
MEMORY OF THE WORLD

GENERAL GUIDELINES TO SAFEGUARD

DOCUMENTARY HERITAGE



Information Society Division

United Nations Educational, Scientific and Cultural Organization

Original: English

CII-95/WS-11rev
February 2002

MEMORY OF THE WORLD

GENERAL GUIDELINES TO

SAFEGUARD

DOCUMENTARY HERITAGE

REVISED EDITION 2002



Prepared for UNESCO by Ray Edmondson

Information Society Division

United Nations Educational, Scientific and Cultural Organization

Recommended catalogue entry:

Memory of the World: General Guidelines (Revised edition 2002) / prepared by Ray Edmondson. Paris: UNESCO, 2002. 72 p., 30 cm.

(CII-95/WS-11rev)

I – Edmondson, Ray

II – UNESCO. Information Society Division

© UNESCO, 2002

Contents

Preface	1
1 Introduction	2
1.1 What is <i>Memory of the World</i> ?	2
1.2 Objectives of <i>Memory of the World</i>	3
1.3 Background to <i>Memory of the World</i>	3
2 Foundations	5
2.1 Basic assumptions	5
2.2 Character of the Programme	5
2.3 Vision and mission	6
2.4 Complementary programmes	6
2.5 Ethical issues	7
2.6 Documentary heritage: definitions	8
2.7 Sharing of memory	9
2.8 Key strategies	10
3 Preservation and access	12
3.1 Introduction	12
3.2 Defining preservation	12
3.3 Principles of preservation	12
3.4 Principles and methods for access	14
3.5 Products and distribution	16
3.6 Publicity and awareness raising	18
3.7 Education and training	18
4 The registers of <i>Memory of the World</i>	20
4.1 International, regional and national registers	20
4.2 Selection criteria for the <i>Memory of the World Register</i>	21
4.3 Nominating to the <i>Memory of the World Register</i>	23
4.4 Legal and management preconditions	24
4.5 Preparing nominations	25
4.6 Submitting nominations	26
4.7 Assessment of nominations	27
4.8 Removal from the <i>Register</i>	27
4.9 Lost and missing heritage	28

5	Programme structure and management	29
5.1	Background	29
5.2	The International Advisory Committee (IAC)	29
5.3	IAC subsidiary bodies	30
5.4	Secretariat	30
5.5	Heritage under threat	31
5.6	The <i>Memory of the World Fund</i>	31
5.7	National committees	32
5.8	Regional committees	33
5.9	Projects and activities	34
5.10	Meetings, conferences and information	34
5.11	Monitoring and reporting	35
5.12	Relations with complementary programmes (within UNESCO)	35
5.13	Relations with NGOs and advisory bodies	35
6	Funding and marketing	37
6.1	Facilitating and brokering	37
6.2	Fund raising and income	37
6.3	Use of <i>Memory of the World</i> logo and labeling	39
6.4	Product identification and control	40
7	Future Scan	41
7.1	Towards a convention	41

Appendixes

A	Nomination form and guide to completing the form	42
B	<i>Memory of the World Fund</i> : indicative list of factors to be included in grant applications	51
C	Project description form	52
D	Terms of reference for a national <i>Memory of the World</i> committee	57
E	Glossary and acronyms	60
F	Bibliography	62
G	Criteria for the inclusion of cultural properties in the <i>World Heritage List</i>	64
H	Criteria for the Proclamation of Masterpieces of Intangible Heritage of Humanity	66

Website: www.unesco.org/webworld/mdm

Contact: a.abid@unesco.org

Preface

The original *General Guidelines* to the *Memory of the World* Programme were prepared, under the auspices of IFLA (International Federation of Library Associations), by Jan Lyall with the assistance of Stephen Foster, Duncan Marshall and Roslyn Russell. Published in 1995, this remarkable pioneering document has served as a foundation for the subsequent growth of the Programme and the values it represents.

In the nature of things, growth requires that guidelines be regularly revisited and updated. This new edition takes the work of the original team as a departure point. It comprehends the accumulated experience of the last six years, including debate on the selection criteria and nomination process for the *Memory of the World Register* at the 1997 and 1999 meetings of the International Advisory Committee, and the Second International Conference of *Memory of the World* in 2000. While it draws heavily on its predecessor, to which I acknowledge my debt, it differs in content and structure. For example, there is less detailed information on preservation techniques because the need for this is, by now, more comprehensively served by other *Memory of the World* publications. At the same time, there are differences of emphasis that reflect the growth of the Programme and its structures.

Like its original, this document is the result of a team effort. In February 2001, a special UNESCO Working Group met in Bangkok, Thailand, under the auspices of the South East Asia-Pacific AudioVisual Archive Association (SEAPAVAA), to establish the parameters of the document and develop its content. The members of the Group – Jon Bing, Richard Engelhardt, Lygia Maria Guimaraes, Ingunn Kvisterøy and Dato' Habibah Zon – not only contributed from their differing geographic and cultural perspectives, but pooled their considerable collective experience of the *Memory of the World* Programme. It was my privilege to serve as convenor of the Working Group and to subsequently distil its work and thought into the text which is before you.

I also gratefully acknowledge the contributions and practical assistance of Abdelaziz Abid, Lourdes Blanco, Beverley Butler, Susanne Ormager and Dietrich Schüller. I am especially grateful for the sustained and incisive collaboration of Ingunn Kvisterøy over many months. I trust that these Revised Guidelines, like its predecessor, will provide a sound operational basis for the continuing growth of *Memory of the World*.

Ray Edmondson
International Advisory Committee
Memory of the World

1 Introduction

1.1 What is *Memory of the World*?

1.1.1 The *Memory of the World* is the documented, collective memory of the peoples of the world – their **documentary heritage** – which in turn represents a large proportion of the world’s cultural heritage. It charts the evolution of thought, discovery and achievement of human society. It is the legacy of the past to the world community of the present and the future.

1.1.2 Much of the *Memory of the World* resides in libraries, archives, museums and keeping places across the globe and much of it is now at risk. The documentary heritage of many peoples has become dispersed because of accidental or deliberate displacement of holdings and collections, “spoils of war” or other historical circumstance. Sometimes, practical or political barriers hinder access, while in other cases deterioration or destruction are the threats. Calls for repatriation of heritage deserve sensitivity to circumstances as well as justice.

1.1.3 The dangers are manifold. Mostly composed of natural, synthetic or organic materials which are subject to chemical instability and breakdown, documentary heritage is continually at risk from natural calamities, such as flood and fire; man-made disasters such as looting, accident or war; and gradual deterioration, which may be the result of human ignorance or neglect in providing basic care, housing and protection. For audiovisual and electronic materials, loss also results from man-made technical obsolescence. This is frequently driven by commercial imperatives without any compensating development of more stable materials or technologies for preservation purposes.

1.1.4 Increasing awareness of these risks has generated a sense of urgency. Too much documentary heritage is already lost forever. For much of the remainder, preservation action will come at the last moment¹, if it comes at all. The skills and facilities needed to achieve this are unevenly distributed around the globe.

1.1.5 The *Memory of the World* Programme recognises documentary heritage of international, regional and national significance, maintains registers of it, and awards a logo to identify it. It facilitates preservation, and access without discrimination. It campaigns to raise awareness of the documentary heritage, to alert governments, the general public, business and commerce to preservation needs, and to raise funds.

1.1.6 A truly international undertaking with a central secretariat, international, regional and national committees, and with partners in government, professional and commercial sectors, the *Memory of the World* Programme maintains a global perspective embracing all countries and peoples, whose collective efforts will be needed to ensure that the *Memory* is retained undistorted and undiminished.

¹ For example, it is estimated that 70 to 80 per cent of documentary heritage in Eastern and Central Europe is inaccessible and/or in urgent need of preservation.

1.2 Objectives of *Memory of the World*

1.2.1 The *Memory of the World* Programme has three main objectives:

(a) **To facilitate preservation, by the most appropriate techniques, of the world's documentary heritage.** This may be done by direct practical assistance, by the dissemination of advice and information and the encouragement of training, or by linking sponsors with timely and appropriate projects.

(b) **To assist universal access to documentary heritage.** This will include encouragement to make digitized copies and catalogues available on the Internet, as well as the publication and distribution of books, CDs, DVDs and other products, as widely and equitably as possible. Where access has implications for custodians, these are respected. Legislative and other limitations on the accessibility of archives are recognised. Cultural sensitivities, including indigenous communities' custodianship of their materials, and their guardianship of access, will be honoured. Private property rights are guaranteed in law.

(c) **To increase awareness worldwide of the existence and significance of documentary heritage.** Means include, but are not limited to, developing the *Memory of the World* registers, the media, and promotional and informational publications. Preservation and access, of themselves, not only complement each other - but also raise awareness, as access demand stimulates preservation work. The making of access copies, to relieve pressure on the use of preservation materials, is encouraged.

1.3 Background to *Memory of the World*

1.3.1 UNESCO established the *Memory of the World* Programme in 1992. Impetus came originally from a growing awareness of the parlous state of preservation of, and access to, documentary heritage in various parts of the world. War and social upheaval, as well as severe lack of resources, have worsened problems which have existed for centuries. Significant collections worldwide have suffered a variety of fates. Looting and dispersal, illegal trading, destruction, inadequate housing and funding have all played a part. Much has vanished forever; much is endangered. Happily, missing documentary heritage is sometimes rediscovered.

1.3.2 An International Advisory Committee (IAC) first met in Pultusk, Poland, in 1993. It produced an action plan which affirmed UNESCO's role as coordinator and catalyst to sensitize governments, international organizations and foundations, and foster partnerships for the implementation of projects. Technical and Marketing Sub-committees were established. The preparation of General Guidelines for the Programme was initiated through a contract with IFLA (International Federation of Library Associations), together with the compilation, by IFLA and ICA (International Council on Archives), of lists of irreparably damaged library collections and archive holdings. Through its National Commissions, UNESCO prepared a list of endangered library and archive holdings and a world list of national cinematic heritage.

1.3.3 Meanwhile, a range of pilot projects employing contemporary technology to reproduce original documentary heritage on other media was commenced. (These included, for example, a CD ROM of the 13th Century Radzivil Chronicle, tracing the origins of the peoples of Europe, and Memoria de Iboamerica, a joint newspaper microfilming project involving seven Latin American countries). These projects enhanced access to this documentary heritage and contributed to its preservation.

1.3.4 IAC meetings have since been held every two years (Paris 1995, Tashkent 1997, Vienna 1999, Cheongju 2001) with international *Memory of the World* conferences held in Oslo (1996) and Manzanillo (2000). Other meetings, including gatherings of experts, have been held in Central and Eastern Europe, South Asia and South America, with regional committees being formed for Asia-Pacific (1997) and Latin America-Caribbean (2000). To date, about 45 national *Memory of the World* committees have been established around the world.

1.3.5 The *Memory of the World Register* - in some ways the most publicly visible aspect of the Programme – was founded on the 1995 *General Guidelines* and has grown through accessions approved by successive IAC meetings.

2 Foundations

2.1 Basic assumptions

2.1.1 The *Memory of the World* Programme proceeds on the assumption that some items, collections, holdings or fonds of documentary heritage are part of the inheritance of the world, in the same way as are the sites of outstanding universal value listed in the UNESCO *World Heritage List*. Their significance is deemed to transcend the boundaries of time and culture, and they should be preserved for present and future generations and made accessible to all peoples of the world in some form.

2.1.2 Preservation of documentary heritage, and increased access to it, complement and stimulate one another. For example, many people can access digitized or microfilmed records, or mass produced CDs or DVDs, and demand for access can stimulate the custodians of documentary heritage to undertake preservation projects.

2.1.3 The Programme seeks to encourage access without discrimination wherever possible. This is not always a simple equation. Sometimes preservation activity may increase access potential, but raise dilemmas for the communities or individuals who are custodians or owners of documentary heritage. Sometimes questions of copyright and legality may constrain freedom of access for a time. These cultural realities need to be accepted with fairness and sensitivity.

2.1.4 Lack of attention to the practicalities of protecting and preserving documentary heritage is often based on ignorance of its physical or technical nature, as well as of its importance. Accordingly, awareness raising is a prime objective of the Programme.

2.1.5 Techniques for preservation and access vary among countries and cultures, and the search for more affordable solutions is global. The sharing of ideas, resources and techniques makes for a diverse, multicultural internet with constantly broadening access to the world's documentary heritage.

2.2 Character of the Programme

2.2.1 *Memory of the World* is an “umbrella” for diverse knowledge and disciplines. That is, the Programme brings together the professional worldviews of archivists, librarians, museologists and others, together with the perspectives of their institutions, associations and custodians, and it also reaches beyond them into less formalized and traditional areas of knowledge.

2.2.2 The world's documentary heritage is perceived as a whole, the creation over time of communities and cultures which do not necessarily correspond to the nation states of today. The Programme is therefore able to recognize (for example) documentary heritage of ethnic minorities within nations, or of single cultures that may overlap the political boundaries of several modern nations.

2.2.3 Further, the Programme embraces documentary heritage over the whole of recorded history, from papyrus scrolls or clay tablets to film, sound recordings or digital files. Nothing is too old, or too new, to be beyond consideration. This perspective of time is sharpened by a growing awareness of what has been lost, especially during the 20th century, and the importance of timely action to protect what remains.

2.2.4 The *Memory of the World* Programme complements, and links to, other UNESCO Programmes, Recommendations and Conventions. For example, the *World Heritage List* identifies buildings and sites that may also house documentary heritage or be related to its creation. The *Recommendation on the Safeguarding and Preservation of Moving Images* encourages the organized deposit of the world's film heritage in official archives.

