



## **D 2.5 Report on Methodology and Checklist**

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of historic buildings in urban areas]**

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Project Coordinator	Alexandra Troi EURAC research, Viale Druso 1, 39100 Bolzano/Italy Alexandra.troi@eurac.edu
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Author(s)	Christoph Franzen (IDK), Torben Dahl (KA), Ola Wedebrunn (KA)
Co-author(s)	Katrin Bräunlich (PHI), Enrico Esposito (Artemis), Camilla Colla (UNIBO), Francesco Pulcini (UNIBO), Elena Gabrielli (UNIBO), Magdi Khalil (TUD), Olaf Helbig (TUD), Franziska Haas (TUD), Alexandra Troi (EURAC), Dagmar Exner (EURAC)
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42	Cultural Heritage in Environmental Assessment The World Bank, Environment Department September 1994	
51	The Charter of Krakow 2000 PRINCIPLES FOR CONSERVATION AND RESTORATION OF BUILT HERITAGE	
62	Nara Document on Authenticity Nara Document on Authenticity UNESCO, ICCROM, ICOMOS, Experts meeting, 1-6 November 1994	
72	Charter for the Conservation of Historic Towns and Urban Areas Adopted by ICOMOS General Assembly in Washington D.C., October 1987	
77	Convention for the Protection of the Architectural Heritage of Europe Granada, 3.X.1985	
106	Declaration of Amsterdam Congress on the European Architectural Heritage, 21-25 October 1975	
123	UNESCO World Heritage Convention Convention Concerning the Protection of the World Cultural and Natural Heritage. THE GENERAL CONFERENCE of the United Nations Educational, Scientific and Cultural Organization meeting in Paris from 17 October to 21 November 1972, at its seventeenth session	
150	The Venice Charter INTERNATIONAL CHARTER FOR THE CONSERVATION AND RESTORATION OF MONUMENTS AND SITES Adopted at the Second International Congress of Architects and Technicians of Historic Monuments, Venice 1964	
159	The Athens Charter for the Restoration of Historic Monuments Adopted at the First International Congress of Architects and Technicians of Historic Monuments, Athens 1931	
170	The Declaration of Dresden At the invitation of the ICOMOS National Committee of the German Democratic Republic, participants from 11 countries held a symposium in Dresden from November 15th to 19th, 1982 on the subject of the "Reconstruction of Monuments Destroyed by War".	
185 (186)	Operational Guidelines for the Implementation of the World Heritage Convention United Nations educational, scientific and cultural organisation intergovernmental committee for the protection of the world cultural and natural heritage	
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## 1 Introduction

For a major part of our built heritage energy retrofit considerations are indispensable for the sustainable development. The action how and what to do when it comes to assess and preserve cultural heritage, has to be derived from a thorough documentation and an analysis of energy and heritage.

As energy and heritage is assessed, energy in general and energy as consumption has to be taken into account as decisive factors that make tradition. This is obvious as use of fireplaces for cooking and heating, as well as for to use of rejected heat from cooking places by leading chimney pipe through the house ensuring optimal energy recovery for every room.

Moreover the evolvement of building typologies are consequences of regional climate as well as the position of the house within the landscape or the urban quarter, often as an acceptance of, and to ensure the most effective use of the energy situation. Cooling, heating and lightning are aspects all builders and architects have respected when it comes to realise optimal living comfort in buildings. Still through time and after several conversions and reconstructions the original ideas of the building are sometime super-structured and difficult to understand. To regain and understand ideas of the original structure is a major task when it comes to perform building analysis investigation. Thus the understanding of tradition and the original concept is a key to find innovative solutions to energy saving actions of cultural heritage and historic buildings.

Historic investigation and management of energy concept, are indispensable from understanding historical buildings, it is an important source for conservation policies, assessment of authenticity, sustainable development, and for the responsible reception and intervention with cultural heritage and architecture. The character of energy sources, its use, the processes it involves as well as the infrastructure it takes to maintain an energy balance has to be investigated and described. It is important that the approach of this investigation is open to combinations of different expertises such as producers, scientists and architects. An open approach will make it possible to find innovative possibilities and define principles, potentials of scientific tools, non destructive testing (NDT) and technologies such as simulation models, to be integrated, followed up and monitored as a methodology that integrates energy and heritage in conservation strategies for historical buildings.

The aim of report D.2.5 is to develop a comprehensive conservation strategy to diagnose and support active interventions with historic buildings, here proposed as the draft proposal for a methodology and a checklist for efficient energy for European cultural heritage.

## 2 Energy and Heritage, Methodology

An inherent complexity as well as a tempting new field of possibilities is entered as energy and culture are brought together in terms of reference and in possible analytic entities of the diversity that makes European cultural heritage. The constellation of energy and heritage opens to research of concepts as well as to pragmatic turns of new understanding and conservation praxis that until now only vaguely has been analysed and described in methodological approaches as well as in praxis of conservation of historical buildings.

The complex history and the cultural diversity of heritage is the subject of many international conventions of heritage, commonly elaborated by international experts and referred in important directives, charters, and international resolutions. When brought in the context of conventions on sustainability they provide a broad new view of conservation bringing argument and sources of energy and heritage together.

Still the inventory of existing conventions and methodologies leaves many questions open when it comes to pursue concept of a sustainable and responsible development of energy and heritage. Thus it is an important task of this draft to follow up on theories and policies of energy and heritage to be analysed and processed as a methodology covered within the further work of task D2.5 and 3encult.

### 2.1 Listed buildings

- Local registers
- National registers
- UNESCO World Heritage List
- World Monuments FUND
- DOCOMOMO International register on Modern Movement

### 2.2 Methodologies

- InterSAVE (International Survey of Architectural Values in the environment) Copenhagen1997, is a Danish developed methodology to survey and evaluate buildings and urban structures from preservation point of view (PDF in English exists). InterSAVE is the English version of the Danish SAVE system.
- ReSAVE (Resource economic evaluation in town and building conservation) is a draft and an attempt to integrate values of resources and life cycle in the survey of architecture of the environment.
- SUIT (Sustainable development of Urban historical areas through an active Integration within Towns), an EU 5<sup>th</sup> frame research project. The SUIT methodology is the result of a research project that integrates environmental impact assessment and cultural heritage.
- EIA, Environmental Impact Assessment as defined in EU Directives determining EIA procedure Directive 97/11/E.
- LCA, Life Cycle Analysis
- Aalborg Commitment, for municipalities and a responsible act for environment.
- Economic.Analysis.Investments.Cultural.Heritage
- Aarhus Convention, on public participation
- Principles for the preservation of historic timber structures, 1999

## 2.3 Conservation policies

- Athena charter, 1931
- Venezia charter, 1964, (Conserving and restoring monuments is to safeguard them no less as works of art than as historical evidence).
- Venezia charter, CIAM, 1933+1958
- Convention for protection of the World Cultural and Natural Heritage, UNESCO 1972
- Amsterdam declaration, ICOMOS, 1975
- Granada charter, ICOMOS, 1985
- Charter for the conservation of historic towns and urban areas, ICOMOS, 1987
- Eindhoven Statement, DOCOMOMO, 1989
- Nara Convention (on authenticity)
- Krakow Convention
- World Bank def. Cultural Heritage, 1994
- Charter on the built vernacular heritage, 1999
- Principles for the recording of monuments, groups of buildings and sites, 1996
- ICOMOS charter – Principles for the analysis, conservation and structural restoration of architectural heritage, 2003

## 2.4 Energy

- EU European Directive on the energy performance of Buildings. *Directive 2002/91/EC*
  - a. Member States shall apply a methodology, at national or regional level, of calculation of the energy performance of buildings on the basis of the general framework - Member States shall take the necessary measures to ensure that when buildings with a total useful floor area over 1000 m<sup>2</sup> undergo major renovation, their energy performance is upgraded in order to meet minimum requirements in so far as this is technically, functionally and economically feasible.
  - b. Member States shall ensure that, when buildings are constructed, sold or rented out, an energy performance certificate is made available to the owner or by the owner to the prospective buyer or tenant, as the case might be. The validity of the certificate shall not exceed 10 years.

In Denmark labelling of all public buildings is compulsory. The rule has been in effect for buildings over 1500 m<sup>2</sup> from January, 1<sup>st</sup> 2006. For smaller buildings the rule has been in effect from July 1st, 2009. They must therefore be marked by this date. A labelling is valid for 5 years and must be renewed by the end of this period.

- Energy Management in Cultural Heritage, conference to be held in Dubrovnik, 6<sup>th</sup>–8<sup>th</sup> of April 2011.

## 2.5 Energy certification and historical buildings

### 2.5.1 Energy consumption and CO<sub>2</sub> emissions on construction

The first commitment of the States belonging to the United Nations related to the reductions of greenhouse gas emissions is represented by the signing of the Kyoto Protocol in 1997. In detail, US and Europe agreed to reduce their collective greenhouse gas emission by 5,2% from the 1990 level by the year 2012. However, these results were widely disregarded and new binding agreements were not signed at the subsequent Conference of the United Nations Framework Convention on Climate Change (UNFCCC) held in Copenhagen in 2009 and the attended countries only stipulate a statement of intent. Nonetheless, the common and basic goal of these meetings which is the reduction of greenhouse gases emissions in order to face the incoming global warming, remains outlined in the declarations. The reduction of the emissions of these gases is closely related to a decrease in the use of fossil fuels and to a reduction of the energy consumptions.

A snapshot of the energy distribution between the different sectors of the society it's obtained from the Italian National Energy Balance of 2009, published by the minister of economic development. It can be noticed that about 46% of Italian electricity consumption can be attributed to the residential and tertiary sector (civil), about 42% to the transport sector and only 29% to industry.

The importance and benefits that can be achieved by improving the energy efficiency of houses and offices, as they represent almost a half of total Italian energy consumptions, can be gathered from the data. Most of the energy consumption of the civil sector are used for heating and cooling, respectively in winter and summer. The reduction of these consumptions while ensuring the same internal conditions of the building, is the main aim of the interventions of energy efficiency improvements.

What is required for the heating and cooling systems of a building, is to bring the indoor temperature to the desired value and keep it as constant as possible during the use (we neglect the duties of humidification and dehumidification equipment). It is possible to take action on the performances of the installations to reduce the amount of energy necessary to heat a perfectly isolated room but a building is not a thermally insulated system as it continuously exchanges heat with the external environment. Therefore, it is required an additional workload to the heating and cooling systems to compensate these thermal exchanges. So, it is necessary to reduce the flow of heat flows in order to reduce substantially the energy consumptions. That's the idea behind the theory of "PassivHaus Institute", Darmstadt (Germany), for which an ideal building is an high thermal insulation building, the so-called passive house, that is able to reset the thermal flows between indoor and outdoor and to maintain the internal temperature at almost the same value. A limitation of this excessive insulation is that it is necessary to install a mechanical ventilation system capable of ensuring an adequate internal air circulation for reasons of air quality and healthiness.

### 2.5.2 European and Italian regulations on the energy efficiency

The directive on energy performance of historical buildings (EPBD 2002/91/EC) is adopted by EU afterwards the signing of the Kyoto Protocol in 2002; it requires member states to follow a path of improving energy efficiency both for new and existing buildings under restoration. The EPBD was then recast in the new directive 31/2010/CE on the energy performance of buildings.

The Directive gives to the Member States the definition of energetic performance standards that have to be required to new and under-renovation buildings and requires the establishment of an energy performance certificate. This document should be prepared by a qualified technician, should give an estimation of the energetic performance of the building and should assign a reference class value to it. References values should be periodically updated according to the highest energetic standards available from the technology advancement. The certificate validity cannot exceed 10 years by the editing; after this period, the document should be renewed with a new evaluation of the energetic performances of the building to be performed at the owners expenses.

References values at European level are not provided in the document, because, as stated in the Article I, the local climatic factors of each countries and the local regulations for the indoor climate have to be taken into account. Therefore, as an example, the same consumptions cannot be required to a Scandinavian and an Italian buildings due to the climatic differences.

The Annex I of the Directive regards the common features of the method for the energy efficiency calculation of a building to be adopted in the Member States. Article 1 of this Annex better explains the energy performance of the building: "*The energy performance of a building shall be determined on the*



*basis of the calculated or actual annual energy that is consumed in order to meet the different needs associated with its typical use and shall reflect the heating energy needs and cooling energy needs (energy needed to avoid overheating) to maintain the envisaged temperature conditions of the building, and domestic hot water needs”.*

The evaluation procedures of the buildings parameters should take into account European standards (EN ISO). Due to the large amount of these norms, CEN has published in 2004, a document which is a sort of standards index, the so-called “*Umbrella Document*” in order to facilitate an overview of the legal situation.

In Italy the European Directive has resulted in the Legislative Decree 192 of August 18<sup>th</sup>, 2005 “Implementation of Directive 2002/91/EC on the Energy Performance of Buildings.” The norm defines the methods for evaluating the energy performance based on the annual consumption of primary energy, defined as the amount of annual primary energy demanded globally to maintain the designed temperature in heated rooms, under continuous activation. There are also general criteria for the energy certification of buildings and for a regular inspections of boilers and cooling systems.

Italy, however, has not met the deadline for the adoption of energy certification scheduled for 2006 as the legislative decree of 2005 was not followed by implementation decrees indicating how to draw the energy performance certificates, what are the qualified technicians, the energy classes and benchmark index. These items have been mentioned only later, in 2009, with the Ministerial Decree of 26/06/2009 on the national guidelines for energy certification of buildings.

### 2.5.3 Energy certification of buildings

The Italian system for the energy certification of buildings is defined in D.M. 26/06/2009. This document refers to the establishment of a certificate of energy qualification (AQE) which can also be edited by persons related with the ownership (e.g. company responsible of works, the owner if qualified) and must be deposited at the municipality. It proposed to assign a class of energy efficiency to each building; there are 7 energy classes (an eighth class, A+, has been recently added) from A to G, following a decreasing order of quality. Moreover, the redaction of the “diploma of energy certification” (ACE) it’s required; this document has to be prepared by a certifier entity, necessarily outward the ownership. The certification gives a class of energy efficiency to the building and suggests possible improvement interventions. The certificate editing is at the expense of the building owner that, although, may decide to assign G class to the building (the worst) if he consider his structure very inefficient from an energy point of view. The maximum duration of the certification is 10 years. However, it is necessary to edit a new certificate if some restoration interventions (affecting at least 25% of the floor area) or works related to energy efficiency improvements are being carried out.

In Italy, the parameter defining the different energy classes is the index of global energy performance EPgl:

$$EPgl = EPI + EPacs + Epe + EPIll$$

where:

EPI: energy performance index for winter heating

EPacs: energy performance index for hot-water

Epe: Energy performance index for summer cooling

For residential buildings, indexes represent the ratio between the annual primary energy demand for the parameter which are related (heating, cooling, lighting and hot water) and the usable area of the building, so they are expressed in kWh/m<sup>2</sup>year. For the other buildings, each index is expressed in kWh/m<sup>3</sup>year, as it’s the ratio of the primary energy demand and the volume of the building.

In the starting phase of the certification process, the law only requires the measurements of EPI and EPacs, according to UNI/TS 11300 – 1 and UNI/TS 11300 – 2; these standards represent the Italian transposition of norm UNI EN ISO 13790:2008 on “*Energy performance of buildings – calculation of energy use for space heating and cooling*”.

The first part of UNI/TS 11300 shows the method for the computation of the building energy requirements for heating and cooling (FE), while the second one allows the calculation of the energy performance index for winter heating (EPI) and for the production of hot water (EPacs), starting from FE. Since the adoption of the DM, on March 2010, the third part of norm UNI TS 11300 on summer cooling was published, although it will be applied only after the update of the Italian laws. So, this

phase is characterized by a lack of a consolidated and experienced technical framework on summer cooling. Thus, the norm suggests to make an estimation of the energy performance through a qualitative assessment of the building characteristics, as it has been noticed a significant energy consumption increase for summer cooling systems, that cannot be neglected.

#### **2.5.4 Energy demand for heating and cooling**

Norm UNI TS 11330, according to norm UNI EN ISO 13790:2008, requires the following steps in order to achieve the evaluation of the thermal energy required for the heating and cooling demands.

- a) definition of the boundaries of the air-conditioned and non air-conditioned areas of the building
- b) definition of the boundaries of different heating zones (ZT), if required.

The heating zone is defined as the part of the air-conditioned environment maintained at a given uniform temperature (set point) through the same heating, cooling or ventilation system. It is assumed that temperature variations are negligible within this area.

- c) definition of the internal measurement conditions and the input data for the external climate
- d) computation of the amount of thermal energy for heating and cooling for each month and each area of the building
- e) aggregation of the partial results for months and areas served by the same facilities

First two steps of the process require the identification of the building-plant system to be tested, made of one or more buildings or portion of buildings that are air-conditioned through the same system, and to carry out the division of the volume in heating zones.

It is not necessary to split the volume if:

- a) indoor temperature control for heating differ by no more than 4 K;
- b) the rooms are not cooled or indoor temperatures for the cooling differ by no more than 4 K;
- c) the same heating plant is used for the entire building;
- d) in presence of a mechanical ventilation system, if it covers almost 80% of the air-conditioned area with ventilation rates that not differ of a factor greater than 4.

The external dimensions of the envelope are used to define the boundaries of the gross volume while the middle surfaces of the internal partitions are used to individuate the boundaries of the heating areas.

First three step of the calculation are aimed at gathering the data necessary for the computation of the thermal energy balance required at point d).

### 3 Checklist

To reach sufficient analyse and balance of efficient energy and assessment of cultural heritage it is important to collect and organise needed information. The work of WP2 Building Analyses, of 3encult suggests this to be done through analyse of the result of a checklist developed from this draft. The information gathered in this checklist is numeric and written data with the aim and as the overall basis for all actions processed on site, including data needed for calculations, simulation and modelling. In order to carry out the e.g. *DesignBuilder* simulation, several input data should be available. The more accurate and sufficient the data is given, the better output results are obtained. Below is listed the most important input data needed for carrying out a *DesignBuilder* simulation. For a successful *Delphin* simulation concerning different sections in 3encult case studies, several processes of the data has to be performed before simulation. TUD will provide partners with the needed data.

In addition to numeric data the checklist include definitions of and instructions how to use the NDT tools, how to apply and detect the tools at the building, in 3D models, in pre-set monitoring over time, and in real time.

The checklist includes data as well as historical evidence, perception studies, and investigations. The analyses of buildings is a process of numeric data, a process of written information and a combination combinations of these.

#### 3.1 Building Short Description

The building short description should gather the most important information as queried in Tab. 1.

**Tab. 1 Building Short Description**

<b>Object Name:</b>	
Location	
Country	
City	
Altitude	
heating days	
Heating degree days	
Surrounded Area	
<ul style="list-style-type: none"> <li>• Mountainous Area</li> </ul>	
<ul style="list-style-type: none"> <li>• Plan Area</li> </ul>	
Other comments	
<b>History</b>	
Date of construction	
Construction Type (according to its age)	
Original Objective	
Current use	
Expected use in future	
Other comments	

General description	
Status quo	
Architect style	
Construction materials	
General condition	
Urban Context	
Quarter/town	
Development plans	
Key figures as e.g. % of historic buildings, renovation rate	
Other comments	
Cultural Value (Specific valuable aspects)	
Historical Values	
Design Value	
others	
Building Problems (cracks, deterioration, moulds and fungi..etc)	
1	
2	
3	
4	
5	
Planned/Proposed/Possible activities	
Diagnosis	
Planned solutions	
Monitoring system	
Simulation	
Transfer to urban scale concept	
others	
Documentation	
Existing documentation	
Scanned/photocopied materials	
Digital materials	
Inside surface	
Outside Surface	
Climate	
Solar radiation	
Monthly mean temperatures	
Monthly mean Humidity	
Topography	
others	

### 3.2 General data

- Name/Company of surveyor
- Location, Name of building
- Legal investigation (ownership, local legislation and development plans)
- Present function, original function
- Date of completion
- Architect/Artists/other persons
- Construction methods
- Short description (location, measurements, stories, axis, structure, roof, bays, balconies and so on)
- Heritage administration in charge of the object

### 3.3 Overall architectural and cultural evaluation

First approach to the heritage object

- Architectural value (significance in architectural history, proportions, harmony of composition, outstanding work of a certain architect)
- Cultural-historical value (evidence of social functions or historical way of life, evidence of evolution in craftsmanship or technology)
- Artistic value
- Environmental value (degree of harmony with the environment, architectural relationship with buildings in the neighbourhood)
- Originality (degree of original exterior preserved, possibility of rehabilitation)
- Authenticity (degree of legibility of historical information)
- Historical investigation
  - Original drawings and descriptions
  - Historical development (alterations, additions, refurbishment)
- Photographs - Photographs which document the construction of the building should be provided; digital images are preferable. It may be possible that additional test reports or data sheets for the components used in the building are required. If values more favourable than those in the standard PHPP procedure are set, these should be supported by detailed evidence.

## 3.4 Structural investigations

### 3.4.1 Site plans and proofs

Construction: e.g.: walls, roofs (occupied – unoccupied), surface, subsurface, component block and air tightness

- Geometry of the house dimensions: length, width, height
- Analysis and identification of structural system including testing
- Surfaces and materials, floor, walls and ceiling
- Layers of construction with thickness and material
- Material data: conductivity, specific heat, density, (thermal, solar, visible) absorption

Site plan including:

- Orientation of the building
- Neighbour constructions (position and height)
- Prominent trees or similar vegetation
- Possible horizontal shading from elevation of ground level; photographs of the plot and surroundings. The shading situation must be comprehensible.

Openings: windows dimensions, shading, control plans for the opening of doors and windows.

- Window height, spacing
- Sill height
- Frames and dividers
- Shading (window, local)

Design plans (floor plans, sections, elevations) as pre-construction plans 1:100, or implementation plans 1:50 with comprehensible dimensioning for all area calculations (room dimensions, envelope areas, unfinished window opening sizes).

Location plan of envelope areas, windows, and thermal bridges: complemented by thermal images to allocate the areas or thermal bridges.

Detail drawings of all building envelope connections, e.g. the external and internal walls at the basement ceiling or floor slab, external wall at the roof and ceiling, roof ridge, verge, installation situations of windows at sides, above and below, anchorage of balconies etc.. The details should be given with dimensions and information about materials and conductivities. The airtight level should be indicated and its connection points for the implementation should be described.

Building services plans – ventilation: representation and designing of ventilation units, volumetric flows (Specification Sheet Planning, see PHPP CD), sound protection, filters, supply and extract air valves, openings for transferred air, external air suction and exhaust air outlet, dimensioning and insulation of ducts, sub-soil heat exchanger (if present), regulation, etc..

Building services plans – heating/plumbing: representation and designing of heat generators, heat storage, heat distribution (pipes, heat coils, heating surfaces, pumps, regulation), hot water distribution (circulation, single pipes, pumps, regulation), cold water pipes, drainage with aeration including their dimensioning and insulating standards.

Building services plans – electrical: illustration and designing of lighting (if necessary, also concepts or simulations for utilisation of daylight), elevator, kitchen equipment, data processing applications, telephone systems, other use-specific electrical applications (e.g. furnace).

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Building services plans – air conditioning (if used): representation and designing of cooling and dehumidification systems.

Proofs, technical information, with product information sheets if applicable:

a) For the existing building:

- Proof of product-specific conditions
- Itemisation of a comprehensible calculation of the treated floor area.
- Type and technical information of all existing materials,
- Information about the existing window and door frames (as exact as it is possible for historic buildings): manufacturer, type, U-value  $U_f$ , glass edge thermal bridge  $\Psi_g$ , installation thermal bridge  $\Psi_{Installation}$ .
- Information about the existing glazing: manufacturer, type, build-up,  $U_g$
- Short description of the existing-technical supply systems, with schematic drawings if applicable. (Services: like Heating system, Ventilation Sanitary installations, Electric installations, Low current electric systems)

HVAC characteristics of the HVAC system:

- auxiliary energy
  - heating/cooling system CoP (efficiency)
  - supply air temperature
  - operation schedules
  - domestic hot water CoP
  - energy sources for heating/cooling and DHW
  - delivery temperature for water
  - transfer losses
- 
- Manufacturer, type, technical data sheets of all building-technical components existing: ventilation system, heat generator for heating and hot water, heat storage, insulation of ductwork and pipes, heater coils, frost protection, pumps, elevator, lighting etc..
  - Information about the length, dimensioning and insulation level of the supply pipelines (hot water and heating) as well as the ventilation ducts between the heat exchanger and thermal building envelope. electricity utilisation

b) For the refurbishment:

- Proof of product-specific conditions
- Itemisation of a comprehensible calculation of the treated floor area.
- Type and technical information of all materials to be installed ( $\lambda$ )
- $\lambda$  (Insulation) for the PHPP of the refurbishment
- Information about the windows and doors to be installed (manufacturer, type,  $U_w$  value, Install, Glazing Edge), graphical representation of all planned installation situations in the external wall
- Information about the glazing to be fitted: manufacturer, type, build-up,  $U_g$  value according to DIN EN 673 (to two decimal places) g-value according to DIN EN 410, type of edge spacer.

For products which have been certified by the Passive House Institute, these verifications are available.

- U-values of windows and doors: PHPP procedure on the basis of EN 10077 with mathematically computed rated values for the frame U-value  $U_f$ , glass edge thermal bridge  $\Psi_g$ , installation thermal bridge  $\Psi_{\text{Installation}}$ .
- Glazing: mathematically computed U-value  $U_g$  according to EN 673 (to two decimal places) and g-value according to EN 410.
- Short description of the planned building-technical supply systems, with schematic drawings if applicable.
- Manufacturer, type, technical data sheets of all building-technical components: ventilation system, heat generator for heating and hot water, heat storage, insulation of ductwork and pipes, heater coils, frost protection, pumps, elevator, lighting etc..
- Verification of the heat recovery efficiency and electricity demand for the ventilation system in accordance with the Passive House Institute procedure. Extraction systems without heat recovery (e.g. chemistry cabinets, fume hoods etc.) should be included. Different levels of operation and different operation times should be taken into account.
- Heat recovery efficiency: Testing method according to the PHI (see [www.passiv.de](http://www.passiv.de)), alternatively, testing according to the DIBt method (or equal) with a deduction of 12 %.
- Information about the length, dimensioning and insulation level of the supply pipelines (hot water and heating) as well as the ventilation ducts between the heat exchanger and thermal building envelope.
- Concept for efficient electricity utilisation (e.g. specified devices, explanation and incentives for the house or apartment owner). If efficient electricity utilisation is not verified, average values of devices available on the market will be set (standard values of PHPP).

### 3.4.2 Adjustment protocol of the ventilation unit

The protocol must at least include the following: description of the property, location address, name and address of the tester, time of adjustment, manufacturer and model of ventilation unit, adjusted volumetric flows per valve for normal operation, mass flow/volumetric flow comparison for outdoor air and exhaust air (maximum disbalance of 10%). Recommendation: Use PHPP Ventilation specification sheet, source PHPP CD or [www.passiv.de](http://www.passiv.de). This is needed for the refurbishment required documents to create the energy balance with the PHPP 3/3.

Activity:

- density and metabolic rate
- set point temp. for heating / cooling / mech. and natural ventilation
- minimum fresh air per person and per area
- consumption rate of domestic hot water (DHW)
- internal gains of equipment
- target illuminance
- lighting energy
- schedules for the points above



### 3.4.3 Verification of the airtight building envelope according to DIN EN 13829

In variation from DIN EN 13829, a series of measurements each for overpressure and underpressure is necessary. The pressure test is to be carried out only for the heated building envelope (basement, porches, conservatories etc., which are not integrated into the thermal building envelope, should not be included in the test). It is recommended that the test be carried out when the airtight level is still accessible and eventual improvements can be carried out. The calculation of the indoor air volume should also be documented in the pressure test report.

⚡ ***This test is necessary both for the existing building and after the refurbishment***

It might be difficult to arrange the blower door test in historic buildings. In DIN EN 13829 are given advices how to measure older buildings. Basically, an institution or person independent of the contractor or building owner should carry out the pressure test. A pressure test which is carried out by the contractor will only be accepted if a person signs the test report for the accuracy of the information on his own responsibility.

## 3.5 Input data

The input data can be listed according to norm, divided in: data related to typological, thermal and construction characteristics of the building, climate data and data concerning the use of the building.

*Data related to the typological characteristics of the building*

- gross volume of the air-conditioned room
- internal volume (or net) of the air-conditioned room
- floor area of the air-conditioned room
- surfaces of the components of the building envelope and structure
- types and sizes of thermal bridges
- orientation of the building envelope components
- geometrical characteristics of all external elements shading (e.g. other buildings, overhangs, etc) the transparent components of the building.

*Data related to the thermal and construction characteristics of the building*

- Thermal transmittance (U-values) of the building envelope components;
- Heat capacities per unit area of the structural components of the building
- Total solar energy transmittance of the transparent part of the building
- Solar absorption factors of the outer sides of the matt components of the building
- Emissivity of the outer sides of the building components ( $\epsilon$ )
- Reduction factors of the total solar energy transmittance of the glazing building components in presence of mobile shielding
- Reduction factors due to the glazing frames of the building
- Linear transmission coefficient of thermal bridges ( $\psi$ ); it can be dropped when a forfeit evaluation of the losses through thermal bridges is allowed.

*Climate data*

- average monthly temperatures
- average monthly total solar irradiance on the horizontal plane
- average monthly total solar irradiance for each orientation

*Data related to the building use*

- temperature control for heating

- temperature control for cooling
- number of air exchanges
- type of ventilation (natural, artificial, etc.)
- control type of flow ventilation (constant, variable)
- duration of the heating period
- duration of the cooling period
- air-conditioning system
- shutters management arrangements
- management arrangements of the movable shielding
- internal heat contributions

### 3.5.1 Heat balance

Italian norm allows calculating the heat balance on a monthly basis, although, there are both more detailed method to calculate it, based on a large amount of data collected hourly and less detailed method developed on annual basis.

