographical range

Section D (both forms): The geographical location and range of the element within the territory(ies) of the submitting State(s) should be clearly identified in this section. Note that geographical coordinates are not necessary.

Nominations should concentrate on the situation of the element within the territory(ies) of the submitting State(s), while acknowledging the existence of the same or similar elements outside its(their) territory(ies). When doing so, States Parties are requested not to inadvertently impede mutual respect or dialogue which respects cultural diversity.

### Domains

Section E (Form ICH-01) and Section 1 (Form ICH-02): In this section, the appropriate boxes should be ticked to identify one or more domains represented by the element. If the category ‘Other’ is chosen a concise description should be given.

### Contact Person for Correspondence

Section F.1 (Form ICH-01) and Section E.1 (Form ICH-02): In this section, a contact person for correspondence regarding the nomination file should be indicated. In the case of multinational nominations a main contact person for general correspondence should be indicated. Section F.2 and Section E.2: This section is applicable to multinational files only and should contain complete contact information for each of the submitting States other than the primary contact mentioned in F.1/E.1.

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### Nomination form: Description of the element

Section 1: The element should be identified and described in this section. The requirements differ for the two Lists. Elements should be well-described and presented.

For elements nominated to the RL, section 1(i) of Form ICH-02 requires a summary description in which the domains represented by the element also have to be indicated. For USL nominations, the information about the domains is not required. The description in both forms should refer to:

* the characteristics of bearers and practitioners and their roles;
* current modes of transmission of skills and knowledge required for the practice of the element;
* the element’s current social and cultural functions or meanings for the communities concerned, and
* the compliance of the element with the definition of ICH in the Convention (Article 2.1).

Extensive historical and technical information is not required in this section: the emphasis should be on the current practice of the element and its functions or meanings to the community concerned. A proper balance should be found between technical information and social and cultural functions.

The Convention does not use historical accuracy or ‘authenticity’ as a measure of the value of an element to the communities concerned. States Parties should ensure that, in case of nominations containing references to war, conflict or specific historical events, the file should be elaborated with utmost care to avoid provoking misunderstanding among communities in any way, with a view to encouraging dialogue and mutual respect among communities, groups and individuals.

Attention should be paid to addressing the right scale or scope of the nominated element. The right scale or scope for an element in an inventory might not be the same as for the nominated element. A proper balance should be found to avoid having overly general or micro-elements.

See the relevant sections of the Aide-mémoires, including specific guidelines of the subsections of section 1 of ICH-02. Available on the ICH website at: http://www.unesco.org/culture/ich/en/forms/.

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### Nomination form: Viability (ICH-01)

Section 2 (Form ICH-01): This section is mainly relevant for nominations to the USL; elements nominated to the RL are assumed to be relatively viable. To date, the Evaluation Body and the Committee have not really questioned reports regarding the viability of elements nominated by States Parties to the Lists of the Convention. As a result, the USL has a range of more or less seriously endangered elements and the RL has a range of more or less viable elements.

Section 2 of the USL nomination form should outline the need for urgent safeguarding (or extremely urgent need of safeguarding). The viability of the element needs to be clearly described (frequency and extent of practice, strength of traditional modes of transmission, etc.). The element may well have changed over time and different variations, improvisations and interpretations may exist. Threats to its viability should be identified and be specific to the element being nominated: listing generic threats to all ICH, such as globalization, should be avoided.

States should not refer to the viability of intangible cultural heritage outside of their territories or characterize the safeguarding efforts of other States.

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### Nomination form: Visibility, awareness and encouraging dialogue

Section 2 (Form ICH-02): This section is only relevant for nominations to the RL. Here the form should demonstrate the ways in which inscription of the element will:

* contribute to ensuring the visibility of ICH in general, and raise awareness about it;
* encourage dialogue among communities, groups and individuals about cultural diversity; and
* promote respect for cultural diversity and human creativity.

It is important when discussing visibility here not to refer primarily to the visibility of the element itself but to how inscription of the element may lead to increased visibility and awareness of the significance of ICH in general. If this information is not provided in section 2, then the nomination is not considered to have met criterion R.2 and will be rejected.

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### nomination form: Safeguarding plan/measures

Section 3 (Forms ICH-01 and ICH-02): This section should present safeguarding measures.

Section 3.a should present past and current safeguarding measures, including measures taken by the communities and States Parties concerned. Tick boxes are provided in form ICH-02 to indicate the kinds of safeguarding measures being presented.In form ICH-01, under 3.b a safeguarding plan is required which should include:

* the objective and expected results of the safeguarding measures;
* key activities and their sequence and feasibility;
* description of the mechanisms for the full participation of communities in the proposed measures;
* the nature and capacity of the competent body or bodies indicated in 3.c that have responsibility for managing and safeguarding the element locally;
* evidence of the commitment of the State concerned to support the safeguarding plan;
* a feasible timetable for their implementation; and
* an estimate of funds required for the implementation of the plan, including the resources the funds come from.