2.3 Vision and mission

2.3.1 Accordingly, the **vision** of the *Memory of the World* Programme is that **the world's documentary heritage belongs to all, should be fully preserved and protected for all and, with due recognition of cultural mores and practicalities, should be permanently accessible to all without hindrance.**

2.3.2 The **mission** of the *Memory of the World* Programme is to **increase awareness and protection of the world's documentary heritage, and achieve its universal and permanent accessibility.**

2.4 Complementary programmes

2.4.1 The *Memory of the World* Programme operates in the context of other schemes, movements and activities, including those of UNESCO. It seeks to reflect and complement these and to find logical synergies. A selection is listed below. The full list, of course, will constantly evolve:

- Convention for the Protection of Cultural Property in the Event of Armed Conflict (The Hague Convention of 1954) www.icomos.org/hague
- UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property (1970) www.unesco.org/culture/laws/1970/html
- UNESCO Recommendation on the Safeguarding and Preservation of Moving Images (1980) www.unesdoc.org/ulis/ged.html
- UNESCO Recommendation on the Safeguarding of Traditional Culture and Folklore (1989) www.unesdoc.org/ulis/ged.html

- Blue Shield: a programme for cultural heritage at risk as a result of natural or manmade disaster (1996) www.icomos.org/blue_shield
- UNESCO's Programme to protect Masterpieces of the Oral and Intangible Heritage of Humanity
http://www.unesco.org/culture/heritage/intangible/masterp/html_eng/index_en.htm
- The World Heritage Committee's work on a Global Strategy
<http://www.unesco.org/whc/nwhc/pages/doc/main.htm>
- The World Heritage Committee's work to ensure more efficient procedures, extraordinary meeting in Budapest, Oct. 2000 (including some aspects on the follow-up of the Global Strategy)
<http://www.unesco.org/whc/archive/repbur00ss.pdf>

2.5 Ethical issues

2.5.1 Preservation of, and provision of access to, documentary heritage involves ethical considerations. Many international and national professional associations have developed codes of ethics², which are often binding on their members at both the institutional and individual levels. For example, ICA and FIAF (International Federation of Film Archives) have such codes: a search of websites will produce a comparative range³. While the codes will differ in emphasis and perspective (for example, institutional conduct as opposed to individual conduct) there are recurrent themes, such as the following.

2.5.2 The **integrity** of documentary heritage itself should be inviolate: for example, documents should not be mutilated, censored, manipulated or falsified. The long-term survival of the heritage must not be put at risk in the interests of short-term exploitation. Conservation and restoration work should not distort or change the heritage beyond the intentions of its creators.

2.5.3 **Individuals** who are custodians of documentary heritage, whether they be employees of an institution, or personally responsible to a community, are in positions of trust. On behalf of the owners of the heritage they work competently, carefully and honestly to protect and manage it. They avoid conflicts of interest in which their private activities might be seen to clash with custodial responsibilities. (One example might be a custodian building a personal collection of the same type of material without the knowledge of the institution or the community.)

2.5.4 The **“rule of law”** is respected. That is, contractual obligations, copyright legislation, moral rights, agreements and relationships with donors, depositors or

² For example, the UNESCO publication *A Philosophy of Audiovisual Archiving (1998)* contains a generic code of ethics for audiovisual archives and archivists. [Code CII/INF-98/WS/6 – available online at www.unesco.org/webworld/en/highlights/audiovisual_archiving/philol1.htm]

³ A consolidated website bringing together the relevant codes does not yet exist.

clients are consistently observed and maintained with integrity and transparency. This recognizes that trust can be easily destroyed if it is abused.

2.6 Documentary heritage: definitions

2.6.1 *Memory of the World* embraces the **documentary heritage** of humanity. A document is that which “documents” or “records” something by deliberate intellectual intent. While the concept of a document is universal, it is acknowledged that some cultures are more “document oriented” than others. Therefore – for this and other reasons - not all cultures will be equally represented within the global documentary heritage, and hence within *Memory of the World*. The intangible and oral heritage, for example, is the province of other UNESCO Programmes.

2.6.2 For the purposes of the *Memory of the World* Programme, **documentary heritage** is defined as comprising items which are:

- moveable (but see below)
- made up of signs/codes, sounds and/or images
- preservable (the carriers are non-living)
- reproducible and migratable
- the product of a deliberate documenting process

This normally excludes items which are part of a fixed fabric such as a building or a natural site), objects on which the signs/codes are incidental to their purpose, or items which were designed as non-reproducible “originals”, such as paintings, three dimensional artefacts or art objects per se. However, some documents, such as inscriptions, petroglyphs and rock paintings are not moveable. (See also footnote to para. 2.7.3)

2.6.3 A **document** is deemed to have two components: the information **content** and the **carrier** on which it resides. Both may be of great variety and both are equally important as parts of the **memory**. For example:

- Textual items such as manuscripts, books, newspapers, posters, etc. The textual content may be recorded in ink, pencil, paint or other medium. The carrier may be of paper, plastic, papyrus, parchment, palm leaves, bark, textile fabric, stone or other medium.
- Similarly, non-textual items such as drawings, prints, maps, music.
- Audiovisual items such as films, discs, tapes and photographs - whether recorded in analogue or digital formats, and by mechanical, electronic or other means – comprise a physical carrier with an information bearing layer where the content resides.⁴

⁴ The definition of audiovisual media in *A Philosophy of Audiovisual Archiving*, para. A 3.2.3, is taken as the standard.

- Virtual documents such as websites reside on servers: the carrier may be a hard disc or tape, the content is electronic data.

While some carriers may have short effective lives, the two components can be closely related. Where possible, access to both is important. The transfer of content from one carrier to another, for purposes of preservation or access, may be necessary or convenient, but in the process some information or contextual meaning can be lost.

2.6.4 An item of **documentary heritage** can be a single document of any kind. Or it can be a group of documents, such as a **collection**, a **holding** or an archival **fonds**. A collection is a set of documents selected individually. A holding is a collection or set of collections held by an institution or an individual, or a fonds or record group, or a set of them held by an archival institution. Such institutions may include libraries, archives, educational, religious and historical bodies, museums, government agencies and cultural centres.

2.6.5 Archival fonds are generated organically by state administrations, corporate bodies and individuals in the course of their normal activities. However, because they are highly selective, the *Memory of the World* registers cannot include all the records in public and private archives, no matter how important those bodies or individuals may be. A large proportion of the records are concerned with local, national and, sometimes, regional issues.

2.6.6 The definition of **documentary heritage** will require interpretation from time to time, and the final arbiter is the IAC. It will have regard to the primary purpose, perception or intent of the item concerned. For example, when is a painting documentary heritage, and when is it not? Was the primary purpose of the painting to document, or is it primarily the subjective expression of the artist?

2.6.7 Beyond recognizing differing custody arrangements, the *Memory of the World* Programme makes no distinction between public and private documentary heritage. Even though access arrangements may vary, according to policy and means, it is the item that matters, not its location or ownership. Circumstances, and ownership, change over time.

2.6.8 While oral history recordings, once in existence, are part of the documentary heritage, and their creation is encouraged – especially in cultures where oral tradition is an important factor - the *Memory of the World* Programme does not duplicate other UNESCO Programmes which deal with this specific area of heritage.

2.7 Sharing of memory

2.7.1 It is usual to think of documentary heritage being housed in museums, archives and libraries, but the *Memory of the World* is not defined by institutional types or professions. The heritage may reside in the custodianship and context of a variety of

social and communal frameworks⁵, and that context may be linked to the ongoing survival, safety and accessibility of the heritage. The Programme does not prescribe structures or means: it pursues objectives.

2.7.2 Although recognizing a vision of the permanent and universal accessibility of documentary heritage, it is equally understood that specific practical and cultural limitations may apply in given situations. Digitized reproductions are not the equivalent of original carriers⁶, whose accessibility is, by definition, limited in time and place. Religious and cultural mores may confine access to particular audiences or groups. The documentary heritage does not exist in a vacuum, but sometimes in a custodial and cultural context where traditional rights and customs must be respected.

2.7.3 Some items of documentary heritage have an *intrinsic* link to particular sites, buildings or geographically anchored communities that will predetermine where and how they are housed.⁷ In some cases it will be logical to link the preservation and accessibility of the heritage with other UNESCO Programmes, such as the *World Heritage List*, while in others it will be appropriate to encourage and empower institutions or communities to care for the heritage in situ.

2.7.4 There is no necessary relationship between cultural riches and economic riches, but communities and nations vary in their individual capacity to protect their documentary heritage. Cultural preservation is neither an optional extra for the rich nor an unnecessary luxury for the poor: it is universal and fundamental to the survival and growth of the human spirit. The *Memory of the World* Programme seeks to minimize inequalities and maximize the sharing of loads.

2.8 Key strategies

2.8.1 Five key strategies will be followed to achieve the Programme's objectives.

2.8.2 **Strategy 1 – Identification of documentary heritage:** This involves identifying documentary heritage of world significance and listing it on a *Memory of the World* register. Whether, at the time of nomination, the documentary heritage is adequately protected or in need of urgent attention is not the key issue: rather, is it of world significance? This strategy does not pre-judge whether the listing should be at the national, regional or international level, nor the ultimate size of any of these registers: it is assumed these will continue to evolve, in much the same way as the *World Heritage List* has evolved over time, but extra encouragement will be given to areas of the world that are currently under-represented.

⁵ Two of many possible examples are indigenous communities (which have meeting halls or keeping places) and religious communities (which maintain temples, churches or mosques)

⁶ For example, a DVD of *Metropolis* is not the same thing as an original 35mm film print of the same work; nor is a digitised file of the *Gutenberg Bible* the same thing as the original artefact.

⁷ Some documentary heritage, while technically moveable, is tied to a site and to the integrity of that context. Examples are stone stele which may be related to inscriptions on nearby walls or rocks, or collections of manuscripts or books may have a strong association with the building in which they are housed (the latter is the case for some World Heritage sites).

2.8.3 Strategy 2 – Raising awareness: The Programme will work to increase global awareness of the significance of documentary heritage, and the need to preserve and provide access to it. Particular attention will be given to regions where documentary heritage is endangered or awareness is low. The means will include education, marketing and publicity, the distribution of information on preservation techniques, and the development of relationships with NGOs (non-government organisations). Much of this activity will be driven at the regional and national levels.

2.8.4 Strategy 3 – Preservation: As a stimulus to increasing the preservation of documentary heritage globally, preservation projects relating to heritage already included in a *Memory of the World* register will be encouraged and, where possible, directly supported by UNESCO or linked to an external sponsor. At the same time, inclusion of documentary heritage on a register does not create or imply any project funding entitlement, and available resources may not match needs. The best outcome will often be a sponsorship negotiated *by the custodial institution itself*, aided by the endorsement provided through the register listing.

2.8.5 Strategy 4 – Access: Custodial institutions will be encouraged to use new technology to increase access to documentary heritage in their own care, both reactively (that is, in direct response to enquiries from researchers and other users) and proactively (for example, as publications and products, on line data bases and files). As they grow, the *Memory of the World* registers will direct increasing traffic to the custodial institutions represented in them: as with general awareness raising, impetus will be generated nationally and regionally, as well as centrally.

2.8.6 Strategy 5 – Structures, status and relationships: The Programme's structure of committees at the national, regional and international level, which has evolved rapidly, will continue to develop, and the national and regional registers will develop as the international register becomes more visible. Active relationships with NGOs and National Commissions will be encouraged. This diverse *Memory of the World* community will be nurtured through electronic communication.

3 Preservation and access

3.1 Introduction

3.1.1 Preservation and access principles and strategies are fundamental to the protection and promotion of documentary heritage.

3.2 Defining preservation

3.2.1 In the context of *Memory of the World*, **preservation** is the sum total of the steps necessary to ensure the permanent accessibility – forever - of documentary heritage. It includes **conservation**, which is defined as those actions, involving minimal technical intervention, required to prevent further deterioration to original materials.

3.2.2 The *Memory of the World* Programme encourages preservation in various ways, including in-principle support, awareness, education and training, arrangements for technical cooperation, and direct support for a limited number of specific projects. Preservation considerations are a crucial element in the formulation of management plans, and in preparing nominations for the *Memory of the World* registers. Important factors to be addressed include environment, nature of the material, proposed preservation/ conservation strategy, access to preservation knowledge and expertise, documentation and collection control, and access arrangements.

3.2.3 There is an extensive literature on preservation techniques, which are constantly evolving, and which repay study over time. *Memory of the World* guides⁸ to standards and recommended practices provide essential information, and are also an excellent entry point into this literature.

3.2.4 The natural environment to which the documentary heritage is exposed has a profound effect on long term survival. Such things as floods, fires, earthquakes and cyclones may be facts of life, but strategies to mitigate their potential effects can be developed. In general, documentary heritage is at greater risk in tropical climates than in temperate zones.

3.3 Principles of preservation

3.3.1 Some key principles of good preservation practice are summarized below.

⁸ At the time of publication, these guides are the hard copy publication *Safeguarding the documentary heritage*, edited by George Boston (UNESCO, 1998, ref. CII-98/WS/4) and the CD ROM *Safeguarding our documentary heritage* (UNESCO, 2000)

3.3.2 **Careful documentation and collection control** - “good housekeeping” - is a precondition for preservation. Depending on the material in question, the mechanism may be a catalogue, an inventory or some other form of recording the shape and content of a collection down to the level of individual carriers. It may be in manual or, preferably, computerized form⁹. Labelling and documenting the nature and condition of individual carriers so they can be securely managed and retrieved is an important aspect of “housekeeping”. If conservation action is undertaken it is important to document *what* was done, *when* it was done and *which* carriers were affected. Good documentation and collection control takes time and discipline, but it saves unnecessary losses and double handling.

3.3.3 **Storage environments** – including temperature, humidity, light, air pollutants, animals and insects, physical security - should, as far as possible, be such as will maximise the life of the carriers being stored. The “ideal” requirements vary greatly depending on the type of material concerned: for example, paper, film and videotapes have different, desirable levels of temperature and humidity. Unfortunately, most custodial institutions have to operate with less-than-ideal conditions, so it is a matter of doing what is possible with the means available and working towards future improvement of facilities. Factors such as leaking roofs, broken windows, unstable foundations, fire detection/ suppression systems, disaster preparedness and environmental monitoring are all relevant. Good management and surveillance practice can still be applied in less-than-ideal conditions.

3.3.4 The old maxim that “**prevention is better than cure**” is widely accepted as a truism for documentary heritage. Practices and techniques that slow down deterioration and potential handling damage are far better and cheaper than any recovery process. Not the least of these is the observance of good storage, handling and shelving procedures, good security, and care in transport.

3.3.5 **Conserving an original document** and protecting its integrity means that no information is lost, and all future options for preservation and access are kept open. Original documents often have intrinsic worth that will never accrue to a copy. Many institutions have regretted the premature destruction of originals after making copies that proved to be inferior. Discarding an original, no matter how many copies have been made, should never be undertaken lightly.

3.3.6 **Content migration or reformatting** – copying a document onto a different format – is useful and often necessary for access purposes. Indeed, the *Memory of the World* Programme encourages digitization and microfilming as a means of providing universal access, and access copies of any kind reduce pressure on the original document and so aid preservation. However, content migration should be approached with caution as a preservation strategy. It is sometimes unavoidable: for example, when the original carrier has become unstable. But it often involves the loss of information and the closing off of future options, and may open up unpredictable risks in future when the copying technology used becomes obsolete. This caution applies to

⁹ Standard computer formats, such as MARC, and others recommended by professional NGOs, allow the organized entry and manipulation of data, and data exchange with other institutions. Data entry in multiple languages is also recommended, to facilitate international access and data exchange.

newer approaches – such as digitization – as well as older ones, such as photographic reproduction.