With regard to the heat balance in heating and cooling seasons, the norm express the heat demand according to the following formulas:

*Heating season*

$$Q_{H,nd} = Q_{H,ht} - \eta_{H,gn} \cdot Q_{gn} = (Q_{h,tr} + Q_{H,ve}) - \eta_{H,gn} \cdot (Q_{int} + Q_{sol}) \quad [MJ]$$

*Cooling season*

$$Q_{C,nd} = Q_{gn} - \eta_{c,ls} \cdot Q_{C,ht} = (Q_{int} + Q_{sol}) - \eta_{c,ls} \cdot (Q_{C,tr} + Q_{C,ve}) \quad [MJ]$$

where:

- $Q_{H,nd}$  is the heating ideal requirement
- $Q_{C,nd}$  is the cooling ideal requirement
- $Q_{H,ht}$  is the total heat transfer between confined environment and outdoor during heating
- $Q_{C,ht}$  is the total heat transfer between confined environment and outdoor during cooling
- $Q_{h,tr}$  is the heat transmission during the heating period
- $Q_{C,tr}$  is the heat transmission during the cooling period
- $Q_{H,ve}$  is the heat transfer by ventilation during the heating period
- $Q_{C,ve}$  is the heat transfer by ventilation during the cooling period
- $Q_{gn}$  are the total heat gains
- $Q_{int}$  are the internal heat gains
- $Q_{sol}$  are the solar heat gains
- $\eta_{H,gn}$  is the utilization factor of the heat input
- $\eta_{c,ls}$  is the utilization factor of the heat losses

The results of the energy balance are heating values; the second and third part of norm 11300 give indications on the performance of heating and cooling systems and hot-water plants (performance, consumption, energy intake, etc.). These information are necessary to obtain the *primary energy* values to be included into the computation of the energy performances indexes required for the certification, as state at point 1.3.

### 3.6 Exclusion of the Historical buildings

The European Directive, both in its initial draft of 2002 and the version of 2010, allows the Member States to exclude from the requirements of energy performance the historical buildings. These are both Cultural Heritage buildings and buildings of religious interest. In detail, the Article 4 of EPBD 31/2010/CE states:

*[...] Member States may decide not to set or apply the requirements referred to in paragraph 1 to the following categories of buildings:*

*(a) buildings officially protected as part of a designated environment or because of their special architectural or historical merit, in so far as compliance with certain minimum energy performance requirements would unacceptably alter their character or appearance;*

*(b) buildings used as places of worship and for religious activities [...]*

In Italy, through the legislative decree 192 of 2005, all Cultural Heritage buildings are excluded from energy certification. Article 3 states:

*[...] The following categories of buildings are excluded from this decree:*

- a) buildings under regulation of part II and article 136, paragraph 1, letter b) and c) of D.Lgs. 22/01/2004 n.42 on the code of Cultural Heritage and landscape. [...]*

These exclusions are made in order to ensure the conservation and preservation of European Cultural Heritage, which besides being unique and that cannot be reconstructed once affected, is an important economic resource for EU. Europe, indeed, is one of the main destinations of the so-called cultural tourism which in economic terms represent 5,5% of the gross domestic product and gives an employments to the 6% of the workforce.

Currently, there aren't intervention techniques for the improvement of energy efficiency that are recognized, established and able to guarantee the conservation of historical buildings. However, there are numerous studies and examples of interventions that have improved the energy efficiency and preserved the conservation of the Cultural Heritage. Therefore, EU decided to finance projects SUIT and 3ENCULT due to the improvements of technologies and in order to give an overview of the possible interventions on historical buildings.

#### 3.6.1 Sustainable construction and energy protocols

Guarantees a high energy efficiency for buildings is only one aspect of what is known as sustainable architecture or green building. The characteristic of the sustainable architecture are:

- give priority to human lives and their protection now and in time
- use eco-friendly materials in the manufactures, implementation and disposal phases
- preferably use local materials in order to limit transports
- research the maximum energy efficiency and the maximum use of renewable resources
- improving the life quality of its inhabitants or users trying to satisfy both physical and psycho-physical needs. This leads to an increased focus on the internal environments both from the thermo-hygrometric and lighting point of view
- rational use of water resources.

Based on these assumptions, in Europe and around the world, energy protocols were developed. They provide guidelines for the design in the field of sustainable energy and the energy certification for buildings. Among the major, in Italy, it can be referred to the protocol ITHACA (Institute for Innovation and transparency of contracts and environmental), while at the international level, it can be referred to

the protocol LEED (Leadership in Energy and Environmental Design) established by U.S.Green Building Council and recently revised by the national Green Building Council Italia.

### 3.6.2 ITACA

The ITACA protocol is based on the SBMethod, born in 1996 by the *Green Building Challenge*. Aim of this method is to give a common standard for the building evaluation at international level and, in the meanwhile that is able to take into account the local characteristics of the building area.

The evaluations conducting following this protocol take care of different aspects related to environment (site quality, resources consumption, etc.), the indoor quality (IEQ), economical, social, cultural and perceptual aspects. Each of them is made of a series of benchmarks on which evaluations according to ITHACA were carried out. The evaluation consists in a score ranging from 1 to 5, where 0 is the local standard performance for this parameter and 3 is the best local practice.

This allows to reward innovations by assigning scores 4 and 5 and, at the same time, penalizes those who does not meet the local quality standards, with a score of -1. The main aim of SBMethod is to apply at a local level an international standard by made comparison between the structure and examination and the local context. The result according to ITHACA is an average of the rating assigned to each parameter.

### 3.6.3 LEED

LEED can be adapted to many different areas while maintaining a common conceptual framework; this allows the existence of numerous protocols LEED able to provide similar quality assessment in different areas.

As for the LEED evaluation of buildings, it is divided in 5 main areas: energy and environment, indoor quality environment, innovation, water treatment and sustainability of the site, materials and used resources. For each area, the protocol identifies fundamental characteristics for the certification, defined as pre-requisites. For each project, the protocol allows to obtain a series of credits related to the achievements of voluntary targets, which are chosen by the commitment and the design and construction team.

LEED certification is the sum of the rating of all obtained credits, divided into 4 levels:

- Certificate, reached 40 points (minimum)
- Silver, reached 50 points,
- Gold, reached 60 points,
- Platinum, reached at least 80 points

The merit or lack of this type of certification is to let the commitment to chose the priority objectives to maximize the environmental sustainability, and this means that two substantially different buildings can reach the same level of LEED certification.

## 3.7 Diagnostic approach for structural investigation

### 3.7.1 Legislation

In Italy, listed historical buildings fall under control of the Ministry of Cultural Heritage and should be treated with respect to the Cultural Heritage Code (Codice dei Beni Culturali, D. Lgs. N° 42 of 22 January 2004). This Code imposes considerable limitations to the building interventions and refurbishments of this class of buildings. Each intervention requires the approval of the government department responsible for monuments and artistic treasures (Soprintendenza per i Beni Architettonici).

Also the structural diagnostic is affected by these limitations laid down by the Code. It requires reducing to a minimum the number of destructive investigations to be used and carrying them out in limited portions of the building. This makes it much more difficult to obtain a reliable estimation of the building performance if a holistic approach combining more investigation methods is not applied. The Guidelines for the application to Cultural Heritage of the technical legislation (degree 3274/2003, ordinanza P.C.M. 3274/2003) published in 2005, specify the modes, instruments and thematic areas to be taken into consideration in order to arrive at the building structural diagnose. The guidelines have been published with the aim of providing an assessment related to the seismic risk for historic buildings, mainly masonry structures, so to make an appropriate intervention (possibly minimal and reversible, adopting materials compatible with the original ones) and guarantee the safety of the structure.

For the regulation of Non-Destructive Testing (NDT) techniques<sup>1</sup> that could be applied, where possible, it is referred to the UNI norms, produced by the UNI Cultural Heritage-NorMal committee born by agreement signed in 1996 between Ministry of Cultural Heritage and UNI. These norms are valid at national level and suitable for proposal at European level for the creation of harmonic recommendations in the field of rehabilitation and restoration.

### 3.7.2 Investigation path and knowledge levels

In the Guidelines for the application to Cultural Heritage of the degree 3274 an interdisciplinary and multi-step approach made of a number of fundamental modules is set for the analyses leading to the structural assessment. These main sessions are each cross-integrated and completed by the others, and updated constantly with the progress of investigations and work. Thus they can be listed, in non-sequential order, as (Tab. 2):

- construction identification,
- survey of construction geometry and crack pattern,
- historic evolution of the building,
- identification of structural resistant elements,
- physical and mechanical properties of elements,
- soil and foundations analysis.

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<sup>1</sup> Definition of NDT: are included among the Non destructive Testing (NDT) techniques all those investigations which do not alter the material or object of analysis. With regards to buildings, for the aims of structural diagnostic, such tests allow obtaining information about the structure under examination without necessity of taking samples or damaging the architectonic good. The data that these different technique may provide are numerous and may include the geometry and geometric variations of structural elements, the constituent materials and their state, the stratigraphy of walls, the presence of defects and inhomogeneities and their extension, interventions and modifications, construction details.

### 3.7.2 Construction identification

The building has to be studied in relation to its location and to the relationship with adjacent buildings. It is important to identify the architectonic complex and, inside it, the various buildings, defined as construction complex. The architectonic complex identifies an ensemble of adjacent buildings enclosed in a block and with functional relations. To define this scheme, it is referred to their visible façades and to their articulation in plan and volume; the separation surfaces of the various buildings have to be defined, as well as the arrangement of spaces and the various functional relations.

In addition, it is important to locate both the building under study and the whole architectonic complex in the territory and on the cadastral maps.

Dealing with architectonic goods, it is useful to locate the position of valuable elements with the aim of both protecting the cultural heritage and to be later able to decide where to carry out possible destructive or semi-destructive tests without damaging the cultural value.

### 3.7.3 Survey of construction geometry and crack pattern

The aim of this phase is to obtain a stereometric description of the building, that is a geometric representation of both the free spaces and the volumes occupied from partition elements, closing elements, connection elements, and also all those spaces not directly accessible such as those hidden by false ceilings. Results of surveys are to be presented in plan views, elevations, sections and drawings of construction details.

It is required to measure dimensions of the various construction elements, both visible (beams, piers, wall thickness) and hidden (elements of ceilings, thickness of layers, stratigraphy of walls and empty spaces). The connections between structural elements as well as the type of foundation structure have to be highlighted because from these the structural scheme will be evaluated, as well as the constraints for numerical assessment of the building for the aims of safety, stability and deformation of the whole or its parts.

In order to obtain all the necessary information for a complete representation of the building it is turned to different investigation techniques according to the type and volume of the object under study. To evaluate the geometry of the free spaces the laser 3D technology can be used and allows for reconstructing extremely precise 3D models of the volume. For not accessible spaces, if permission is granted, semi-destructive techniques can be put in place such as endoscopy which, thanks to minimal drilling or boring allows collecting valuable images, or, otherwise, completely non destructive techniques can be applied such as IR thermography, GPR radar, sonic and ultrasonic tests, sonic or GPR tomography.

The legislation foresees also the survey and reconstruction of the crack pattern present on the building (with inclination and depth of cracks) through visual inspection and NDT techniques such as penetrant liquids. In addition to geometry of the cracks distribution, hypotheses on the mechanisms which have reasonably led to the present situation and on future evolutions have to be formulated. The possible collapse mechanisms have to be identified.

### 3.7.4 Historic evolution of the building

Very often, a historic structure has not been initially “designed” and built with all the parts and shapes and materials visible in its present state. It is more recurrent to run into buildings which have undergone expansions, reconstructions and modifications in time. It is important to find the temporal sequence of these interventions, to determine their size, the type of materials used and, moreover, in which way the modified building parts are related and are connected with the already existent part of building. This, in order to understand if inhomogeneities or discontinuities in the structure exist, such to constitute weakness points for the building or to create new ratios between the stiffness of the constituent elements and thus a new and not foreseen load distribution on the structure.

Information about extraordinary/dramatic events undergone by the building have also to be collected such as soil settlement, earthquakes, fire, as well as ordinary loads applied in the past in relation to the chronology of the building destination. The effects of these actions have to be searched through visual inspections or historic proof if in the past restoration interventions have been carried out. This historic analysis of cause-evidence about stresses endured by the building provides qualitative indications about the building response to determined stress classes. It is important to state that these are qualitative estimates as the present structure has been modified, and probably weakened by the events it has suffered, and thus it could no longer be in the state to withstand a new event of similar

intensity as the past ones. If, following a weakening, the structure has been undergone to strengthening, these have to be identified according to the type, position, execution time and if their effectiveness over the time has been verified.

### 3.7.5 Identification of structurally resistant elements

The survey of materials and construction details is a detailed analysis of the construction elements which make up the building. The materials used, their quality and conservation need to be defined.

The available tools are non destructive, semi-destructive and destructive tests. For architectonic goods it is required to reduce to a minimum the number of destructive tests such as excavation tests, plaster stripping, which anyhow have to take place in marginal positions, away from worthy elements. Instead, a large use may be done of NDT tests, such as sonics, ultrasonics, infrared, GPR and tomography to verify the integrity and structural homogeneity of the entire building.

In any case, in the analysis of the historic building it is important to take into account the *regola dell'arte*, the historic custom to build, and to locate geographically the object, so to extract – by analogy and comparison – information about materials, workmanship and construction technical details.

Historical buildings have been built before the coming of the piers-and-beams technique, typical of reinforced concrete structures, in a situation where the main construction technique used load-bearing walls and aimed at obtaining box behaviour. Fundamental parameters for the evaluation of quality and safety of a masonry construction are: quality and conservation state of the materials, masonry layout, thickness of walls, quality and type of connections between the walls and walls with other structural elements.

### 3.7.6 Physical and mechanical properties of elements

The objective of this analysis is to gain, in numerical and quantitative terms, the physical and mechanical parameters characterizing the various construction elements. These parameters are necessary for carrying out the assessment. It is about parameters obtainable only or mostly directly, that is undergoing directly the element or a sample to mechanical tests and analyses, and measuring its response. This often imposed the use of destructive or semi-destructive tests instead of the non destructive ones, but with the usual shrewdness to limit them in number and areas.

The constituents of the masonry walls to undergo tests are mainly the mortars and units (bricks or stones) in order to extract shear and longitudinal moduli of elasticity, shear, compression and traction strengths. The parameters measured on the single constituents may lead to the calculus of the wall parameters if in the presence of masonry with regular units layout and good workmanship. In the remaining cases, it is opportune to extract masonry walls mechanical parameters by direct tests carried out on site or recurring to data banks with information of masonries similar by age, quality and type, to the one under study.

### 3.7.7 Soil and foundation analysis

This analysis is made of two sections: one is related to the geotechnical analysis of the soil, the other to the analysis of geometry and characteristics of the foundation structure.

The aim of the first is to provide a stratigraphy of the soil, identify the possible presence of water and water table, and supply mechanical information related to the materials present in the various layers. In order to obtain a detailed stratigraphy, the survey is carried out along a number of vertical borings, later allowing the analysis of the materials crossed by the probe. Instead, to verify the level of underground water, it is possible to install a series of piezometric wells. To obtain the mechanical characteristics of the materials, tests are carried out in the laboratory on the samples.

With respect to the foundations, after the analysis of possible drawings or documents, which may provide hints or information, it follows a series of direct investigations. Wells or trenches are excavated starting from the basement level of the building or from outside it until the base of foundations is reached; continuous borings are drilled across foundation walls, limiting as much as possible the number of destructive sampling; non destructive techniques, such as sonic reflection methods, are employed for obtaining information related to the layout and integrity of foundation structures.

Both analyses imply in addition to a reference to the present situation, also a chronological description of modifications occurred in the soil (variation of water table level, constipations) or in the foundations (strengthening, widening,).

**Tab. 2 Investigation path of diagnostic approach for structural investigation**

<b>Phase</b>	<b>Objectives</b>	<b>Tools</b>
<b>Building identification</b>	Locate and define the architectural complex and buildings that make it.	Land register planimetry, visual survey, building designs.
<b>Geometric survey and cracks representation</b>	3D geometrical survey: plans, raised, section, prospectuses, design of construction details, crack representation (causes and possible evolutions)	Laser scanner, visual survey, GPR, IR thermograph, endoscopy.
<b>Building history</b>	Retrace construction history of the building, traumatic events happened and effect caused, strengthening interventions.	Written and iconographic historical evidences, analysis of cracks.
<b>Building material survey</b>	Find resistant structure, quality and state of decay of material used.	NDT, endoscopy, limited destructive test, refer to the history of the building technology.
<b>Mechanical parameters and physical properties</b>	Define strength parameters (compression, traction, shear) and physical properties (Young's modulus E, shear modulus G) of the masonry elements, detect wall texture.	Destructive in-situ tests on taken proofs, parameters of similar structures (analogy), refer to the history of the building technology.
<b>Foundations and geotechnical survey</b>	Soil stratigraphy, detect groundwaters, estimate mechanical parameters of soil layers, represent and estimate mechanical parameters of foundations.	Continuous penetration tests, bore holes, destructive in-situ tests on taken proofs, historical references, foundation designs, bore, test trenches, perforations, GPR, sonic tomography.

### 3.7.8 Knowledge levels

Once the various phases of analysis are completed, in function of quality and quantity of information gathered, a judgement can be expressed on the level of knowledge achieved. The guidelines for the application to Cultural Heritage of the degree 3274, distinguish in 3 knowledge levels (Tab. 3):

- LC1, limited knowledge, when the geometrical survey is completed, the material survey and of construction elements is limited, the mechanical parameters are deduced from already available data banks, the geological data and historical information on the foundations are absent, investigations on the soil and foundations are limited.
- LC2, adequate knowledge, when the geometrical survey is completed of all graphical representations including crack pattern and deformation survey, the material survey and of construction elements is extended, the investigations of mechanical parameters are limited, the investigations on the soil and foundations are limited.
- LC3, accurate knowledge, when the geometrical survey is completed of all graphical representations including crack pattern and deformation survey, the material survey and of construction elements is extended, the investigations of mechanical parameters are extended, the investigations on the soil and foundations are extended or exhaustive.



**Tab. 3 Levels of knowledge in function of information gathered**

Level of knowledge	Geometric survey	Building material survey	Mechanical parameters and physical properties	Foundations and geotechnical survey
<b>LC1</b>	Complete	Limited	Calculated, no survey	Limited investigations
<b>LC2</b>	Complete + cracks and deformation survey	Extensive	Extensive investigations	Limited investigations
<b>LC3</b>		Extensive	Extensive investigations	Extensive or complete investigations

### 3.7.9 Dossier of the building

In Italy, since decades it is present the idea of instituting the so-called dossier of the building (*fascicolo del fabbricato*). It is about a sort of identity card of the building in which to keep trace of both of its physical characteristics and its history. At national level, in the year 2000, the bill 4339 has been approved with the aim of defining and instituting the obligation of the dossier of the building so to facilitate the safety evaluation of the buildings.

From the Art. 1: "... It is established, for each building, the dossier of the building... to be updated with cadence not greater than 10 years, and to be in the care of the owner or of the administrator, in case of jointly-owned building. On the dossier is taken note of the building identification, design, structure, plants, with the aim to arrive at a suitable knowledge outline, starting, if possible, from the construction phases and with record of modifications to the original configuration, with particular reference to static, functional and plant components. ..." Nonetheless, the bill has never become law.

In the mean time, regional and local administrations have put forward – without lasting success - proposals for establishing the dossier of the building with the aim of facing decay and danger situations of buildings in their own territory.

The content of this document, addressed not only to historical buildings but to each existing building, could be useful both for diagnose of structural problematics and for issues related to efficient energy use in the building. In fact, as it can be read in the decision act of the municipality of Rome from February 2004, article 2, the dossier must contain information, between others, about geometry, interventions carried out, description of the present state and state of conservation of the structure, presence of systems their nature and conservation. The art. 3 foresees the possibility for the professional in charge of drawing up the dossier to suggest additional investigations for evaluating the situation of the building and the safety interventions carried out. Between the functions of the professional the possibility of proposing a plan of correct management of the building for improving the qualitative level.

### 3.8 Climate measurements

Outdoor climate data - a real measured year (otherwise: Test Reference Years (TRY))

- temperature (outside dry-bulb)
- temperature (outside dew-point temperature)
- wind speed and direction
- atmospheric pressure
- direct normal solar radiation
- diffuse horizontal solar radiation

Indoor climate

- Light – Daylight – Artificial light – fixture
- Heat
- Humidity – ambient and in materials
- Ventilation
- Acoustics – reverberation – reduction

## 4 Diagnostic for the evaluation of energy efficiency in the historic building

### 4.1.1 Non destructive tools in heritage investigation and for diagnose of energy efficiency

As a matter of course working on valuable heritage objects does engage to imply for measurements as much non-destructive testing methods (NDT) as possible. With regards to buildings, for the aims of evaluating the energy efficiency, a number of methods and NDT techniques are presently available. It is possible to detect thermal bridges in the structure, particularly between inside and outside and viceversa, U-value of walls, U-value of windows and doors, level of air tightness, indications of air quality inside the building (IEQ), data related to the efficacy of illumination systems both natural and artificial. Moreover, as the total heritage building has to be taken into account, is to be investigated and documented prior to any building works from the total bunch of NDT methods always the most effective are to be used. Procedure and methods has to be chosen and proceeded by heritage experienced experts and are summarized in Tab. 4.

Tab. 4 NDT-methods and their application levels

Deterioration mode	Modifications of joints	Alveolation	Microcracks	Block crust	Deformation	Coloration of elements caused by the atmosphere	Differential deterioration	Disgregation	Plaster detachments	Efflorescence	Mortar joint erosion	Stitchstone erosion	Wash out erosion	Exfoliation	Cracking	Deep patches	Missing part	Biological patina	Presence of vegetation	Fading	Humidity content
Measurable associated parameters	Depth from the surface or horizontal	Diameter and extension of pits	Depth and width of microcracks	Distribution and thickness	Shape variation and maximum deflection		Distribution area and thickness	Distribution area and delimitation perimeter	Distribution area	Distribution area	Thickness/Depth	Thickness/Depth	Thickness/Depth	Thickness of strata	Distribution area, depth and width of cracks	Contribution area, local pigmentation		Color and distribution area		Falter thickness (0-2 mm)	
3D laser scanning	●	●			●																
Average value value method																					
Chlorides test				●																	
Colometric Test				●						●											
Electrical capacitance probe																					
Electrical resistance probe																					
Electronic Crack Width Gauge															●						●
Esthesiometry						●															
Gas leak spectrometry	●						●								●						
Ground Penetrating Radar															●						
Humidity test									●						●						
Imaging															●						
Impact echo															●						
Inclinometer	●																				
Interferometric holography																					
R Thermography							●	●						●	●	●				●	●
IR Thermography							●	●		●				●	●	●				●	●
Moisture photography							●	●							●						
Laser Doppler Velocimetry															●						
Liquid penetrant inspection			●												●						
Micrometers																●					
Optical magnifier			●												●						
Optical fiber sensors					●										●						
Pycnometer																					
Photogrammetry	●				●																
Pycnometer																					
Refractometer																					
Radiography																					
Static test								●							●						
Topography and GPS systems	●				●																
Ultrasonic Testing			●												●						
Visual inspection and photos		●	●	●	●	●		●	●	●	●	●	●	●	●	●	●	●	●	●	●
Ray Fluorescence																					

Four of those non destructive investigations in constructions measure of heat transfer, thermography, blower door test and GPR radar are discussed in more detail as three of them have major use for energy efficiency evaluation in buildings.

In addition to the listed methods, it is necessary to measure the parameters of glazed surfaces in the building in order to consider the contribution in terms of thermal energy brought inside the building by sun exposure. Other fundamental parameters to be measured are those defining the IEQ (Indoor Environmental Quality).

### 4.1.2 Determination of Heat transfer

The heat transfer measure allows the evaluation of the thermal transmittance of building elements, the so-called U-value which represents the heat flow per time unit that goes through an area of 1 m<sup>2</sup> when there is a temperature difference of 1 degree between inside and outside [W/m<sup>2</sup>K]<sup>2</sup>. For the purposes of energy balance, the objects of these investigations are the elements of the outer envelope of the building, mainly walls and shutters; in fact, when they present high transmittance values (U-Value), this significant heat losses these have to be compensated by an appropriate heating/cooling system and consequent reduction of the building energy efficiency.

<sup>2</sup> UNI EN ISO 6949:2008 – Component ed elementi per edilizia – Resistenza termica e trasmittanza termica – Metodo di calcolo

Historical buildings are often characterized by very thick masonry walls (50 to 100 cm, 4 heads or more) which offer a good thermal insulation and a high thermal inertia; both features, if properly exploited, bring to significant benefits to the energy balance of the building.

The weak point of the envelope are the windows, that are made in most cases of single and very thin glazing. In winter time these glazing are characterized by almost identical surface temperature inside and outside the building due to the large amount of heat that goes through them, even causing unpleasant condensation phenomena on the inner face.

**Tab. 5 Heat Transfer**

Test	Heat Transfer
<b>Objectives</b>	Estimate <i>U-Value</i>
<b>Equipment costs</b>	<i>High</i> , if many instruments working simultaneously are needed
<b>Duration</b>	<i>From 72 hours to 7 days</i>
<b>Certification of personnel</b>	<i>First level (operator)</i>
<b>Expected error</b>	<i>8% average</i>
<b>Basic principles</b>	Conduction, convection, radiation, <i>U-value</i> , thermal conductivity ( $\lambda$ ), Fourier's law, pressure and temperature measurements
<b>International standards</b>	<i>UNI EN 1934</i>

### 4.1.3 Infrared thermography

Infrared thermography represents a non-destructive diagnostic method that provide a representation of the temperature distribution on the surface of the element under examination.

For the purposes of the energy efficiency diagnosis of a building knowing this temperature distribution is useful because it provides indirect indications about the presence of:

- heat loss sources, such as thermal bridges and air infiltration;
- the presence of moisture that represents a problem both for the air quality by encouraging the mold formation and because it causes the deterioration of the materials of the external envelope requiring maintenance interventions;
- areas where the heat flux is particularly high due to *U-values* too high, index of a poor thermal insulation;
- detachment of plaster and frescoes from the walls of the building, that represent a problem for the cultural heritage.

**Tab. 6 IR Thermography**

Test	IR Thermography
<b>Objectives</b>	Find heat loss, poor insulation in building envelope, moisture content in walls and floors, detachments of plaster and frescos
<b>Equipment costs</b>	<i>Medium</i>
<b>Duration</b>	<i>Minimum 72h</i>
<b>Certification of personnel</b>	Second level for thermogram analyses, first level for test execution
<b>Expected error</b>	<i>Qualitative test</i>
<b>Basic principles</b>	Electromagnetic waves, conduction, convection, radiation,

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Plank's law, Stefan Boltzman law.

**International  
Standards**

UNI 10824 – UNI EN 13187

#### 4.1.4 Blower door test

Among the controls to be carried out on the outer envelope of historical buildings, the blower door test plays a key role. This is a test recently introduced but already widely used in Europe on the applications of energy protocols related to buildings. In Italy its implementation is not required by the national legislation for the energy certification of buildings (ACE) except local authorities of some provinces and regions including the Autonomous Province of Trento where it is necessary for issuing of certificate A + of the building and for various energetic protocols such as Protocol Casaclima.

Aim of the test is to investigate the level of air tightness of the external envelope of the building, that means how much a building is permeable to the air infiltrations. To perform this evaluation the building is put in condition of controlled differences of pressure and temperature. Therefore the test result cannot be identified as a measure of the actual infiltration flow which has to be carried out with tracing gas.

Again, the weakness of the historical buildings are the doors and windows, which do not offer a tight closure to the infiltrations; other critical points are the connections between two elements of the envelope, cracks, electrical and thermal systems within boundary walls.

If this test is done in conjunction with a IR thermographic test it can provide accurate information on the presence and location of air infiltrations and thermal bridges. This is because the difference of pressure increases the air volume passing through the infiltration points and makes them more visible to a thermal sensor and in some cases also to tactile feeling.

**Tab. 7 Blower door test**

<b>Test</b>	<i>Blower door test</i>
<b>Objectives</b>	<i>Estimate n50 and find air infiltrations</i>
<b>Equipment costs</b>	<i>Low</i>
<b>Duration</b>	<i>Some hours, every data acquisition lasts 30s</i>
<b>Certification of personnel</b>	<i>First level</i>
<b>Expected error</b>	<i>Less than 15% without wind</i>
<b>Basic principles</b>	Flow and pressure measurement, equation of state of gasses, pressure gradient force, permeability, law of conservation of mass
<b>International standards</b>	<i>UNI EN 13829</i>

#### 4.1.5 GPR radar

The aim of the GPR (Ground Penetrating Radar) radar technology is to investigate in depth, by electromagnetic waves, walls or structural elements. This technique has been defined in the 50's in the geophysical field with specific tasks of soil investigation.

In the construction industry, GPR is particularly suitable for the structural diagnosis of existing historical buildings on which it is required to not perform interventions with invasive inspection techniques or coring. Often, for these buildings technical drawings or detailed information on structural scheme and materials. By GPR it's possible to investigate ceiling structures, the arrangement of beams, piers, the presence of metal reinforcement within the walls and to evaluate the thickness of the construction elements and layers as well as the presence of cavities and defects or inhomogeneities.

For the purposes of energy efficiency radar allows to obtain information on thickness and layering of walls and ceilings and thus to determine the theoretical values of air tightness and thermal-acoustic insulation. By this technique it is possible to detect the presence of cracks and voids that are both sources of heat losses and a source of danger for the architectural heritage. Think for example at the detachment of plaster on frescoes.

GPR is a very efficient way to identify moisture in walls and foundation structures providing much more detailed and in depth information than from a purely visual analysis; it highlights not only the saturated areas in the walls but also distinguishes between the visible level of capillary rise and dry areas.