States should justify and describe the specific safeguarding methodologies chosen to address the specific threats or needs identified in the file and achieve the safeguarding objectives.

Form ICH-02 Section 3.b should present proposed future measures, including information on:

* the measures themselves,
* the active participation and contributions of the communities concerned in the development and implementation of the measures, and
* the contributions and commitments of the States Parties concerned.

For RL nominations that in principle relate to elements with high viability, attention should be paid to safeguarding measures that adequately address the possible negative consequences of inscription.

States are encouraged to provide clear and definite statements of what safeguarding measures will be taken or are planned, rather than seeming to suggest that they are only vague possibilities or potential actions. The file should present a systematic and coherent safeguarding strategy with concrete activities and an appropriate budget and timetable.

Formalization and even the institutionalization of transmission of an element is often part of the evolution of intangible cultural heritage and of its constant recreation. However, safeguarding strategies such as income generation, remuneration to tradition-bearers or expansion of audiences should be focused primarily on promoting the continued practice and transmission of the element. Commercialization should not be the primary goal, or an end in itself.

Community are not only targets or beneficiaries of safeguarding measures but also they are initiators and implementers. The communities’ commitment to such measures is fundamental to the success of any safeguarding effort.

Safeguarding strategies should demonstrate that capacity-building and knowledge transfer towards the communities are part and parcel of such measures so that the communities concerned can take ownership of the safeguarding process and continue it, even after the experts, government officials or non-governmental organizations have left. Safeguarding strategies should also include mobilization, awareness-raising and educational activities involving youth.

It is particularly important that submitting States justify as fully as possible the choice of a particular segment of a larger population as the focus of its safeguarding efforts. Why is this locality chosen, or this set of districts, or this ethno-linguistic community? Within the safeguarding strategies or plan, are certain groups targeted and others not, and if so, why?

Section 3.c should provide contact details for the competent body or bodies involved in safeguarding. These are the bodies actually implementing the safeguarding measures, such as community organizations, NGOs or local governments.

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### Nomination Form: Community participation and consent

Section 4 (Forms ICH-01 and ICH-02): This section should describe the participation of the communities concerned in the nomination process (4a), and their free, prior and informed consent (see Unit 3) to the submission of the nomination (4.b). A document, video or other proof of community consent has to be attached to the nomination file, and be indicated here.

Community consent can be in video, audio or documentary form, or may take other forms: the Committee accepts a broad range of demonstrations of community consent. Examples of community consent can be found accompanying the nomination files on the ICH website. Consent should not be obtained after the nomination had been drafted.

Proof of consent has to be provided in one of the working languages of the Committee (English or French), as well as the language of the community concerned if its members use languages other than English or French. If proof of consent is not provided by the fixed deadline, the file will not be submitted for examination in that cycle. Section 4.c should provide information on any customary practices governing access to the element and should demonstrate that inscription of the element and implementation of safeguarding measures would respect such customary practices governing access to the element. If these practices do not exist, this should be explained in a statement of at least 50 words.

Section 4.d should provide information on community organizations or representatives that are concerned with the element. There need to be clear explanations of who among the members of the concerned communities were and what relation they bore to the element and its practice and transmission with regard to the evidence of free, prior and informed consent.

The communities, groups and individuals whose intangible cultural heritage is concerned are essential participants at all stages of the identification, the inventorying, the preparation, the elaboration and submission of nominations, in the promotion of visibility of intangible cultural heritage and awareness of its significance and in the implementation of safeguarding measures. Communities concerned should be the primary beneficiaries of the inscription of an element on the Representative List and of the increased visibility and benefits that may arise.

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### Nomination form: inventory

Section 5 (Forms ICH-01 and ICH-02): This section should provide proof of inclusion of the element in an inventory of ICH present in the territories of the submitting States Parties as defined in Articles 11 and 12 of the Convention. These inventories do not need to be completed at the time of submitting the nomination file, but the file must demonstrate that:

* the element was identified and defined with the participation of the communities and groups concerned and relevant non-governmental organizations, if any;
* the element is included in an inventory of the ICH present in the territory(ies) of the submitting State(s) Party(ies);
* the inventory is managed by a specific agency, office, organization or body; and
* the inventory is (or will be) regularly updated.

Evidence of inclusion of the element in an inventory as described above should be provided, in documentary form (attached to the nomination) or via a functioning link to a website where that inventory can be consulted. Nominations will only be considered complete if such evidence is provided and a relevant extract of the inventory is attached in English or in French, as well as in the original language, if different. A simple letter of an authority without references and dates of inclusion cannot be accepted.