3.3.7 Putting long-term preservation at risk in order to satisfy short-term access demand is always a temptation, and sometimes a political necessity, but it is a risk that should be avoided if possible. In cases when there is no duplicate access copy, saying “no” is usually a better strategy than exposing a fragile original to possibly irrecoverable damage.

3.3.8 One size doesn't fit all: different types of carrier not only require different types of storage environments but different methods of handling, management and conservation treatment. Traditional “human readable” materials, such as printing on paper, are increasingly complemented by “machine readable” documents, such as computer disks and videotapes, whose survival and retrieval are dependant on technologies with an increasingly high rate of obsolescence. Each requires its own kind of vigilance. The development of agreed international standards – for example, for the transfer of digital data – often lags behind the speed of technological change, but where ISO and other standards exist they should be observed.

3.3.9 Cooperation is essential: In such an increasingly complex field, even large institutions find the need to network, to share facilities and expertise. Some institutions develop specializations so they can service other institutions cost-effectively. In preservation, no one can afford to be an island. In this regard, *Memory of the World* national committees, and the IAC's Technical Sub-committee, may serve as starting-points for advice and networking.

3.3.10 Traditional knowledge: Many cultures have traditional and effective means of preserving their own forms of documentary heritage, which reflect their own ethos and customs. Conversely, modern methods have often developed from a scientific understanding of the nature of materials and the mechanisms of deterioration, and come from a “western” tradition. In individual countries, finding an accommodation between these two approaches may be important in developing management plans. Both areas of knowledge are essential if collections are to be adequately maintained.

3.3.11 The standard of professionalism is an indicator of the importance placed on libraries and archives by governments. Professional education needs to cover the whole range, from basic skills to specialized preservation knowledge. Without this frame of reference, there may be no way of recognizing basic problems. Access to professional training is democratizing, as distance learning courses, delivered by Internet, supplement traditional “campus-based” approaches, and NGOs and other bodies develop curricula tailored to specific needs. Since much professional discussion and literature is still in European languages, other language groups remain disadvantaged until the rate of translation increases.

3.4 Principles and methods for access

3.4.1 Permanent access is the goal of preservation: without this, preservation has no purpose except as an end in itself. The *Memory of the World* Programme encourages democratized, universal access to the whole documentary heritage, subject to due

recognition of cultural restrictions and the separate considerations of copyright control, but free of artificial constraints. While perfection may never be achieved, it is right to aim in that direction. This is consistent with the UN *Universal Declaration of Human Rights* (1948) and UN *Convention on Civil and Political Rights* (1966). Everyone has the right to an identity, and therefore the right of access to their documentary heritage. This includes the right to know it exists, and where to find it.

3.4.2 The *Memory of the World Register* (www.unesco.org/webworld/mdm) exemplifies this principle. Highly selective but universally accessible, it draws attention not only to the items listed, but also to the documentary heritage as a whole. Where an item on the Register can be accessed by Internet, it provides a link to the other holdings and services of the custodial institution concerned.

3.4.3. For some purposes, there is no substitute for physical, on-site access to documentary heritage, on those occasions when it is essential to access the carrier as well as its content. But it is often impracticable, perhaps more for reasons of geographic distance than conservation considerations. Digitization of content is proving an effective access strategy for many purposes: it can be relatively cheap, it is often provided free to the user via the internet or CD ROM, and can also be related to on-line finding aids, navigating tools or catalogue records. An electronic user can bring dispersed collections or even a dispersed document together. Digitization for access is an effective strategy proposed by the IAC's Technology Sub-committee, which has also set recommended standards.

3.4.4 As it develops, the Internet will be an increasingly powerful tool for access to documentary heritage which overcomes the tyranny of distance. Around the world, both public and private collections are being progressively digitised and many are freely available to all who can avail themselves of a terminal and the means of connection. A key access tool is the UNESCO portal 'Digicol' (<http://www.unesco.org/webworld/digicol/>) and an increasingly rich array of sources can be tapped through Internet search engines. These are not only graphical or text based: the delivery of high quality audio recordings or radio by Internet is now commonplace.

3.4.5 CD ROM technology has also opened up access to digitised images, text and graphics in a new way. Like the Internet it can bring together dispersed collections in an easily accessible form: unlike the Internet it requires no telephone connection. Once a master is created, the discs can be cheaply mass produced or copied one-on-one, and distributed by mail or other non-electronic means. The *Memory of the World* has produced a range of CD ROMs and many institutions employ the same technology to increase accessibility of their collections.

3.4.6 A further development that is both parallel and consequential is the evolution of broadband connections which allow much faster streaming of data, and hence the real-time Internet delivery of good quality moving images. Access to archival collections by this means, though still in its infancy, is now a developing prospect.

3.4.7 Internet and digitised access does not meet all needs, however, and certain physical, technical and financial limitations may always be a reality. For example, there is still no digital substitute for a high quality 35mm film print with surround-

sound that can only be adequately experienced – accessed – in an appropriately equipped auditorium. Such prints are costly to make and a custodial institution may need to recoup some of that cost: for example, through service fees or admission charges.

3.4.8 Circumstances may also limit access. For example, access to some documentary heritage may be limited by communities for cultural reasons, and their sensitivities must be respected. Or again, the physical capacity of individual institutions to service heavy access on-site demand may be limited. While acknowledging the technical potential of the Internet, the capacity to use that potential varies greatly: analog materials must first be digitised before they can be made available on-line and this process has its own costs.

3.4.9 Technological change has also brought other changes which make it sometimes easier and sometimes harder to gain free access to certain works. Copyright¹⁰ owners have a legal right to control the exploitation of their assets and may choose, often for commercial reasons, to limit access to documentary heritage that is their physical or intellectual property. In both cases, custodial institutions are bound to observe these rights. Owners of private collections may also use the Internet or CD ROM as a shop window, for example offering free access to low quality digitised images as a sampler for providing high quality access at a price.

3.4.10 Though it is a fact often taken for granted, the guidance and advice of institutional staff, curators and cultural custodians, familiar with their collections, is a crucial factor in providing access to the documentary heritage. Such people develop a depth of knowledge and lateral thinking which no catalogue can replace. This knowledge can be communicated to a remote user but depends on personal interaction.

3.5 Products and distribution

3.5.1 While everyone, in theory, has equal access to the Internet – and therefore to digitized documentary heritage available through it – some are more equal than others! Connectivity costs, infrastructure and bandwidth, firewalls and other factors inhibit access in many countries, so complementary means of proactively providing remote access to selected documentary heritage are needed. The computer screen, too, is not always the best or most convenient form of user interface.

3.5.2 The range of products that can be, and are, produced by drawing on the documentary heritage is very large. It represents a significant portion, for example, of the global book publishing and audiovisual industries. Products in a large range of hard copy, audio, video and digital formats are marketed nationally and globally: a visit to any large bookshop or video store, virtual or tangible, will illustrate. The

¹⁰ Copyright is a complex area. Both international conventions and national legislation are relevant, and it is advisable for every custodial institution to be familiar with both. Copyright legislation varies greatly between countries, and not all countries are signatories to international conventions. The opportunity for increased access opened by new technologies complicates the picture, and many countries are reviewing their legislation.

products vary greatly in price and quality, as well as curatorial integrity, but they do provide a measure of access and popularisation.

3.5.3 It does, however, fall to custodial institutions and to the *Memory of the World* Programme itself to take the steps in product production which the marketplace is unlikely to take. That means tackling the innovative, the informational, the scholarly and the commercially unattractive areas where needs exist but profits may not.

3.5.4 Institutions are encouraged to be active in developing products based on documentary heritage. It is sometimes cheaper to produce a saleable product based on a particular subject or theme than to repeatedly respond to individual access requests for the same material. It is often possible to come to arrangements with commercial publishers or entrepreneurs that meet access objectives and produce a positive financial result in return for an exclusive and limited publication right. On a case-by-case basis, use of the *Memory of the World* logo on a product may be negotiated to mutual advantage – for example, for a CD ROM based on documentary heritage listed on the *Register*. (This is further discussed in Section 6).

3.5.5 Some products – including some items produced by the *Memory of the World* Programme itself – will be and should be distributed gratis as a means of pursuing the objectives of the Programme. These could include, for example, promotional materials aimed at raising awareness or curatorial and preservation information compiled as a resource for custodial institutions, national committees or UNESCO National Commissions.

3.6 Publicity and awareness raising

3.6.1 The preservation and availability of documentary heritage often seems like the air we breathe or the water we drink – taken for granted until something happens to it! The work of libraries and archives is not often the stuff of daily news, and the challenge is to change that over time – to help heritage make some headlines, or at least become a larger part of public consciousness.

3.6.2 At the international level, the *Memory of the World* Programme will maintain and regularly review a publicity and promotional strategy.¹¹ Important elements of this strategy will include the registers themselves, the utilizing of existing UNESCO outlets and publications, and endorsement by eminent individuals, organizations and NGOs who identify with the Programme's objectives and are willing to assist its growing visibility. Ultimately, success depends on recognition and familiarity on the one hand, and actual acceptance and implementation by governments and institutions on the other.

3.6.3 At the regional and national committee levels, complementary strategies can and should be developed, capitalizing on the international strategy and using the same resource materials adapted for the particular situation. It is at the national level that

¹¹ Elements of the strategy might include exhibitions, displays, books, brochures, posters, kits and other resource material; radio and television programmes, sound and video bites, articles in newspapers, magazines and electronic journals, gimmicks like badges and T shirts, and strategic alliances with other heritage bodies or custodial institutions.

the major impact on governments and public opinion will occur. The national and regional *Memory of the World* registers will play their part here: the very act of selection and highlighting attracts attention.

3.6.4 Experience already indicates that the media have a natural affinity with good stories about heritage on the one hand, and the idea of according recognition in a prestigious register on the other. Good media coverage has been achieved at the national level for the inscription of individual items on the international *Register*: because it is viewed as a matter of national pride and achievement it is “good news”, and the more so if the documentary heritage involved has some resonance with contemporary issues¹². The presence of a publicity-conscious national *Memory of the World* committee – so that there is a point of reference for media interviews and press releases – is clearly an important ingredient.

3.6.5 Public impact can be achieved by carefully putting heritage on show. Several libraries and archives have made a point of carefully showcasing documentary heritage in their custody once it has been inscribed on the *Register*. Not only is this media-worthy: it greatly enhances public access, and it can unashamedly employ the maxims of showmanship and stage management.¹³ In this, the *Memory of the World* name and logo have proved to be evocative and memorable tools.

3.6.6 Drawing attention to lost and missing heritage can also have strong public impact. Contemporary events¹⁴ have sensitised public opinion globally to the tragedy of loss, and at the national level the identification of losses to the patrimony is not only a responsible act but can have strong emotional impact. The issue often does not hit home unless it is localised – it is easy for people to assume that heritage is being comprehensively cared for in their own country unless they are alerted to the contrary.

3.6.6 Like any idea or movement, *Memory of the World* relies on steady, consistent word of mouth promotion and explanation in relevant settings: be they professional associations, government circles, conferences, universities or historical preservation bodies. Media promotion aids and provides the context for this, but the practical steps of informing and encouraging nominations is often reliant on person-to-person facilitation. Here, action at the national and local level is indispensable, and awareness raising is cumulative. Resource materials can be downloaded from the website or requested from the Secretariat.

3.7 Education and training

3.7.1 Public education plays a crucial role in raising awareness of the world’s documentary heritage, and its vulnerability. It is also the foundation for developing

¹² It is often so. The *Mabo Case Manuscripts*, inscribed on the *Register* in 2001, have profound contemporary relevance to race relations in Australia, and their inscription was automatically news.

¹³ For example, New Zealand’s National Archives have the *Treaty of Waitangi* and the *1893 Women’s Suffrage Petition* on permanent show in what is literally a huge, publicly accessible dedicated vault. Some of South Korea’s inscribed heritage is on permanent display and promoted internationally as a tourist attraction. In both cases the *Memory of the World* inscription is clearly communicated.

¹⁴ The losses in Bosnia and Afghanistan, for example, are well known. But it is no revelation to say that regrettable losses occur in every country. The more this is noticed, the better.

preservation strategies. Accordingly, all Information Society Division Programmes, and other relevant UNESCO Programmes, should include a broad introduction to *Memory of the World*. This should include an appreciation of the significance of documentary heritage, the scientific and practical issues relating to its preservation and accessibility, and the context of its vulnerability and past losses.

3.7.2 The international, regional and national committees should encourage the establishment and development of tertiary training courses on the management of documentary heritage (including courses for librarians, archivists and curators)¹⁵. They should also encourage the inclusion of *Memory of the World* in education curricula generally.

3.7.3 It is already evident that this is beginning to happen. The Programme is gradually being seen as part of the international structure of library and archive management and its existence and purpose included in relevant tertiary curricula. In the nature of things, this happens as teachers and lecturers become aware of the Programme, are introduced to the website and, if there is one, are perhaps approached by members of the national *Memory of the World* Committee. The realisation that anyone – lecturer, teacher, student, private individual – can actually initiate a nomination for any of the registers sometimes comes as an empowering surprise!

3.7.4 The international, regional and national committees, in consultation with relevant NGOs and custodial institutions, may also initiate, support, sponsor or directly organize specific courses and seminars on preservation and access technologies, approaches and methods. In addition, they may coach individual institutions in the preparation of management plans and the devising of preservation procedures.

3.7.5 They may also be proactive in identifying potential nominations for the registers and approaching appropriate institutions or agencies to seed and encourage nominations, coaching and participating in the process of developing the nomination proposal.

3.7.6 The advent of a national *Memory of the World* register, in itself, is not only newsworthy but is a strategic leap in consciousness raising. The importance of recognition and inscription takes on a more immediate meaning and accelerates recognition of the Programme within national structures. As the first national registers appear, the responsible committees will be able to develop and share their experience.

¹⁵ This can be cooperatively achieved. For example, the internet-delivered distance education course in audiovisual archiving offered by Australia's Charles Sturt University includes coverage of *Memory of the World*.