**Tab. 8 GPR**

Test	Ground Penetrating radar
<b>Objectives</b>	<i>Locate cracks and voids, hidden inclusions, defects, object thickness, layers, moist areas</i>
<b>Equipment costs</b>	<i>High</i>
<b>Duration</b>	<i>Depends on surface extension and number of survey lines</i>
<b>Certification of personnel</b>	<i>First level for data acquisition, second level for data processing</i>
<b>Expected error</b>	<i>Qualitative test</i>
<b>Basic principles</b>	Electromagnetic waves, permittivity, permeability, conductivity, wave speed, wave polarization
<b>International standards</b>	<i>ASTM D 6432 – 99: 2005</i>

#### 4.1.6 Identification of energy free contributions

In the computation of the energy balance besides considering the spontaneous consumption of the structure it's advisable to quantify the natural energetic inputs (contributions) in terms of heat. Mainly they are solar radiation inputs (external inputs) and contributions provided by the heat given off spontaneously by the electrical system and the occupiers of the building (internal inputs).

Among the external contributions it is possible to distinguish between the ones transmitted from the opaque elements of the building and those from the glazing surfaces. The first are present in historical buildings but they tend to decline in buildings with a better thermal insulation, while the latter are always present and can only be reduced by blinds or shading systems.

In quantitative terms the solar radiation energy supplied through opaque elements is a function of the solar irradiation<sup>3</sup>, of the element transmittance, of any type of shading and of the extension of the element surface.

As for the glazing surfaces, it is still referred to the values of solar irradiation to which other parameters have to be added such as: the glazing solar factor which is the ratio between the incident energy on the glass and the one transmitted inside, the gross frame area and the presence of any curtains or shading.

As for the internal energy inputs, the factors to be noted refer to the numbers of occupants, the characteristics of systems for the hot water, the lighting and electrical systems.

#### 4.1.7 Evaluation of IEQ

The quality index of the indoor environment affects in an indirect way the energy balance of the building, because if the person who occupies the space does not experience a comfortable situation he will tend to activate local electrical appliances such as fans, dehumidifiers, stoves, air conditioners, etc...

<sup>3</sup> The solar irradiation is defined as the average value of the relative energy of the solar radiation on a given period of time, per square meter of collector surface area, with a given orientation and tilt angle, expressed in  $Wm^{-2}$  (UNI EN ISO 13790)

In order to provide an estimation of the indoor environment quality the following parameters have to be collected: temperature, percentage of air humidity, lighting and ventilation of indoor environments.

The temperature, the air humidity percentage and the ventilation of the indoor environments are quickly determinable and can be monitored continuously by automatic equipments of little dimensions thanks to the advent of wireless technologies. These allow the installation of the data acquisition mode and processor in two different rooms. The needed tools are: digital thermometers for the temperature, electronic hygrometers for moisture and anemometers for air speed of indoor environment.

As for the lighting of the internal environments, from the energy saving viewpoint, it is important to verify if the use of natural sunlight has been maximized. That is the so-called daylight factor, percentage ratio between the illumination<sup>4</sup> of a point on a indoor surface and the lighting recorded at the same time at a point placed on a horizontal external surface able to receive the light of the entire sky. The illumination is determined by a luxometer.

The lighting system must overcome the shortcomings of sunlight during the day but especially at night, it must answer to the illumination levels required by the particular use of the environment, for example to work and read 150 lux are required, while to illuminate a painting or a detail, at least 500 lux<sup>5</sup> are required.

It is essential to avoid the dazzling phenomena both for natural and artificial light; the dazzling occurs in presence of an area with very high average luminance<sup>6</sup> compared to the ones of the environment.

**Tab. 9 Summary table on the techniques described above**

<b>Test/area</b>	<b>Objectives</b>	<b>Equipment cost</b>	<b>Duration</b>	<b>Standards</b>
<b><i>Heat Transfer</i></b>	Estimate U-Value	medium	From 72 hh to 7 dd	UNI EN 1934 – ISO 9869
<b><i>IR Thermography</i></b>	Locate heat loss, moisture, detachments of plaster and frescoes	medium	From 72h	UNI 10824 – UNI EN 13187
<b><i>Blower door Test</i></b>	Estimate n50 value.	Low	Some hours	<i>UNI EN 13829</i>
<b><i>Ground Penetrating Radar</i></b>	Locate cracks, voids, defects and moist areas.	High	Some hours	ASTM D 6432 – 99
<b><i>IEQ</i></b>	Measuring temperature, relative humidity, internal ventilation, lightening	Low	Continuous monitoring of parameters	UNI 15251
<b><i>Natural light</i></b>	Estimate daylight factor (DF)	Low	/	/
<b><i>Free heat input</i></b>	Characterization of envelope and shutters, number of occupants, electrical and hot water	Low	/	UNI EN ISO 13790

<sup>4</sup> Illuminance: the relationship between the luminous flux received by a surface and its area, measured in lux (UNI EN 12665)

<sup>5</sup> <http://www.artemide.com>, december 2010

<sup>6</sup> Luminance: the ratio between the average intensity of a luminous surface in a given direction and the area of the projected surface perpendicular to that direction. It is measured by the luminance meters and it is expressed in candelas per square meters (UNI EN 12665).



## 5 The integrated Raumbuch concept

Through implementation of high quality energy efficiency solutions a remarkable reduction in the energy demand of historic buildings is achievable. Those solutions have to be very specifically targeted and adapted to the particular building case. Important basis for this approach is an experienced multidisciplinary team which guarantees a failure free implementation. In conservation praxis, at least in Germany the well established – “Raumbuch” (room book) can be integrated with energy issues to support the constructive discussion across disciplines. It describes, which specific issues the conservation and energy experts look at in the survey and documentation phase and how the joint an structured documentation, not only on an aggregated level, but down to the single room supports also the development of solutions, comparison of different options and finally selection of the best one for the specific building. The potentiality of the tool does however not end with the support during a single energy retrofit as: Well documented study cases, where the reasons for decision can be reproduced, allow applying solutions in „smaller“ projects where the application of the whole process would not be feasible. And finally the comprehensive documentation of as-it-is-state and all interventions together with supporting justification, given over to future generations – of restorers and users of the specific buildings – are the basis for the sustainable maintenance and long-term preservation of this piece of built heritage.

The concept of a tool for multidisciplinary development of energy efficiency solutions for historic buildings: The Raumbuch concept extended to energy aspects on an energy was also presented on a conference European Workshop on Cultural Heritage Preservation (EWCHP) in 2012. The following text is based in substantial parts on the publication:

Troi, A., Haas, F., Exner, D., Franzen, C. (2012) A tool for multidisciplinary development of energy efficiency solutions for historic buildings: the Raumbuch concept extended to energy aspects. In: Elin Dalin (ed.) European Workshop on Cultural Heritage Preservation (EWCHP), NILU, Kjeller, Norway, pp 65 – 73.

### 5.1 Introduction

A reliable assessment of planned measures on a historic building is only possible if all foreseeable interventions in the building structure itself and the impact on the appearance of and around the cultural object are clearly defined and evaluated beforehand. Beside the changes on the building fabric also the indoor climate, the lighting and ventilation affect the appearance and substance. Only a profound knowledge on the building, its material, its structure and its history but also the significance of its parts allow a planning of energy efficient solution according to the specific claims of the specific building.

The indispensable multidisciplinary approach requires not only a common language, where terms like the original or appearance and image are commonly defined, but also common tools to work with. Ideally such tools enable the dialogue of the different disciplines and support an effective and thereby a cost-saving, planning process. On national and international level recently are discussed different concepts to support the planning process of energetic retrofit of historic buildings (e.g. in EU-project SECHURBA [1]).

With a particular concept for documentation, which is quite common in conservation praxis, the so called “Raumbuch” (roombook) [2] the survey and assessment in preparation of a refurbishment of projects in all sizes is facilitated. For complex projects the concept is realized in databases.

Extending the “Raumbuch” tool to energetic aspects of a building acquisition, it can support the collaboration between the different stakeholders. The aim with this instrument is to have a systematic documentation of the building survey and a comprehensive assessment from different perspectives in a common tool.

Since the term “Raumbuch” comes from the German preservation practice and in its translation as “RoomBook” is hard to understand, in the future an appropriate name for the system should be found. This was also a requirement of the Mid Term Report. Proposals currently exist like “Monument Information System” - EnCult (MIS EnCult) or “EnCult Documentation system”, but the discussion is not yet complete.

## 5.2 How multidisciplinary is the planning process?

### 5.2.1 Common practice

The planning of energy efficiency measures on historic buildings can only base on a precise knowledge of the heritage values. In the past, in some cases the planning processes of renovations have suffered from the clear separation in the work of architect and building engineer. Since there are only few professionals perfectly trained in all areas, the cooperation of the various disciplines working with the cultural heritage has to be improved.

### 5.2.2 Experience at 3ENCULT case study “Fortification Depot” in Copenhagen

In the „Fortification Depot“ of Copenhagen, one of the 3EnCult Case studies, the stakeholders aspired a holistic approach from an early planning stage (see also D2.2, D2.4, D2.5, D6.2 CS4). The final solutions were developed in an iterative process, among a multidisciplinary working group. The methodology to start with a multidisciplinary team from a high number of potential solutions from which in several rounds, with increasingly detailed analysis, suboptimal solutions are deleted and promising brought forward is typically known as the Integrated Design Process “IDP”.

With this approach the working team elaborated an exemplary method to reach an adequate energy efficient retrofit by assuring the conservation demands. During the working process a tool for documentation of diagnosis might have been helpful or rather this kind of approach could be implemented in a tool.

## 5.3 Documentation and Diagnosis

The comprehensive investigation and documentation of monuments before and during an intervention is noted in European agreements on the protection of cultural heritage [9][10]. In the Venice Charter [11], article 16 it is written: “In all works of preservation, restoration or excavation, there should always be precise documentation in terms of analytical and critical reports, illustrated with drawings and photographs. Every stage of work of clearing, consolidation, rearrangement and integration, as well as technical and formal features, identified during the course of the work, should be included. This record should be placed in the archives of a public institution and made available to research workers. It is recommended that the report should be published.” Within the EU-CHIC project guidelines were developed and tested “that are required for the efficient compilation and storage of data pertinent to each asset under observation.” It will be necessary to take into account these guidelines for the development of the database [12]. But the documents provide no information concerning the exact appearance of the documentations.

The need of a common multidisciplinary approach, where the single experts exchange information and knowledge from an early planning phase and where they collaborate in a multidisciplinary working group was also what experts emphasized during a multidisciplinary workshop, held among the project partners of 3ENCULT [13]. They asked for a tool which helps to follow this multidisciplinary working process and which supports the dialog among the experts by documenting every step from the beginning of analysis of the as-is-state of the historic building till the implementation of energy efficient refurbishment.

### 5.3.1 What a conservation expert looks at

In the 1980<sup>th</sup> the “Raumbuch”, documentation and planning tool of the real estate management and new construction praxis, was transferred to the conservation praxis [14]. The aim was to propose a unified structure for documentations of built heritage. The basic principle is the room-related acquisition of the stock, which means the building is not systematized related to construction trades or building elements, but the description, documentation and condition assessment are structured according to rooms or room units. This practice is appropriate, because the room is usually the smallest design unit of the building. The data comprehend the whole life cycle of the building.

There is an absolute necessity of an accurate localization of findings and information to establish a communication among the different stakeholders and to respond to the individual requirements at the monument. All parts of the building, rooms, surfaces, and components are identified by a system of numbers. Another special feature of the room book is the connection of graphical and non-graphical information. The documented room surfaces can and should be shown in photos and drawings, which are accompanied by written information. Thus, a room with a floor plan and elevation drawings, detail drawings, photos and descriptions of the condition is documented. A chronological examination displays the changes to the building and enables a detailed reconstruction of past conditions.

The design of the investigation is flexible and should fit to the building and purpose. Information usually included, is listed in Table 1.

**Table 1 Aspects of interest for the documentation of the conservation related as-is-state**

<b>General information.</b> Name/Company of surveyor, Location, name of building, Legal investigation (ownership, local legislation and development plans), Present function, original function, Date of completion, Architect/Artists/other persons, Construction methods, Short description (location, measurements, stories, axis, structure, roof, bays, balconies and so on), Heritage administration in charge of the object
<b>Urban context.</b> Location, accessibility, orientation, historical context
<b>Building.</b> shape/dimensions, levels/axes, short description of facades (surfaces) and roof, internal access/floor plan, building history/historical background
<b>Rooms.</b> Comprehensive description of the design including structure and arrangement, material properties and in association with the appearance such as colour and texture, all features that indicate an existing or previously existing system of construction, design or function, all characteristics that indicate the disorder of these previous systems, description of the space-delineating elements like flooring, walls and ceilings regarding the construction, the surface, the immovable elements (windows, doors), the movable elements, installations etc.
The documentation is supplemented by the description of facades and roof with its appearance and structure.
The investigation of the visible facts is completed by comments on interpretations, valuations, conditions and damage and cross-references.

### 5.3.2 What an energy consultant looks at

To develop retrofit measures for an existing building, an energy consultant has to collect all information before starting to plan. The aspects regarding the documentation of the as-is-state are described in Table 2:

**Table 2 Aspects of interest for the documentation of the energy performance related as-is-state**

<b>Local climate data</b> / environmental conditions
<b>Buildings consistency</b> regarding static problems, fire protection, seismic safety, consistency and type of building services; particular architectural solutions related to original use of the building
<b>Urban context.</b> Position of building in city context, origin and location of overshadowing from trees or other buildings
<b>Building energy consumption.</b> Evaluation of the actual energy performance of the building by collecting energy bills and documentation from previous energy audits
<b>Analysis of building elements.</b> Analysis of construction of the external walls, windows, internal partitions and basement with the identification of materials, type and dimensions. Technical data of materials: density, conductivity, specific heat capacity, water vapor diffusion resistance index, long term water absorption; conservation state of building elements regarding humidity or any other visible stain/deterioration. Identification of passive use of solar energy (direct solar gains through transparent areas, use of solar energy for solar technologies as solar thermal or

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photovoltaic regarding possible surfaces and orientations). Possibilities for using daylight.

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**Analysis of technical systems/buildings services.** Analysis of the surrounding context in terms of: availability of sources for energy production, availability of district heating etc.; characteristic of the existing generation system, ventilation system, heating and cooling system, hot water production and water supply, state of drainage system, availability of renewable energies, state of electrical installations and lighting

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**Presence of constraints and limitations** regarding preservation of building

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**Determination of design values** for internal conditions (e.g. temperature, RH set point values), occupancy density, type of utilization and occupancy times.

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**Availability of space** for plant room, space for e. g. building services like cooling towers, chillers etc., availability of suspended ceilings or void floors for technical installations and distribution systems as well as availability of existing openings and holes or not used chimney for distribution systems

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### 5.3.3 Dialogue cross disciplines

Since in building preservation, restoration and conservation diagnosis and documentation are most important, and such is the practical data uptake of the building status prior to any energy retrofit planning, a common data collection and result is a logic consequence – even more, if considering that conservation and energy issues might even be overlapping, as e.g. the look at humid and salt contaminated walls.

This requires a method which is able to collect and visualize all data in a structured way: any information needed for the diagnosis like descriptions, plans, photographs, drawings of details, results of none or minor destructive testing, monitoring data as well as calculation results and models. Architect, conservator and engineer should be able to “move” through the building on different levels of detail, having the relevant information for constructive discussion at their hands.

The usefulness of this kind of method or tool should however not end with the diagnosis: Also the development of solutions, the comparison of different options and the selection of the best one for the specific building should profit from the structured presentation and simultaneous look at both conservation and energy aspects not only on an aggregated level, but down till the single room. Finally the integration of intervention documentation and monitoring of performance should complete this holistic approach.

## 5.4 Development& description of the tool

### 5.4.1 Technical needs and implementation

The 3ENCULT consortium agreed that a tool for such integrated documentation of conservation and energy issues based on the “Raumbuch” concept has to be developed und used within the project as a digital database. To build on existing experiences it was the aim, to base on an existing database. For the selection the following criteria were important: (i) the focus on the needs of conservation and restoration practice, (ii) the web-based system as well as (iii) a modular design that allowed the addition of the aspects of energy.

The decision was made in favor of the Monument Information System (DIS) developed by ProDenkmal, a web-based and modular database which is targeted at conservation and planning in the context of preservation [15]. ProDenkmal uses the tool for internal projects and provides it also to external users, adapting it to the specific use. Recent projects include the “Neues Museum Berlin”, Eremitage St. Petersburg, and New Residence Bamberg. Similarly to 3ENCULT, the buildings, their structure and furnishing as well as their preservation and future were at focus..

Working with a database gives the opportunity to bring together all available information in a way that nothing gets lost and everything is taken into account on the way to project planning. It makes

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communication and handling easier because standard forms with standard terms are used and information has to be inserted only once – data can be made visible in several related places within the database, but also imported from and exported to external software tools. A database gives finally a clear “plus” of information by connecting documents and pictures as well as catalogues to different building layers.

### 5.4.2 Description of the DIS

In the following a tool concept and its needs is described looking at the example of database that is being developed within 3Encult:

As illustrated in Figure 1 the user interface is divided into different aspects like navigation, associated documents, main information deposited directly in the database in the central part, picture view and preview documents, which makes it possible to show different information related to one aspect at a glance.

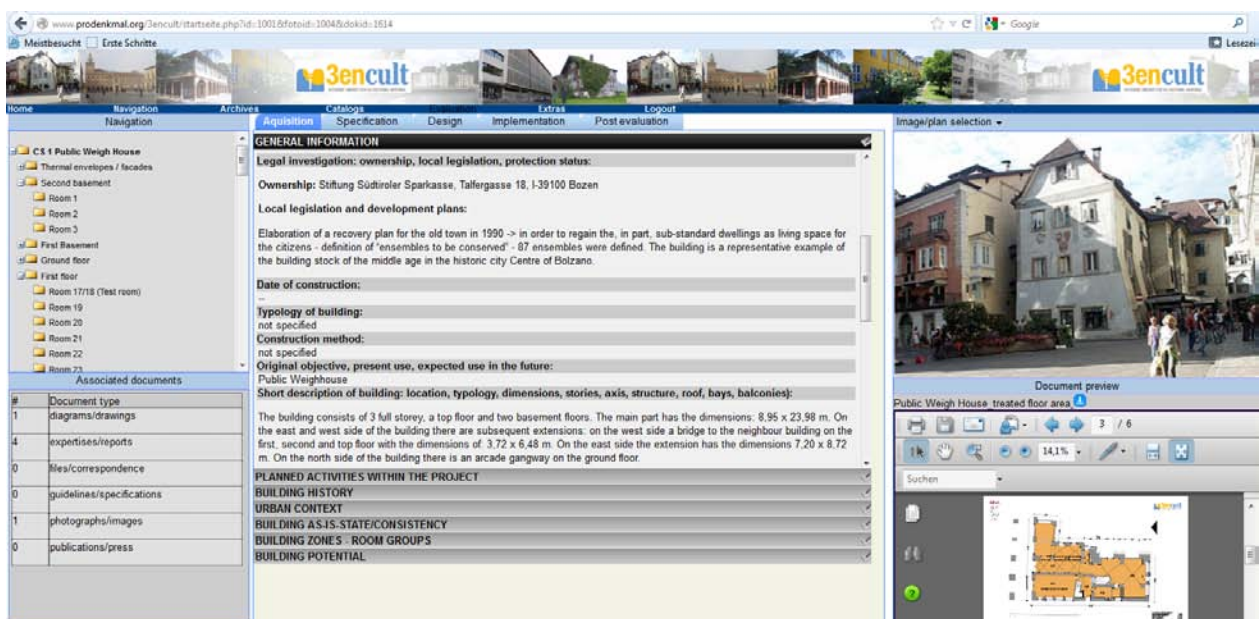


Figure 1 User interface database

#### Navigation (upper left)

On the upper left side the core of navigation is located: the tree is based on the structure of the building, thus one can navigate from layer to layer deeper and deeper into the building: starting from the whole building, over building part and building zone to the small level with the single floors and the rooms with its components (e. g. wall) and elements (e. g. windows).

When the user enters different information or when he attaches documents he can assign them to the different levels where they are of interest. Or the other way round:

When a user searches for information regarding e. g. a particular door, he navigates through the building to the respective element. At the same time this structure works like a filter: with every level deeper into the building the information gets more detailed.

A particular difficulty is the combination of the two approaches, the historical and the thermal. While for the historians various construction and design phases are of interest, the energy planner differs in different thermal zones. This fact was taken into account in two ways. Firstly, in the navigation at the level “Floor” was also inserted the thermal envelope. In recent documentations which based on the “Raumbuch”-principle, the facades were located anyway at these level and they are representing usually a part of the thermal envelope. The “thermal envelope” gathers information related to elements like the roof and top floor ceiling, walls and facades, ground floor and basement ceiling, windows and doors, chimneys and ducts. Another tool to fulfil the combination of the two approaches was the clustering according to different aspects. There is the opportunity to assign each component of the navigation previously defined groups. These groups may have historical origins and describe the

various stages of construction or they are the different thermal zones of the building. This allows filtering all associated components of a group in the evaluation of the database.

The central part of the user interface is the main section where data can be deposited directly in the database. It is subdivided horizontally into different stages or time steps of project planning like "Acquisition", "Specification", "Design (options)", "Implementation" and "Post-Evaluation". Under each planning stage information is requested in relation to the respective navigation point. The input mask is subdivided by horizontal tabs. On the layer of the entire "Building" e.g. and under the stage of project planning "Acquisition" users give information with regards "General Information", "Planned Activities within the Project", "Building History", "Urban Context", "Building As-Is-State", "Building Potential" and "Building Zones". Under these headings the user will find input masks for detailed information, like the name of the building, type of construction, present and planned use under "General Information". Guiding the user from level to level with specific questions (defined previously based on the conservators' experience and the guideline for energy audit in historic buildings elaborated within 3ENCULT), the database works also like an analysis tool.

At the points where usually both - the conservationists and the energy planners - have to provide statements, the user interface is divided vertically: a blue-backed left part of the data from conservational view, a yellow-backed part on the right for building physical concerns. In this way it is guaranteed that the information is visible in parallel. Picture view (upper right)

The upper right part of the user interface serves for orientation while the user is navigating through the building: when clicking on the "room" level e.g. a picture of the ground plan of the related storey, indicating this room with its room number, is shown. Thus on every level the user understands immediately which position in the building the information shown in the middle and the linked documents refer to.

### **Associated Documents (lower left)**

The database gives the opportunity to insert documents and to interrelate them with the layer of interest: Under associated documents on the lower left side of the interface the user can see the list of documents linked to the present navigation layer.

On the level of the "building" or "building part" e.g. certificates or reports which refer to this layer could be documentation of former refurbishments, interventions or energy audits; reports, analysis about state of the building regarding conservation, static or energy bills. Typical related plans would be the drawings of the whole building regarding the as-is state, and related calculations would regard the whole building like energy demand for heating of the as-is-state. Typical relevant measurements or diagnosis on the "building" level could be furthermore blower door test, IR thermography or monitoring data which concerns the whole building like the measurement of the total thermal energy consumption.

On the level of the "room" typical related documents would e.g. be photos from wall prospects, drawing sections of rooms, material sample analysis. Typical measurements could be the monitoring of the indoor climate of this room, while typical calculations are for example thermal bridges regarding this room.

The associated documents are categorized in sources, reports and findings, calculation and simulations, monitoring, planning documents and finally measures documentation.

### **Preview documents (lower right)**

The lower right side works like a preview. Relevant pictures and documents can be made visible in parallel with the relevant information shown in the middle part, if e.g. there a thermal bridge is described at the same time the picture of the detail section with the indication of heat-transfer can be shown.

### **Documents and pictures of the main menu**

All documents and pictures of the database visible under "associated documents" (lower left) can be managed under "archives" (horizontal main menu). Here the files can be uploaded to the database

and directly linked to the relevant layers where they should then appear. The user here has also the possibility to insert information regarding the file like file name, document type, location or author etc. and to use a search function for finding documents.

## Catalogues in the main menu

A very important function of the database is the implementation of catalogues: For every construction element of the historic building a section can be created within the “building elements catalogue”. The building elements of the catalogue can be linked to the referring building elements of the navigation (upper left). Similarly in the “material catalogue” a construction material can be documented. The material catalogue is connected with the building elements catalogue. Users insert the material into the material catalogue, while in the building elements catalogue he chooses the material from the material database and assigns it to the respective layer of the building element. For the windows an extra catalogue is under construction, based on an existing catalogue of ProDenkmal. The single windows can be linked with the “room” layer or with the “façade” under “thermal envelope” (see navigation upper left).

Export and import functions to two software tools used within the project (PHPP for static energy demand calculation and Delphin for analysis of hygrothermal details) are integrated. Interfaces to other tools are of course possible to be implemented.

**Table 3 Four catalogues and their main information**

<b>Building elements catalogue</b>
Name and the related area, the total thickness and the U-value can be inserted. Additionally a detail drawing as well as attributed photos can be linked to the element. In a separate table the stratigraphy of the element is documented by inserting each material, its thickness and its thermal conductivity ( material can be from to the material catalogue)
<b>Material Catalogue</b>
Material name, thermal conductivity, density, thermal heat capacity, porosity and dynamic viscosity as well as information on air, vapour and water tightness (possibility to import material data directly from the Delphin material library)
<b>Window catalogue</b>
Number of windows, width and height, type and name of glazing and its solar energy transmittance (g-value) and thermal transmittance ( $U_g$ -value), thermal transmittance ( $U_i$ -value) and the dimensions of frame, typology, number of sashes and number of sash bars etc.
<b>Door catalogue</b>
Number of doors, width and height, type and name of Casings and leafs and the overall U-value

## 5.4.3 Levels of documentation

### From large to small: interrelation of conservation and energy aspects

From an energetic point of view the entire building or building zones with similar interior room climate conditions are of interest as well as the structure/construction of the building, while the conservator looks besides the entire building primarily to the single rooms. The proposed database takes this into account by providing the under 0 above described navigation structure and focusing on the two levels “building (part)” and “room”. The levels of these two structures correspond with one another, thus e. g. the information on conservation and energy issues related to the room “meet” on the same level.

Relevant information with regard to preservation issues are the description of construction and utilization phases, equipment according to construction and utilization phases and general description of preservation/architecture value of the room and its equipment from the conservator point of view, regarding also installations like heaters and lighting. Relevant information with regard to the energy

issues are the description of construction and material aspects (to link building elements from the building elements catalogue to the single rooms), wooden beam construction, thermal bridges, description of building services/equipment in this room like installations, heaters, lighting etc.

Another example illustrating the correlation of the different approaches is the urban context. Even if the structure of the database starts with the entire building and its focus will always remain on the documentation of individual buildings, the integration of the building into the urbanistic context is essential: on one hand side from preservation point of view in terms of evaluation of the impact of interventions on the surrounding buildings and on the other hand side from energetic point of view in terms of analysis of surroundings with regards the possible use of energy sources on the building of from nearby or the application of “smart grids” and overshadowing caused by surrounding trees or buildings.

#### **5.4.4 “Mapping” of the different project phases**

The utility of the tool does not stop with the documentation of diagnosis and analysis of the as-is-state of the building: the tool accompanies the single phases of the design process and the development of solutions up to their implementation and finally to the documentation of the state after refurbishment (post-evaluation). These planning steps are not yet in the database constructed, but were already created in the main menu. The data collection on the building under “Acquisition” and “Specification” is already designed in a way, that it can subsequently be used for planning and evaluation phase.

In every progress stage the user of the tool profits from the formatted information and data and the simultaneous look at conservation and energy issues, associated to the respective building layer. Within the database the sequences of the different project phases are organized in the central part of the user interface – the user can move from tab to tab from “acquisition” over “specification” and “design” to “post-evaluation”.

#### **Acquisition/Survey**

Information brought together in this early planning stage helps to detect and to consider the individual demands of the historic building. It includes e.g. detailed description of the as-is-state regarding energy aspects with focus on structural analysis, analysis of architectural elements and technical system and detailed description regarding conservation aspects and is accompanied by photos, first simulations of the building with regards energy performance, indoor climate and hygrothermal behavior as well as first monitoring results.

#### **Specification**

In the second phase of project planning, the “specification”, information from the acquisition phase are completed and specified towards the design phase. The future use of the building has to be established in terms of a space allocation plan, which means that for every room a utilization/function is assigned. Targets for energy efficiency are formulated as well as restoration and preservation objectives.

Important part of this section is the description of the heritage value in terms of the (i) architectural value (significance in architectural history, proportions, harmony of composition, outstanding work of a certain architect), (ii) cultural-historical value (evidence of social functions or historical way of life, evidence of evolution in craftsmanship or technology), (iii) artistic value, environmental value (degree of harmony with the environment, architectural relationship with buildings in the neighbourhood), (iv) originality (degree of original exterior preserved, possibility of rehabilitation) and (v) authenticity (degree of legibility of historical information).

Specification includes determination of intervention needs, presence of constraints and limitations, guideline for intervention and first feasibility studies.

Regulations or extracts of laws from the local preservation office and from building authorities, regulations and guidelines regarding energy efficiency in existing buildings, certificates and reports on building safety and on materials complete the documentation in this phase.



## **Design (options)**

The design phase is the core phase of the project progress. Here the user has the opportunity to document several interventions/refurbishment solutions and to assess their impact on the building from conservation and energetic, but also from financial point of view. In this way single interventions can be compared directly and be a basis for discussion among the experts team for decision-taking.

Here documentation includes description of single interventions and intervention packages with regards the building envelope and the technical system. The documentation is accompanied by simulations on energy performance and hygrothermal behavior as well as on costs. The single solutions are documented by means of description, drawings and evaluation table.

Besides the different solutions also the “way of decision-taking” is documented here. This means that the user can reproduce and understand how it had come to this decision.

## **Implementation**

After determination of the execution project and implementation of solutions the final state of the building is documented in terms of implementation plans, energy certificates and technical report. The detailed documentation serves already for being the starting point for upcoming interventions on the building in the future – it is the detailed documentation of the as-is-state after energy refurbishment for future projects.