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### Nomination Form: Documentation

Section 6 (Forms ICH-01 and ICH-02): This section should list audiovisual (6.a) and published (6.b) documentation associated with the nomination. For nominations to the RL and the USL, ten photographs and a ten-minute video should be included; they are an essential part of the nomination file. Videos should be subtitled in English or French if the language used is other than English or French.

Signed cession of rights forms (ICH-07-photo and ICH-07-video) should also be included for both photographs and video. They have to be signed by the owner of the rights to these documentary materials (i.e., the rights to use, publish, reproduce, distribute, display, communicate or make them available to the public). A third party cannot sign the form on behalf of the rights holder. The cession of rights form irrevocably grants UNESCO (and any third parties UNESCO wishes to sub-license for non-profit purposes) the non-exclusive worldwide rights to use, publish, reproduce, distribute, display, communicate or make the materials available to the public. These rights are granted for an unlimited amount of time. This broad cession of rights to UNESCO helps to promote better knowledge and understanding of ICH through distribution of photographic and video material about elements inscribed on the Lists of the Convention.

Photographs and videos should illustrate the current-day practice and transmission of the element within the communities and groups concerned. States Parties should ensure that there is a close correspondence and a coherency between the description of the element presented in the audiovisual materials and the information included in the nomination form.

Videos should not target tourists and/or contain narrations that have little relation to the content of the nominations. Instead, community members should be given the opportunity to speak. The purpose of the videos is to contextualize the element rather than to advertise it. States are encourages to include subtitles to provide information on who is speaking, where, when and in which occasion scenes were shot, in order to enable a better understanding of its content. It is important that viewers can appreciate the social function of element. For this purpose, the video should capture ordinary members of the communities that practise and appreciate the element in question and not only emblematic figures or celebrities. For example, an entire dance sequence or a song should be seen rather than simply presenting short snippets that do not respect the integrity of the performance. States should take particular care to avoid potential and unintended violent messages in the video or photographs, for example when the practice includes the presence of weapons.

### Signature

Section 7 (Forms ICH-01 and ICH-02): In this section official representatives of the submitting States Parties indicate by signature their consent to the submission of the nomination. In the case of multinational nominations, the document should contain the name, title and signature of an official from each State Party submitting the nomination.

General comments

A number of nomination files that have been evaluated were poorly written, poorly translated into French or English from another language, or had gaps or weak logic in the presentation of information. There was often a lack of coherence between information presented in the files at different points and between the information in the file and accompanying documentation such as the video, community consent letters and/or inventory extracts. A poor quality file may result in problems understanding the information presented in the file, not only for examination purposes, but also for awareness raising after inscription.

There is a number of necessary conditions that should be met before nomination files can be submitted for evaluation and examination. If the following conditions are not met, the file will be returned to the submitting State for completion and resubmission in a following cycle in accordance with OD 54:

1. A response is provided in each and every section;
2. Maximum word counts established in the nomination form are respected;
3. Evidence of free, prior and informed consent is provided in one of the working languages of the Committee (English or French), as well as the language of the community concerned if its members use languages other than English or French;
4. Documentary evidence is provided demonstrating that the nominated element is included in an inventory of the intangible cultural heritage present in the territory(ies) of the submitting State(s) Party(ies), as defined in Articles 11 and 12 of the Convention; such evidence may take the form of a functioning hyperlink through which such an inventory may be accessed;
5. Ten recent photographs in high resolution submitted as digital files as well as the original signed cessions of rights (Form ICH-07-photo); and
6. An edited video of not more than ten minutes is provided, subtitled in one of the languages of the Committee (English or French) if the language utilized is other than English or French as well as the original signed cessions of rights (ICH-07-video).

These conditions apply to nominations to both Lists of the Convention. As mentioned previously, minimum and maximum word counts must be respected.

Information placed in inappropriate sections of the nomination cannot be taken into consideration’ in evaluating nominations. Files shall include only the information requested in the forms.

The use of incorrect terminology, such as references to a tentative list, the World Heritage List, the *world heritage* of humanity, *masterpieces* and so on, is a common problem in nomination files for both Lists of the Convention, and should be discouraged.

When requested to provide additional information, submitting States should not submit new files instead of those originally submitted. Each nomination should constitute a unique and original document; duplication of text from another nomination is not acceptable.

1. . Frequently referred to as the ‘Intangible Heritage Convention’, the ‘2003 Convention’ and, for the purpose of this unit, simply the ‘Convention’. [↑](#footnote-ref-1)
2. . UNESCO, *Basic Texts of the 2003 Convention for the Safeguarding of the Intangible Cultural Heritage* (referred to in this unit as Basic Texts), Paris, UNESCO. Available at <http://www.unesco.org/culture/ich/index.php?lg=en&pg=00503>. [↑](#footnote-ref-2)