4 The registers of the *Memory of the World*

4.1 International, regional and national registers

4.1.1 The *Memory of the World* Programme will maintain public registers of documentary heritage. In due course, all the registers should be available on-line. The more information is amassed, the more effective the Programme will be in identifying missing documentary heritage, in linking dispersed collections, in supporting repatriation and restitution of displaced and illegally exported material, and in supporting relevant national legislation.

4.1.2 There are three types of register: *international*, *regional* and *national*. All registers contain material of **world significance** (refer the criteria in 4.2) and a given item may appear in more than one register.

4.1.3 The *international* register lists all documentary heritage which meets the selection criteria, has been approved for inscription by the IAC, and has been endorsed by the Director-General of UNESCO. The listing will be kept up to date and published by the Secretariat under the title the *Memory of the World Register*. (In these *Guidelines* this title always refers to the *international* register). The *Register* will be a significant document in itself, as well as an inspiration to nations and regions to identify, list and preserve their documentary heritage. Considerable status will accrue from listing, and it will be an instrument for advancing the Programme's objectives.

4.1.4 The *regional* registers will list documentary heritage approved for inclusion by each regional committee of *Memory of the World*. The listing will be kept up to date and published by the regional committee under the title *The [region] Memory of the World Register*¹⁶. Regional registers may vary in character: for example, they may be a form of cooperation between national registers, or they may list documentary heritage of regional influence which does not appear on national registers. They may afford opportunity for minorities and sub-cultures to be appropriately represented.

4.1.5 The *national* registers list documentary heritage of the nation approved for inclusion by the national committee of *Memory of the World* or, where there is no national committee, the corresponding National Commission of UNESCO. They will help to make governments and institutions aware of the total documentary heritage held by various kinds of organizations and private individuals, and the need for coordinated strategies to ensure the nation's endangered heritage is protected. The listing will be kept up to date and published by one of these two bodies under the title the *[country] Memory of the World Register*.¹⁷

4.1.6 Selection criteria for regional and national registers will use the criteria for the international register as a template, making the logical variations, and may

¹⁶ For example, the *Latin American Memory of the World Register*.

¹⁷ For example, the *Malaysian Memory of the World Register*

incorporate additional criteria appropriate to the regional or national context. Likewise, the process of creating, receiving and assessing nominations, administered by the regional or national committee responsible, shall mirror the process for the international register and take account of localised needs. The reason for including documentary heritage in a register must be publicly stated as part of its description in the register.

4.1.7 Before a regional or national register can be established, its documented selection criteria and nomination process must be approved by the IAC or Bureau. Regional or national committees maintaining registers shall include in their annual reports a list of items added to/ removed from their register during the year.

4.1.8 Decisions about the inclusion of any documentary heritage in any register are based on an assessment of its significance, not on an assessment of its location or management at the time of nomination.

4.2 Selection criteria for the *Memory of the World Register*

4.2.1 Each register – international, regional or national - is based on criteria for assessing the **world significance** of documentary heritage, and assessing whether its *influence* was **global, regional or national**. The following criteria are framed in terms of the *international register*, but also apply (with logical variation) to regional and national registers.

4.2.2 **Assessment is comparative and relative.** There can be no absolute measure of cultural significance. Accordingly, there is no fixed point at which documentary heritage qualifies for inclusion in a register. Selection for inclusion in a register will therefore result from assessing the heritage item on its own merits against the selection criteria, against the general tenor of these *Guidelines*¹⁸, and in the context of other items already either included or rejected.

4.2.3 When considering documentary heritage for inclusion in the Register the item will be **first** assessed against the threshold test of:

authenticity. Is it what it appears to be? Has its identity and provenance been reliably established? Copies, replicas, forgeries, bogus documents or hoaxes can, with the best intentions, be mistaken for the genuine article.¹⁹

4.2.4 **Second**, the IAC must be satisfied that the nominated item is of world significance. That is, it must be:

unique and irreplaceable, something whose disappearance or deterioration would constitute a harmful impoverishment of the heritage of humanity. It

¹⁸ The context is provided in sections 2 and 3, most notably 2.2.2, 2.2.3, 2.8.2, 3.3.5, 3.3.6

¹⁹ For example, the *Hitler Diaries* of a decade ago proved to be carefully crafted forgeries. *Forgotten Silver* is a television hoax: an archival documentary about a film maker who never existed.

must have created great impact over a span of time and/or within a particular cultural area of the world. It may be representative of a type, but must have no direct equal. It must have had great influence - whether positive or negative – on the course of history.

4.2.5 Thirdly, world significance must be demonstrated in meeting *one or more* of the criteria set out below. Because significance is *comparative*, these criteria are best illustrated by checking them against items of documentary heritage already inscribed on the *Register*.

1. Criterion 1 – Time:

Absolute age, of itself, does not make a document significant: but every document is a creature of its time. Some documents are especially evocative of their time, which may have been one of crisis, or significant social or cultural change. A document may represent new discovery or be the “first of its kind”.

2. Criterion 2 – Place:

The place of its creation is a key attribute of its importance. It may contain crucial information about a locality important in world history and culture; or the location may itself have been an important influence on the events or phenomena represented by the document. It may be descriptive of physical environments, cities or institutions since vanished.

3. Criterion 3 – People:

The social and cultural context of its creation may reflect significant aspects of human behaviour, or of social, industrial, artistic or political development. It may capture the essence of great movements, transitions, advances or regression. It may reflect the impact of key individuals or groups.

4. Criterion 4 – Subject and theme:

The subject matter may represent particular historical or intellectual developments in natural, social and human sciences, politics, ideology, sports and the arts.

5. Criterion 5 – Form and style:

The item may have outstanding aesthetic, stylistic or linguistic value, be a typical or key exemplar of a type of presentation, custom or medium, or of a disappeared or disappearing carrier or format²⁰.

²⁰ Such as illuminated mediaeval manuscripts, palm leaf manuscripts, obsolete video or audio formats

4.2.6 **Finally**, the following matters will also be taken into account:

- ◆ **Rarity**: does its content or physical nature make it a rare surviving example of its type or time?
- ◆ **Integrity**: within the natural physical limitations of carrier survival, is it complete or partial? Has it been altered or damaged?
- ◆ **Threat**: Is its survival in danger? If it is secure, must vigilance be applied to maintain that security?
- ◆ **Management plan**: Is there a plan which reflects the significance of the documentary heritage, with appropriate strategies to preserve and provide access to it?²¹

4.2.7 The IAC will, as necessary, adopt operational guidelines for applying the criteria.²²

4.3 Nominating to the *Memory of the World Register*

4.3.1 The documentary heritage is the common moral property of all mankind. Nevertheless it is recognized that legal ownership may vest in an individual, private or public organization, or nation. It follows that the heritage derives from all parts of the world and all eras of history, and over time the balance of registered items should reflect this fact.²³

4.3.2 Historically, some nations and cultures are more prolific document producers than others. Minority cultures will tend to be overshadowed by majority cultures. Some documentary heritage – such as computer files and audiovisual media – may exist in variant versions or otherwise be harder to define or deal with than more discrete documents, such as unique manuscripts. Such factors as these must be kept in mind in trying to achieve a balanced register.

4.3.3 Nominations for the *Register* may be submitted by any person or organization, including governments and NGOs. However, priority will be given to nominations made by or through the relevant regional or national *Memory of the World* committee,

²¹ A good plan would include a statement of the significance of the documentary heritage, cite policy and procedures for access and preservation, set out a preservation budget, list available conservation expertise and facilities and explain how these are maintained, give detailed attention to the physical environment of the material (e.g. air quality, temperature and humidity, shelving, security) and include a disaster preparedness strategy.

²² Operational guidelines for archival fonds are to be developed.

²³ In the early years of the Programme a bias towards older materials, especially manuscripts, and against “modern media”, has been apparent. There has also been a tendency to favour items created in western countries. Perhaps this reflects the practicality of identifying “easy” items first. The Programme will need to achieve both geographic and temporal balance over time, and grow its capacity to identify potential nominations worldwide.

where one exists, or failing that, through the relevant UNESCO National Commission. Priority will also be given to documentary heritage under threat. As a general rule, these single nominations will be limited to two per country every two years.²⁴

4.3.4 In addition, two or more countries may put forward joint nominations where collections are divided among several owners or custodians. Such prior collaboration is strongly encouraged. There is no limit on the number of such nominations, or on the number of partners involved. Regional and national *Memory of the World* committees, UNESCO National Commissions and NGOs are encouraged to identify potential nominations and support nominators in developing their proposals.

4.3.5 Indeed, the author – individual or collective – may still be living at the time of nomination²⁵. Documentary heritage is not valuable purely for its age or aesthetic qualities.

4.4 Legal and management preconditions

4.4.1 The listing of documentary heritage in a *Memory of the World* register has no prima face legal or financial consequence. It does not formally affect ownership, custody or use of the material. It does not, of itself, impose any constraint or obligation on owners, custodians or governments. By the same token, listing also does not impose any obligation on UNESCO to resource the conservation, management or accessibility of the material.

4.4.2 It does, however, imply a certain stance and commitment by the owners of the documentary heritage as well as indicate a continuing and informed interest by UNESCO in its preservation. As a prior condition for listing, the IAC would normally need assurances that there were no legal, contractual or cultural circumstances that would put the integrity or security of the documentary heritage at risk. It will require evidence that appropriate custodial, conservation or protective mechanisms are in place, that there is a management plan,²⁶ that any physical, copyright, cultural or other factors limiting public access have been negotiated and resolved, so that appropriate access arrangements are guaranteed. Nevertheless, there can be circumstances in which the cause of preservation may be assisted by registration, even though the

²⁴ This rule is adopted as a means of managing the flow of nominations, and encouraging careful pre-selection of nominations within each country. The IAC will reserve the right to vary this parameter where the need warrants, for example to encourage countries with, as yet, little or no representation in the Register, or where the documentary heritage concerned is under particular threat. The IAC will also reserve the right to initiate nominations itself.

²⁵ In theory, there is nothing to prevent authors – individually or collectively – nominating their own works! The assessment process, however, would take into account opinions other than those of the authors.

²⁶ See 4.2.6. A management plan is normally a precondition for selection for the Register. Ideally a component of a total management plan for the custodial institution concerned, it may nonetheless be specific to the material if such a comprehensive plan does not exist.

owners or custodians object. Preservation of endangered heritage has first claim on available UNESCO funding.²⁷

4.4.3 The IAC will also require that the documentary heritage be accessible. There are three levels of access:

- (a) access to verify the world significance, integrity and security of the material.
This is the minimum condition for listing
- (b) access for reproduction, which is strongly encouraged
- (c) public access in physical, digital or other form. This is also strongly encouraged, and in some instances may be required

There may be a requirement that a single copy of part or all of the material is placed under the custodianship of UNESCO, not for public access but as a risk management measure, with due legal and copyright permission and protection²⁸.

4.5 Preparing nominations

4.5.1 In the light of the criteria and parameters set out above, all nominators are encouraged to prepare complete and comprehensive cases in order to aid efficient evaluation of their nominations. In the case of split collections, nominations need to be submitted jointly in the name, and with the documented support, of all involved parties. Assistance and advice from any convenient point in the *Memory of the World* structure is available if needed. This especially applies to countries, regions or categories of heritage that are under-represented.

4.5.2 The documentary heritage nominated must be finite and precisely defined; broad, general or open-ended nominations will not be accepted. Nominations which duplicate those already listed in the *Register* are inadmissible. Typical acceptable examples are a discrete document or collection, a data base of fixed size and content, a closed and defined archival fond. The IAC will apply this principle with discretion in untypical cases: for example, where a discrete collection can be defined even if some of its elements are currently missing, the nomination may apply to the whole collection including the missing elements.²⁹

4.5.3 Where the documentary heritage exists in multiple copies and variant versions – for example, printed books or feature films released in differing versions or multiple languages – the nomination will apply to the **work** itself, rather than just the specific copies cited. If approved for inscription, the IAC will define criteria for those copies

²⁷ UNESCO National Commissions have an important role to play in fundraising and publicity for the Programme within their respective countries.

²⁸ This would be at the discretion of the Director-General of UNESCO. It may apply in instances where material of significance is judged to be under threat, and this action is part of a strategy to secure the preservation and protect the integrity of item(s). This action would not usurp any of the legal, contractual or other rights pertaining to the heritage as no exploitation of the material is involved.

²⁹ For example, a specific class of clay tablets uncovered in a particular archaeological site. Since it can never be certain that all of the tablets have been excavated, the collection must be precisely defined as an entity and, if accepted for inscription, added to the Register with this explanation. Additional tablets from this class surfacing at a later date would be automatically deemed part of the same collection.

of the work which may be listed in the *Register* entry. Further copies of the work meeting these criteria may be added to the entry when a listing is requested by their custodians³⁰.

4.5.4 Nominators should take into account the diversity and particularities of the documentary heritage in their country, basing nominations on the following factors:

- (a) the fullest match with the criteria
- (b) items under threat
- (c) items in under-represented categories

4.5.5 Nominations must follow the format prescribed in the nomination form. It can be downloaded from the *Memory of the World* website or requested by mail or fax from the Secretariat. The nomination form and a guide for completing the form are provided at Appendix A.

4.6 Submitting nominations

4.6.1 Nominations should be submitted to the UNESCO Secretariat as indicated on the nomination form. When received, the Secretariat:

- (a) records each nomination, confirms the receipt to the nominator, and verifies its contents and accompanying documentation. In the case of incomplete nominations, the Secretariat immediately requests the missing information from the nominator. If the nomination has not been provided through or by the relevant regional or national committee, their comment will be invited. Processing will not be commenced until all information is complete.
- (b) transmits the complete nomination to the Register Sub-committee for assessment and recommendation (see below).
- (c) submits the recommendations of the Register Sub-committee to the IAC at least one month in advance of its ordinary biennial meeting.
- (d) notifies nominators of the IAC's decision ("yes" decisions are not official until ratification by the Director-General), and advises them on the presentation of successful nominations to the media. It also advises relevant regional or national committees.

³⁰ For example, silent feature films were released in variant versions and there may be no "definitive" version. So the IAC might specify that extant early copies, master copies of ethical reconstructions and related original materials may be added to the Register, but *not* the thousands of *modern* mass-produced release copies derived from these masters.

4.7 Assessment of nominations

4.7.1 The Secretariat manages the processing of nominations for the international register. Where necessary it may seek further information from nominators, respond to enquiries, set deadlines for acceptance of nominations or make other provision for the timely handling of nominations-in-process. These administrative arrangements will be posted on the *Memory of the World* website.