## **Post-Evaluation**

Finally the project closes with the post-evaluation phase. Here the state of the historic building after the implementation of energy refurbishment is evaluated.

The building is analyzed with regards the effectiveness of measures, if targets from the design phase were reached also in reality, the impact of interventions on the building itself, on indoor comfort and on energy consumption. It has to be proven, if measures were executed in the right way and in case if the impact has been evaluated positively, it has to be proven if they are transferable to other similar buildings and could become a model character.

The documentation contains a report on the status post-intervention considering results of hygrothermal monitoring, structural and environmental monitoring.

### **5.4.5 Using the innovative tool**

The potentiality of the tool goes far beyond the application in 3ENCULT, where it has besides the facilitation of communication and information exchange within the consortium also the very practical task to create the documentation deliverable.

### **Utilization in the planning process of projects of a certain size**

The tool could be used directly (or be at least a good example) for the planning process of every refurbishment project. It helps to realize the integrated design process by accompanying the refurbishment planners in every phase of the project. In this way it guides the IDP, makes exchange of knowledge and information as well as communication among the different experts easier and helps to find the best solution for the individual building by considering both conservation and energy demands.

Possible users of the tool in this case are all stakeholders of the planning process, so building owner, architect, engineers (for technical system, static, electric, daylighting), conservators and other experts.

### **Utilization as guideline for intervention in smaller projects**

Even if comprehensive diagnosis and multidisciplinary approach would be beneficial, in “smaller” projects funding might be difficult. Therefore well documented study cases, where the “way of decisions” can be reproduced and understood, can be a valuable resource for who has to find

solutions in a “similar” case. To give an example, the comprehensive investigation and intensive research for the best solution in energy retrofit according to preservation issues of an Appenzell “Strickbau” study case within the 3ENCULT-project can be a best practice example for other, more or less similar buildings in the Appenzell valley.

It is important to emphasize, that only if it is known why a measure was chosen or not, it is possible to decide if it can be transferred to another object (different conservation issues, different pre-existing damage, and different building physics).

## Documentation of the intervention history and their motivation

The comprehensive documentation of the as-it-is-state and the acquisition of all measures in a database ensure the maintenance of this information for the future. With the clear structure and precise spatial location of all collected information it enables to use these data for later interventions on the building. If there is a further refurbishment or stage of construction it can be established on existing research, which preserves the substance and is cost effective. For example, to avoid material incompatibilities with the following measures, the knowledge about already used materials is important. If there are unexpected damages to the building the cause can be carried out efficiently with the help of a good documentation of previous interventions.

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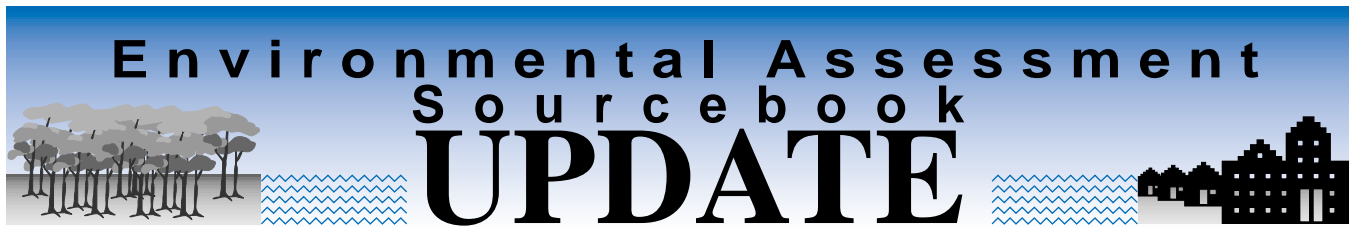
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# Cultural Heritage in Environmental Assessment

The World Bank, Environment Department September 1994

# Environmental Assessment Sourcebook UPDATE



Environment Department  
The World Bank



September 1994  
Number 8

## Cultural Heritage in Environmental Assessment

*Cultural heritage is a record of humanity's relationship to the world, past achievements, and discoveries. Much of this heritage in developing countries is now under threat, partly as a result of modernization and development, and the rate of loss is increasing. If archaeological and historical sites and structures are allowed to disappear, important testaments to a society's creativity and the knowledge base for shaping the future will be lost. Fortunately, although the loss of heritage is irreversible, it is often avoidable. Effective protection is based both on an understanding of cultural heritage issues and appropriate assessment and action to minimize damage or loss.*

*This Update draws attention to the importance of cultural heritage in the environmental assessment (EA) process and suggests ways in which the EA process can help protect heritage. The Update replaces the guidance provided on this subject in chapter 3 of the EA Sourcebook.*

Cultural heritage, also termed cultural property, cultural patrimony or cultural resources, can be defined as the present manifestation of the human past. It refers to sites, structures, and remains of archaeological, historical, religious, cultural, or aesthetic value. In conserving this heritage we are conserving those elements of our past that have the potential to contribute to our understanding of human history. (See box 1 for some key concepts and table 1 for examples of cultural heritage.)

Conservation of cultural heritage promotes social cohesion by affirming the significance of past artistic, scientific, or cultural contributions. Many sites play a very important role in demonstrating a community's cultural continuity and long-term survival. Conserving heritage extends focus beyond everyday allegiances and in so doing gives a longer time perspective. As the legacy from past to future generations, it is part of the concept of inter-generational equity. It is incumbent on the present generation to conserve patrimony for coming generations.

Cultural heritage is of economic importance as a productive activity. Many heritage sites are currently used for such purposes as housing, schools, health centers, museums, concert halls, offices and parks. Tourism, a multi-billion dollar industry, is heavily dependent on cultural heritage; the associated revenue potential can be an important source of income for maintaining the site. Conservation

also tends to be labor-intensive and can be an important source of jobs, as has been demonstrated in Bank-financed projects in Mexico and Honduras. Indirect spin-offs can benefit the construction and service industries.

Development projects, when improperly designed, can damage cultural heritage and diminish its value through unregulated building activities, the conversion and degradation of habitats, environmental pollution, or the disruption of traditional ways of life. Because impacts can occur *before* (through destruction of sites prior to project startup), *during* (by the construction itself), and *after* the project (due to physical changes and changes in settlement patterns), vigilance is required in all phases of project preparation and execution. It is also important to remember that not all cultural heritage is known in advance, making it even more necessary to proceed carefully with earth-moving and other activities that might damage or destroy heritage. When planned and executed with due care, development projects may lead to important new finds—such as the spectacular Aztec remains that were found during the construction of the Mexico City metro and are now an important tourism site.

### Cultural heritage in international and national law

Cultural heritage is legally protected in almost every country. The Convention for the Protection of the World

### Box 1. Key terms in cultural heritage

The following definitions of the major processes involved in safeguarding heritage are consistent with the Burra Charter (revised in 1992), Australia's International Committee on Monuments and Sites (ICOMOS) charter for the conservation of places of historic significance. Experts consider the Burra Charter one of the most comprehensive and up-to-date statements of conservation principles.

*Conservation.* Encompasses all aspects of protecting a site or remains so as to retain its cultural significance. It includes maintenance and may, depending on the importance of the cultural artefact and related circumstances, involve preservation, restoration, reconstruction, or adaptation, or any combination of these.

*Preservation.* Maintaining the fabric of a place in its existing state and retarding deterioration. It is appropriate where the existing fabric itself constitutes evidence of specific cultural significance, or where insufficient evidence is available to allow other conservation processes to be carried out. Preservation is limited to the protection, maintenance, and, where necessary, stabilization of the existing fabric.

*Restoration.* Returning the existing fabric of a place to a known earlier state by removing accretions or reassembling existing components without introducing new materials. It is appropriate only (a) if there is sufficient evidence of the earlier state of the fabric, and (b) if returning the fabric to that state reveals the significance of the place and does not destroy other parts of the fabric.

*Reconstruction.* Returning a place to a known earlier state, as nearly as possible. It is distinguished by the introduction of materials (new or old) into the fabric. Reconstruction is appropriate only where a place is incomplete through damage or alteration and could not otherwise survive. Reconstruction is limited to the completion of a depleted entity and should not constitute the majority of the fabric.

*Adaptation.* Modifying a place for compatible use. It is acceptable where the adaptation does not substantially detract from its cultural significance and may be essential if a site is to be economically viable.

*Maintenance.* The continuous protective care of the fabric, contents, and setting of a place. Maintenance is to be distinguished from repair, which involves restoration or reconstruction.

Cultural and Natural Heritage of 1972 has become the foundation for national and other legislation since it requires signatories to adopt general policies; establish appropriate organizations and services; and develop legal, scientific, and financial measures for the protection and conservation of cultural and natural heritage. The World Heritage List, sponsored by UNESCO, also encourages

protection and to date includes more than 350 cultural sites of exceptional interest and universal value.

At the national or state level, there are generally four kinds of legislation relevant to cultural sites: (a) heritage place protection acts that specifically protect particular places (or places as a class) and specify procedures for their protection; (b) land management, zoning, or planning acts that provide general protection for sites; (c) notification or listing acts that allow for the recording of important data on cultural sites; and (d) acts to conserve natural areas in which cultural features are located. In many countries, religious laws also address cultural heritage and in some cases, assign ownership or oversight responsibilities to various religious authorities.

### Cultural heritage in World Bank work

The Bank considers the conservation of important cultural heritage a part of the sustainable development process. It assists countries in their efforts to conserve, maintain, and where feasible, enhance and restore their cultural heritage. GP 4.11 (final draft) provides guidance on what the Bank considers as good practice in these regards. The Bank uses environmental assessment as one of its main instruments to ensure that development projects do not result in unacceptable damage to cultural heritage. Table 2 shows how cultural heritage issues can be addressed throughout the Bank's project cycle and the corresponding EA process established by OD 4.01. The following discussion highlights some particularly important aspects.

### Environmental screening

Many types of development projects can have a direct adverse impact on cultural heritage. The task manager, in consultation with national or local cultural heritage authorities as necessary, should review potential direct or indirect impacts to cultural heritage as a standard and central part of the environmental screening process (see *Update no. 2: Environmental Screening*).

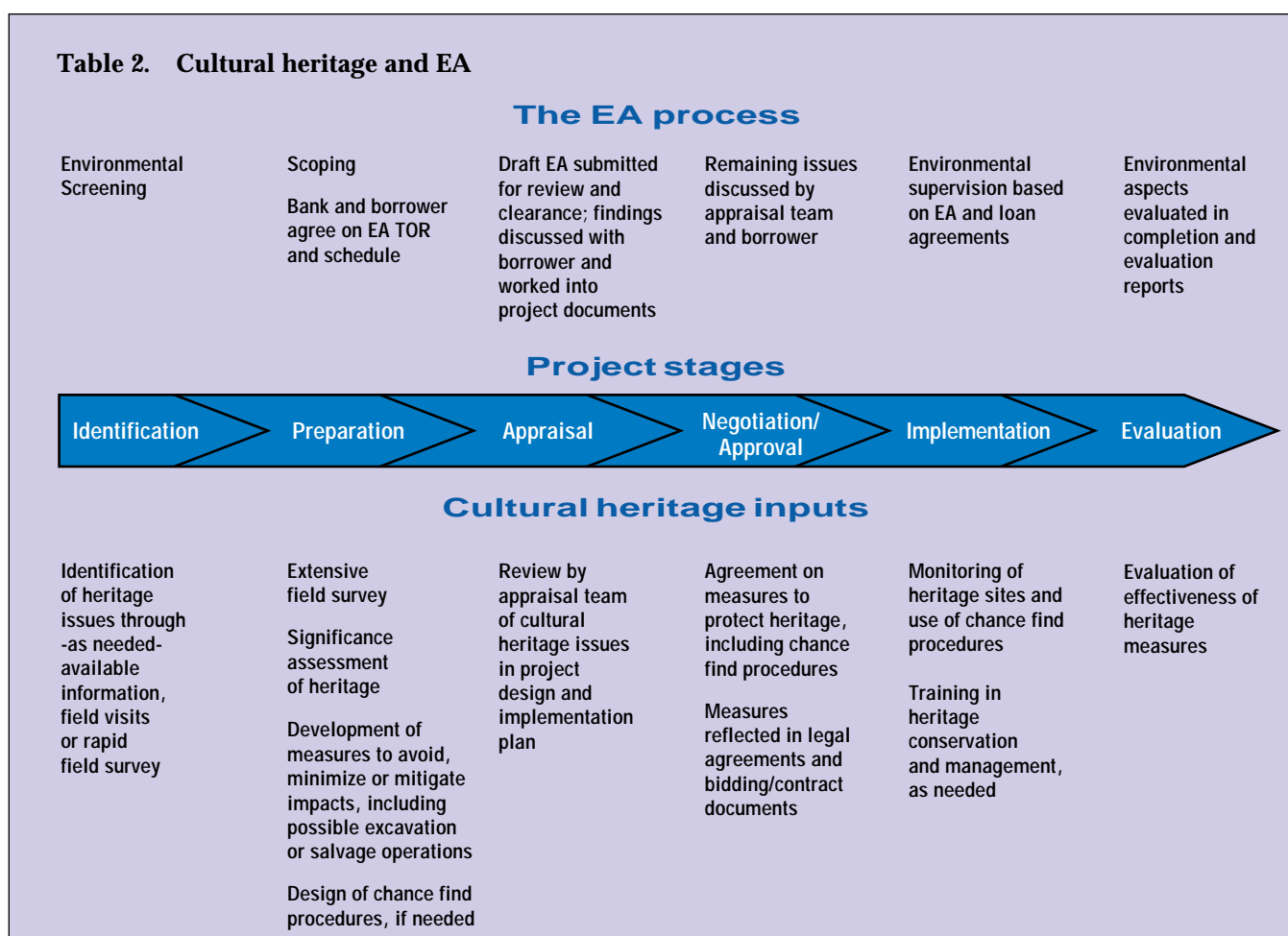
When there is reason to expect significant impacts on cultural heritage along with other environmental impacts, the project should normally be classified as category A and be subject to a full EA. If there are no other major potential impacts on the environment, a full EA may not be the most appropriate solution. A category B rating followed by a rigorous and detailed analysis of the issues and impacts specifically related to cultural heritage may be more useful and cost-effective. Projects with limited potential impacts on cultural heritage should also be classified in category B unless other environmental impacts warrant full EA work. The category B analysis normally includes a full inventory of the cultural heritage resources; analysis of alternative sites and designs that would eliminate or reduce the adverse impacts; and a plan to mitigate damages and manage the heritage. The analysis should

**Table 1. Selected types of cultural heritage sites**

Main categories	Sub-types	Examples	Comments
Sacred sites	Burial sites	Xian, China; Tomb Fields, Bahrain.	They are often discovered during the construction phase of projects. The Liaoning Environment Project in China will help conserve ancient burial sites.
	Sites of religious or spiritual significance	Mecca, Saudi Arabia; Buddhist pilgrimage sites in Nepal.	Important cultural sites were often inspired by religious beliefs and are still considered sacred places.
Archaeological sites	Pre-historic sites	Mounds, middens, caves.	These sites are often undetected or overlooked. They frequently shed light on use or overuse of natural resources, changing survival strategies and social organization.
	Historical sites	Historic roads, bridges, dams and other water works, fortifications, and walls.	Many of these structures are still in use, such as Roman roadways in Tunisia or hydrological features in Indonesia. They may also point to changes in sea level, vegetation, and hunting and agricultural practices.
	Engineering and industrial sites	Marib Dam, Yemen; The Great Wall, China; nineteenth century industrial sites (train stations, early woolen mills).	The introduction of new technologies—metallurgy, mortars, arches and vaulting, industrial architecture—can be documented and understood by studying artifacts and earlier structures. This in turn may suggest methods for conservation and may shed light on future avenues of technological advance. Bank projects have been involved in the conservation of some of the world’s greatest feats of engineering, including the Marib Dam in Yemen and The Great Wall of China.
	Submerged or marine sites	Ancient coastal settlements in the Mediterranean and Central America; sunken ships.	New techniques of marine exploration have revealed many sunken ships and submerged sites of ancient human settlement.
	Sites within biologically diverse areas or protected reserves	Tikal, Guatemala; sacred groves in Ghana.	Management policies that protect both cultural and natural resources should be developed.
Monumental sculpture	Cave sculpture	Chinese and Indian Buddhist cave sites.	The protection of these sites depends on an understanding of the processes of deterioration that may affect them.
	Architectural sculpture	Thebes, Egypt; Petra, Jordan.	Exterior sculpture is often damaged by polluted air and rising water tables.
Monumental painting	Cave or wall painting	Tombs in Luxor, Egypt; Tassili, Algeria.	Conserving wall painting, in the face of large tourist flows, requires careful planning.
Architecture and town planning	Monumental architecture	Monte Alban, Mexico; Copan, Honduras; Wat Phu, Laos.	Great works of architecture and urban planning demonstrate the introduction of new design principles and construction techniques.
	Indigenous or vernacular architecture	M’zab Valley, Algeria.	Local materials, such as wood, mud brick and stone, were used to build extraordinary architectural compositions.
	Historic settlements and town centers	Fez, Morocco; Quito, Ecuador.	The protection of the historic core of cities depends on a comprehensive policy to address infrastructure and social needs.
Historic landscapes	Cultural landscapes	Cres, Croatia; land of the Dogon, Mali.	Landscapes, whether designed, organically evolved or relict, demonstrate mankind’s responses to changing environmental conditions.
	Historic parks and gardens	Sigiriya, Sri Lanka; Shalimar Gardens, Pakistan.	Returning gardens to their original appearance may require research into plant materials.
	Trade routes monuments and remains	The Silk Route from China to Europe; Pan-African trade routes; Mediterranean-wide commerce.	Remains of ancient trade routes document early trade relations and cultural connections. Trading patterns, often long distance, are revealed in archaeological finds such as ceramics, metalwork, coins, or paleobotanical evidence.



**Table 2. Cultural heritage and EA**



also include a review of existing rules and procedures to manage cultural heritage affected by the project. Projects with no impacts on cultural heritage or the environment more broadly should be classified in category C. Education and institution-building projects are often classified in this category; however, attention should be paid to changes in the use of historic structures to ensure this is done in a proper manner and does not degrade their aesthetic or historical value.

Experience in Bank and non-Bank development projects has shown that certain sectors are particularly prone to affect heritage: energy (construction of gas pipelines, utility lines); communications (laying of fiber optics); transport (highways, road construction or extensions, bridge replacement, canal construction); water (dams, irrigation and drainage schemes); sewerage and sanitation; urban development (infrastructure provision); industry and mining; agriculture (intensification and extensification); and forestry. Emergency reconstruction projects due to earthquakes, flooding or other disasters may have important consequences for cultural heritage.

For projects where cultural heritage impacts are likely or possible, it is good practice for Bank staff to consult the cultural resource specialist and cultural heritage re-

search files in the Environment Department before making the environmental screening decision. In addition to material on national legislation, inventories, and specific sites, the files contain lists of institutions involved in cultural heritage work and researchers that can be important sources of further information, particularly for the Middle East, North and Sub-Saharan Africa, and Asia.

Consultation with appropriate local and international experts is advisable in project identification to gain an overview of potential cultural heritage issues. A literature review can also bring relevant information to light. The legal status of affected sites should be noted as certain categories of cultural heritage may be under particular restriction.

Staff will often discover that adequate information is not available for a particular area. This is particularly commonplace in Sub-Saharan Africa where very few areas have been surveyed. In cases where little investigatory work has been carried out, an earthmoving project is slated to take place, and the area is suspected of having prior habitation, it is strongly recommended that field surveys be carried out in order to avoid unnecessary destruction of cultural sites. Rapid field surveys are an essential diagnostic tool in determining the sensitivity of a particular area.

## Preparation of EA terms of reference (TOR)

If significant cultural heritage is thought to exist, experts should be assigned to the Bank project team to prepare a detailed TOR for heritage-related work as part of the EA process. The TOR should be guided by the nature of the likely cultural heritage issues and explain what needs to be done under each main section of the EA report (see below). This may require the services of an archaeologist experienced in field surveying; a conservation architect; a landscape architect or site planner with experience in planning archaeological and historic sites; a cultural resource planner; or a structural engineer.

The TOR may call for various types of investigations including: documentary research; locational surveys; environmental sampling; archaeological tests; archaeological surveys to determine location, integrity, and significance; archaeological monitoring and data recovery; and salvage excavation. Specifications will depend on the terrain, likely types of finds, and their presumed importance and condition. The TOR may also request a significance assessment (see below) and economic analysis. Sample TORs are retained in the files of the Environment Department.

The time frame for cultural heritage work should be indicated in the TOR. Although it is difficult to generalize, for a project with a clearly defined geographical area, such as a road alignment or pipeline, typically the necessary survey work can be carried out in a period of two to six months in the field. This varies according to the conditions on the ground and quality of logistical support available. Three major inputs must be planned for assessment: background research and preparation and design of research strategy; assessment survey and/or excavation, including recording and recovery; and post-field analysis and report writing. Salvage operations, again depending on the extent of the material, can also normally be completed within two to six months. Allocation of adequate funding to assess cultural heritage issues in a timely manner is essential.

Where multiple development activities may affect the cultural heritage within an entire region (for example, an urban or urbanizing area, a coastal zone, or a river basin), the Bank should recommend the use of a comprehensive regional approach to impact assessment and management of heritage (see box 2). *Regional EA* can be an effective instrument in this regard (see *Update no. 15: Regional Environmental Assessment*).

### Appraisal

Project appraisal is contingent on receipt of an EA report of satisfactory quality. Where there are significant cultural heritage issues, the report should contain specific sections concerning these issues, including proposed mitigation, monitoring and institutional strengthening measures as

### Box 2. Cultural heritage in the urban setting

Building cranes and new cars may indicate a growing economy, but at a time of rapid urban expansion in much of the developing world, heritage is under severe threat from uncontrolled construction, demolition and vehicular traffic. Polluting industries and high population densities are other factors that put heritage as well as inhabitants at risk.

A frequent constraint to adequate protection is the conservation focus on individual historic buildings, rather than groups of buildings or districts. Buffer zones and development controls are needed to prevent the unregulated building that destroys context. Bank experience, for example in Kathmandu, Nepal, points strongly to the need for area conservation in order to adequately protect the historic urban fabric.

Urban land markets may ultimately work against conserving heritage, as the opportunity costs for the conservation option are too high to resist. Historic city centers, however, are generally characterized by intense economic activity and often serve local as well as regional markets. Such historic centers, when properly conserved, can become centers for commerce, tourism, culture, and social life.

appropriate. Staff with knowledge of such issues should assist in the review of the EA report.

For projects with major cultural heritage issues, relevant expertise should be part of the appraisal team. Appraisal is a good opportunity to discuss with the borrowing country the steps needed to put in place or strengthen capacity and procedures to manage and protect known heritage sites as well as address unknown heritage through chance find procedures or a watching brief (needed for unexpected discoveries of previously unknown buried sites and features during excavation and construction).

The *Project Implementation Plan* (prepared by the borrower) should be carefully reviewed to ensure that cultural heritage measures are incorporated, as appropriate, on the basis of the EA.

### Supervision

Development projects are an opportunity for improving the protection and ensuring the future use of cultural heritage. During project implementation, Bank staff should monitor the project impacts on cultural heritage that were identified during the EA, as well as keep careful track of any new impacts. Chance find procedures should be included in construction contracts and compliance with them supervised by the Bank. Supervision missions should schedule staff time for following these issues and revising project mitigation measures as required to ensure adequate protection for significant cultural heritage.

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Evaluation of the handling of cultural heritage issues includes looking at the enforcement of relevant legislation (especially in regard to land use and zoning), the performance of mitigation and monitoring activities, adequacy of technical solutions, staffing, cost effectiveness, and institutional and administrative effectiveness. Particular attention should be paid to the adequacy of monitoring and management plans for cultural heritage. Training in heritage conservation and management should also be an element of projects with major heritage issues.

### **Cultural heritage in the EA report**

The EA report should integrate cultural heritage aspects in a flexible way according to the specific circumstances of the project. When heritage is the main concern, the EA should reflect this by focussing mainly on ways to avoid, minimize or mitigate damage to this heritage and improve its conservation. More frequently, cultural heritage will be one among several environmental issues. The following discussion shows how the main sections of a full EA report can effectively address cultural heritage, whether it is the principal or one out of many environmental issues.

#### *The policy, legal and institutional framework*

The framework for protecting and managing cultural heritage should be examined early in the EA preparation process. Where adequate laws, procedures (including chance find procedures), and institutional capacity are not yet in place, the EA should identify the gaps and weaknesses and suggest how the project itself might help protect threatened heritage through special, targeted measures (for example, design alterations, a special project component to conserve heritage, or special procedures and requirements for construction works) and ways to strengthen government capacity in the long term.

Chance find procedures are usually a matter of national law. They specify the authorities and responsibilities of cultural heritage agencies if sites or materials are discovered in the course of construction and include procedures to be used by the cultural heritage agency, project sponsor and construction contractor. The procedures should specify how cultural heritage authorities are notified, the waiting period required before work can resume after a chance find has occurred, and measures for care of found objects. In the absence of national chance find procedures, the Bank should require that the borrower prepare specific procedures for projects where risk of encountering buried sites may exist. These procedures should be included as standard provisions in construction contracts when applicable.

#### *Baseline data*

Unless the proposed project area has already been well surveyed prior to initiation of the EA, a field survey

should be undertaken at the earliest possible stages of EA preparation in order to establish the baseline conditions. *Field surveys* can make a major contribution to advancing the knowledge of an area, as in the case of a road project in Yemen (see box 3), and are necessary for assessing the significance of heritage and potential impacts of a project. *Significance assessment* of cultural heritage, which is a methodology in and of itself, is discussed in box 4.

#### *Impact assessment*

Once the significance of cultural heritage in a project area has been evaluated, the next step is to assess the potential impacts of the project, including the extent and economic costs of any damage. The EA should rank potential impacts on heritage according to (a) the significance of the heritage; (b) the level of irreversibility of the impact; and (c) the extent of potential damage. This should include assessment of both the direct impacts associated with destruction or physical disturbance *and* the indirect impacts caused by changes in topography, water table levels, land use practices, and induced development. The assessment should cover cultural heritage values of both major and minor significance as they may be subject to different types of impacts within the same project.

The seriousness of impacts will vary according to the type of project, climate conditions, settlement patterns, and the capacity of the cooperating government to effectively enforce its cultural heritage laws. Studies conducted in the United States have identified the following negative impacts on cultural heritage in order of frequency and significance: streambank erosion, vandalism, construction activities, plowing and land leveling, wind action, animal burrowing, groundwater leaching, compaction and fragmentation of soils, chemical contamination, vehicular traffic, subsidence, and livestock grazing. It is recommended that in situations where cultural heritage currently or potentially contributes to the local or national economy that an analysis be prepared to estimate the economic costs of the project impacts. Examples include heritage sites that provide a basis for tourism and historic districts or buildings that contribute to increased property values.

#### *Analysis of alternatives*

The most important single strategy for heritage protection is site avoidance: redirecting activities so that they do not endanger a site. This is particularly relevant in planning dams, large-scale irrigation and drainage projects, roads, and urban infrastructure and construction. If the site cannot be avoided, the EA should consider design and construction alternatives for the project as well as alternative methods and approaches for protection and mitigation. The alternatives should be ranked according to effectiveness, cost, difficulty, length of time required, and monitoring needs. Decisions should be made by weighing these rankings against the cultural significance

and economic value of the site. A forthcoming *Update* will address the issue of alternatives in more detail.

### *Environmental Management Plan*

**Mitigation.** Appropriate approaches to protect cultural heritage may range from full-site protection to extensive redesign of a project in order to preserve the site to selective salvage, data recovery, and recording where a portion or all of the site will be lost. Standard mitigation measures include excavation, salvage, erosion control, restoration of structural elements, rerouting of traffic, and site mapping. Other protective strategies to be considered include site burial, structural stabilization, soil and rock stabilization, control of groundwater levels, vegetative stabilization, site surveillance, and control of flora and fauna.

Where a significant site or a group of sites may be affected by a proposed project, an archaeological and historical site management plan should be prepared to specify the types of conservation actions that should be taken for each surveyed site. When relevant, the plan should ensure that the project includes measures to salvage, test or conduct detailed surveys of a sample of sites representing a diversity of periods and types. The management plan should also establish a monitoring and evaluation system and include a schedule that is coordinated with the overall project schedule and a detailed budget. Consideration should be given, when appropriate, to leaving selected sites undisturbed to allow for their examination in the future.

**Management and monitoring.** The EA should recommend detailed measures for strengthening capacity in managing and monitoring cultural heritage, ideally in the form of plans that include costing, financing, and actions. Staff, working in close cooperation with local officials, may be able to introduce improved management procedures to safeguard heritage and increase its revenue-earning capacity, as in the case of a transport sector project in Cyprus, where a site master plan was prepared for the archaeological site of Paphos.

Experience has shown that a *cultural heritage management framework* is one of the most effective methods for ensuring that cultural heritage is considered in development work. As a first step, an organizational structure is needed, composed of the following elements: (a) drafting of a charter of authorities and responsibilities; (b) introduction of an institutional structure, including description of the units, individual positions, and general operating procedures; (c) preparation of basic policies, legislation, and guidelines; (d) development of a cultural resources review and approval system for development plans and projects that is linked to land use planning and the EA process; (e) design of a budget and accounting system; (f) preparation of an inventory of cultural sites, with emphasis on areas that are likely to be subject to impact from development in the short and medium term; (g) develop-

### **Box 3. Field survey and significance assessment of cultural heritage in a road project**

In the Republic of Yemen, a new road has been planned, through arid lands considered inhospitable to most human settlement, to link Safir to the Hadramout Valley. During preparation of the proposed project, a field survey was carried out to determine whether archaeological and prehistoric remains were located along the road alignment. With the cooperation of the Yemeni officials and foreign research institutes in Yemen, an expert team was assembled to examine the proposed route, and a total of 35 archaeological sites and 50 prehistoric sites were found during the field survey.

Archaeologists were able to rank the sites using the methodology of significance assessment and propose a strategy for mitigating adverse impacts. A variety of actions were recommended: no action; avoid quarrying; protect by fencing; realign road if possible (for one site); excavate for further information; monitor during road construction; and prepare a site map. The field survey has enlarged considerably the archaeological and historical understanding of the region. Moreover, the observations about the potential prehistoric importance of the sites can serve as a guide to future explorations in the adjoining regions. The survey was carried out in less than three months.

ment of coordination mechanisms with planning authorities, municipal governments and other agencies involved with cultural resources; and (h) preparation of a workplan for a preliminary cultural resources management plan.

In many developing countries qualified staff for cultural resource management in the public and private sectors are in short supply. Training in cultural heritage management is therefore needed and should cover issues such as cultural resource policy, legislation, and regulation; use of economic and fiscal instruments in cultural resource management; conservation of cultural resources in land use planning and through the permitting and EA process; development and implementation of site management plans; surveying, recording and inventorying; and public education.

Precise information on the form, materials, history, function, and condition of the cultural heritage is necessary for its safeguarding. Inventories form the basis for managing cultural resources and should provide information for planners and administrators at national and local levels. Lack of adequate information on cultural heritage is perhaps the single greatest obstacle to effective protection. EA requirements will serve to reinforce the importance of maintaining comprehensive and easy-to-use inventories.

Inventories of whatever form (for example, computerized entries or handwritten ledgers) should be consistent

#### Box 4. Significance assessment of cultural heritage

Cultural significance is a concept in estimating the value of a site. It includes aesthetic, historic, scientific (research), social or economic value and the concept of amenity value. Sites that are likely to be significant are those that help our understanding of the past, or enrich the present, and that will be of value to future generations.

Significance assessment is the basis for determining any action to protect cultural sites and is part of a site management plan. It requires in depth knowledge of art and architectural history, social history, and knowledge of materials. There usually are many management alternatives for any site and understanding its significance is a prerequisite for deciding on a course of action. Adequate detail is also needed to determine the best or most appropriate method of conserving the cultural significance, as different elements require different management strategies.

Cultural significance can be assessed in different ways and with varying scope. The process may be informal and rapid or it may be a formal process that requires a complement of specialized expertise (such as archaeologists, legal specialists, anthropologists, and botanists). It may deal with an individual site or be part of a regional or local overview. The appropriate level of detail will vary according to circumstances.

*Aesthetic value.* Aesthetic judgement is perhaps the most subjective of the criteria used in determining cultural significance. Although such judgement is shaped by cultural background and taste, the design, level of craftsmanship, and choice of materials also play an important role. It can

explain why the general public is attracted to some sites more than others.

*Historic value.* A site can be a typical or well-preserved example of a culture, group, period of time, or type of human activity or can be associated with a particular individual. Often the place, rather than exemplifying one phase or aspect of history, is the embodiment of a long sequence of history.

*Scientific or research value.* This value will depend upon the importance of the data and its rarity, quality or representativeness. In addition to information on technological change, sites can provide evidence of changes in climate, the environment, and the animal population. The assessment of scientific or research significance is difficult because often potential rather than present scientific significance is being evaluated.

*Social value.* This concept embraces the qualities by which a place becomes a focus of spiritual, political, national, or other cultural significance to a majority or minority group. The local, regional, or national community may find in such sites a source of pride, education, or celebration, or a symbol of enduring culture. The qualities causing this preference are very important and in many cases are the strongest argument for conserving the place. For example, the site may be accessible and well known rather than particularly well preserved or scientifically important.

*Economic value.* This value can include use, non-use and existence values. Several methods may be used to estimate the economic value of cultural heritage. Work is currently underway to strengthen guidance on this topic.

with international standards. Different levels of detail are required for different purposes, ranging from detailed information on the history and significance of the site to basic location and construction data. Information in greater detail is required for the site or building owner to carry out conservation and maintenance works.

Records (and updating) of the heritage should be made when any changes (such as repairs or alterations) are anticipated or made; when new information is revealed; when accidental or unforeseen disturbance has damaged the cultural heritage; or when demolition is contemplated.

#### Public consultation

Consultation with affected groups and local NGOs during preparation will help clarify values and the trade-offs associated with different alternatives for managing cul-

tural heritage (see *EA Sourcebook Update no. 5: Public Involvement in Environmental Assessment*). Where cultural heritage has religious or sacred meaning, community participation is particularly important in decisions affecting the site. In Lahore, Pakistan, where historic buildings were conserved, community input to planning the new use of the buildings (for example, health center, women's training center, or primary school) was an effective way of ensuring continued maintenance.

#### For further reading

Goodland R. and M. Webb. 1989. *The Management of Cultural Property in World Bank-Assisted Projects*. World Bank Technical Paper No. 62. Washington, D.C.

Serageldin, I. and J. Taboroff (ed). 1994. *Culture and Development in Africa*. Proceedings Series No. 1. The World Bank. Washington, D.C.

This *Update* was prepared by June Taboroff. The *EA Sourcebook Updates* provide up-to-date guidance for conducting EAs of proposed projects and should be used as a supplement to the *Environmental Assessment Sourcebook*. The Bank is thankful to the Government of Norway for financing the production of the *Updates*. Please address comments and inquiries to Olav Kjørven and Aidan Davy, Managing Editors, EA Sourcebook Update, ENVLW, The World Bank, 1818 H St. NW, Washington, D.C., 20433, Room No. S-5139, (202) 473-1297. E-mail: [eaupdates@worldbank.org](mailto:eaupdates@worldbank.org).

# **The Charter of Krakow 2000**

## **PRINCIPLES FOR CONSERVATION AND RESTORATION OF BUILT HERITAGE**

Text source: <http://www.triestecontemporanea.it/pag5-e.htm> (09.12.2010)

German Text (ab S. 6): [http://www.burgeninstitut.com/u/files/charta\\_von\\_krakau\\_2000.pdf](http://www.burgeninstitut.com/u/files/charta_von_krakau_2000.pdf)  
(08.12.2010)

Recognizing the contribution of individuals and institutions who, in the course of three years, have participated in the preparations of the International Conference on Conservation "Kraków 2000" and its Plenary Session "Cultural Heritage as the Foundation of the Development of Civilisation", We, the participants of the International Conference on Conservation "Kraków 2000", conscious of the profound meanings associated with cultural heritage, submit the following principles to those responsible for heritage as a guideline for the efforts to safeguard such principles.

#### **PREAMBLE**

Acting in the spirit of the Charter of Venice, taking note of the international recommendations and urged on by the process of European unification, at the turn of the new millennium, we are conscious of living within such a framework, in which identities, in an ever more extensive context, are becoming characterized and more distinct. Europe today is characterized by a cultural diversity and thus by the plurality of fundamental values related to the mobile, immobile and intellectual heritage, the different meanings associated with it and consequently also conflicts of interest. This obliges all those responsible for safeguarding cultural heritage to become increasingly attentive to the problems and choices they need to face in pursuing their objectives. Each community, by means of its collective memory and consciousness of its past, is responsible for the identification as well as the management of its heritage. This cannot be defined in a fixed way. One can only define the way in which the heritage may be identified. Plurality in society entails a great diversity in heritage concepts as conceived by the entire community. The monuments, as individual elements of this heritage, are bearers of values, which may change in time. This variability of the individual values of monuments, constitutes "each time" the specificity of the heritage. From this process of change, each community develops an awareness and consciousness of the need to look after the individual built elements as bearers of their own common heritage values. The tools and methods are developed for appropriate preservation and should be adapted to the evolving situations, which are subjected to the process of continual change. The particular context of selecting these values requires the preparation of a conservation plan and a series of decisions. These should be codified in a restoration project according to the appropriate technical and structural criteria. Conscious of the profound values of the Charter of Venice and working towards the same aims, we propose the same principles for conservation and restoration of the built heritage in our time.

#### **AIMS AND METHODS**

- 1.**The architectural, urban and landscape heritage, as well as artefacts, are the result of an identification with various associated moments in history and social-cultural context. The conservation of this heritage is our aim. Conservation can be realised by different types of interventions such as environmental control, maintenance, repair, restoration, renovation and rehabilitation. Any intervention implies decisions, selections and responsibilities related to the complete heritage, also to those parts that may not have a specific meaning today, but might have one in the future.
- 2.**Maintenance and repairs are a fundamental part of the process of heritage conservation. These actions have to be organised with systematic research, inspection, control, monitoring and testing. Possible decay has to be foreseen and reported on, and appropriate preventive measures have to be taken.
- 3.**The conservation of built heritage is implemented by the project of restoration, including the strategy to conserve in the long run. This restoration project should be based on a range of appropriate technical options and prepared in a cognitive process of gathering knowledge

and understanding of the building or site. This process may include traditional and subsequent new materials, structural investigations, graphical and dimensional analysis and the identification of historical, artistic and socio-cultural significance. All pertinent disciplines have to participate in the restoration project and the co-ordination should be carried out by a person qualified and well trained in conservation and restoration.

**4.**The reconstruction of entire parts “in the style of the building” should be avoided. Reconstruction of very small parts having architectural significance can be acceptable as an exception on condition that it is based on precise and indisputable documentation. If necessary, for a proper use of the building, completion of more extensive spatial and functional parts should reflect contemporary architecture. Reconstruction of an entire building, destroyed by armed conflict or natural disaster, is only acceptable if there are exceptional social or cultural motives that are related to the identity of the entire community.

#### **DIFFERENT KINDS OF BUILT HERITAGE**

**5.**Any intervention involving the archeological heritage, due to its vulnerability, should be strictly related to its surroundings, territory and landscape. The destructive aspects of the excavation should be reduced as far as possible. At each excavation, the archeological work must be fully documented. As in all other cases, conservation work on archeological finds must be based on the principle of minimum intervention. This must be done by professionals and methodology and techniques used must be strictly controlled. In the protection and public presentation of archeological sites, the use of modern technologies, databanks, information system and virtual presentation techniques should be promoted.

**6.**The purpose of conservation of historic buildings and monuments, whether in the urban or rural context, is to maintain their authenticity and integrity, including internal spaces, furnishings and decoration according to their original appearance. Such conservation requires an appropriate “project of restoration” that defines the methods and aims. In many cases, it also requires an appropriate use, compatible with the existing space and significance. Work on historic buildings must pay full attention to all the periods that are present.

**7.**Architectural decoration, sculpture and artefacts that are an integrated part of the built heritage should be preserved through a specific project connected to the general project. This presupposes that the restorer has the proper knowledge and training in addition to the cultural, technical and operating capacity to interpret the different analyses of the specific artistic field. The restoration process must guarantee a correct approach to the conservation of the full setting decoration or sculpture, with respects to traditional building crafts and their necessary integration as a substantial part of the built heritage.

**8.**Historic towns and villages, in their territorial setting, represent an essential part of our universal heritage, and should be seen as a whole with the structures, spaces and human factors, normally in the process of continuous evolution and change. This involves all sectors of the population, and requires an integrated planning process, consisting of a wide range of different activities. Conservation in the urban context deals with ensembles of building and open spaces, which are part of larger urban areas, or of entire small urban or rural settlements, including intangible values. In this context, intervention consists of referring to the city in its morphological, functional and structural whole, as part of its territory, its environment and surrounding landscape. The buildings that form historic areas may not have a special architectural value in themselves, but they should be safeguarded because of their organic unity, distinctive dimensions, and their technological, spatial, decorative and



chromatic characteristics as connecting elements, irreplaceable in the organic unity of the town. The restoration project of the historic town or village should anticipate the management of change, in addition to verifying the sustainability of selected options, linking heritage issues with social and economic aspects. Apart from obtaining knowledge of the structure, there is the need for a study of the influences of changes and tools required for the management process. The project of restoration for historic areas regards the buildings of the urban fabric in their twofold function: a) the elements that define the spaces of the city within its urban form, and b) the internal spatial arrangements that are an essential part of the building.

**9.** Landscapes as cultural heritage result from and reflect a prolonged interaction in different societies between man, nature, and the physical environment. They are testimony to the evolving relationship of communities, individuals and their environment. In this context their conservation, preservation and development focus on human and natural features, integrating material and intangible values. It is important to understand and respect the character of landscapes, and apply appropriate laws and norms to harmonize relevant territorial functions with essential values. In many societies, landscapes are historically related to urban territories and influences. The integration of cultural landscape conservation, and the sustainable development of regions and localities with ecological activities, and the natural environment requires awareness and understanding of relationships over time. This involves making links with the built environment of the metropolis, city and town. Integrated conservation of fossil and archeological landscapes, and the development of a highly dynamic landscape, involves social, cultural and esthetic values.

**10.** Conservation/preservation techniques should be strictly tied to interdisciplinary scientific research on materials and technologies used for the construction, repair and/or restoration of the building heritage. The chosen intervention should respect the original function and ensure compatibility with existing materials, structures and architectural values. Any new materials and technologies should be rigorously tested, compared and understood before application. Although the in situ application of new techniques may be relevant to the continued well-being of original fabric, they should be continually monitored in the light of the achieved results, taking into account their behavior over time and the possibility of eventual reversibility. Particular attention is required to improve our knowledge of traditional materials and techniques, and their appropriate continuation in the context of modern society, being in themselves important components of cultural heritage.

## **MANAGEMENT**

**11.** The management of dynamic change, transformation and development of historic cities and the cultural heritage in general, consists of appropriate regulation, making choices and monitoring outcomes. As an essential part of this process, it is necessary to identify risks, anticipate appropriate prevention systems, and create emergency plans of action. Cultural tourism, beside its positive aspects on the local community, should be considered as such a risk. Attention should also be paid to the optimisation of running costs. Conservation of cultural heritage should be an integral part of the planning and management processes of a community, as it can contribute to the sustainable, qualitative, economic and social developments of that society.

**12.** The plurality of heritage values and diversity of interests necessitates a communication structure that allows, in addition to specialists and administrators, an effective participation of inhabitants in the process. It is the responsibilities of the communities to establish

appropriate methods and structures to ensure true participation of individuals and institutions in the decision-making process.

**TRAINING AND EDUCATION 13.** Training and education in cultural heritage matters requires social involvement and integration into national systems of education at all levels. The complexity of a restoration project, or any other conservation intervention, involving historical, technical, cultural and economic aspects requires the appointment of a competent and well educated leader. Education of the conservators must be interdisciplinary and involve accurate study of architectural history, theories and techniques of conservation. This should assure the appropriate qualifications necessary to resolve research problems needed to carry out conservation and restoration interventions in a professional and responsible way. The training of professionals and technicians in the conservation disciplines should take full account of evolving methodologies and technical knowledge, and be aware of the on-going debate on conservation theories and policies. The quality of craft and technical work during restoration projects should also be enhanced by improved vocational training.

#### **LEGAL MEASURES**

**14.** The protection and conservation of the built heritage could be better enabled if greater legal and administrative actions are taken. This should be aimed at ensuring the conservation work is only undertaken by, or under the supervision of, conservation professionals. Legal regulations might also make provisions for a period of practical experience in a structured programme. Consideration should be given to newly-trained conservators obtaining a permit for independent practice. This should be gained under the supervision of conservation professionals.

**ANNEX DEFINITIONS** The redaction committee of this “Charter of Kraków” used the following terminological concepts:

- a.** Heritage is that complex of man’s works in which a community recognises its particular and specific values and with which it identifies. Identification and specification of heritage is therefore a process related to the choice of values.
- b.** Monument: A monument is an entity identified as a bearers of worth and forming a support to memory. In it, memory recognises aspects that are pertinent to human deeds and thoughts, associated with the historic time line. This may still be within our reach.
- c.** Authenticity means the sum of substantial, historically ascertained characteristics; from the original up to the current state, as an outcome of the various transformations that have occurred over time.
- d.** Identity is understood as the common reference of both present values generated in the sphere of a community and past values identified in its authenticity.
- e.** Conservation: Conservation is the complex of attitudes of a community that contributes to making the heritage and its monuments endure. Conservation is achieved with reference to the significance of the entity, with its associated values.
- f.** Restoration: Restoration is an operation directed on a heritage property, aiming at the conservation of its authenticity and its appropriation by the community.
- g.** Project and restoration: The project, resulting from the choice of conservation policies, is the process through which conservation of the built heritage and landscape is carried out.

## **CHARTA VON KRAKAU 2000 (inoffizielle deutsche Fassung) - PRINZIPIEN zur KONSERVIERUNG und RESTAURIERUNG des historischen Bauerbes**

Das **Südtiroler Burgeninstitut** freut sich, Ihnen erstmals eine deutsche Übersetzung der "CHARTA VON KRAKAU" anbieten zu können, auch wenn diese nicht als „offiziell anerkannt zu werten ist. **Dr. Anoushka van Rossem van Sinoutskerke** konnte gewonnen werden, den Text der Charta (als Ergänzung zur Charta von Venedig aus dem Jahre 1964) mit Hilfe von Frau **Dr. Brigitte Kauntz** auf Basis einer englischen und einer italienischen Übersetzung aus dem Polnischen ins Deutsche zu übertragen. Das Südtiroler Burgeninstitut bedankt sich bei den beiden Übersetzerinnen für ihre ehrenamtliche Tätigkeit, aber auch bei Baron Dr. Alexander von Hohenbühel, der die Initiative vorantrieb.

Dr. Carl-Philipp Baron Hohenbühel  
Präsident des Südtiroler Burgeninstituts

### **Prinzipien zur Konservierung und Restaurierung des Bauerbes - Charta von Krakau 2000**

Wir möchten zu Beginn all jenen Personen und Einrichtungen danken, die während der letzten drei Jahre an der Vorbereitung der Internationalen Konferenz zur Konservierung „Krakau 2000“ und an der endgültigen Vollversammlung "Cultural Heritage as the Foundation and the Development of Civilisation" teilgenommen haben. Als Teilnehmer an der Internationalen Konferenz zur Konservierung „Krakau 2000“ sind wir uns der großen Bedeutung bewusst, die mit dem kulturellen Erbe verbunden ist und möchten nun die folgenden Prinzipien den Verantwortlichen dieses Erbes vorlegen, damit sie als eine Art Richtlinie für den Einsatz zu dessen Schutz gelten mögen.

#### **Präambel**

Angeregt durch die Herausforderungen, die durch die Maßnahmen der europäischen Wiedervereinigung zu Beginn des neuen Jahrtausends entstanden sind, handeln wir im Sinne der Charta von Venedig und sind uns der internationalen Empfehlungen gewärtig, so leben wir im Bewusstsein einer Epoche, in welcher sich Einheiten heraus kristallisieren und immer mehr unterscheiden, obwohl sie in einem allgemeinen Kontext stehen, der sich immer mehr erweitert. Das heutige Europa ist durch kulturelle Vielfalt gekennzeichnet, und damit durch eine Vielzahl von grundlegenden Werten in Bezug auf das bewegliche, unbewegliche und intellektuelle Erbe und durch die verschiedenen Bedeutungen, die damit verbunden sind, sowie durch den daraus folgenden Interessenskonflikten. Diese Tatsache verpflichtet alle Denkmalschützer, immer empfänglicher für die Probleme und bewusster in den zu treffenden

Entscheidungen zu werden, die sie zur Verfolgung ihrer eigenen Ziele bewältigen müssen. Durch das gemeinsame Andenken und das Bewusstsein um die eigene Vergangenheit, ist jede

Gemeinschaft verantwortlich für die Identifikation und für die Verwaltung des eigenen Erbes;

Dieses Erbe kann nicht in festgelegter Weise definiert werden, es kann nur die Art definiert werden, die das Erbe kennzeichnet. Die Vielfalt in der Gesellschaft bringt auch eine große Mannigfaltigkeit der Idee des Erbes mit sich, wie es in der gesamten Gemeinschaft wahrgenommen wird. Die Denkmäler, als einzelne Elemente des Erbes sind die Träger der Werte, die sich im Laufe der Zeit ändern können. In dieser Wandelbarkeit der bestimmbar

Werte der historisch–kulturellen Bewegungen besteht von „Mal zu Mal“ die Besonderheit des

Erbes in den verschiedenen Momenten unserer Geschichte. Durch diesen Veränderungsprozess entwickelt jede Gemeinschaft das Bewusstsein und die Erkenntnis, dass

die **Notwendigkeit besteht, die einzelnen Elemente des Erbauten als Werteträger des eigenen gemeinsamen Erbes zu schützen**. Die Instrumente und die Methoden, die entwickelt wurden, um eine korrekte Wahrung zu erreichen, müssen an die verschiedenen Situationen angepasst werden, da diese einem fortlaufenden Prozess der Veränderung unterliegen. Der besondere Kontext für die Auswahl dieser Werte verlangt nach einer **Erstellung eines Konservierungsplanes** und nach einer Reihe von Entscheidungen. Diese müssen in einem Restaurierungsprojekt verankert werden, dem geeignete technische und strukturelle Kriterien zu Grunde liegen. Im Bewusstsein der tiefen Werte der Charta von Venedig und mit demselben Ziel vor Augen möchten wir die folgenden Prinzipien zur Konservierung und Restaurierung des Bauerbes in unserer Zeit vorschlagen.

### **Ziele und Methoden:**

**1. Das architektonische, urbane und landschaftliche Erbe** ist - wie die einzelnen Kunstwerke davon – das Ergebnis einer Identifikation, verknüpft mit den verschiedenen historischen Momenten und den diversen soziokulturellen Umfeldern. Unser Ziel ist die Bewahrung dieses Erbes. Die Konservierung kann durch verschiedene Eingriffe erfolgen, wie zum Beispiel die Kontrolle der Umwelt, die Pflege, die Wiederherstellung, die Restaurierung, die Erneuerung und die Umstrukturierung. Jeder Eingriff bedingt Entscheidungen und Verantwortung in Bezug auf das Erbe in seiner Gesamtheit, auch für jene Teile, denen derzeit

zwar noch keine besondere Bedeutung beigemessen wird, die aber in Zukunft wichtig sein könnten.

**2. Die Pflege und die Instandhaltung sind für die Erhaltung des kulturellen Erbes grundlegend.** Diese Voraussetzungen müssen durch systematische Forschung, Überprüfung und Kontrolle gewährleistet werden. Ein möglicher Verfall muss vorausgesehen und beschrieben sowie geeigneten Maßnahmen zur Vorbeugung unterzogen werden.

**3. Die Erhaltung des Bauerbes erfolgt durch das Restaurierungsprojekt, welches die Strategien für eine nachhaltige Konservierung beinhaltet.** Dieses Restaurierungsprojekt muss sich auf eine Reihe von geeigneten Techniken stützen und muss aufgrund eines Erkenntnisprozesses vorbereitet werden, der die Einholung von Informationen und die gründliche Kenntnis des Gebäudes oder des Ortes vorsieht. Dieser Prozess umfasst das Ausmaß, die strukturellen Untersuchungen und graphischen Analysen sowie die Identifikation der geschichtlichen, künstlerischen und soziokulturellen Bedeutung; das Projekt bedarf der Miteinbeziehung aller zuständigen Disziplinen und wird von einer in Erhaltung und Restaurierung erfahrenen und qualifizierten Person geleitet.

**4. Die Wiederherstellung von gesamten „stilgerechten“ Teilen muss vermieden werden. Die Wiederherstellung von begrenzten Teilen, die von architektonischer Bedeutung sind, können unter der Bedingung akzeptiert werden, dass sie auf präzise und**

**unanfechtbare Dokumentation basieren.** Sollte eine korrekte Nutzung des Gebäudes neue Strukturen verlangen, so muss die Ergänzung weiterer Teile von räumlicher oder funktionaler

Wichtigkeit mit einer zeitgenössischen Architektursprache bewerkstelligt werden. Die Wiederherstellung eines gesamten Gebäudes, das durch Krieg oder auf natürliche Art und Weise zerstört wurde, wird nur durch außergewöhnliche soziale oder kulturelle Beweggründe

gestattet, welche die Identität einer gesamten Gemeinschaft betreffen.

### **Verschiedene Arten von Bauerbe**

#### **5. Auf Grund der besonderen Verwundbarkeit des archäologischen Erbes, muss jeder Eingriff, eng mit dem Kontext, dem Umfeld und der Landschaft in Beziehung stehen.**

Zerstörende Ausmaße der Grabungen müssen so weit wie möglich in Grenzen gehalten werden. Die archäologischen Fundstücke müssen bei jeder Grabung ausführlich dokumentiert

werden. Wie in anderen Fällen muss der Eingriff zur Konservierung archäologischer Fundstücke dem Prinzip des minimalen Eingriffes folgen und muss von Fachleuten mit streng kontrollierten Techniken und Methoden ausgeführt werden.

#### **6. Das Ziel der Erhaltung von Denkmälern und historischen Gebäuden in einem städtischen oder ländlichen Umfeld ist die Beibehaltung der Echtheit und Unversehrtheit auch in Bezug auf die Innenräume, die Einrichtung, die Dekorationen, die Feinarbeiten sowie deren architektonischen und dokumentarischen Merkmalen.**

Derartige Konservierung verlangt nach einem geeigneten „Restaurierungsprojekt“, das die Methoden und Ziele abgrenzt; in vielen Fällen ist eine korrekte Nutzung möglich, die mit den architektonischen Bedingungen der Räumlichkeiten und Bedeutungen übereinstimmt. Die Eingriffe an den Gebäuden sollen besonderes Augenmerk auf jene vergangene Epochen lenken, welche in diesen Gebäuden Spuren hinterlassen haben.

#### **7. Das architektonische Dekor, die Skulpturen und die künstlerischen Gegenstände, die eng mit dem Bauerbe verbunden sind, müssen mittels eines spezifischen Projektes erhalten werden, das mit dem Gesamtprojekt verbunden ist.** Dies setzt voraus, dass der Restaurator die geeignete Kompetenz und Ausbildung besitzt, sowie die kulturelle, und arbeitstechnische Fähigkeit, die ihm die Interpretation der Forschungsergebnisse erlaubt, die sich auf die spezifischen künstlerischen Fächer beziehen. Das Restaurierungsprojekt muss einen korrekten Ansatz zur Erhaltung der gesamten Einrichtung, der Dekorationen, und der Skulpturen garantieren und zwar, indem sowohl die traditionellen handwerklichen Techniken

als auch deren notwendige Unversehrtheit als grundlegender Bestandteil des gebauten Erbgutes respektiert wird.

#### **8. Die Stadt und die historischen Dörfer – in ihrem territorialen Umfeld - bilden einen wichtigen Teil unseres universellen Erbes, und müssen als Einheit von Strukturen, Räumen und menschlichen Aktivitäten gesehen werden, welche normalerweise einem andauernden Prozess der Entwicklung und Veränderung unterliegen.** Diese Tatsache bezieht alle Bereiche der Bevölkerung mit ein und verlangt nach einem Prozess der integrierten Planung, in dem sich eine große Verschiedenartigkeit an Eingriffen ansiedelt. Die Erhaltung im städtischen Umfeld hat einen Komplex von Gebäuden und offenen Plätzen zum

Gegenstand, die Teil größerer städtischer Gebiete sind, oder kleine, geschlossene Städte oder Dorfkerne mit unantastbaren Werten. In diesem Zusammenhang besteht der Eingriff darin, sich immer auf die Stadt in ihrer morphologischen, funktionalen und strukturellen Gesamtheit, als Teil ihres Territoriums, ihres Umfeldes und der umliegenden Landschaft zu beziehen. Die Gebäude in historischen Gebieten können auch einen hohen architektonischen

Wert an sich aufweisen, sie müssen aber wegen ihrer organischen Einheit, ihrer dimensional, baulichen, räumlichen, dekorativen und farblichen Merkmale geschützt werden, die sie als Bindeteile charakterisieren, die unauflöslich sind in der von der Stadt aufgestellten organischen Einheit. Das Restaurierungsprojekt von historischen Städten und Dörfern muss die Leitung der Arbeiten und eine Überprüfung der Tragbarkeit aller Entscheidungen vorsehen, indem die Aspekte, die das Erbgut betreffen, zusammen mit den sozialen und ökonomischen Gesichtspunkten betrachtet werden. In diesem Sinne soll zuerst auf das Studium der korrekten Methoden zur Kenntnis der Veränderungskräfte und der Verwaltungsinstrumente der Arbeit die Kenntnis der Feinarbeit folgen. Das Restaurierungsprojekt von historischen Gebieten übernimmt die Gebäude des Bindegewebes

in ihrer zweifachen Funktion: **a)** in den Elementen, die die Räume der Stadt in ihrer Gesamtform bestimmen und **b)** in den Erschließungssystemen von internen Räumen, die dem Gebäude selbst sehr wesensgleich sind.

**9. Die Landschaft, die als kulturelles Erbe verstanden wird, entsteht aus der lange anhaltenden Wechselwirkung in den verschiedenen Gesellschaften zwischen dem Menschen, der Natur und dem physischen Umfeld.** Sie ist Zeuge der Beziehungsentwicklung der Gesellschaft und der Individuen mit ihrer Umgebung. Die Erhaltung, der Schutz und die Entwicklung der Landschaft nimmt Bezug auf menschliche und natürliche Eigenschaften, indem sie sie mit mentalen und unberührbaren Werten vervollständigt. Es ist wichtig, die Eigenschaften der Landschaft zu verstehen und zu respektieren und geeignete Gesetze und Regeln anzuwenden, um die betreffenden, territorialen Funktionen mit den essentiellen Werten in Einklang zu bringen. In vielen Gesellschaften steht die Landschaft geschichtlich gesehen in engem Zusammenhang mit den städtischen Gebieten. Die Integration zwischen der Erhaltung der kulturellen Landschaft, die tragbare Entwicklung in den Regionen und Orten, die sich durch landwirtschaftliche Tätigkeiten und naturbezogene Eigenschaften hervorheben, setzt das Verständnis und das Bewusstsein um die zeitlichen Bezüge voraus. Diese Tatsache führt zur Bildung von Bindungen mit gebauter Umgebung der Metropolen und der Städte. Die integrierte Erhaltung der archäologischen und fossilen Fundstätten und die Entwicklung einer sehr dynamischen Landschaft binden soziale, kulturelle und ästhetische Werte.