4.7.2 The Register Sub-committee oversees the assessment of nominations. It is charged with the thorough investigation of each nomination and, in due course, the presentation to the IAC of a documented recommendation that the nomination be either added to the register, or rejected. Its methodology, including the priorities it assigns in processing, is to be posted on the website. It will seek expert evaluation and advice on each nomination from whatever appropriate sources it considers necessary, and will compare it to similar documentary heritage, including material already listed in the registers.

4.7.3 The Sub-committee will normally call on the advice of expert bodies or professional NGOs. In the first instance, these are the International Federation of Library Associations (IFLA), the International Council on Archives (ICA), the Coordinating Council of Audiovisual Archive Associations (CCAAA), and the International Council of Museums (ICOM). These bodies may delegate tasks to one or more of their members.

4.7.4 In submitting their advice, the professional NGOs will be asked to express a view on whether the nomination does, or does not, meet the Selection Criteria. They will also be asked to identify any legal or management issues needing further attention before finalizing a recommendation to the IAC.

4.7.5 The Register Sub-committee will take into account the advice of the NGO, and any other advice it has sought, in reaching its recommendation. The nominator will be given opportunity to comment on the assessment before submission to the IAC.

4.7.6 The report of the IAC's ordinary session will include its decisions, the rationale for acceptance or rejection of each nomination, and any other comment the IAC may wish to add.

4.8 Removal from the Register

4.8.1 Documentary heritage may be removed from the register in cases where it has deteriorated, or its integrity has been compromised, to the extent that it no longer meets the selection criteria on which its inscription was based. Removal may also be justified if new information causes a reassessment of the registration and demonstrates its non-eligibility.

4.8.2 The review process may be initiated by any person or organization (including the IAC itself) through an expression of concern, in writing, to the Secretariat. The

matter will be referred to the Register Sub-committee for investigation and report³¹. If the concern is substantiated, the Secretariat will contact the original nominator (or, if uncontactable, other appropriate body) for comment. The Register Sub-committee will, in turn, evaluate the comment, and any additional data by then assembled, and make a recommendation to the IAC for removal or retention, or for any corrective action. If the IAC decides on removal, the commenting bodies will be informed.

4.9 Lost and missing heritage

4.9.1 In every country, significant parts of the documentary heritage have been lost or are missing³². Developing a public record of this now inaccessible heritage is a crucial means of placing the *Memory of the World* Programme in context, and is a precursor to the possibility of virtual reconstruction of lost and dispersed memory. It adds both urgency and perspective to the challenges of identifying and protecting the surviving heritage.

4.9.2 The *Memory of the World Register* will include a section devoted to the listing of lost and missing heritage which, had it survived, would have been eligible for inclusion in the main body of the register. **Lost** heritage is material that is known to no longer survive – its decay or destruction is reliably documented or can be reliably assumed. **Missing** heritage is material whose current whereabouts is unknown, but whose loss cannot be confirmed or reliably assumed.

4.9.3 The selection criteria and nomination methodology set out above still apply, but with some logical differences:

- Since there may be no owner or custodian involved, the nomination may need to be made by some other party. The nominator does not have to have a legal, cultural, historical or other connection with the material in question. There is no limitation on the range of individuals or organizations who may initiate a nomination, and there is no limitation on the number of nominations from any source. UNESCO may itself initiate nominations.
- Since the document, collection or field of material concerned is not available for inspection it cannot be precisely listed, but only described in general terms. The nominator will need to attempt the best description that can now be achieved.
- Issues of preservation, management and access, of course, do not apply.
- As far as is now possible, the nominator should describe how the documentary heritage was lost: the fuller the description, the better.

³¹ The investigation may include commissioning an independent assessment from a qualified person or organization, seeking the views of the relevant NGOs, or seeking the views of the relevant regional and national *Memory of the World* committees.

³² For a sobering window into this subject, refer to the *Memory of the World* publication, *Lost memory – libraries and archives destroyed in the 20th century* (UNESCO, 1996).

5 Programme structure and management

5.1 Background

5.1.1 The Programme is carried forward by a three-tier committee structure (international, regional and national) and a Secretariat. The roles and nature of each are described below. Any of the committees may establish sub-committees to facilitate their work, and may also manage projects.

5.2 The International Advisory Committee (IAC)

5.2.1 The IAC is the peak body responsible for advising UNESCO on the planning and implementation of the Programme as a whole. It comprises 14 members serving in a personal capacity, appointed by the Director-General of UNESCO, and chosen for their authority in the field of the safeguarding of documentary heritage. The Director-General convenes the IAC in ordinary session every two years.

(The Statutes of the IAC are on the *Memory of the World* website: www.unesco.org/webworld/mdm)

5.2.2 To organize its work, the IAC establishes and amends its own Rules of Procedure (these are also kept up to date on the website) and maintains appropriate subsidiary bodies or sub-committees. Functions of the current bodies are described below. It is customary for sub-committee chairs to attend meetings of the IAC in the role of ex officio members.

5.2.3 In particular, the IAC maintains an overview of the policy and strategy of the whole *Memory of the World* Programme. It therefore monitors the global progress of the Programme, considers reports from its sub-committees, from regional committees and the Secretariat, and in turn advises these bodies on their functions and responsibilities. As necessary, it revises and updates the *General Guidelines* of *Memory of the World* and it is responsible for approving additions to, or deletions from, the international *Memory of the World Register*. It builds the structures of the Programme with the intent of creating a sound framework for the future maturing of *Memory of the World* into the status of a UNESCO Recommendation and ultimately a UNESCO Convention.

5.2.4 The operation of each sub-committee and regional committee is reviewed at every ordinary session of the IAC, in order to ensure that structures are kept relevant to current needs.

5.3 IAC subsidiary bodies

5.3.1 The terms of reference of the subsidiary bodies (at the date of printing) are set out below. These may be revised at the discretion of the IAC.

5.3.2 *The Bureau* comprises the chair, three vice-chairs and rapporteur as elected at every ordinary session of the IAC. Its main task is to maintain an overview of the Programme between IAC meetings and make tactical decisions in liaison with the Secretariat. It examines any pending issue referred by the IAC. It regularly reviews the use of the *Memory of the World* logo, which is one of the most important assets of the Programme and requires careful management. As needed, it liaises with national *Memory of the World* committees and monitors their growth and operation.

5.3.3 *The Technical Sub-committee* comprises a chair appointed by the IAC or Bureau and members chosen for their specialist expertise. Its principal task is to develop, regularly revise and promulgate information guides on the preservation of documentary heritage, and to offer advice on technical and preservation matters in response to specific enquiries from institutions or individuals. Similarly, it advises the IAC and the Bureau, as well as regional and national *Memory of the World* committees, on technical questions as required.

5.3.4 *The Marketing Sub-committee* comprises a chair appointed by the IAC or Bureau and members chosen for their specialist expertise. It develops strategies for awareness raising, and for increasing financial support for *Memory of the World*. It implements a marketing plan, and compiles and reviews guidelines for the use of the *Memory of the World* logo. Like the Technical Sub-committee, it also offers advice within its area of expertise.

5.3.5 *The Register Sub-committee* comprises a chair appointed by the IAC or Bureau and members chosen for their specialist expertise. In liaison with the Secretariat, it oversees the assessment of nominations for the *Memory of the World* Register and provides recommendations, with reasons, for their inscription or rejection to each meeting of the IAC. It interprets the selection criteria, and it liaises with NGOs and other bodies or individuals involved in the assessment of nominations. It provides advice, as requested, to regional and national *Memory of the World* committees in the management of their own registers.

5.4 Secretariat

5.4.1 The Secretariat of the *Memory of the World* Programme is provided by the Information Society Division of UNESCO. In ordinary circumstances, the Director-General or his representative shall participate in the work of the IAC, the Bureau and other subsidiary bodies, but without the right to vote. He or she may submit oral or written statements on any matter in the course of this participation.

5.4.2 The functions of the Secretariat include the provision of support services to the IAC and its subsidiary bodies, and the general administration and monitoring of the Programme. This includes the maintenance of the *Memory of the World Register* (including documentation relating to standards, nominations and registrations),

oversight of the *Memory of the World Fund*, and other tasks as directed by the IAC. The Secretariat is the default, front line contact point for all matters concerning *Memory of the World*.

5.5 Heritage under threat

5.5.1 The survival of documentary heritage can sometimes be threatened by physical or political circumstances, armed conflict, intended private use or other situations in which the open and public approach set out in these *Guidelines* may be impractical. For example, there could be instances where the very act of listing documentary heritage in a *Memory of the World* register might draw unwelcome attention to it and actually imperil its security.

5.5.2 The IAC, Bureau or Secretariat seeks to be informed of such instances. They will respect the confidentiality of advice received, and where appropriate seek to further assess particular cases or situations. Where it is apparent that important documentary heritage is imperilled, the IAC or Bureau will form a judgement on whether the heritage meets the criteria for the *Register*, on the level of risk and on the most appropriate action. The chair may then confidentially inform the Director-General, who in turn will decide whether to exercise the discretions available to him to afford protection to the heritage.

5.5.3 In these cases, or in more public instances where significant heritage is under urgent threat, priority may be given to seeking resources – from UNESCO or elsewhere - to inventory, conserve or copy the endangered material.

5.6 The *Memory of the World Fund*

5.6.1 The purpose of the *Memory of the World Fund* is to provide the IAC with the ability to seek, manage and distribute funds or other assistance towards achievement of the objectives of the Programme. The term at this stage encompasses all the financial resources available to the Programme, whether derived from the Regular Programme of UNESCO or from extra-budgetary sources. The *Fund* is at an early stage of evolution, and is intended to be a long term mechanism to support *Memory of the World* objectives as the Programme matures towards Convention status.

5.6.2 Extra-budgetary income may be derived from many sources³³, including product sales and royalties, governments, donors and sponsors. Donations to the Fund and assistance-in-kind are welcomed from any person or organization, and donors and sponsors may nominate the project or purpose to which their donation is to be directed. UNESCO reserves the right to accept or refuse donations.

5.6.3 Expenditure from the Fund must contribute towards achieving the objectives of the Programme. It may, for example, be applied to discrete preservation or access

³³ Countries which have nominated heritage for the *Register* or otherwise participate in the Programme are encouraged to provide support to the Programme in their own countries.

projects, emergency measures for threatened heritage, training and awareness raising; development of management plans for documentary heritage, and even, in unusual circumstances, the actual purchase of documentary heritage. There are no formal exclusions. Project proposals may be put forward by any organization; again, there are no formal exclusions.

5.6.4 The IAC will develop detailed criteria for assessing proposals for expenditure. Subject to prior obligations to donors or sponsors, it will define, among other things, questions of priority and strategy: for example, whether emergency needs take precedence over less time critical projects, or under-represented parts of the world take precedence over well-represented regions.

5.6.5 The involvement of *Memory of the World* regional and national committees, national governments, NGOs or other professional bodies in the development and submission of applications to the *Fund* will normally be an important element. The existence of a support network, or the possibility of a grant from the *Fund* being matched by support from other sources, may be important factors in ensuring that the grant will be effectively used. The IAC or Bureau may delegate the management of specific funds which they raise to a regional or national *Memory of the World* committee, and will establish the management procedures and standards.

5.7 National committees

5.7.1 The *Memory of the World* Programme will achieve its objectives by encouraging projects and activities not only from a global perspective, but also from regional, national and local ones. Regional and national *Memory of the World* committees are a crucial part of the Programme structure. As appropriate, they are encouraged to implement the five key strategies (see 2.8). The success of the Programme relies heavily on the drive, initiative and enthusiasm of regional and national committees.

5.7.2 The formation of a national *Memory of the World* committee in every country where it is practicable is encouraged, and is a strategic goal. There is no rigid model. In some cases, a highly formalized and structured approach will be the right one: in others, the path might be more informal. The role and range of activities will vary according to resources or circumstances. Desirably it will include initiating and/or supporting nominations for the international register, together with publicity, promotion and awareness raising, and evolving cooperation with government, professional associations and custodial institutions at the national level. When they have the reliable capacity to do so, national committees are encouraged to set up their national *Memory of the World* register.

5.7.3 National *Memory of the World* committees are autonomous entities with their own terms of reference and their own rules of membership and succession. To be entitled to use the *Memory of the World* name and logo, they must be accredited by their UNESCO National Commission, and will normally be expected to meet the following parameters:

- An operational link with, and demonstrated support of, their National Commission for UNESCO and their regional *Memory of the World* committee (if any)
- Membership which reflects the country's geographic and cultural character, the important cultural groups, and the relevant knowledge and expertise
- Written terms of reference and rules, including the basis of membership and succession
- Ability to discharge their role (this may include funding and support, links to major archives, libraries or museums, links to government)
- Accountability (to the objectives of the Programme, to the register selection criteria, and to regular reporting.)

As a guide only, a template for terms of reference is set out in Appendix D.

5.7.4 National committees should provide an annual report on their activities to their National Commission for UNESCO, with a copy to the Secretariat and the relevant regional committee. Copies of the committee's rules and procedures, project contracts and, as requested, other documents should also be provided to the Secretariat. In countries without a national *Memory of the World* committee, the National Commission for UNESCO may itself choose to exercise the equivalent functions and responsibilities, including maintenance of the national register (see 4.1.5), but will encourage the creation of a discrete national committee as soon as practicable.

5.8 Regional committees

5.8.1 Regional *Memory of the World* committees are cooperative structures that bring together people from two or more countries in order to pursue the Programme's objectives. The grouping may be (for example) geographically based, or based on other parameters such as shared cultures or interests, or grouped around regional offices of UNESCO³⁴. Regional committees provide a means of addressing issues which fall outside the practical scope of the IAC on the one hand, and of individual national committees on the other, and provide a mechanism for cooperation and complementation beyond the national level. Membership would normally include representatives of the national committees relevant to the grouping.

5.8.2 The parameters for national committees, with obvious adaptations, apply for regional committees. In practice, because there is unlikely to be a standard pattern, the terms of reference, membership and accreditation of a regional committee would be a matter for discussion between the Secretariat and intending members. Either may take the initiative to establish the committee. It will usually be the case that there is an appropriate regional office of UNESCO for the committee to relate to and provide accreditation.

5.8.3 Terms of reference for regional committees will vary with need, but they could include:

³⁴ The two regional committees in operation at the time of writing – in Asia-Pacific and Latin America-Caribbean – are both based on geography: a shared history and culture extending beyond national boundaries.