**10. Die Rolle der Techniken zur Erhaltung und Restaurierung ist an die interdisziplinäre, wissenschaftliche Erforschung von den spezifischen Materialien und Techniken gebunden, welche bei der Erbauung, Reparatur und Restaurierung der denkmalgeschützten Gebäude verwendet wurden. Der gewählte Eingriff muss die ursprüngliche Funktion berücksichtigen und die Vereinbarkeit mit den Materialien, den Strukturen und den bestehenden architektonischen Werten garantieren.** Neue Materialien und neue Technologien müssen strengstens geprüft, verglichen und an die zur Erhaltung bestehenden Notwendigkeiten angepasst werden. Sobald die Anwendung von neuen Techniken vor Ort von besonderer Bedeutung für die Erhaltung des ursprünglichen

Baus ist, ist eine kontinuierliche Überwachung der erlangten Ergebnisse notwendig, wobei deren Verhalten im Lauf der Zeit und die Möglichkeit, den Prozess rückgängig zu machen, in Betracht gezogen werden sollten. Das Wissen um traditionelle Materialien und Techniken soll angeregt werden, sowie deren Erhaltung im Kontext der modernen Gesellschaft, da sie ja selbst ein wichtiger Bestandteil des Erbgutes sind.

## Organisation

**11. Die Organisation des Veränderungsprozesses, der Verwandlung und Entwicklung der historischen Städte sowie des kulturellen Erbes im allgemeinen, setzt sich aus der andauernden Kontrolle der Dynamiken der Veränderung selbst, der geeigneten Entscheidungen und der Ergebnisse zusammen.** Besonderes Augenmerk soll auf die Optimierung der Betriebskosten gelegt werden. Als wesentlicher Teil des Erhaltungsprozesses

sind die Risiken zu erkennen, denen das Bauerbe in besonderen Fällen unterliegen könnte, außerdem sollen die geeigneten Vorsichtsmaßnahmen, Eingriffs- und Notvorkehrungen vorgesehen werden. Der Kulturtourismus sollte, abgesehen von seinem positiven Einfluss auf die örtliche Wirtschaft, auch als Risikofaktor betrachtet werden. Die Erhaltung des kulturellen

Erbgutes soll wesentlicher Bestandteil der Planung und des Organisationsprozesses einer Gemeinschaft sein und soll somit zu einer annehmbaren, qualitativen, wirtschaftlichen und sozialen Entwicklung der Gemeinschaft beitragen.

**12. Die Vielfältigkeit der Werte des Erbgutes und die Verschiedenartigkeit der Interessen, erfordert eine Kommunikationsstruktur, die die reelle Teilnahme sowohl der Bewohner als auch der Fachleute und Leiter an diesem Prozess garantiert.** Es gehört zur Verantwortung der Gemeinschaft, geeignete Methoden und Strukturen festzusetzen, die die wirkliche Teilnahme der Personen und der Körperschaften an diesem Entscheidungsprozess garantieren.

## Formation und Ausbildung

**13. Die Formation und Ausbildung zur Erhaltung der historischen Bausubstanz fordert einen Prozess der sozialen Einbeziehung und sollte in die nationalen Erziehungssysteme auf allen Ebenen integriert sein.** Die Komplexität des Restaurierungsprojektes oder eines jeden anderen Eingriffes zur Erhaltung, die historische, technische, kulturelle und wirtschaftliche Aspekte betrifft, setzt die Ernennung eines Verantwortlichen mit der geeigneten Ausbildung voraus. Die Ausbildung der Konservatoren soll interdisziplinär sein und sieht sorgfältige Studien der Architekturgeschichte, der Theorie und Konservierungstechnik vor. Sie soll die geeignete Vorbereitung garantieren, die notwendig ist, um die Forschungsprobleme zu lösen und um die Eingriffe zur Erhaltung und zur Restaurierung professionell und verantwortungsbewusst durchzuführen. Die Fachleute und Techniker in den Disziplinen für die Konservierung müssen die geeigneten Methoden, die richtigen Techniken beherrschen, sowie aktuelle Diskussionen zu den Theorien und zu den anzuwendenden Konservierungstechniken aufnehmen. Die Qualität der zur Verwirklichung des Restaurierungsprozesses technisch und künstlerisch spezialisierten Arbeitskraft muss sich

auch durch eine bessere Vorbereitung der Arbeiter im Bereich des professionellen Handwerks steigern.

## **Gesetzliche Maßnahmen**

**14. Der Schutz und die Erhaltung der historischen Bausubstanz kann besser gewährleistet werden, wenn geeignete gesetzliche und verwaltungstechnische Maßnahmen getroffen werden.** Dieses Ziel kann besser erreicht werden, wenn die Konservierungsarbeit nur Fachleuten aus diesem Bereich anvertraut oder unterstellt wird. Durch gesetzliche Normen kann ein Zeitraum für ein Praktikum als ein Teil eines strukturellen Programms vorgesehen werden. Besonderes Augenmerk soll auf die neu ausgebildeten Konservatoren gelegt werden, die in Zukunft die Erlaubnis zur Ausübung des Freiberufs erhalten, auch unter der Supervision eines Freiberuflers dieser selben Kategorie.

## **Anhänge und Definitionen**

**Das Verfassungskomitee der „Charta von Krakau“ hat folgende grundlegende Konzepte in der Art benutzt, die wie folgt ausgelegt werden.**

**a. Kulturgut:** Das Kulturgut ist die Einheit des menschlichen Werkes, in welcher eine Gemeinschaft die besonderen und spezifischen Werte erkennt, mit denen sie sich identifiziert.

Die Identifikation und die Definition der Werke als Kulturgut ist somit ein Prozess der Auswahl von (gewissen) Werten.

**b. Denkmal:** Das Denkmal ist ein einzelnes Werk des Kulturgutes, das als sog. Wertträger und als Gedächtnisträger anerkannt wird. In ihm werden die wichtigen Aspekte anerkannt, die das Tun und das Denken des Menschen betreffen, die im Lauf der Geschichte wiederzufinden sind und von uns selbst angenommen werden können.



# Nara Document on Authenticity

(Nara Document on Authenticity. UNESCO, ICCROM, ICOMOS, Experts meeting, 1-6  
November 1994)

Text source <http://whc.unesco.org/archive/nara94.htm> (UNESCO 08.12.2010)

German version (S. 5 ff.)

[http://www.dnk.de/\\_uploads/media/174\\_1994\\_UNESCO\\_NaraDokument.pdf](http://www.dnk.de/_uploads/media/174_1994_UNESCO_NaraDokument.pdf) (Deutsches  
Nationalkomitee für Denkmalschutz, 09.12.2010)

## Preamble

1. We, the experts assembled in Nara (Japan), wish to acknowledge the generous spirit and intellectual courage of the Japanese authorities in providing a timely forum in which we could challenge conventional thinking in the conservation field, and debate ways and means of broadening our horizons to bring greater respect for cultural and heritage diversity to conservation practice.
2. We also wish to acknowledge the value of the framework for discussion provided by the World Heritage Committee's desire to apply the test of authenticity in ways which accord full respect to the social and cultural values of all societies, in examining the outstanding universal value of cultural properties proposed for the World Heritage List.
3. The Nara Document on Authenticity is conceived in the spirit of the Charter of Venice 1964, and builds on it and extends it in response to the expanding scope of cultural heritage concerns and interests in our contemporary world.
4. In a world that is increasingly subject to the forces of globalization and homogenization, and in a world in which the search for cultural identity is sometimes pursued through aggressive nationalism and the suppression of the cultures of minorities, the essential contribution made by the consideration of authenticity in conservation practice is to clarify and illuminate the collective memory of humanity.

## Cultural diversity and heritage diversity

5. The diversity of cultures and heritage in our world is an irreplaceable source of spiritual and intellectual richness for all humankind. The protection and enhancement of cultural and heritage diversity in our world should be actively promoted as an essential aspect of human development.
6. Cultural heritage diversity exists in time and space, and demands respect for other cultures and all aspects of their belief systems. In cases where cultural values appear to be in conflict, respect for cultural diversity demands acknowledgment of the legitimacy of the cultural values of all parties.
7. All cultures and societies are rooted in the particular forms and means of tangible and intangible expression which constitute their heritage, and these should be respected.
8. It is important to underline a fundamental principle of UNESCO, to the effect that the cultural heritage of each is the cultural heritage of all. Responsibility for cultural heritage and the management of it belongs, in the first place, to the cultural community that has generated it, and subsequently to that which cares for it. However, in addition to these responsibilities, adherence to the international charters and conventions developed for conservation of cultural heritage also obliges consideration of the principles and responsibilities flowing from them. Balancing their own requirements with those of other cultural communities is, for each community, highly desirable, provided achieving this

balance does not undermine their fundamental cultural value.

## Values and authenticity

9. Conservation of cultural heritage in all its forms and historical periods is rooted in the values attributed to the heritage. Our ability to understand these values depends, in part, on the degree to which information sources about these values may be understood as credible or truthful. Knowledge and understanding of these sources of information, in relation to original and subsequent characteristics of the cultural heritage, and their meaning, is a requisite basis for assessing all aspects of authenticity.

10. Authenticity, considered in this way and affirmed in the Charter of Venice, appears as the essential qualifying factor concerning values. The understanding of authenticity plays a fundamental role in all scientific studies of the cultural heritage, in conservation and restoration planning, as well as within the inscription procedures used for the World Heritage Convention and other cultural heritage inventories.

11. All judgments about values attributed to cultural properties as well as the credibility of related information sources may differ from culture to culture, and even within the same culture. It is thus not possible to base judgments of values and authenticity within fixed criteria. On the contrary, the respect due to all cultures requires that heritage properties must be considered and judged within the cultural contexts to which they belong.

12. Therefore, it is of the highest importance and urgency that, within each culture, recognition be accorded to the specific nature of its heritage values and the credibility and truthfulness of related information sources.

13. Depending on the nature of the cultural heritage, and its cultural context, authenticity judgments may be linked to the worth of a great variety of sources of information. Aspects of the sources may include form and design, materials and substance, use and function, traditions and techniques, location and setting, and spirit and feeling, and other internal and external factors. The use of these sources permits elaboration of the specific artistic, historic, social, and scientific dimensions of the cultural heritage being examined.

## Definitions

**CONSERVATION:** all operations designed to understand a property, know its history and meaning, ensure its material safeguard, and, if required, its restoration and enhancement.

**INFORMATION SOURCES:** all physical, written, oral, and figurative sources which make it possible to know the nature, specificities, meaning, and history of the cultural heritage.

[NB This text was adopted at the close of the Nara Conference. It remains subject to further minor modification to reconcile fully the English and French versions.]

Nara Document on Authenticity:

At the Nara Conference on Authenticity, held from 1-6 November 1994, forty five participants from twenty eight countries discussed the many complex issues associated with defining and assessing authenticity. It was noted that in some languages of the world, there is no word to express precisely the concept of authenticity.

The results of the experts' deliberations are contained in the Nara Document on Authenticity. The World Heritage Committee will note that there was a general consensus that authenticity is an essential element in defining, assessing, and monitoring cultural heritage. The experts gave particular attention to exploring the diversity of cultures in the world and the many expressions of this diversity, ranging from monuments and sites through cultural landscapes to intangible heritage. Of particular importance in the view that the concept and application of authenticity as it relates in cultural heritage is rooted in specific cultural contexts and should be considered accordingly.

The experts considered that an expanded dialogue in different regions of the world and among specialist groups concerned with the diversity of cultural heritage was essential to further refine the concept and application of authenticity as it relates to cultural heritage. Such on-going dialogue will be encouraged by ICOMOS, ICCROM, and the World Heritage Centre, and will be brought to the Committee's attention as appropriate.

#### Recommendation

The World Heritage Committee is encouraged to take into consideration the principles and views contained in the Nara Document on Authenticity in its evaluation of properties nominated for inclusion on the World Heritage List.

## Das Nara-Dokument zur Echtheit/Authentizität

Nara-Konferenz zur Authentizität bezogen auf die Welterbe-Konvention

Nara, 1. bis 6. November 1994

### Einleitung

Diese Anlage enthält das Nara-Dokument zur Echtheit, das von den 45 Teilnehmern der Nara-Konferenz zur Echtheit im Sinne des Welterbe-Übereinkommens, die vom 1. bis 6. November 1994 in Nara, Japan, stattfand, entworfen wurde. Die Nara-Konferenz wurde in Zusammenarbeit mit der UNESCO, mit ICCROM und ICOMOS organisiert.

Das Komitee für das Erbe der Welt prüfte den Bericht des Nara-Treffens zur Echtheit auf seiner 18. Tagung (Phuket, Thailand, 1994) (siehe Dokument WHC-94/CONF. 003/16).

Auf nachfolgenden Sachverständigentreffen wurde das Konzept der Echtheit im Sinne des Welterbe-Übereinkommens weiter ausgearbeitet.

### Präambel

1. Wir, die in Nara (Japan) versammelten Sachverständigen, begrüßen die Großzügigkeit und den intellektuellen Mut der japanischen Behörden, die uns zum richtigen Zeitpunkt die Gelegenheit zu einem Forum gegeben haben, in dem wir die konventionelle Denkweise im Bereich der Erhaltung auf den Prüfstand stellen und Wege und Mittel zur Erweiterung unseres Horizonts erörtern konnten, um für eine größere Achtung der Vielfalt der Kulturen und des Erbes in der Erhaltungspraxis zu sorgen.
2. Wir haben ferner den Wert des Diskussionsforums zu schätzen gewusst, das durch den Wunsch des Komitees für das Erbe der Welt entstand, den Test der Echtheit bei der Prüfung des außergewöhnlichen universellen Wertes der für die Liste des Erbes der Welt vorgeschlagenen Kulturgüter so durchzuführen, dass die sozialen und kulturellen Werte aller Gesellschaften umfassend geachtet werden.
3. Das Nara-Dokument zur Echtheit ist im Geiste der Charta von Venedig von 1964 abgefasst. Es baut auf ihr auf und erweitert sie als Reaktion auf den immer größeren Raum, den Fragen und Belange des Kulturerbes in unserer heutigen Welt einnehmen.
4. In einer Welt, die zunehmend den Kräften der Globalisierung und Vereinheitlichung unterworfen ist und in der die Suche nach kultureller Identität manchmal über einen aggressiven Nationalismus und die Unterdrückung der Kulturen der Minderheiten erfolgt, kann die Prüfung der Echtheit im Bereich der Erhaltung vor allem dazu beitragen, das kollektive Gedächtnis der Menschheit wach zu halten und zu schärfen.

## **Kulturelle Vielfalt und Vielfalt des Erbes**

5. Die Vielfalt der Kulturen und des Erbes unserer Welt ist eine unersetzliche Quelle spirituellen und intellektuellen Reichtums der gesamten Menschheit. Die Vielfalt der Kulturen und des Erbes unserer Welt sollte als wesentlicher Aspekt der menschlichen Entwicklung aktiv geschützt und gefördert werden.
6. Die Vielfalt des Kulturerbes besteht in Zeit und Raum und gebietet die Achtung anderer Kulturen und aller Aspekte ihrer Überzeugungen. In Fällen, in denen kulturelle Werte miteinander in Konflikt zu geraten scheinen, fordert die Achtung der kulturellen Vielfalt die Anerkennung der Rechtmäßigkeit der kulturellen Werte aller Parteien.
7. Alle Kulturen und Gesellschaften wurzeln in den besonderen Formen und Mitteln des materiellen und immateriellen Ausdrucks, die ihr Erbe darstellen, und diese sollten geachtet werden.
8. Es ist wichtig, an das grundlegende Prinzip der UNESCO zu erinnern, dem zufolge das kulturelle Erbe des Einzelnen das kulturelle Erbe aller ist. Die Verantwortung für das Kulturerbe und seine Verwaltung obliegt zunächst einmal der kulturellen Gemeinschaft, die es hervorgebracht hat, und dann der Gemeinschaft, die es pflegt. Jedoch sind zusätzlich zu diesen Verantwortlichkeiten die Vertragsstaaten internationaler Chartas und Übereinkommen, die zur Erhaltung des Kulturerbes entwickelt wurden, verpflichtet, die sich aus ihnen ergebenden Grundsätze und Verantwortlichkeiten zu berücksichtigen. Es ist sehr erstrebenswert, dass jede Gemeinschaft einen Ausgleich zwischen ihren eigenen Bedürfnissen und denen anderer kultureller Gemeinschaften herstellt, sofern ein solcher Ausgleich nicht ihre eigenen grundlegenden kulturellen Werte untergräbt.

## **Werte und Echtheit**

9. Die Erhaltung des Kulturerbes in allen seinen Formen und aus allen geschichtlichen Epochen beruht auf dem ihm beigemessenen Wert. Unsere Fähigkeit, diesen Wert zu verstehen, hängt unter anderem davon ab, inwieweit wir die Informationsquellen zu diesem Wert als glaubwürdig oder verlässlich ansehen. Die Kenntnis und das Verständnis dieser Informationsquellen in Bezug auf die ursprünglichen und später hinzugekommenen Merkmale des Kulturerbes und ihrer Bedeutung sind die grundlegende Voraussetzung für die Beurteilung aller Aspekte der Echtheit.
10. Die in dieser Weise verstandene und in der Charta von Venedig bekräftigte Echtheit erscheint als das wesentliche Merkmal zur Bestimmung des Wertes eines Gutes. Das Verständnis der Echtheit spielt in allen wissenschaftlichen Studien zum Kulturerbe, bei der Planung der Erhaltung und Restaurierung und bei den Verfahren zur Eintragung in die Liste des Erbes der Welt oder in andere Kulturerbe-Verzeichnisse eine entscheidende Rolle.
11. Beurteilungen des den Kulturgütern beigemessenen Wertes und der Glaubwürdigkeit der sie betreffenden Informationsquellen können sich von Kultur zu Kultur und sogar innerhalb einer einzigen Kultur unterscheiden. Es ist daher nicht möglich, eine Beurteilung des Wertes und der Echtheit nach festgelegten Kriterien vorzunehmen. Im Gegenteil, die allen Kulturen geschuldete Achtung gebietet es, Kulturgüter innerhalb des kulturellen Kontextes zu betrachten und zu beurteilen, zu dem sie gehören.

12. Daher ist es von größter Bedeutung und Dringlichkeit, dass innerhalb jeder Kultur die Besonderheit des Wertes ihres Erbes und die Glaubwürdigkeit und Verlässlichkeit der es betreffenden Informationsquellen Anerkennung finden.
13. Je nach der Art des Kulturerbes, seines kulturellen Kontextes und seiner Entwicklung im Lauf der Zeit kann die Beurteilung der Echtheit vom Wert einer Vielzahl von Informationsquellen abhängen. Zu den Informationsquellen können Form und Gestaltung, Material und Substanz, Verwendung und Funktion, Traditionen und Techniken, Lage und Umfeld, Geist und Gefühl und andere interne oder externe Faktoren gehören. Der Rückgriff auf diese Informationsquellen ermöglicht es, die besondere künstlerische, geschichtliche, gesellschaftliche und wissenschaftliche Dimension des Kulturerbes, das zu prüfen ist, zu erfassen.

### **Anlage 1:**

#### **Vorschläge für Folgemaßnahmen (vorgeschlagen von Herb Stovel)**

1. Die Achtung der Vielfalt der Kulturen und des Erbes erfordert bewusste Bemühungen, um zu vermeiden, dass Formeln oder standardisierte Verfahren mechanisch angewandt werden, um die Echtheit bestimmter Denkmäler oder Stätten zu definieren oder zu bestimmen.
2. Will man die Echtheit so bestimmen, dass die Vielfalt der Kulturen und des Erbes geachtet wird, sind Ansätze erforderlich, welche die Kulturen ermutigen, auf ihr Wesen und ihre Bedürfnisse zugeschnittene analytische Verfahren und Instrumente zu entwickeln. Solche Ansätze können verschiedene Aspekte gemein haben:
  - Um die Beurteilung der Echtheit zu gewährleisten, ist eine multidisziplinäre Zusammenarbeit und ein richtiger Einsatz des gesamten verfügbaren Fachwissens und aller verfügbaren Kenntnisse erforderlich;
  - Es ist erforderlich sicherzustellen, dass der den Gütern beigemessene Wert tatsächlich repräsentativ für eine Kultur und die Vielfalt ihrer Ausdrucksformen, insbesondere ihrer Denkmäler und Stätten, ist;
  - Es ist erforderlich, das besondere Wesen der Echtheit von Denkmälern und Stätten klar zu dokumentieren, damit diese Dokumente als praktischer Leitfaden für ihre künftige Behandlung und Überwachung zur Verfügung stehen;
  - Es ist erforderlich, die Beurteilung der Echtheit im Lichte der sich wandelnden Werte und Umstände zu aktualisieren.
3. Besonders wichtig ist es, nach Möglichkeit sicherzustellen, dass der den Gütern beigemessene Wert geachtet wird, und dass es bei seiner Bestimmung Bemühungen gibt, einen weitestgehenden fächerübergreifenden und gesellschaftlichen Konsens über diesen Wert herzustellen.
4. Die Bemühungen sollten ferner auf der internationalen Zusammenarbeit aller, die ein Interesse an der Erhaltung des Kulturerbes haben, aufbauen und diese fördern, um die weltweite Achtung und das Verständnis für die unterschiedlichen Ausdrucksformen und Werte der einzelnen Kulturen zu verbessern.
5. Der praktische Wert der Echtheitsprüfung im Rahmen der Erhaltung des gemeinsamen Erbes der Menschheit kann nur erhöht werden, wenn dieser Dialog fortgeführt und auf die verschiedenen Regionen und Kulturen der Welt ausgeweitet wird.

6. Das Bewusstsein der Öffentlichkeit für diese grundlegende Dimension des Erbes zu schärfen, ist eine unerlässliche Voraussetzung, um konkrete Maßnahmen für den Erhalt historischer Überreste ergreifen zu können. Dies bedeutet, ein größeres Verständnis für die Werte, für die die Kulturgüter stehen, zu entwickeln und die Rolle, die diese Denkmäler und Stätten in der heutigen Gesellschaft spielen, zu achten.

## **Anlage 2:**

### **Begriffsbestimmungen**

*Erhaltung:* Alle Bemühungen, die das Ziel haben, das Kulturerbe zu verstehen, seine Geschichte und seine Bedeutung zu kennen, seinen materiellen Erhalt und, falls erforderlich, seine Präsentation, Restaurierung und Förderung zu gewährleisten. (Als Kulturerbe gelten Denkmäler, Ensembles und Stätten von kulturellem Wert im Sinne des Artikels 1 des Welterbe-Übereinkommens.)

*Informationsquellen:* alle dinglichen, schriftlichen, mündlichen und figurativen Quellen, die es ermöglichen, Wesen, Besonderheiten, Bedeutung und Geschichte des Kulturerbes kennen zu lernen.



# CHARTER FOR THE CONSERVATION OF HISTORIC TOWNS AND URBAN AREAS

(Adopted by ICOMOS General Assembly in Washington D.C., October 1987)

Text source: [http://www.international.icomos.org/charters/towns\\_e.htm](http://www.international.icomos.org/charters/towns_e.htm) (ICOMOS – International Council on Monuments and Sights, 09.12.2010)

German version (S. 5 ff.):

[http://www.dnk.de/uploads/media/167\\_1987\\_ICOMOS\\_Charta\\_Washington.pdf](http://www.dnk.de/uploads/media/167_1987_ICOMOS_Charta_Washington.pdf) (Deutsches Nationalkomitee für Denkmalschutz, 09.12.2010)

## **PREAMBLE AND DEFINITIONS**

All urban communities, whether they have developed gradually over time or have been created deliberately, are an expression of the diversity of societies throughout history.

This charter concerns historic urban areas, large and small, including cities, towns and historic centres or quarters, together with their natural and man-made environments. Beyond their role as historical documents, these areas embody the values of traditional urban cultures. Today many such areas are being threatened, physically degraded, damaged or even destroyed, by the impact of the urban development that follows industrialisation in societies everywhere.

Faced with this dramatic situation, which often leads to irreversible cultural, social and even economic losses, the International Council on Monuments and Sites (ICOMOS) deems it necessary to draw up an international charter for historic towns and urban areas that will complement the "International Charter for the Conservation and Restoration of Monuments and Sites," usually referred to as "The Venice Charter." This new text defines the principles, objectives, and methods necessary for the conservation of historic towns and urban areas. It also seeks to promote the harmony of both private and community life in these areas and to encourage the preservation of those cultural properties, however modest in scale, that constitute the memory of mankind.

As set out in the UNESCO "Recommendation Concerning the Safeguarding and Contemporary Role of Historic Areas" (Warsaw - Nairobi, 1976), and also in various other international instruments, "the conservation of historic towns and urban areas" is understood to mean those steps necessary for the protection, conservation and restoration of such towns and areas as well as their development and harmonious adaptation to contemporary life.

## **PRINCIPLES AND OBJECTIVES**

**1.** In order to be most effective, the conservation of historic towns and other historic urban areas should be an integral part of coherent policies of economic and social development and of urban and regional planning at every level.

**2.** Qualities to be preserved include the historic character of the town or urban area and all those material and spiritual elements that express this character, especially:

**a)** Urban patterns as defined by lots and streets;

**b)** Relationships between buildings and green and open spaces;

**c)** The formal appearance, interior and exterior, of buildings as defined by scale, size, style, construction, materials, colour and decoration;

**d)** The relationship between the town or urban area and its surrounding setting, both natural and man-made; and

**e)** The various functions that the town or urban area has acquired over time.

Any threat to these qualities would compromise the authenticity of the historic town or urban area.

**3.** The participation and the involvement of the residents are essential for the success of the conservation programme and should be encouraged. The conservation of historic towns and urban areas concerns their residents first of all.

**4.** Conservation in a historic town or urban area demands prudence, a systematic approach and discipline. Rigidity should be avoided since individual cases may present specific problems.

## **METHODS AND INSTRUMENTS**

**5.** Planning for the conservation of historic towns and urban areas should be preceded by multidisciplinary studies.

Conservation plans must address all relevant factors including archaeology, history, architecture, techniques, sociology and economics.

The principal objectives of the conservation plan should be clearly stated as should the legal, administrative and financial measures necessary to attain them.

The conservation plan should aim at ensuring a harmonious relationship between the historic urban areas and the town as a whole.

The conservation plan should determine which buildings must be preserved, which should be preserved under certain circumstances and which, under quite exceptional circumstances, might be expendable.

Before any intervention, existing conditions in the area should be thoroughly documented.

The conservation plan should be supported by the residents of the historic area.

**6.** Until a conservation plan has been adopted, any necessary conservation activity should be carried out in accordance with the principles and the aims of this Charter and the Venice Charter.

**7.** Continuing maintenance is crucial to the effective conservation of a historic town or urban area.

**8.** New functions and activities should be compatible with the character of the historic town or urban area.

Adaptation of these areas to contemporary life requires the careful installation or improvement of public service facilities.

**9.** The improvement of housing should be one of the basic objectives of conservation.

**10.** When it is necessary to construct new buildings or adapt existing ones, the existing spatial layout should be respected, especially in terms of scale and lot size.

The introduction of contemporary elements in harmony with the surroundings should not be discouraged since such features can contribute to the enrichment of an area.

**11.** Knowledge of the history of a historic town or urban area should be expanded through archaeological investigation and appropriate preservation of archaeological findings.

**12.** Traffic inside a historic town or urban area must be controlled and parking areas must be planned so that they do not damage the historic fabric or its environment.

**13.** When urban or regional planning provides for the construction of major motorways, they must not penetrate a historic town or urban area, but they should improve access to them.

**14.** Historic towns should be protected against natural disasters and nuisances such as pollution and vibrations in order to safeguard the heritage and for the security and well-being of the residents.

Whatever the nature of a disaster affecting a historic town or urban area, preventative and repair measures must be adapted to the specific character of the properties concerned.

**15.** In order to encourage their participation and involvement, a general information programme should be set up for all residents, beginning with children of school age.

**16.** Specialised training should be provided for all those professions concerned with conservation.

## Charta von Washington

Internationale Charta zur Denkmalpflege in historischen Städten

VIII. Generalkonferenz

Washington 1987

### Präambel und Definitionen

Alle städtischen Gemeinwesen, die allmählich gewachsenen wie die planmäßig geschaffenen, sind Ausdruck vielfältiger gesellschaftlicher Entwicklungen im Lauf der Geschichte.

Die vorliegende Charta betrifft historische städtische Bereiche, große wie kleine Städte, Stadtkerne oder Stadtteile samt ihrer natürlichen und der von Menschen geschaffenen Umwelt. Über ihre Rolle als Geschichtszeugnisse hinaus verkörpern sie die Werte traditioneller städtischer Kultur. Doch als Folge der Stadtentwicklung, wie sie die Industrialisierung allenthalben mit sich bringt, sind heute viele dieser Bereiche bedroht, verfallen, beschädigt oder sogar der Zerstörung preisgegeben.

Angesichts dieser dramatischen Situation, die oft zu nicht wiedergutzumachenden kulturellen, sozialen und sogar wirtschaftlichen Verlusten führt, hält es der International Council on Monuments and Sites (ICOMOS) für notwendig, eine internationale Charta zur Denkmalpflege in historischen Städten abzufassen, welche die „Internationale Charta über die Konservierung und Restaurierung von Denkmälern und Ensembles“ (Charta von Venedig, 1964) ergänzen soll. Die neue Charta definiert Grundsätze, Ziele und Methoden zur Denkmalpflege in historischen Städten und städtischen Bereichen. Damit soll auch die Harmonie des individuellen und gemeinschaftlichen Lebens in diesem Bereich begünstigt und der gesamte kulturelle Besitz, selbst in seinen bescheidensten Formen, als historisches Erbe der Menschheit auf Dauer gesichert werden.

Wie in der UNESCO-Empfehlung zum Schutz historischer Ensembles und zu ihrer Rolle im heutigen Leben (Warschau – Nairobi, 1976) und in verschiedenen anderen internationalen Dokumenten sind unter Denkmalpflege in historischen Städten und städtischen Bereichen jene Maßnahmen zu verstehen, die für deren Schutz, Erhaltung und Restaurierung wie auch deren Entwicklung und harmonische Anpassung an das heutige Leben notwendig sind.

### Grundsätze und Ziele

1. Die Denkmalpflege in historischen Städten und städtischen Bereichen muß, um wirksam zu sein, in eine kohärente Politik der wirtschaftlichen und sozialen Entwicklung integriert sein und in der städtischen und regionalen Planung auf allen Ebenen Berücksichtigung finden.

2. Zu den Werten, die es zu bewahren gilt, gehören der historische Charakter der Stadt und alle jene materiellen und geistigen Elemente, in denen sich dieser Charakter ausdrückt, insbesondere:
  - a) die Anlage einer Stadt, wie sie durch Parzellen und Straßennetz bestimmt ist;
  - b) die Beziehung zwischen Bauwerken, Grünflächen und Freiflächen;
  - c) die innere und äußere Erscheinungsform von Bauwerken, wie sie durch Struktur und Stil, Maßstab und Volumen, Konstruktion und Materialien, Farbe und Dekor gegeben ist;
  - d) die Beziehungen zwischen der Stadt oder dem städtischen Bereich und der natürlichen und vom Menschen geschaffenen Umgebung;
  - e) die verschiedenen Funktionen, die die Stadt oder der städtische Bereich im Lauf der Zeit übernommen hat.

Jede Bedrohung dieser Werte stellt eine Gefahr für die Authentizität der historischen Stadt oder des städtischen Bereichs dar.

3. Teilnahme und Einbeziehung der Bewohner sind wesentlich für eine erfolgreiche Stadterhaltung und sollten gefördert werden. Man sollte nie vergessen, daß die Bewahrung historischer Städte und städtischer Bereiche in erster Linie deren Bewohner betrifft.
4. Die Denkmalpflagemassnahmen in einer historischen Stadt oder einem städtischen Bereich erfordern reife Überlegung, Methodik und Fachwissen. Dabei sollte jeder Dogmatismus vermieden werden, weil im Einzelfall spezifische Probleme zu berücksichtigen sind.

### **Methoden und Mittel**

5. Die Planung für die Erhaltung historischer Städte und städtischer Bereiche soll in multidisziplinärer Zusammenarbeit vorbereitet werden. Dabei muß unter Berücksichtigung aller relevanten Faktoren wie Archäologie, Geschichte, Architektur, Technik, Soziologie und Wirtschaft von einer Analyse der Gegebenheiten ausgegangen werden. Die Hauptziele der Erhaltungsplanung sollten ebenso klar definiert werden wie die gesetzlichen, administrativen und finanziellen Mittel, die zu ihrer Verwirklichung notwendig sind. Die Erhaltungsplanung sollte um ein ausgewogenes Verhältnis zwischen den historischen Stadtbereichen und der Stadt als Ganzem bemüht sein. Sie sollte Gebäude und Gebäudegruppen nennen, die zu erhalten oder unter bestimmten Bedingungen zu erhalten sind, unter Umständen auch Gebäude, auf die man im Ausnahmefall verzichten könnte. Vor jeglichem Eingriff muß der Vorzustand genauestens dokumentiert werden. Die Erhaltungsplanung sollte von den Stadtbewohnern mitgetragen werden.
6. Unabhängig vom Stand der Erhaltungsplanung sind alle notwendigen denkmalpflegerischen Maßnahmen gemäß den Grundsätzen und Zielen der vorliegenden Charta und der Charta von Venedig durchzuführen.
7. Die laufende Instandhaltung ist eine entscheidende Voraussetzung für die Bewahrung historischer Städte und städtischer Bereiche.

8. Neue Funktionen und Aktivitäten sowie die Einrichtung einer zum heutigen Leben gehörenden Infrastruktur müssen mit dem Charakter der historischen Stadt oder des städtischen Bereichs vereinbar sein.
9. Die Verbesserung der Wohnverhältnisse sollte zu den grundlegenden Zielen der Stadterhaltung gehören.
10. Falls es notwendig sein sollte, Gebäude neu zu errichten oder umzubauen, muß die bestehende räumliche Struktur, besonders Parzellenteilung und Maßstab, respektiert werden. Zeitgenössische Elemente können eine Bereicherung sein, soweit sie sich in das Ensemble einfügen.
11. Das Verständnis der Vergangenheit der historischen Städte sollte durch archäologische Untersuchungen und eine angemessene Präsentation der Ergebnisse der Stadtarchäologie vertieft werden.
12. Der Fahrzeugverkehr innerhalb einer historischen Stadt oder eines historischen Bereichs muß eingeschränkt werden; Areale zum Parken sind so anzulegen, daß sie weder ihre Umgebung noch die Stadtstruktur beeinträchtigen.
13. Das in der Stadt- oder Regionalplanung vorgesehene Netz von Hauptverkehrsstraßen sollte die Zugangsmöglichkeiten verbessern, ohne in die historische Stadt einzugreifen.
14. Vorsorgliche Maßnahmen zum Schutz der historischen Städte gegen Naturkatastrophen und Umweltschäden (Luftverschmutzung, Erschütterungen u. a.) müssen ebenso im Interesse der Sicherheit und des Wohlbefindens der Bewohner wie zur Bewahrung des historischen Erbes getroffen werden. Vorsorgliche Maßnahmen bzw. Reparaturmaßnahmen müssen unabhängig von der Natur drohender oder bereits eingetretener Katastrophen und Schäden dem besonderen Charakter der betroffenen Kulturgüter angepaßt sein.
15. Teilnahme und Einbeziehung der Stadtbewohner sollen durch ein allgemeines Informationsprogramm, das bereits in der Schule einsetzt, gefördert, und die Aktivitäten von Vereinigungen für Heimat- und Denkmalschutz ermutigt werden. Es sind Maßnahmen zur ausreichenden Finanzierung der Denkmalpflege zu beschließen.
16. Für alle an Denkmalpflege und Stadterhaltung beteiligten Berufe sollte die Möglichkeit einer speziellen fachlichen Ausbildung vorgesehen werden.

1987 von der VIII. ICOMOS-Generalkonferenz in Washington beschlossen und in ICOMOS Information 2, 1987 publiziert.

Deutsche Übersetzung auf der Grundlage des englischen und französischen Originaltextes durch Ernst Bacher (Präsident des ICOMOS Nationalkomitees Österreich), Ludwig Deiters (Präsident des ICOMOS Nationalkomitees Deutsche Demokratische Republik), Michael Petzet (Präsident des ICOMOS Nationalkomitees Bundesrepublik Deutschland) und Alfred Wyss (Vizepräsident des ICOMOS Nationalkomitees Schweiz), Basel, 3. November 1989.

# Convention for the Protection of the Architectural Heritage of Europe

Granada, 3.X.1985

Text source: <http://conventions.coe.int/Treaty/en/Treaties/Html/121.htm> (Council of Europe, 06.12.2010)

German version (S. 10 ff.):

[http://www.dnk.de/uploads/media/164\\_1985\\_Europarat\\_architektonischesErbe.pdf](http://www.dnk.de/uploads/media/164_1985_Europarat_architektonischesErbe.pdf) (Deutsches Nationalkomitee für Denkmalschutz, 06.12.2010)



The member States of the Council of Europe, signatory hereto,

Considering that the aim of the Council of Europe is to achieve a greater unity between its members for the purpose, *inter alia*, of safeguarding and realising the ideals and principles which are their common heritage;

Recognising that the architectural heritage constitutes an irreplaceable expression of the richness and diversity of Europe's cultural heritage, bears inestimable witness to our past and is a common heritage of all Europeans;

Having regard to the European Cultural Convention signed in Paris on 19 December 1954 and in particular to Article 1 thereof;

Having regard to the European Charter of the Architectural Heritage adopted by the Committee of Ministers of the Council of Europe on 26 September 1975 and to Resolution (76) 28, adopted on 14 April 1976, concerning the adaptation of laws and regulations to the requirements of integrated conservation of the architectural heritage;

Having regard to Recommendation 880 (1979) of the Parliamentary Assembly of the Council of Europe on the conservation of the European architectural heritage;

Having regard to Recommendation No. R (80) 16 of the Committee of Ministers to member States on the specialised training of architects, town planners, civil engineers and landscape designers, and to Recommendation No. R (81) 13 of the Committee of Ministers, adopted on 1 July 1981, on action in aid of certain declining craft trades in the context of the craft activity;

Recalling the importance of handing down to future generations a system of cultural references, improving the urban and rural environment and thereby fostering the economic, social and cultural development of States and regions;

Acknowledging the importance of reaching agreement on the main thrust of a common policy for the conservation and enhancement of the architectural heritage,

Have agreed as follows:

## Definition of the architectural heritage

### Article 1

For the purposes of this Convention, the expression "architectural heritage" shall be considered to comprise the following permanent properties:

1. monuments: all buildings and structures of conspicuous historical, archaeological, artistic, scientific, social or technical interest, including their fixtures and fittings;
2. groups of buildings: homogeneous groups of urban or rural buildings conspicuous for their historical, archaeological, artistic, scientific, social or technical interest which are sufficiently coherent to form topographically definable units;

3. sites: the combined works of man and nature, being areas which are partially built upon and sufficiently distinctive and homogeneous to be topographically definable and are of conspicuous historical, archaeological, artistic, scientific, social or technical interest.

## Identification of properties to be protected

### Article 2

For the purpose of precise identification of the monuments, groups of buildings and sites to be protected, each Party undertakes to maintain inventories and in the event of threats to the properties concerned, to prepare appropriate documentation at the earliest opportunity.

## Statutory protection procedures

### Article 3

Each Party undertakes:

1. to take statutory measures to protect the architectural heritage;
2. within the framework of such measures and by means specific to each State or region, to make provision for the protection of monuments, groups of buildings and sites.

### Article 4

Each Party undertakes:

1. to implement appropriate supervision and authorisation procedures as required by the legal protection of the properties in question;
2. to prevent the disfigurement, dilapidation or demolition of protected properties. To this end, each Party undertakes to introduce, if it has not already done so, legislation which:
  - a. requires the submission to a competent authority of any scheme for the demolition or alteration of monuments which are already protected, or in respect of which protection proceedings have been instituted, as well as any scheme affecting their surroundings;
  - b. requires the submission to a competent authority of any scheme affecting a group of buildings or a part thereof or a site which involves:
    - demolition of buildings,
    - the erection of new buildings,
    - substantial alterations which impair the character of the buildings or the site;
  - c. permits public authorities to require the owner of a protected property to carry out work or to carry out such work itself if the owner fails to do so;
  - d. allows compulsory purchase of a protected property.

### Article 5

Each Party undertakes to prohibit the removal, in whole or in part, of any protected monument, except where the material safeguarding of such monuments makes removal imperative. In these circumstances the competent authority shall take the necessary precautions for its dismantling, transfer and reinstatement at a suitable location.

## Ancillary measures

### Article 6

Each Party undertakes:

1. to provide financial support by the public authorities for maintaining and restoring the architectural heritage on its territory, in accordance with the national, regional and local competence and within the limitations of the budgets available;
2. to resort, if necessary, to fiscal measures to facilitate the conservation of this heritage;
3. to encourage private initiatives for maintaining and restoring the architectural heritage.

### Article 7

In the surroundings of monuments, within groups of buildings and within sites, each Party undertakes to promote measures for the general enhancement of the environment.

### Article 8

With a view to limiting the risks of the physical deterioration of the architectural heritage, each Party undertakes:

1. to support scientific research for identifying and analysing the harmful effects of pollution and for defining ways and means to reduce or eradicate these effects;
2. to take into consideration the special problems of conservation of the architectural heritage in anti-pollution policies.

## Sanctions

### Article 9

Each Party undertakes to ensure within the power available to it that infringements of the law protecting the architectural heritage are met with a relevant and adequate response by the competent authority. This response may in appropriate circumstances entail an obligation on the offender to demolish a newly erected building which fails to comply with the requirements or to restore a protected property to its former condition.

## Conservation policies

### Article 10

Each Party undertakes to adopt integrated conservation policies which:

1. include the protection of the architectural heritage as an essential town and country planning objective and ensure that this requirement is taken into account at all stages both in the drawing up of development plans and in the procedures for authorising work;
2. promote programmes for the restoration and maintenance of the architectural heritage;
3. make the conservation, promotion and enhancement of the architectural heritage a major feature of cultural, environmental and planning policies;
4. facilitate whenever possible in the town and country planning process the conservation and use of certain buildings whose intrinsic importance would not warrant protection within the meaning of Article 3, paragraph 1, of this Convention but which are of interest from the point of view of their setting in the urban or rural environment and of the quality of life;
5. foster, as being essential to the future of the architectural heritage, the application and development of traditional skills and materials.

#### Article 11

Due regard being had to the architectural and historical character of the heritage, each Party undertakes to foster:

- the use of protected properties in the light of the needs of contemporary life;
- the adaptation when appropriate of old buildings for new uses.

#### Article 12

While recognising the value of permitting public access to protected properties, each Party undertakes to take such action as may be necessary to ensure that the consequences of permitting this access, especially any structural development, do not adversely affect the architectural and historical character of such properties and their surroundings.

#### Article 13

In order to facilitate the implementation of these policies, each Party undertakes to foster, within its own political and administrative structure, effective co-operation at all levels between conservation, cultural, environmental and planning activities.

### Participation and associations

#### Article 14

With a view to widening the impact of public authority measures for the identification, protection, restoration, maintenance, management and promotion of the architectural heritage, each Party undertakes:

1. to establish in the various stages of the decision-making process, appropriate machinery for the supply of information, consultation and co-operation between the

- State, the regional and local authorities, cultural institutions and associations, and the public;
2. to foster the development of sponsorship and of non-profit-making associations working in this field.

## Information and training

### Article 15

Each Party undertakes:

1. to develop public awareness of the value of conserving the architectural heritage, both as an element of cultural identity and as a source of inspiration and creativity for present and future generations;
2. to this end, to promote policies for disseminating information and fostering increased awareness, especially by the use of modern communication and promotion techniques, aimed in particular:
  - a. at awakening or increasing public interest, as from school-age, in the protection of the heritage, the quality of the built environment and architecture;
  - b. at demonstrating the unity of the cultural heritage and the links that exist between architecture, the arts, popular traditions and ways of life at European, national and regional levels alike.

### Article 16

Each Party undertakes to promote training in the various occupations and craft trades involved in the conservation of the architectural heritage.

## European co-ordination of conservation policies

### Article 17

The Parties undertake to exchange information on their conservation policies concerning such matters as:

1. the methods to be adopted for the survey, protection and conservation of properties having regard to historic developments and to any increase in the number of properties concerned;
2. the ways in which the need to protect the architectural heritage can best be reconciled with the needs of contemporary economic, social and cultural activities;
3. the possibilities afforded by new technologies for identifying and recording the architectural heritage and combating the deterioration of materials as well as in the fields of scientific research, restoration work and methods of managing and promoting the heritage;
4. ways of promoting architectural creation as our age's contribution to the European heritage.

### Article 18

The Parties undertake to afford, whenever necessary, mutual technical assistance in the form of exchanges of experience and of experts in the conservation of the architectural heritage.

#### Article 19

The Parties undertake, within the framework of the relevant national legislation, or the international agreements, to encourage European exchanges of specialists in the conservation of the architectural heritage, including those responsible for further training.

#### Article 20

For the purposes of this Convention, a Committee of Experts set up by the Committee of Ministers of the Council of Europe pursuant to Article 17 of the Statute of the Council of Europe shall monitor the application of the Convention and in particular:

1. report periodically to the Committee of Ministers of the Council of Europe on the situation of architectural heritage conservation policies in the States Parties to the Convention, on the implementation of the principles embodied in the Convention and on its own activities;
2. propose to the Committee of Ministers of the Council of Europe measures for the implementation of the Convention's provisions, such measures being deemed to include multilateral activities, revision or amendment of the Convention and public information about the purpose of the Convention;
3. make recommendations to the Committee of Ministers of the Council of Europe regarding invitations to States which are not members of the Council of Europe to accede to this Convention.

#### Article 21

The provisions of this Convention shall not prejudice the application of such specific more favourable provisions concerning the protection of the properties described in Article 1 as are embodied in:

- the Convention for the Protection of World Cultural and Natural Heritage of 16 November 1972;
- the European Convention on the Protection of the Archaeological Heritage of 6 May 1969.

#### Final clauses

#### Article 22

1. This Convention shall be open for signature by the member States of the Council of Europe. It is subject to ratification, acceptance or approval. Instruments of ratification, acceptance or approval shall be deposited with the Secretary General of the Council of Europe.
2. This Convention shall enter into force on the first day of the month following the expiration of a period of three months after the date on which three member States

of the Council of Europe have expressed their consent to be bound by the Convention in accordance with the provisions of the preceding paragraph.

3. In respect of any member State which subsequently expresses its consent to be bound by it, the Convention shall enter into force on the first day of the month following the expiration of a period of three months after the date of the deposit of the instrument of ratification, acceptance or approval.

#### Article 23

1. After the entry into force of this Convention, the Committee of Ministers of the Council of Europe may invite any State not a member of the Council and the European Economic Community to accede to this Convention by a decision taken by the majority provided for in Article 20.d of the Statute of the Council of Europe and by the unanimous vote of the representatives of the Contracting States entitled to sit on the Committee.
2. In respect of any acceding State or, should it accede, the European Economic Community, the Convention shall enter into force on the first day of the month following the expiration of a period of three months after the date of deposit of the instrument of accession with the Secretary General of the Council of Europe.

#### Article 24

1. Any State may, at the time of signature or when depositing its instrument of ratification, acceptance, approval or accession, specify the territory or territories to which this Convention shall apply.
2. Any State may at any later date, by a declaration addressed to the Secretary General of the Council of Europe, extend the application of this Convention to any other territory specified in the declaration. In respect of such territory the Convention shall enter into force on the first day of the month following the expiration of a period of three months after the date of receipt of such declaration by the Secretary General.
3. Any declaration made under the two preceding paragraphs may, in respect of any territory specified in such declaration, be withdrawn by a notification addressed to the Secretary General. The withdrawal shall become effective on the first day of the month following the expiration of a period of six months after the date of receipt of such notification by the Secretary General.

#### Article 25

1. Any State may, at the time of signature or when depositing its instrument of ratification, acceptance, approval or accession, declare that it reserves the right not to comply, in whole or in part, with the provisions of Article 4, paragraphs c and d. No other reservations may be made.
2. Any Contracting State which has made a reservation under the preceding paragraph may wholly or partly withdraw it by means of a notification addressed to the Secretary General of the Council of Europe. The withdrawal shall take effect on the date of receipt of such notification by the Secretary General.
3. A Party which has made a reservation in respect of the provisions mentioned in paragraph 1 above may not claim the application of that provision by any other Party; it may, however, if its reservation is partial or conditional, claim the application of that provision in so far as it has itself accepted it.

## Article 26

1. Any Party may at any time denounce this Convention by means of a notification addressed to the Secretary General of the Council of Europe.
2. Such denunciation shall become effective on the first day of the month following the expiration of a period of six months after the date of receipt of such notification by the Secretary General.

## Article 27

The Secretary General of the Council of Europe shall notify the member States of the Council of Europe, any State which has acceded to this Convention and the European Economic Community if it has acceded, of:

- a. any signature;
- b. the deposit of any instrument of ratification, acceptance, approval or accession;
- c. any date of entry into force of this Convention in accordance with Articles 22, 23 and 24;
- d. any other act, notification or communication relating to this Convention.

In witness whereof the undersigned, being duly authorised thereto, have signed this Convention.

Done at Granada, this 3rd day of October 1985, in English and French, both texts being equally authentic, in a single copy which shall be deposited in the archives of the Council of Europe. The Secretary General of the Council of Europe shall transmit certified copies to each member State of the Council of Europe and to any State or to the European Economic Community invited to accede to this Convention.



## **Übereinkommen zum Schutz des architektonischen Erbes in Europa**

2. Europäische Konferenz der für das architektonische Erbe zuständigen Minister  
(mit Erläuterungsbericht)

Granada, 3. Oktober 1985

### **I. Text des Übereinkommens**

Die Mitgliedstaaten des Europarats, die dieses Übereinkommen unterzeichnen –  
von der Erwägung geleitet, daß es das Ziel des Europarats ist, eine engere Verbindung zwischen seinen Mitgliedern herbeizuführen, um unter anderem die Ideale und Grundsätze, die ihr gemeinsames Erbe bilden, zu wahren und zu fördern;

in der Erkenntnis, daß das architektonische Erbe einen unersetzlichen Ausdruck des Reichtums und der Vielfalt des europäischen Kulturerbes darstellt, ein einschätzbares Zeugnis unserer Vergangenheit und ein gemeinsames Erbe aller Europäer ist;

im Hinblick auf das am 19. Dezember 1954 in Paris unterzeichnete Europäische Kulturabkommen, insbesondere auf dessen Artikel 1;

im Hinblick auf die am 26. September 1975 vom Ministerkomitee des Europarats angenommene Europäische Charta des architektonischen Erbes und die am 14. April 1976 angenommene Entschließung (76) 28 über die Anpassung von Gesetzen und sonstigen Vorschriften an die Erfordernisse einer integrierten Erhaltung des architektonischen Erbes;

im Hinblick auf die Empfehlung 880 (1979) der Parlamentarischen Versammlung des Europarats über die Erhaltung des architektonischen Erbes Europas;

im Hinblick auf die Empfehlung Nr. R (80), 16 des Ministerkomitees an die Mitgliedstaaten über die Fachausbildung von Architekten, Städteplanern, Bauingenieuren und Landschaftsplanern sowie die am 1. Juli 1981 angenommene Empfehlung Nr. R (81) 13 des Ministerkomitees über Maßnahmen zur Unterstützung bestimmter vom Untergang bedrohter Handwerkszweige im Rahmen der handwerklichen Tätigkeit;

eingedenk dessen, daß es wichtig ist, zukünftigen Generationen ein System kultureller Bezugspunkte zu hinterlassen, die städtische und ländliche Umwelt zu verbessern und auf diese Weise die wirtschaftliche, soziale und kulturelle Entwicklung von Staaten und Regionen zu fördern;

in Anerkennung dessen, daß es wichtig ist, sich über die Schwerpunkte einer gemeinsamen Politik zur Erhaltung und Aufwertung des architektonischen Erbes zu einigen –

sind wie folgt übereingekommen:

## *Bestimmung des Begriffs „Architektonisches Erbe“*

### *Artikel 1*

Der Ausdruck „architektonisches Erbe“ im Sinne dieses Übereinkommens umfaßt folgende ortsfeste Güter:

1. Denkmäler: alle Bauwerke von herausragender geschichtlicher, archäologischer, künstlerischer, wissenschaftlicher, sozialer oder technischer Bedeutung, einschließlich ihres festen Inventars und ihrer beweglichen Ausstattung;
2. Ensembles: geschlossene Gruppen städtischer oder ländlicher Gebäude von herausragender geschichtlicher, archäologischer, künstlerischer, wissenschaftlicher, sozialer oder technischer Bedeutung, deren Zusammenhalt so groß ist, daß sie topographisch abgrenzbare Einheiten bilden;
3. Denkmalzonen: gemeinsame Werke von Mensch und Natur, bei denen es sich teilweise um bebaute Gebiete handelt, die aufgrund ihrer charakteristischen Eigenschaften und Geschlossenheit topographisch abgrenzbar und von herausragender geschichtlicher, archäologischer, künstlerischer, wissenschaftlicher, sozialer oder technischer Bedeutung sind.

### *Erfassung der zu schützenden Güter*

#### *Artikel 2*

Um die zu schützenden Denkmäler, Ensembles und Denkmalzonen genau zu erfassen, verpflichtet sich jede Vertragspartei, Bestandsverzeichnisse zu führen und in Fällen, in denen den betreffenden Gütern Gefahr droht, so früh wie möglich eine geeignete Dokumentation zu erstellen.

### *Gesetzliche Schutzverfahren*

#### *Artikel 3*

Jede Vertragspartei verpflichtet sich,

1. gesetzliche Maßnahmen zum Schutz des architektonischen Erbes zu treffen;
2. im Rahmen dieser Maßnahmen auf eine für jeden Staat oder jede Region spezifische Art und Weise Vorsorge für den Schutz der Denkmäler, Ensembles und Denkmalzonen zu treffen.

#### *Artikel 4*

Jede Vertragspartei verpflichtet sich,

1. geeignete Überwachungs- und Genehmigungsverfahren zur Gewährleistung des rechtlichen Schutzes der betreffenden Güter durchzuführen
2. zu verhindern, daß geschützte Güter verunstaltet, dem Verfall anheimgegeben oder zerstört werden. Zu diesem Zweck verpflichtet sich jede Vertragspartei, falls dies noch nicht geschehen ist, Rechtsvorschriften einzuführen,
  - a) die vorsehen, daß jedes Vorhaben, das die Niederlegung bzw. die Veränderung von Denkmälern vorsieht, die bereits geschützt sind oder für die ein Schutzverfahren eingeleitet worden ist, sowie jedes Vorhaben, das ihre Umgebung berührt, einer zuständigen Behörde vorzulegen sind;
  - b) die vorsehen, daß jedes Vorhaben, das ein Ensemble oder einen Teil davon oder eine Denkmalzone berührt und das
    - die Niederlegung von Gebäuden,

- die Errichtung neuer Gebäude,
- den Charakter des Ensembles oder der Stätte beeinträchtigende wissenschaftliche Änderungen

bedingt, einer zuständigen Behörde vorzulegen ist,

- c) die es den Behörden ermöglichen, von dem Eigentümer eines geschützten Gutes die Durchführung von Arbeiten zu verlangen oder diese Arbeiten selbst durchzuführen, wenn der Eigentümer dies unterläßt;
- d) welche die Enteignung eines geschützten Gutes erlauben.

#### *Artikel 5*

Jede Vertragspartei verpflichtet sich, die vollständige oder teilweise Versetzung eines geschützten Denkmals an eine andere Stelle zu verhindern, es sei denn, daß die materielle Sicherung dieses Denkmals die Versetzung unbedingt erforderlich macht. In einem derartigen Fall trifft die zuständige Behörde die erforderlichen Vorkehrungen für den Abbau des Denkmals, seine Verbringung und seinen Wiederaufbau an einer geeigneten Stelle.

#### *Begleitende Maßnahmen*

#### *Artikel 6*

Jede Vertragspartei verpflichtet sich,

1. in ihrem Hoheitsgebiet entsprechend den gesamtstaatlichen, regionalen und kommunalen Zuständigkeiten und im Rahmen der verfügbaren Haushaltsmittel durch die Behörden finanzielle Unterstützung für die Unterhaltung und Wiederherstellung des architektonischen Erbes zu gewähren;
2. erforderlichenfalls steuerliche Maßnahmen zu ergreifen, um die Erhaltung dieses Erbes zu erleichtern;
3. private Initiativen zur Unterhaltung und Wiederherstellung des architektonischen Erbes zu fördern.

#### *Artikel 7*

Jede Vertragspartei verpflichtet sich, in der Umgebung von Denkmälern, innerhalb von Ensembles und innerhalb von Denkmalzonen Maßnahmen zur allgemeinen Verbesserung der Umwelt einzuführen.

#### *Artikel 8*

Zur Begrenzung der Gefahren des physischen Verfalls des architektonischen Erbes verpflichtet sich jede Vertragspartei,

1. wissenschaftliche Forschungen zu unterstützen, welche die schädlichen Auswirkungen der Umweltverschmutzung ermitteln und analysieren und Mittel und Wege zur Verringerung oder Beseitigung dieser Auswirkung aufzeigen;
2. bei Maßnahmen gegen die Umweltverschmutzung die besonderen Probleme der Erhaltung des architektonischen Erbes zu berücksichtigen.

#### *Sanktionen*

#### *Artikel 9*

Jede Vertragspartei verpflichtet sich, im Rahmen ihrer Befugnisse sicherzustellen, daß bei Verstößen gegen Gesetze zum Schutz des architektonischen Erbes von der

zuständigen Behörde sachdienliche und angemessene Gegenmaßnahmen getroffen werden. Diese Maßnahmen können gegebenenfalls dazu führen, daß der Täter verpflichtet wird, ein neu errichtetes Gebäude, das den Anforderungen nicht entspricht, abzurechen, oder ein geschütztes Gut in seinen früheren Zustand zurückzusetzen.

### *Erhaltungsmaßnahmen*

#### *Artikel 10*

Jede Vertragspartei verpflichtet sich, integrierte Erhaltungsmaßnahmen zu treffen,

1. die den Schutz des architektonischen Erbes als wesentliches Ziel der Raumordnung und des Städtebaus umfassen und sicherstellen, daß diese Forderung sowohl bei der Aufstellung von Flächennutzungsplänen als auch bei den Genehmigungsverfahren für Bauarbeiten in jeder Phase berücksichtigt wird;
2. die Programme zur Wiederherstellung und Unterhaltung des architektonischen Erbes fördern;
3. welche die Erhaltung, Förderung und Aufwertung des architektonischen Erbes zu einem wesentlichen Aspekt der Kultur-, Umwelt- und Raumordnungspolitik machen,
4. die beim Planungsprozeß im Rahmen der Raumordnung und des Städtebaus, wann immer dies möglich ist, die Erhaltung und Nutzung bestimmter Gebäude erleichtern, deren Eigenbedeutung keinen Schutz im Sinne des Artikels 3, Absatz 1, rechtfertigt, die aber im Hinblick auf ihre Lage in der städtischen oder ländlichen Umgebung und auf die Lebensqualität von Interesse sind;
5. welche die Anwendung von Entwicklung traditioneller Fertigkeiten und Werkstoffe wegen ihrer wesentlichen Bedeutung für die Zukunft des architektonischen Erbes fördern.