- Maintaining a regional *Memory of the World* register
- Nominating groups of documentary heritage to the regional or international registers that cross national boundaries or are otherwise unlikely to be proposed
- Encouraging cooperation and training within the region
- Managing projects within the region
- “Backstopping” for countries in the region that do not have national committees
- Encouraging the establishment of national committees and coaching them
- Region-wide coordination of publicity and awareness-raising

5.8.4 National committees are encouraged, but not required, to link to a relevant regional committee. By the same token, regional committees need not be comprised solely of representatives of national committees: they may, for instance, include representatives of National Commissions of UNESCO from countries which do not have national *Memory of the World* committees.

5.9 Projects and activities

5.9.1 The *Memory of the World* Programme may endorse and support projects and activities which are aimed at furthering the objectives of the Programme.

5.9.2 Projects and activities may be diverse. They can operate at the international, regional, national or local level. There may, for instance, be conservation or digitization projects, awareness raising or training activities, marketing or publicity exercises or technical manuals. These would normally occur under the auspices of a body in the *Memory of the World* Programme structure.

5.9.3 Funding may come from UNESCO or other sources. Proponents are encouraged to seek funds from a variety of sources, and where practicable the Secretariat or committees may facilitate such approaches.

5.10 Meetings, conferences and information

5.10.1 The IAC meets in ordinary session every two years. Its subsidiary bodies, and regional and national committees, meet as needed for the conduct of their activities. They may meet virtually (electronically) or in person.

5.10.2 From time to time, the Programme may convene international or regional conferences, meetings of experts or national committee chairs, or other forums to progress its objectives.

5.10.3 The Secretariat shall ensure maintenance of the international website for the Programme, which shall include the *Memory of the World Register*. It will oversee publication of brochures, information resources and other materials produced to further the objectives of the Programme.

5.11 Monitoring and reporting

5.11.1 Each level of the *Memory of the World* structure will have mechanisms for the ongoing and timely monitoring its work and effectiveness. For example:

- Overseeing progress of projects and activities aided by the Programme
- Keeping the registers up to date
- Monitoring security and management of heritage listed in the registers
- Tracking the use of the *Memory of the World* logo

This framework will define the nature of information to be gathered, time frame, goals and performance criteria. Project funding will include a specified component for monitoring purposes.

5.11.2 Each level of the structure shall also regularly report on its activities within the UNESCO system. National *Memory of the World* committees will send an annual report to their National Commission for UNESCO. Regional *Memory of the World* committees will likewise provide an annual report to the relevant regional office of UNESCO. In both cases, the report will be copied to the Secretariat, and may also be usefully copied by the committee to relevant professional bodies, government authorities or institutions within the country or region concerned.

5.11.3 All reports should be included in a networked internet system overseen by the Secretariat, and accessible to the public. An associated dialogue forum will be maintained on the website.

5.12 Relations with complementary programmes (within UNESCO)

5.12.1 The documentary heritage arises from the totality of human achievement and experience, and is linked to other facets of the tangible and intangible heritage. The *Memory of the World* Programme therefore operates within the context of other programmes, recommendations and conventions of UNESCO. It will establish logical linkages and work to complement other UNESCO projects, activities or strategies.

5.12.2 A partial current list of complementary conventions, programmes and recommendations is at 2.4. More will evolve. Issues arising from these linkages will appear from time to time on the website dialogue forum, and both the general UNESCO website (www.unesco.org) and regular publications allow exploration and provide updates

5.13 Relations with NGOs and advisory bodies

5.13.1 The *Memory of the World* Programme relates closely to the work and objectives of the various NGOs and professional associations active in the field of documentary heritage. This partnership is integral to the Programme.

5.13.2 NGOs and associations are sources of expert strategic, curatorial, policy and technical advice. Their participation and guidance will be sought in the process of evaluating nominations for the registers, and in the continual updating of resource information on preservation and management issues. Their involvement in appropriate meetings, working groups and conferences of the Programme will be invited, and, in turn, opportunities for *Memory of the World* to be involved in conferences and forums of the NGOs and associations will be welcomed.

5.13.3 By the same token, NGOs and associations are encouraged to promote the Programme among their members, and to act as a catalyst in initiating nominations for the registers, especially for documentary heritage that is shared among several members and countries. The increasing visibility of the Programme, and the inclusion in the *Memory of the World Register* of documentary heritage within their area of interest, can only serve to advance the work of each NGO and association, and of its members.

6 Funding and marketing

6.1 Facilitating and brokering

6.1.1 Libraries, archives and other institutions vary in their resource levels. Some are relatively well provided, while others are so desperately short of resources that their entire holdings are constantly at risk. However, it is axiomatic that few, if any, institutions have all the resources they need. Obtaining adequate funding to protect documentary heritage is a constant need and, in many cases, a constant struggle. All national governments are encouraged to resource their institutions adequately, and, within their capacity, to formally recognize and engage with their responsibilities to preserve their documentary heritage.

6.1.2 While the *Memory of the World* Programme cannot make up for these global shortfalls, it can act as an encourager, fundraiser and honest broker in linking potential sources of funding or in-kind support with worthy projects. It will maintain files of projects to which it has been alerted and will, if necessary, seek further information so that it is able to validate, endorse and recommend a project to a potential sponsor. In this regard, the Secretariat is the ongoing contact point and the Marketing Sub-committee the strategic entrepreneur.

6.1.3 The *Memory of the World Fund*, as it develops, will be a source of funding for specific projects. But given the size and scope of world need, it can only ever be one strategic element in a much larger funding equation involving governments, corporate sponsors, revenue generation and the support of foundations and benefactors. Using the help of others where necessary, custodial institutions can grow their capacity to influence their resourcing environment and increase their funding bases.

6.1.4 A fundamental principle is that the acceptance of funding from any source should not threaten the integrity of any documentary heritage to which it is applied. It should not allow heritage which is public property to pass into private hands, or to be utilised solely for private or commercial gain without corresponding public benefit.

6.2 Fund raising and income

6.2.1 The Programme will engage in active fundraising to complement its resources and build up the *Memory of the World Fund*. At the international level it will also seek to create a climate within which fundraising and support at the regional and national levels can be more effective, and the ability of individual custodial institutions to expand their support bases is enhanced.

6.2.2 The task of developing international strategy and policy falls to the IAC's Marketing Sub-committee, and as these are evolved they will be communicated on the website and in other ways. For example, appropriate strategies at the international level might include public patronage and endorsement by leading public figures, sponsorship by compatible corporations, and a global approach to media publicity.

Strategies at the regional and national levels, driven by *Memory of the World* committees, could follow on a comparable pattern.

6.2.3 Such strategies, however, take time to impact. Their most important effect will be indirect: to improve the climate in which individual custodial institutions operate, and can independently pursue their own programmes of fundraising and persuasion. Of course, no institution has to wait for a change in the climate: all over the world, many have been working successfully for years to create their own opportunities and obtain support and sponsorship. Their collective experience suggests that success has certain ingredients.

6.2.4 Persistence and the cultivation of ongoing relationships, whether with foundations, corporate sponsors or supporters generally, seems to yield results over time. There are, for example, instances of continuing corporate or private support that have spanned more than two decades, and resulted not only in repeated cash injections but also in significant positive changes in the political and support environment. While ongoing relationships involve greater commitment than one-off projects, they allow both partners to gain a deeper appreciation of each other's priorities and agendas.

6.2.5 Since corporations and custodial institutions each have corporate objectives, a successful support arrangement may turn on finding an accommodation between them, without compromising ethics or standards. A corporation or foundation may approach a project as a business deal, seeking an acceptable return on investment. The return will not necessarily be monetary: it may, for instance, be a public relations benefit, and the corporation may try to garner the best advantage for itself. For that reason, the institution might equally ensure that it gains a net benefit, that the arrangement is specific and documented, and that it has a finite duration.

6.2.6 There is evidence that the most successful sponsorship outcomes, and the most enduring relationships, are achieved not by professional fundraisers but by the librarians, archivists and curators themselves. It is they who best communicate the sense of professional commitment and enthusiasm that can be a deciding factor for attracting sponsors.

6.2.7 The principle of universal, democratic access to the *Memory of the World* is incompatible with the idea that any parties should have permanent, exclusive control of access to documentary heritage. It is tempered, however, by the fact that *temporary* exclusivity – in the form of copyright control of finite duration – is a fact of life. Moral rights, too, may exert a form of permanent control over some material. Moreover, custodial institutions have open to them the option of granting a measure of temporary exclusivity³⁵ in exchange for a defined benefit, such as a fee or donation, which may be applied to enhancing longer term access to specific materials. This

³⁵ For example, exclusivity is the economic cornerstone of the film and television industries, a daily reality for audiovisual archives. It is not unusual for an archive to agree with a sponsor that, in exchange for funding a film restoration project, the sponsor will have certain exclusive rights to exploit the restored film for a fixed period (say, 5 years), after which the film will be made universally accessible. The rationale is that without the sponsorship, the film would remain unrestored and inaccessible, so over time, the arrangement is a net gain both for the archive and the public.

provides opportunities, but may also involve choices of ethics and policy that should be consciously entered into.

6.2.8 Many custodial institutions have voluntary “friends” organizations or similar groups that give shape and expression to their support base. Such groups may not only provide a source of volunteer labour and expertise, but may become adept at raising funds and positively influencing the institution’s political environment.

6.3 Use of *Memory of the World* logo and labelling

6.3.1 Copyright in the *Memory of the World* logo vests in UNESCO. Control of its use rests with the Director-General of UNESCO, acting on the advice of the IAC or Bureau. The IAC or Bureau establishes guidelines for the use of the logo: in practice, this task is delegated to the Marketing Sub-committee that will draft the guidelines, recommend changes and monitor compliance.

6.3.2 Use of the logo is always sanctioned by written authorization from the Secretariat: it is never authorized informally. Approval to use the logo can be withdrawn if the stated conditions are breached. Activities associated with documentary heritage listed in the *Memory of the World Register* do not automatically qualify for use of the logo.

6.3.3 Authorization is always precisely related to usage: for example, in relation to specific items of documentary heritage included in any of the registers, in relation to national or regional committees, or to promotional products, nominated events or projects.

6.3.4 The generic *Memory of the World* logo sits at the apex of a tree. Below it, variations designed for regional or national use, or for specific purposes, will sit in a logical structure. Variations may also encompass the use of different languages, the use of country names (e.g. *Memory of Pakistan*) and national icons alongside the generic icon. The logo tree will evolve as the Programme evolves.

6.3.5 The logo tree, and the careful management and monitoring of logo use are fundamental to the image and credibility of the *Memory of the World* Programme. Progressive development of guidelines and a regime for managing the logo and its variations are an ongoing task for the Marketing Sub-committee. The production of a style manual, development of an approval and review process, and published guidelines will be parts of this regime.

6.3.6 Management of the logo will also need to comprehend its fundraising possibilities. Guidelines for permitting the use of the logo in return for sponsorship benefits, in a manner consistent with Programme objectives and UNESCO policy, will be developed by the Marketing Sub-committee.

6.4 Product identification and control

6.4.1 Digital technologies complement traditional approaches in creating potential for a wide range of products and services to provide access to documentary heritage, and information resources related to its management and preservation.

6.4.2 The *Memory of the World* Programme shall continue to produce products that further its objectives. These may include (but not be limited to) books, pamphlets, CD ROMs, CDs, on-line resources and videos. However, financial profit will not necessarily be the primary motivation: other needs, such as awareness raising and the provision of professional information resources, will also be served.

6.4.3 Custodial institutions and others are encouraged to produce products and services which make documentary heritage more accessible and which, consistent with these *Guidelines*, may also yield a surplus which can be directed to the preservation and improved accessibility of their collections.

6.4.4 Use of the *Memory of the World* logo on such products may be granted where, for example, the documentary heritage concerned is included in one of the registers, or the product in some other way is an expression of the objectives of the Programme.

7 Future Scan

7.1 Towards a convention

7.1.1 As the Programme grows it moves naturally towards a review of its status. In the UNESCO structure this means its potential development first into **Recommendation** and later a **Convention**. Each entails higher levels of formal recognition and commitment by UNESCO Member States. A **Recommendation** would involve formal endorsement in principle of the rationale and activities of *Memory of the World*. A **Convention** would take this to the level of a binding commitment as each individual country ratified it.

7.1.2 It takes time. Wide ratification of the *World Heritage Convention*, for example, has taken many years and decades of evolution. The *Convention* has ultimately proved effective in protecting large numbers of buildings and sites worldwide, and – perhaps even more importantly – sensitizing public opinion and changing the way people and governments think about heritage conservation.

7.1.3 The same logic applies to the protection of documentary heritage and the *Memory of the World* Programme. Its direction is clear from these *Guidelines*. Ultimately a *Memory of the World* Convention will not only give firmer status and support to its registers, committees and projects, but will also improve global consciousness about the protection of the documentary heritage. For the future can only be assured by fundamentally changing the climate which has created the losses of the past.

Appendixes

Appendix A

The *Memory of the World Register*: nomination form and guide for completing the form

This appendix contains a guide for compiling a nomination, and a template of the nomination form itself.

The **first** step is to decide *which* of the registers – at international, regional or national level – seems appropriate to the documentary heritage concerned. If there is a national *Memory of the World* committee in your country, it is a good idea to contact it at the outset for assistance in developing the nomination: approach your National Commission for UNESCO to make this contact. Alternatively, contact the Secretariat for information:

Memory of the World Programme
UNESCO Information Society Division
1, rue Miollis
75732 Paris
FRANCE

Website: www.unesco.org/webworld/mdm

The **second** step is to develop and submit the nomination to the Secretariat or, in the case of nominations to a regional or national register, the relevant *Memory of the World* committee. In the case of documentary heritage which is in several locations, or has several owners or custodians, full details of each component, owner or custodian should be included in the nomination.

Set out below is a step by step guide to completing the nomination form for the international *Memory of the World Register*. Nominations for regional and national registers may require additional information, available from the relevant regional or national committee. Carefully read Section 4 of these *General Guidelines* for further information before preparing a nomination.

It is not necessary to use the template exactly as printed here. The nomination form sets out, in logical order, the range of information needed. The more comprehensive, the better, and the faster the nomination can be processed. There is no limit to the length of a nomination document or to the supplementary data which may be attached to it.

PART A - ESSENTIAL INFORMATION

1. Summary

This is the “shop window” of the nomination. It is a brief summary describing the documentary heritage and the reasons in support of its nomination. Many people will consider this nomination as it is processed. It is important to summarise the essential information so they can quickly understand it.

2. Nominator

This section is for information about the source of the nomination.

- 2.1 Provide the full name of person(s) or organisation(s) making the nomination
- 2.2 Explain the nominator’s background and why it is associated with the nomination.
For example, the nominator may be a responsible officer of a library or archives which owns the documentary heritage in question; or he/she may be a private individual with a research interest in the heritage.
- 2.3 Indicate who is in charge of the nomination process.
- 2.4 Provide sufficient details to allow prompt contact for future correspondence.

3. Identity and description of the documentary heritage

3.1 These details should include:

- Complete name and dates (if they are part of the name)
- Name and full address/location details of the owner and custodian, whether an institution or an individual

3.2 The description should be as comprehensive as possible. It should include:

- Description and inventory, including cataloguing/ guide or similar access information
- Bibliographic and registration details
- Summary of its provenance (for example, how and when was the material acquired and integrated into the holdings of the institution)
- Analysis or assessment of physical state and condition, such as description of storage arrangements, conservation diagnosis etc
- Visual documentation where appropriate: for example, photographs or a video of the documentary heritage and its housing
- Bibliography: where possible, list up to three published sources describing the documentary heritage
- Referees: where possible, list names, qualifications and contact details of up to three independent people or organisations who could give an informed opinion about the significance and provenance of the documentary heritage

4. Justification for inclusion/ assessment against criteria

Carefully consider the selection criteria in section 4.2 of these *General Guidelines* and provide a full justification for inclusion of the nomination in the register. Further details may be sought as the nomination goes through the process of evaluation.

- 4.1 Authenticity (4.2.3): explain how the documentary heritage is known to be authentic. For example, this may be because its provenance is well established, or because expert examination has demonstrated that it is genuine.
- 4.2 World significance, uniqueness and irreplaceability: (4.2.4): Explain why or how the documentary heritage is so significant. For example, how serious would be the consequences of its loss? Can it be demonstrated to meet the tests of influence set out here?
- 4.3 The criteria of (a) time (b) place (c) people (d) subject and theme (e) form and style (4.2.5) may all apply to the documentary heritage, or only *some* of them may apply, but at least *one* of them *must* apply. Give an explanation against each of the *relevant* criteria.
- 4.4 The issues of rarity, integrity, threat and management (4.2.6) are important contextual factors in assessing the nomination. *A comment is required on each of these issues.*

5. Legal information

Section 4.4 of the *General Guidelines* refers.

- 5.1 and 5.2 Sometimes the custodian of the documentary heritage may not be the same as the owner. It is essential to establish both before a nomination can be added to the Register.
- 5.3 It is also essential to establish the full legal status of the documentary heritage as follows:
 - (a) Category of ownership: for example, is it owned privately, or by a public institution, or by a commercial corporation?
 - (b) Accessibility: are there factors which will limit public access to the material? Refer to section 3.4 to identify these factors.
 - (c) Copyright status: is any or all of the documentary heritage subject to copyright? Can the copyright owner(s) and their entitlements be identified?
 - (d) Responsible administration: who is *legally* responsible for safekeeping of the material, and how is that responsibility being exercised?

- (e) Other factors: are there other matters that should be noted? For example, is any institution required by law to preserve the documentary heritage in this nomination?

6. Management plan

- 6.1 Provide summary details of the management plan for the documentary heritage (see 4.2.6, 4.4.2) and attach a copy of the plan, if there is one. A good plan would include a statement of the significance of the documentary heritage, cite policy and procedures for access and preservation, set out a preservation budget, list available conservation expertise and facilities and explain how these are maintained, give detailed attention to the physical environment of the material (e.g. air quality, temperature and humidity, shelving, security) and include a disaster preparedness strategy.

If there is no management plan, it is important to explain *why* this is so (for example, lack of skills, facilities or funds) and to describe the current storage and custody environment of the documentary heritage.

7. Consultation

- 7.1 Consultation before submitting a nomination strengthens it, and avoids confusion or delay. Prior consultation with the owner and custodian of the documentary heritage is normally required, unless there are particular reasons for not doing this. Consultation with the relevant regional or national *Memory of the World* committee, if there is one, is strongly recommended.

PART B – SUBSIDIARY INFORMATION

This information is not taken into account in deciding whether the nomination merits inclusion in the *Register*. It does provide important contextual information to the Programme, especially if the documentary heritage is under threat.

8. Assessment of risk

- 8.1 Note especially section 5.5 in the *General Guidelines* and describe the risks or threats. For example:

- Political situation inside and outside the country
- Environmental conditions inside and outside the storage building (e.g. near electricity tower, presence of atmospheric pollutants)
- Physical conditions of the material (e.g. method of storage, quality of packaging)
- Insufficient preservation budget
- Extent and nature of access provided

9. Assessment of preservation

- 9.1 Detail the preservation context of the nominated documentary heritage. Note especially section 3.3.

For example, indicate:

- Its present physical state
- Its preservation history
- Current preservation policy (including facilities and trained staff available)
- The person/ organisation responsible for preservation, if appropriate

PART C – LODGEMENT

These details are needed for the record.

MEMORY OF THE WORLD REGISTER

NOMINATION FORM

USE OF THIS FORM:

Either go to the *Memory of the World* website (www.unesco.org/webworld/mdm) to use this form in its electronic version or *photocopy* or transcribe these pages and use them as a template. If space is insufficient, nominations may be prepared as a separate document using all the headings set out in this form. What matters is the comprehensiveness of the information provided – not its formality!

PART A – ESSENTIAL INFORMATION

1 SUMMARY

Highlight the nature, uniqueness and significance of the nominated documentary heritage.

2 DETAILS OF THE NOMINATOR

- 2.1 Name (person or organisation)
- 2.2 Relationship to the documentary heritage nominated
- 2.3 Contact person (s)
- 2.4 Contact details (include address, phone, fax, email)

3 ***IDENTITY AND DESCRIPTION OF THE DOCUMENTARY HERITAGE***

3.1 Name and identification details of the items being nominated

3.2 Description

Attach a description of the documentary heritage: refer to the guide for completing this form

4 ***JUSTIFICATION FOR INCLUSION/ ASSESSMENT AGAINST CRITERIA***

Refer to section 4.2 of the *General Guidelines* for the selection criteria. If space insufficient, attach separate sheets. Each question **must** be answered.

4.1 Is authenticity established? (see 4.2.3)

4.2 Is world significance, uniqueness and irreplaceability established? (see 4.2.4)

4.3 Is one *or more* of the criteria of (a) time (b) place (c) people (d) subject and theme (e) form and style satisfied? (see 4.2.5)

Provide an explanation against each criterion selected. Attach separate statement if space insufficient.

4.4 Are there issues of rarity, integrity, threat and management that relate to this nomination? (see 4.2.6)

Attach a separate statement if space insufficient.

5 ***LEGAL INFORMATION***

5.1. Owner of the documentary heritage (name and contact details)

5.2 Custodian of the documentary heritage (name and contact details, if different to owner)

5.3 Legal status:

(a) Category of ownership

(b) Accessibility

(c) Copyright status

(d) Responsible administration

(e) Other factors

6 ***MANAGEMENT PLAN***

6.1 Is there a management plan in existence for this documentary heritage? YES/NO

If yes, attach a summary of the plan. If no, please attach further details about current storage and custody of the materials.

7 ***CONSULTATION***

7.1 Provide details of consultation about this nomination with (a) the owner of the heritage (b) the custodian (c) your national or regional *Memory of the World* committee

PART B – SUBSIDIARY INFORMATION

The following information will **not** be taken into account in deciding whether or not to inscribe documentary heritage on the *Register* but will be included in the database as additional information. Some of this information may be drawn from the management plan (item 6 above).

8 ASSESSMENT OF RISK

8.1 Detail the nature and scope of threats to this documentary heritage (see 5.5)

9 ASSESSMENT OF PRESERVATION

9.1 Detail the preservation context of the documentary heritage (see 3.3)

PART C - LODGEMENT

This nomination is lodged by:

(Please print name).....

(Signature)..... (Date).....

Appendix B

***Memory of the World Fund*: indicative list of factors to be included in a project grant application**

The parameters of the *Fund* are set out in section 5.5 of these *General Guidelines*. As for register nominations (Appendix A), a project application form can be downloaded from the *Memory of the World* website or requested by mail from the Secretariat. A project grant proforma appears in Appendix C. Where necessary, supplementary information should be attached to the application.

Most usually, applications will be related to documentary heritage which is either on a *Memory of the World* register or, in the opinion of the IAC, deserves further consideration, but may lack a management plan or be endangered. In the latter case, the following information should be provided as fully as possible:

- Explanation of the significance of the documentary heritage (see the nomination process in Appendix A)
- A copy of the management plan or explanation of issues to be addressed in developing one.
- Description of the present physical state of the documentary heritage.
- Explanation of the extent to which it is endangered, and the nature of the threat.
- In setting out the project description and expected results, precise details about the standards to be observed and the strategy to be employed in achieving the result.
- A thorough analysis of costs

It is part of the logic of the *Fund* that national or regional *Memory of the World* committees, and/or National Commissions for UNESCO, will connect with projects in their respective countries or regions. In some cases they may be involved in the management or funding of a given project. It is to the advantage of the project proponent to develop their application in consultation with these bodies, where this is practical.

Appendix C

Project description form

MEMORY OF THE WORLD PROGRAMME

PROJECT DESCRIPTION FORM

This pro-forma is intended for documentary heritage which is either on the Memory of the World Register or for documentary heritage which, in the opinion of the International Advisory Committee, deserves further consideration but is endangered or is lacking a management plan. In the latter case, the application would be for funds to develop a management plan, and will address the issues outlined in Annex 2.

IDENTIFICATION

1. Title of Project including name of documentary heritage

2. Brief statement about the significance of documentary heritage

Box reserved for MoW Secretariat	
Country	:
Date	:
Code	:

3. Present physical state of the documentary heritage

4. Extent to which it is endangered

5. Access

Levels of access, including any restrictions

Copyright status of documentary heritage

Bibliographic control, including an indication of availability in a number of different languages

6. Executive head of Project:

Person responsible for preparing work plan, organizing work teams, conducting technical studies, etc.

Name:

Institution:

Address:

Telephone:

Telefax:

E-mail:

7. Other countries associated in Project:

List here names of countries participating in project. Use Annex 1 form to provide addresses of organizations and officials responsible for project in each country listed.

8. Duration of project execution: Months
 Project starting date: Month/Year

9. Funding sources:

National or Regional contributions:	A=	<input type="text"/>	US\$ (See Table of National or Regional contributions to project)
Funds requested from MoW (not exceeding 50% of total cost of Project)	B=	<input type="text"/>	US\$ (See Table of Contributions requested from MoW)
Other funds requested or obtained	C=	<input type="text"/>	US\$ (See Table of Contributions requested or obtained from other sources)
Total cost of Project	A+B+C=	<input type="text"/>	US\$

PROJECT DESCRIPTION AND EXPECTED RESULTS

1. Project Description

Please provide a concise description of the project, specifying its main features, its beneficiaries, the activities, products or services to be generated and the way they will be used, the broad lines of its technical design, operational phases and any other pertinent facts, including :

- . Preservation actions required, including materials, methods and standards to be followed
- . Qualifications of personnel and training requirements
- . Partners
- . Extent of co-operation among participating countries
- . Proposed contractual arrangements

If necessary, a more detailed description may be annexed to this form.

2. Expected results

As far as possible, quantify the expected results of the project. Provide data concerning its beneficiaries such as estimated number of users, trainees, participants etc. and projected growth over the first few years. Describe the products and services to be generated by the project (publications, digitized documents, CD-ROMs, development of Web sites, training kits, advice, assistance, etc.), specify in particular :

- . Marketing strategy
- . Products and their ownership
- . Long term management of products
- . Distribution of products and allocation of revenues

PROJECT REQUIREMENTS HUMAN RESOURCES AND EQUIPMENT

3. Human resources requested from MoW

Indicate if **international experts** are needed. When appropriate, please list types of expertise needed by the project and, whenever possible, provide exact figures for the number of persons (both available and requested) and the number of worker/months required. Only short term expertise could be requested from MoW.

4. Equipment requested

Please list any equipment and supplies needed for preservation and conservation on the one hand, and computer equipment, including scanners, software packages, etc. needed to enhance access. Provide pro-forma invoices whenever possible.

WORKPLAN

In a separate attachment, describe the various phases of the work, stating for each phase the commencement date, duration, methods to be used and intervals at which results are to be evaluated.

Indicate how the overall evaluation of results is to be made when all phases of the project have been completed.

NATIONAL OR REGIONAL CONTRIBUTIONS

	TOTAL (US\$)	NATIONAL (US\$)	REGIONAL (US\$)
BREAKDOWN OF CONTRIBUTIONS RECEIVED			
BREAKDOWN OF CONTRIBUTIONS REQUESTED			
TOTAL A=			

**CONTRIBUTIONS REQUESTED FROM THE MEMORY OF THE
WORLD PROGRAMME**

BREAKDOWN OF CONTRIBUTIONS REQUESTED	TOTAL (US\$)	REMARKS
1. <u>EQUIPMENT</u> Preservation and conservation Hardware Software Other TOTAL		
2. <u>HUMAN RESOURCES</u> International expertise (Consultants) TOTAL		
3. <u>TRAINING</u> Costs of participation in further training (Seminars, courses, workshops) TOTAL		
4. <u>OTHER CONTRIBUTIONS</u> (Please state nature) TOTAL		
TOTAL B =		

**CONTRIBUTIONS REQUESTED OR OBTAINED FROM
OTHER RESOURCES**

BREAKDOWN OF CONTRIBUTIONS REQUESTED	TOTAL (US\$)	REMARKS
1. <u>EQUIPMENT</u> Preservation and conservation Hardware Software TOTAL		
2. <u>HUMAN RESOURCES</u> International expertise (Consultants) TOTAL		
3. <u>TRAINING</u> Costs of participation in further training (Seminars, courses, workshops) TOTAL		
4. <u>OTHER CONTRIBUTIONS</u> (Please state the nature) TOTAL C =		

A consideration of these factors will determine the feasibility of the project and form the basis of the decision made by the International Advisory Committee.

Similar consideration will have to be given to applications for a *Memory of the World* label to a proposed project where no funding is being requested from the Programme.

ANNEX 1

Other countries participating in the project

Give names and addresses of persons and organizations responsible for the project in each of the countries listed on page 1 of the project description form.

1. Country:

2. Executive head of Project :

Name:

Name of the Institution:

Address:

Telephone:

Telex:

Telefax:

E-mail:

ANNEX 2

Indicative List of Factors to be Included in Management Plan

Ideally the management plan for documentary heritage, listed or to be listed on the *Memory of the World* Register, will be one component of a total preservation management plan for the whole library, archive or other collecting organization in which the document, collection or holding resides. There may be circumstances where a management plan is developed for specific documentary heritage before a total preservation management plan is created.

The plan must demonstrate an understanding of the significance of the documentary heritage and the development of appropriate strategies to preserve and provide access to it.

The following is an indicative list of factors to be included in a management plan. The information provided in various parts of the *General Guidelines* will assist in developing a plan. Where appropriate, references to the relevant sections in the *Guidelines* are given below in parentheses.

- Statement of the significance of the documentary heritage against selection criteria (4.2)
- Access policy and procedures.(3.4)
- Details of preservation budget.
- Preservation procedures and policies to control the physical environment — i.e. air quality, temperature, humidity, light levels, shelving, storage, security, building maintenance, handling by staff and users and display techniques. These procedures and policies should take into account the significance, physical state and required use of the documentary heritage.(3.2, 3.3 and guides)
- Preservation treatments employed including details about access to professional conservation expertise and facilities.(3.3 and guides)
- A disaster prevention and recovery plan.
- Number of preservation staff, their qualifications and opportunities for their continued training.
- Description of how the preservation activities are incorporated into general management activities.

Appendix D

Model terms of reference for a national *Memory of the World* committee

The following model, which is presented as a guide only, has been adapted from the terms of reference of the Australian national *Memory of the World* Committee.

Name

The committee, which shall be known as the [country] *Memory of the World* Committee, will operate within the framework and objectives specified in the *Memory of the World* General Guidelines.

Role

The [country] *Memory of the World* Committee will have the responsibility for the overall management and monitoring of the Programme in [country] and will:

- Establish and maintain the [country] national *Memory of the World* Register, and encourage, receive and assess nominations of documentary heritage for inclusion in it.
- coordinate and propose nominations from [country] to the international *Memory of the World Register*
- work in close cooperation with governmental and non-governmental organizations in [country] in developing the national register and contributing to the international register,
- raise awareness of and promote the *Memory of the World* Programme in [country],
- encourage and seek government and private sector sponsorship for specific *Memory of the World* projects and activities in [country],
- work in close collaboration with the [country] National Commission for UNESCO, and the regional *Memory of the World* Committee
- maintain regular contact with the Secretariat.

Membership

The [country] *Memory of the World* Committee shall have between five and ten members. Members will be representative of all regions and relevant cultural interests within [country]. Only one member may be appointed from any one organization or peak body. Members will be appointed in their personal capacity by the Chairperson of the [country] National Commission for UNESCO or his/her representative. Members will be chosen on the basis of their knowledge of the field and on their ability to contribute to the achievement of the Programme's objectives.

Sample composition of Committee and possible membership:

- Member of the IAC or regional *Memory of the World* Committee (if available)
- A professional from the archival community
- A professional from the library community
- A member of the indigenous community
- A professional from the museum community
- Official from the government department responsible for heritage or culture (may attend in a representative rather than personal capacity)
- A professional with Conservation/Preservation expertise
- One or two other persons with relevant specialist skills or experience

Term of Office

Appointment is for a period of four years with an option for a second term. To ensure continuous innovation and continuity, half of the first committee will be appointed for an initial term of two years and the other half for four years. Thereafter all appointments will be for four years.

Rules

Office bearers – A chairperson and deputy chairperson will be appointed by the [country] National Commission for UNESCO.

Secretarial support – Secretarial support will be provided by the [country] National Commission of UNESCO.

Financial matters – The Committee will manage its own funds which will be used primarily for raising awareness and promotion of the *Memory of the World* Programme, and accounted for to the National Commission for UNESCO. As required, it may manage projects or tasks delegated by the National Commission, the IAC or the Regional *Memory of the World* Committee.

Legal responsibilities – The Committee will not enter into any contractual arrangements between the owners and custodians of documentary heritage and commercial organizations.

National *Memory of the World* Register – The Register will be compiled by the Committee and will be retained by the [country] National Commission for UNESCO. Electronic access to the register will be provided through the Commission's web-site.

Meetings – At least two meetings will be held each year in a convenient location, probably at the offices of the National Commission for UNESCO.

Quorum – Half the members will constitute a quorum.

Minutes – Minutes of each meeting will be taken and will be available to the Secretariat and the National Commission for UNESCO.

Reporting – A formal annual report of the activities of the Committee will be provided to the Secretariat.

Sub-committees – Sub-committees will be formed if and when required.

Appendix E

Glossary and acronyms

AMIA: Association of Moving Image Archivists

Carrier: the physical item or items comprising the documentary heritage; the material upon which the content is recorded (see 2.6.3)

CCAAA: Coordinating Council of Audiovisual Archive Associations

Collection: a set of documents selected individually

Content: the signs, codes, sounds and /or images residing on or within the carrier (see 2.6.3)

Conservation: those actions involving minimal technical intervention required to prevent further deterioration to original materials. Such actions are necessary because it is recognized that the original medium, format and content are important for research or other purposes, e.g. to retain aesthetic, material, cultural and historic qualities

Copyright: the right to control copying, distribution and exploitation of a work, as provided by law

Document: that which “documents” or “records” something by deliberate intellectual intent. It has two components: the *carrier* and the *content* regardless of the medium or format employed. (see 2.6)

Documentary heritage comprises items which are moveable, preservable, and migratable and result from a deliberate documenting process (see 2.6.2)

Endangered documentary heritage is material threatened by physical or political circumstances which require urgent and/or confidential action to ensure its survival. (see 5.5)

FIAF: International Federation of Film Archives

FIAT/IFTA: International Federation of Television Archives

FID: International Federation for Documentation

Fonds: a body of records generated organically and naturally through the normal actions and transactions of the creator

Format: refers to the class of document with respect to its style, arrangement or layout

Holding: a collection or set of collections held by an institution or individual, or a fonds or record group held by an archive

IAML: International Association of Music Librarians

IASA: International Association of Sound and Audiovisual Archives

ICCROM: International Centre for Conservation in Rome

IAC: International Advisory Committee of Memory of the World

ICA: International Council on Archives

ICOM: International Council of Museums

IFLA: International Federation of Library Associations and Institutions

IIC: International Institute for Conservation of Historic and Artistic Works

Intrinsic value: term used to describe historical materials that should be retained in their original form rather than as copies

ISO: International Organization for Standardization

Lost heritage: Documentary heritage which is known to no longer survive (see 4.9.2)

Medium: refers to the carrier upon which the original content was recorded

Missing heritage: Documentary heritage whose current whereabouts is unknown, but whose loss cannot be confirmed or reliably assumed (see 4.9.2)

NGO: Non-Government Organisation, such as a professional association, which has formal working relations with UNESCO.

Preservation: The sum total of the steps necessary to ensure the permanent accessibility of documentary heritage. It includes conservation, environmental control, and management practice. (see 3.2)

Provenance: The place of origin; the path by which documents have arrived at their present location

Record Group: A theoretical unit for the purpose of archival control. Used to describe:

- All of the records of an agency
- A body of archives organizationally and functionally related on the basis of provenance

Records: documents containing data or information of any kind and in any form, created or received and accumulated by an organization or person in the transaction of business or the conduct of affairs and subsequently kept as evidence of such activity through incorporation into the recordkeeping system of the organization or person. Records are the information by-products of organizational and social activity.

Work: a single and coherent intellectual creation containing information or expression, such as a novel, dissertation, records, film, recording, musical composition, photograph, map, or article.

Appendix F

Bibliography

The literature of archiving and librarianship is vast, and the list below is only a sampling. Searches of library catalogues and of the internet, on specific topics like conservation and appraisal, will reveal much useful material. Many of the associations and NGOs listed in Appendix E have detailed websites and produce journals, newsletters and other publications. UNESCO itself is a significant publisher in this field.

Boston, George (Ed.) *Safeguarding the Documentary Heritage* UNESCO, Paris, 1998

Chapman, Patricia, *Guidelines on the Preservation and Conservation Policies in the Archives and Library Heritage*. General Information Programme and UNISIST, UNESCO, Paris, 1990.

Cherchi Usai, Paolo *The Death of Cinema* British Film Institute, London, 2001

Cornish, Graham P. *Copyright Issues in Legal Deposit and Preservation*. IFLA Journal, **20**, 1994, pp 341-349.

Danielson, Elena S. *The Ethics of Access*. American Archivist, **52**, 1989, pp 52-62.

Edmondson, Ray *A Philosophy of Audiovisual Archiving*. UNESCO, Paris, 1998.
www.unesco.org/webworld/en/highlights/audiovisual_archiving/philol1.htm

Ellis, J. (Ed.) *Keeping Archives*. Second Edition, D.W. Thorpe in association with the Australian Society of Archivists Inc. (1993), ISBN 1 875589 15 5.

Franklin, Phyllis. *Scholars, Librarians and the Future of Primary Records*. College and Research Libraries, September 1993, pp 397-406.

Harrison, Helen (Ed.) *Audiovisual archives: A Practical Reader* (UNESCO, Paris, 1997)
www.unesco.org/webworld/audiovis/reader

Intrinsic Value in Archival Material. Staff Information paper 21. National Archives and Record Service, General Services Administration, Washington DC, 1982.

Kofler, Birgit. *Legal Questions facing Audiovisual Archives*, General Information Programme and UNISIST: UNESCO, Paris, 1991.

Lynn, M Stuart. *Preservation Access Technology: The Relationship between Digital and other Media Conversion Processes: A Structured Glossary of Technical Terms*. Commission on Preservation and Access, Washington DC, August 1990.

Memory of the World Technical Sub-committee *Safeguarding our Documentary Heritage* (CD ROM) UNESCO, Paris, 2000

Memory of the World: Lost Memory – libraries and archives destroyed in the 20th Century (UNESCO, Paris, 1996)

Norman, Sandy. *Electronic Copyright: the Issues*. IFLA Journal **20**, 1994, pp 171-175.

Principles for the Preservation and Conservation of Library Materials. The Hague, IFLA, 1986.

Rothenberg, Dianne. *Changing Values in the Published Literature with Time*, Library Trends, 41(4), 1993, pp 684-699.

Smith, Martha Montague. *Infoethics for Leaders: Models of Moral Agency in the Information Environment*. Library Trends, **40**(3), 1992, pp 553-570.

Working Paper on the Future. Commission on Preservation and Access Newsletter. No. 64, February 1994

Young, Linda. *A Question of Significance*. ICOM Australia, **53**, 1991, pp 1-4

Appendix G

Criteria for the inclusion of cultural properties in the World Heritage List

- *The following extract from the Operational Guidelines for the implementation of the UNESCO World Heritage Convention (www.unesco.org/whc/opgutoc.htm) sets out the criteria for inclusion of cultural properties in the List:*

23. The criteria for the inclusion of cultural properties in the World Heritage List should always be seen in relation to one another and should be considered in the context of the definition set out in [Article 1](#) of the Convention which is reproduced below:

"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 of man, and areas including archaeological sites which are of outstanding universal value from the historical, aesthetic, ethnological or anthropological points of view."

24. A monument, group of buildings or site - as defined above - which is nominated for inclusion in the World Heritage List will be considered to be of outstanding universal value for the purposes of the Convention when the Committee finds that it meets one or more of the following criteria and the test of authenticity. Each property nominated should therefore:

- a.
 - i. represent a masterpiece of human creative genius; or
 - 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; or
 - iii. bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared; or
 - 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; or
 - v. be an outstanding example of a traditional human settlement or land-use which is representative of a culture (or cultures), especially when it has become vulnerable under the impact of irreversible change; or
 - 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 justify inclusion in the List only in exceptional circumstances and in conjunction with other criteria cultural or natural);

and

- b.
 - i. meet the test of authenticity in design, material, workmanship or setting and in the case of cultural landscapes their distinctive character and components (the Committee stressed that reconstruction is only acceptable if it is carried out on the basis of complete and detailed documentation on the original and to no extent on conjecture).
 - ii. have adequate legal and/or traditional protection and management mechanisms to ensure the conservation of the nominated cultural properties or cultural landscapes. The existence of protective legislation at the national, provincial or municipal level and/or a well-established contractual or traditional protection as well as of adequate management and/or planning control mechanisms is therefore essential and, as is clearly indicated in the following paragraph, must be stated clearly on the nomination form. Assurances of the effective implementation of these laws and/or contractual and/or traditional protection as well as of these management mechanisms are also expected. Furthermore, in order to preserve the integrity of cultural sites, particularly those open to large numbers of visitors, the State Party concerned should be able to provide evidence of suitable administrative arrangements to cover the management of the property, its conservation and its accessibility to the public.

25. Nominations of immovable property which are likely to become movable will not be considered.

Appendix H

Criteria for the Proclamation of Masterpieces of Intangible Heritage of Humanity

- *The following criteria are drawn from the Guidelines of the UNESCO Programme to protect Masterpieces of the Oral and Intangible Heritage of Humanity (http://www.unesco.org/culture/heritage/intangible/masterp/html_eng/index_en.htm)*

The candidatures are judged on their outstanding value as masterpieces of human creative genius, in that they represent:

- a strong concentration of intangible cultural heritage of outstanding value;
- a popular and traditional cultural expression of outstanding value from a historical, artistic, ethnological, linguistic or literary point of view.

They must:

- give wide evidence of their roots in the cultural tradition or cultural history of the community concerned;
- demonstrate their role as a means of affirming the cultural identity of the peoples and cultural communities concerned; their importance as a source of inspiration and intercultural exchange and as a means of bringing peoples or communities closer together, and their contemporary cultural or social role in the community concerned;
- provide proof of excellence in the application of skill and technical qualities;
- affirm their value as unique testimonies of living cultural traditions;
- risk disappearing due either to the lack of means for safeguarding and protection it or to processes of rapid change; urbanization, or to acculturation;
- have a solid action for revitalization.



MEMORY OF THE WORLD

GENERAL GUIDELINES TO SAFEGUARD DOCUMENTARY HERITAGE

[paragraph 4.2.5]

6. Criterion 6 – Social/spiritual/community significance:

This concept is another way of expressing the significance of a document or set of documents in terms of its spiritual or sacred values. It allows a specific community to demonstrate its emotional attachment to the document or documents for the way in which these contribute to that community's identity and social cohesion.

Application of this criterion must reflect living significance – the documentary heritage must have an emotional hold on people who are alive today. Once those who have revered the documentary heritage for its social/spiritual/community significance no longer do so, or are no longer living, it loses this specific significance and may eventually acquire historical significance.

Adopted by the 8th IAC meeting in Pretoria in June 2007