#### *Artikel 11*

Jede Vertragspartei verpflichtet sich unter gebührender Beachtung des architektonischen und geschichtlichen Charakters des Erbes

- die zeitgemäße Nutzung geschützter Güter;
- soweit angemessen die Anpassung alter Gebäude an neue Nutzungsformen zu fördern.

#### *Artikel 12*

Ungeachtet der Tatsache, daß der öffentliche Zugang zu geschützten Gütern ein Wert an sich ist, verpflichtet sich jede Vertragspartei, die erforderlichen Maßnahmen zu treffen, um sicherzustellen, daß ein solcher Zugang keine Folgen, insbesondere bauliche Maßnahmen hervorruft, die den architektonischen und geschichtlichen Charakter dieser Güter und ihrer Umgebung beeinträchtigen.

#### *Artikel 13*

Um die Durchführung der Erhaltungsmaßnahmen zu erleichtern, verpflichtet sich jede Vertragspartei, im Rahmen ihrer politischen und verwaltungsmäßigen Ordnung auf allen Ebenen eine wirksame Zusammenarbeit zwischen Denkmalpflege, Kulturarbeit, Umweltschutz und Raumordnung zu fördern.

## *Mitwirkung und Vereinigungen*

### *Artikel 14*

Um die Wirkung der behördlichen Maßnahmen zur Erfassung, zum Schutz zur Wiederherstellung, Unterhaltung, Verwaltung und Förderung des architektonischen Erbes zu verstärken, verpflichtet sich jede Vertragspartei,

1. in den verschiedenen Phasen des Entscheidungsprozesses die organisatorischen Voraussetzungen für die wechselseitige Information, Konsultation und Zusammenarbeit zwischen Staat, Gebietskörperschaften, kulturellen Einrichtungen und Vereinigungen und der Öffentlichkeit zu schaffen;
2. die Entwicklung des Mäzenatentums und von auf diesem Gebiet tätigen, gemeinnützigen Vereinigungen zu fördern.

## *Information und Ausbildung*

### *Artikel 15*

Jede Vertragspartei verpflichtet sich,

1. das Bewußtsein der Öffentlichkeit für den Wert, der der Erhaltung des architektonischen Erbes sowohl als Teil der kulturellen Identität als auch als Quelle der Inspiration und Kreativität für heutige und künftige Generationen zukommt, zu stärken;
2. zu diesem Zweck Maßnahmen zur Verbreitung von Informationen und zur Entwicklung eines verstärkten Bewußtseins insbesondere unter Verwendung moderner Techniken der Kommunikation und der Öffentlichkeitsarbeit zu fördern, die namentlich darauf abzielen,
  - a) schon vom Schulalter an das Interesse der Öffentlichkeit am Schutz des Erbes, an der Qualität der baulichen Umgebung und der Architektur zu wecken oder zu steigern;
  - b) die Einheit des Kulturerbes und die Zusammenhänge zu verdeutlichen, die zwischen Architektur, Kunst, Brauchtum und Lebensweisen bestehen, sei es auf europäischer, nationaler oder internationaler Ebene.

### *Artikel 16*

Jede Vertragspartei verpflichtet sich, die Ausbildung in den verschiedenen Berufen und Handwerken, die mit der Erhaltung des architektonischen Erbes befaßt sind, zu fördern.

## *Abstimmung der Erhaltungsmaßnahmen auf Europäischer Ebene*

### *Artikel 17*

Die Vertragsparteien verpflichten sich, Informationen über ihre Erhaltungsmaßnahmen auszutauschen, beispielsweise für

1. die Methoden der Erfassung, des Schutzes und der Erhaltung von Gütern unter Berücksichtigung der historischen Entwicklung und des ständigen Anwachsens des architektonischen Erbes;
2. die Art und Weise, in der die Notwendigkeit, das architektonische Erbe zu schützen, am besten mit den Bedürfnissen des heutigen wirtschaftlichen, sozialen und kulturellen Lebens vereinbart werden kann;

3. die durch neue Technologien gebotenen Möglichkeiten zur Erfassung und Aufzeichnung des architektonischen Erbes und zur Bekämpfung des Materialverfalls sowie im Bereich der wissenschaftlichen Forschung, der Restaurierung und der Methoden der Verwaltung und Förderung des Erbes;
4. Mittel und Wege zur Förderung des architektonischen Schaffens als Beitrag unseres Zeitalters zum europäischen Erbe.

#### *Artikel 18*

Die Vertragsparteien verpflichten sich, einander bei Bedarf technische Unterstützung durch Austausch von Erfahrungen und Sachverständigen auf dem Gebiet der Erhaltung des architektonischen Erbes zu gewähren.

#### *Artikel 19*

Die Vertragsparteien verpflichten sich, im Rahmen der einschlägigen innerstaatlichen Rechtsvorschriften oder der völkerrechtlichen Übereinkünfte, durch die sie gebunden sind, den Austausch von Fachleuten für die Erhaltung des architektonischen Erbes einschließlich derjenigen, die für Weiterbildung zuständig sind, auf europäischer Ebene zu fördern.

#### *Artikel 20*

Für die Zwecke dieses Übereinkommens wird ein vom Ministerkomitee des Europarats nach Artikel 17 der Satzung des Europarats eingesetzter Sachverständigenausschuß die Anwendung des Übereinkommens überwachen und insbesondere

1. dem Ministerkomitee des Europarats regelmäßig über den Stand der Maßnahmen zur Erhaltung des architektonischen Erbes in den Vertragsstaaten des Übereinkommens, über die Anwendung der in dem Übereinkommen niedergelegten Grundsätze und über seine eigenen Tätigkeiten berichten;
2. dem Ministerkomitee des Europarats Maßnahmen zur Durchführung des Übereinkommens vorschlagen, einschließlich multilateraler Tätigkeiten, der Revision oder Änderung des Übereinkommens und der Unterrichtung der Öffentlichkeit über den Zweck des Übereinkommens;
3. dem Ministerkomitee des Europarats Vorschläge hinsichtlich der Aufforderung von Nichtmitgliedstaaten des Europarats zum Beitritt zu dem Übereinkommen unterbreiten.

#### *Artikel 21*

Dieses Übereinkommen läßt die Anwendung günstiger einschlägiger Bestimmungen über den Schutz der in Artikel 1 beschriebenen Güter unberührt, wie sie in folgenden Übereinkünften enthalten sind;

- Übereinkommen vom 16. November 1972 zum Schutz des Kultur- und Naturerbes der Welt;
- Europäisches Übereinkommen vom 6. Mai 1969 zum Schutz archäologischen Kulturguts.

#### *Schlußklauseln*

#### *Artikel 22*

1. Dieses Übereinkommen liegt für die Mitgliedstaaten des Europarats zur Unterzeichnung auf. Es bedarf der Ratifikation, Annahme oder Genehmigung. Die Ra-

tifikations-, Annahme- oder Genehmigungsurkunden werden beim Generalsekretär des Europarats hinterlegt.

2. Dieses Übereinkommen tritt am ersten Tag des Monats in Kraft, der auf einen Zeitabschnitt von drei Monaten nach dem Tag folgt, an dem drei Mitgliedstaaten des Europarats sich gemäß Abs. 1 als durch das Übereinkommen gebunden erklären.
3. Für jeden Mitgliedstaat, der sich zu einem späteren Zeitpunkt als durch das Übereinkommen gebunden erklärt, tritt es am ersten Tag des Monats in Kraft, der auf einen Zeitabschnitt von drei Monaten nach Hinterlegung der Ratifikations-, Annahme- oder Genehmigungsurkunde folgt.

#### *Artikel 23*

1. Nach Inkrafttreten dieses Übereinkommens kann das Ministerkomitee des Europarats durch einen mit der in Artikel 20 d der Satzung des Europarats vorgesehenen Mehrheit und mit einhelliger Zustimmung der Vertreter der Vertragsstaaten, die Anspruch auf einen Sitz im Komitee haben, gefaßten Beschluß jeden Nichtmitgliedstaat des Rates und die Europäische Wirtschaftsgemeinschaft auffordern, dem Übereinkommen beizutreten.
2. Für jeden beitretenden Staat oder, falls sie beitrifft, die Europäische Wirtschaftsgemeinschaft tritt das Übereinkommen am ersten Tag des Monats in Kraft, der auf einen Zeitabschnitt von drei Monaten nach Hinterlegung der Beitrittsurkunde beim Generalsekretär des Europarats folgt.

#### *Artikel 24*

1. Jeder Staat kann bei der Unterzeichnung oder bei der Hinterlegung seiner Ratifikations-, Annahme-, Genehmigungs- oder Beitrittsurkunde einzelne oder mehrere Hoheitsgebiete bezeichnen, auf die dieses Übereinkommen Anwendung findet.
2. Jeder Staat kann jederzeit danach durch eine an den Generalsekretär des Europarats gerichtete Erklärung die Anwendung dieses Übereinkommens auf jedes weitere in der Erklärung bezeichnete Hoheitsgebiet erstrecken. Das Übereinkommen tritt für dieses Hoheitsgebiet am ersten Tag des Monats in Kraft, der auf einen Zeitabschnitt von drei Monaten nach Eingang der Erklärung beim Generalsekretär folgt.
3. Jede nach den Absätzen 1 und 2 angegebene Erklärung kann in bezug auf jedes darin bezeichnete Hoheitsgebiet durch eine an den Generalsekretär gerichtete Notifikation zurückgenommen werden. Die Rücknahme wird am ersten Tag des Monats wirksam, der auf einen Zeitabschnitt von sechs Monaten nach Eingang der Notifikation beim Generalsekretär folgt.

#### *Artikel 25*

1. Jeder Staat kann bei der Unterzeichnung oder bei der Hinterlegung seiner Ratifikations-, Annahme-, Genehmigungs- oder Beitrittsurkunde erklären, daß er sich das Recht vorbehält, die Bestimmungen des Artikels 4, Absätze c und d insgesamt oder teilweise nicht einzuhalten. Weitere Vorbehalte sind nicht zulässig.
2. Jeder Vertragsstaat, der einen Vorbehalt nach Absatz 1 angebracht hat, kann ihn durch eine an den Generalsekretär des Europarats gerichtete Notifikation ganz oder teilweise zurücknehmen. Die Rücknahme wird mit dem Eingang der Notifikation beim Generalsekretär wirksam.

3. Eine Vertragspartei, die einen Vorbehalt zu der in Absatz 1 genannten Bestimmung angebracht hat, kann nicht verlangen, daß eine andere Vertragspartei diese Bestimmung anwendet; sie kann jedoch, wenn es sich um einen Teilvorbehalt oder einen bedingten Vorbehalt handelt, die Anwendung der betreffenden Bestimmung insoweit verlangen, als die selbst die angenommen hat.

#### *Artikel 26*

1. Jede Vertragspartei kann dieses Übereinkommen jederzeit durch eine an den Generalsekretär des Europarats gerichtete Notifikation kündigen.
2. Die Kündigung wird am ersten Tag des Monats wirksam, der auf einen Zeitabschnitt von sechs Monaten nach Eingang der Notifikation beim Generalsekretär folgt.

#### *Artikel 27*

Der Generalsekretär des Europarats notifiziert den Mitgliedstaaten des Europarats, jedem Staat, der diesem Übereinkommen beigetreten ist, und der Europäischen Wirtschaftsgemeinschaft, falls die beigetreten ist,

- a) jede Unterzeichnung;
- b) jede Hinterlegung einer Ratifikations-, Annahme-, Genehmigungs- oder Beitrittsurkunde;
- c) jeden Zeitpunkt des Inkrafttretens dieses Übereinkommens nach den Artikeln 22, 23 und 24;
- d) jede andere Handlung, Notifikation oder Mitteilung im Zusammenhang mit diesem Übereinkommen.

## **II. Erläuternder Bericht zum Übereinkommen**

### **A. Einführung**

Das Übereinkommen zum Schutz des architektonischen Erbes Europas ist zugleich Krönung und neuer Anfang. Es ist auf internationaler Ebene die rechtliche Bestätigung der 20jährigen europäischen Zusammenarbeit auf dem Gebiet des architektonischen Erbes. Es bietet gleichzeitig einen neuen Rahmen der Zusammenarbeit für die Mitgliedstaaten des Europarates und ggf. für andere Staaten.

#### *a) Die Ursprünge des Übereinkommens im Zusammenhang mit dem Arbeitsprogramm des Europarates*

Schon 1963 hatte die Parlamentarische Versammlung des Europarates die Initiative ergriffen, eine zwischenstaatliche europäische Zusammenarbeit zur Erhaltung und Aufwertung des ortsfesten architektonischen Erbes zu fördern. Nach einer ersten europäischen Konferenz der für diesen Bereich verantwortlichen Minister vom 25. bis 27. November 1969 in Brüssel wies die Versammlung in ihrer Empfehlung 589 (1970) das Ministerkomitee des Europarats darauf hin, daß es wünschenswert sei, einen ständigen Ausschuß für Zusammenarbeit zu schaffen, eine europäische Charta mit „allgemeinen Prinzipien zur Erhaltung und Wiederaufwertung“ des architektonischen Erbes aufzustellen und danach unter dem Aspekt dieser Charta ein europäisches Übereinkommen auszuarbeiten.

In den 70er Jahren wurde ein großer Teil der Denkarbeit unter den Auspizien dieser Organisation bewältigt. Diese führte zur Annahme der Europäischen Charta des ar-



chitektonischen Erbes im September 1975 durch das Ministerkomitee. Die Prinzipien dieser Charta, die sich in der Erklärung des Kongresses von Amsterdam wiederfinden, sind die Krönung des Europäischen Denkmalschutzjahres (1975), markieren eine bedeutende Etappe des europäischen Denkens in bezug auf die Erhaltung des Bauerbes. Von nun an wurde allgemein die Notwendigkeit anerkannt, die Erhaltung in den Städtebau zu „integrieren“, die historischen Ensembles und ihre Umwelt zu wahren, das architektonische Erbe in das wirtschaftliche und soziale Leben einzubeziehen.

Das zwischenstaatliche Programm des Europarates hat seit 1975 die Zusammenarbeit vertieft. Die Resolution (76) 28 des Ministerkomitees empfahl 1976 den Regierungen der Mitgliedstaaten, ihre gesetzgeberischen und verordnungsrechtlichen Systeme den Forderungen der „erhaltenden Erneuerung“ anzupassen. Der Gedanke an ein Übereinkommen mit höherer Rechtskraft als eine Erklärung oder Empfehlung, das die Staaten völkerrechtlich bindet, sollte jedoch 1982 in der Resolution 127 über das 4. Europäische Symposium historischer Städte wieder aufgegriffen werden, das im Oktober 1981 in Freiburg (Schweiz) von der Konferenz der Gemeinden und Regionen Europas sowie der Vereinigung Europa Nostra organisiert worden war. Diese Resolution forderte auch das Ministerkomitee auf, unter diesem Gesichtspunkt eine zweite europäische Konferenz der für das architektonische Erbe zuständigen Minister durchzuführen.

In diesem Zusammenhang hat das Ministerkomitee im September 1981 den für das architektonische Erbe des überstaatlichen Arbeitsprogramms zuständigen Ausschuß (Lenkungsausschuß für Städtebau und Denkmalschutz – CDUP) beauftragt, auf der Grundlage einer zu erstellenden Vorstudie eine Stellungnahme über die Möglichkeit und Zweckmäßigkeit abzugeben, ein europäisches Übereinkommen zum Schutz des architektonischen Erbes auszuarbeiten.

Im Anschluß an diesen Auftrag hat der CDUP während seiner Vollsitzung im Februar 1983 die 1982 auf Ersuchen des Sekretariats durch das europäische Universitätszentrum von Nancy erstellte Vorstudie geprüft und sich prinzipiell für ein Übereinkommen ausgesprochen. Auf Vorschlag der CDUP beschloß das Ministerkomitee 1983 auf seiner 360. Tagung die Gründung eines kleineren Expertenausschusses mit der spezifischen Aufgabe, den Entwurf eines europäischen Übereinkommens zum Schutz des architektonischen Erbes im Rahmen des zwischenstaatlichen Arbeitsprogrammes auszuarbeiten.

Die in dem Expertenausschuß vertretenen Länder, die den Entwurf ausgearbeitet haben, waren folgende: Österreich, Belgien, Dänemark, Frankreich, Bundesrepublik Deutschland, Griechenland, Irland, Italien, Portugal, Spanien, Schweiz und Vereinigtes Königreich. Der Ausschuß trat dreimal zusammen; im Dezember 1983, Juni 1984 und November 1984, unter Vorsitz des Botschafters Alfred Wacker, ehemaliger Ständiger Vertreter der Schweiz beim Europarat.

Ausgangspunkt war ein Vorentwurf, ausgearbeitet vom Sekretariat anhand der Richtlinien der Empfehlung R 880 der Parlamentarischen Versammlung des Europarates über die Erhaltung des europäischen architektonischen Erbes (1979) und der Schlußfolgerungen der vom europäischen Universitätszentrum Nancy vorgelegten Studie (Dokument CDUP 83) 4. Nach der dritten Sitzung hat der Expertenausschuß den Entwurf des Übereinkommens dem CDUP übermittelt, der ihn in seiner Vollsitzung vom Februar 1985 geprüft und seinerseits an das Ministerkomitee weitergeleitet hat.

Parallel zu den Vorbereitungsarbeiten für das Übereinkommen wurde 1984 ein Ausschuß Hoher Beamter beauftragt, eine zweite europäische Konferenz der für das architektonische Erbe zuständigen Minister vorzubereiten, zu der die spanische Regierung 1985 nach Granada einlud und die zum Ziel hatte, eine Bilanz der europäischen Zusammenarbeit seit der ersten Konferenz derselben Art im Jahre 1969 vorzulegen und neue Wege der Zusammenarbeit festzulegen. Um das europäische Programm zum Schutz des architektonischen Erbes anzukurbeln und ihm die volle politische Tragweite zu verleihen, schien es sehr zweckmäßig, das Übereinkommen anlässlich der Ministerkonferenz in Granada zur Unterzeichnung aufzulegen.

Das Übereinkommen zum Schutz des architektonischen Erbes Europas, das am 14. Mai 1985 vom Ministerkomitee des Europarates angenommen worden war, wurde am 5. Oktober 1985 anlässlich der zweiten europäischen Konferenz der für das architektonische Erbe zuständigen Minister in Granada zur Unterzeichnung aufgelegt.

#### *b) Ziele und Struktur des Übereinkommens*

Das architektonische Erbe Europas weist einen „unendlichen“ Reichtum und eine unendliche Vielfältigkeit auf. Die Art dieses Erbes, die mit seiner Erhaltung verbundenen Probleme, die Vorstellungen, die die Verantwortlichen diesbezüglich entwickeln, können von einer Region zur anderen in Europa sehr unterschiedlich sein. Das Übereinkommen mußte dieser Vielschichtigkeit Rechnung tragen, es mußte aber auch die innere Einheit Europas zum Ausdruck bringen, die sich nicht nur in der kulturellen Durchdringung seines Bodens zeigt, sondern auch in der Ähnlichkeit der Fragen und Forderungen, denen es heute gegenübersteht.

Die Erhaltung des architektonischen Erbes beruht auf zwei Gründen:

- Die Erhaltung des Erbes entspricht einem hauptsächlich kulturellen Zweck.

Die 1982 in Mexiko veranstaltete Weltkonferenz über kulturpolitische Maßnahmen nahm zu Protokoll, „daß sich das kulturelle Erbe eines Volkes auf die Werke seiner Künstler, seiner Architekten, seiner Musiker, seiner Schriftsteller, seiner Wissenschaftler ebenso wie auf die anonymen Schöpfungen erstreckt, die der Volksseele entspringen sind, und auf die Gesamtheit der Werte, die dem Leben einen Sinn verleihen. Es umfaßt die materiellen und nichtmateriellen Werke, die die Kreativität dieses Volkes, Sprachen, Riten, Glauben, historische Stätten und Denkmäler, Literatur, Kunstwerke, Archive und Bibliotheken zum Ausdruck bringen.“

Das bauliche Erbe stellt den am unmittelbarsten wahrnehmbaren Teil des kulturellen Erbes dar. Das Bewußtsein, der Schutz und die Entwicklung der verschiedenen oft grenzübergreifenden Kulturen Europas sind Gründe für die Europäer, gemeinsam zu leben und zu schaffen. Es war wichtig, daß das Übereinkommen jedes Mal, wenn es nötig war, die Rolle hervorhob, die das architektonische Erbe bei der kulturellen Entwicklung sowohl auf nationaler oder regionaler wie auf europäischer Ebene spielen soll.

- Die erhaltene Erneuerung ist ein wichtiger Faktor für die Verbesserung der Lebensqualität

Das Übereinkommen mußte die wesentliche Errungenschaft des Europarates im Hinblick auf die Einbeziehung des kulturellen Erbes in die Städtebau- und Raumordnungspolitik widerspiegeln. Es war angebracht, daß es die erforderliche Zusammenarbeit auf allen Ebenen der Städtebauer, Raumordner, Denkmalpfleger, aber auch die Beteiligung und Sensibilisierung der Öffentlichkeit hervorhob.

Außerdem erweist sich die Erhaltung des architektonischen Erbes als ein Faktor der wirtschaftlichen Entwicklung.

Die besten Zukunftsaussichten des architektonischen Erbes liegen in seiner Nutzung. Die Erhaltung der Kulturgüter ist zwar eine Belastung, aber auch eine Quelle für Einkünfte und die Schaffung von Arbeitsplätzen. Das Übereinkommen mußte hinweisen auf Investitionen, öffentliche oder private Finanzierungsmöglichkeiten, Berufsausbildung.

Unter diesem Gesichtspunkt mußte das Übereinkommen letztlich zwei Zielen Rechnung tragen:

- die Maßnahmen zum Schutz und zur Aufwertung des architektonischen Erbes in dem Hoheitsgebiet der Vertragsparteien verstärken und fördern;
- eine europäische Solidarität im Hinblick auf die Erhaltung dieses Erbes bekräftigen und eine konkrete Zusammenarbeit zwischen den Staaten und den Regionen fördern.

Die Struktur des Textes spiegelt diese beiden Ziele wider und ist in zwei Teile gegliedert.

## **B. Kommentierung der Artikel des Übereinkommens**

### *Präambel*

Die Präambel des Übereinkommens enthält drei Hinweise:

- Sie stellt das Übereinkommen in den Zusammenhang mit den seit etwa 30 Jahren vom Europarat durchgeführten Arbeiten auf dem Gebiet des kulturellen Erbes und in den besonderen Bereich des baulichen Erbes.
- Sie verweist feierlich auf den Zweck, der dem Entwurf des Übereinkommens zugrunde liegt und bringt eine europäische Philosophie der Erhaltung zum Ausdruck. Ziel ist es, gleichzeitig ein System kultureller Bezüge an die Europäer weiterzugeben und ihre Lebensqualität durch Förderung einer ausgewogenen Wirtschafts- und Sozialentwicklung der Staaten und der kommunalen Gebietskörperschaften zu verbessern.
- Sie bekräftigt die Notwendigkeit einer aktiven Solidarität zwischen den Vertragsparteien, die ihre Zustimmung zu gemeinsamen Prinzipien betonen und sich zu einer wirksamen Konzertierung zur Durchführung der Schutz- auf Aufwertungsmaßnahmen verpflichten.

### *Artikel 1*

Der Begriff des architektonischen Erbes, dessen Schutz dieses Übereinkommen gewährleisten will, mußte bestimmt werden. Der Text berücksichtigt drei Kategorien von Bestandteilen des Erbes nach dem Vorbild der Definitionen in dem Übereinkommen von 1972 über den Schutz des Kultur- und Naturerbes der Welt und in der Resolution (76) 28 des Ministerkomitees des Europarates über die Anpassung von gesetzlichen und verordnungsrechtlichen Systemen an die Erfordernisse der erhaltenen Erneuerung des architektonischen Erbes. Die vorgeschlagenen Definitionen tragen dem derzeitigen Prozeß der Ausdehnung des Begriffes des architektonischen Erbes Rechnung.

In den meisten Ländern werden immer mehr Baukategorien als schutzwürdig angesehen. Im Zuge der erhaltenden Erneuerung wurde das ursprünglich auf Einzelmo-

numente beschränkte architektonische Erbe (religiöse Bauten, Schlösser, Festungen ... ) auf historische Stadtensembles und auf die Anonymarchitektur ausgedehnt. Hinzu kamen Werke des Bauwesens, architektonische Werke aus Eisen, die „Bürgerliche Architektur“ oder „art nouveau“, technische Baudenkmäler in den verschiedensten Formen, sogar gewisse Bestandteile der zeitgenössischen Architektur.

Für die drei Bestandteile des architektonischen Erbes gelten ähnliche Merkmale.

#### a) *Die qualitativen Kriterien*

Bei allen geschützten Gütern bezieht sich das Übereinkommen nicht auf das Alter der Bauwerke, sondern auf eine Reihe von Kriterien, die sie als herausragende Elemente in der baulichen Umgebung erscheinen lassen. Die für die Erfassung der Güter zugrunde gelegte Bedeutung kann historischer, archäologischer, künstlerischer, wissenschaftlicher, sozialer oder technischer Art sein.

Eines oder mehrere dieser Kriterien oder alle zusammen sind ein Grund dafür, das Gut als Bestandteil des architektonischen Erbes zu betrachten. Es ist natürlich Aufgabe der zuständigen Behörden jeder Vertragspartei zu entscheiden, ob die Kriterien vorhanden sind.

#### b) *Die Kategorien der zu schützenden Güter*

1. Die Denkmäler umfassen architektonische Werke oder künstlerische oder technische Bauwerke, unbewegliche Denkmäler in städtischer oder ländlicher Umgebung. Es kann sich um bewußte Schöpfungen handeln, die an Menschen oder Ereignisse erinnern sollen, aber vor allem ganz allgemein um jedes Bauwerk, dem die Gesellschaft einen Wert gemäß der vorgenannten qualitativen Kriterien bemißt.

Der Anwendungsbereich des Übereinkommens dehnt sich auf die Anlagen und schmückenden Elemente aus, die als integrierender Bestandteil der Bauten angesehen werden. Darunter kann man verstehen künstlerische oder technische Werke, die in die Architektur integriert und für diese Architektur konzipiert sind (z. B. Holztäfelungen, Skulpturen, Fresken, Kirchenfenster, technische Ausstattung ... ).

Das Übereinkommen bezieht sich auf Gebäude und auf Denkmalzonen. Jedoch in Anbetracht der Bedeutung der beweglichen Gegenstände, die eine besondere historische Verbindung mit den geschützten Gebäuden haben, zu denen sie gehören, sollte weiter der Möglichkeit Aufmerksamkeit geschenkt werden, den Gesamtschutz auf sie auszudehnen.

- Die architektonischen Ensembles umfassen Gruppen von Gebäuden in ländlicher oder städtischer Umgebung, die gleichzeitig homogen sein und den unter a) festgelegten Kriterien entsprechen und genügend zusammenhängen müssen, um territorial abgegrenzt werden zu können. Als Beispiel können unter dieser Begriffsbestimmung angeführt werden: architektonische Kompositionen, historische Stadtkerne, Industrie-Ensembles oder Dörfer.
- Die Denkmalstätten umfassen Flächen, auf die der Mensch eingewirkt hat, zum Teil bebaut und sich abhebend von völlig naturbelassenen Flächen, genügend homogen, um abgrenzbar zu sein und von Bedeutung gemäß den unter a) genannten Kriterien.

Die Kategorien der Güter können sich natürlich unterscheiden; z. B. können Monumente Bestandteil von architektonischen Ensembles oder Stätten sein. Die landschaftlichen Gebiete und historischen Gärten können in die eine oder andere dieser Kategorien gehören.

## *Artikel 2*

Diese Bestimmung stellt das Prinzip einer wissenschaftlichen Liste der Bestandteile des Erbes und der Zusammenstellung einer Dokumentation auf, die die Erfassung und Bewertung der Güter als Grundlage eines späteren gesetzlichen Schutzes ermöglicht. Es gibt viele Inventarisierungssysteme, wie aus einer Studie hervorgeht, die im Auftrag des Europarats erstellt wurde (vgl. Studie von Albert Knoepfli über die „Bestandsaufnahmen des künstlerischen, architektonischen und kulturellen Erbes in den europäischen Ländern“, Straßburg, 1984).

Der Artikel erwähnt neben den wissenschaftlichen Bestandsaufnahmen den Rückgriff auf eine angemessene und vereinfachte Dokumentation, die aus schnell zusammengestellten Übersichten bestehen kann. Es ginge also darum, Informationen über noch nicht geschützte und noch nicht in einer Bestandsaufnahme erfaßte Güter zu haben, die durch Entwicklungsvorhaben oder sogar Projekte bezüglich ihres Abrisses oder einer nachteiligen Einwirkung gefährdet werden. Auf der Grundlage dieser im Schnellverfahren erstellten Dokumentation könnte ggf. ein Schutzverfahren in die Wege geleitet werden.

## *Artikel 3*

Während Artikel 1 eine Definition des Begriffs „architektonisches Erbe“ brachte, stellte Artikel 3 das Prinzip der Einführung eines gesetzlichen Systems zum Schutz der betreffenden Güter dar. Dieses System kann je nach den politischen gesetzgeberischen, administrativen Mechanismen der Vertragsparteien unterschiedlich sein. Die Kompetenzen können in diesem Bereich auf nationaler, regionaler oder kommunaler Ebene liegen, und die Schutzsysteme können entweder in Bestimmungen auf dem Gebiet des Städtebaus oder der Raumordnung oder in spezifischen Bestimmungen für das kulturelle Erbe oder aber zugleich in diesen beiden Kategorien der Gesetzgebung zum Ausdruck kommen. Es kann sich um gezielte Schutzmaßnahmen für einzelne Bauwerke oder die Abgrenzung von Schutzbereichen handeln, die sich über geographische Flächen unterschiedlichen Ausmaßes erstrecken.

## *Artikel 4*

Dieser Artikel beschreibt das für das geschützte Erbe anwendbare Rechtssystem. Dieses System stellt das allgemeine Prinzip auf, daß die geschützten Güter nicht verunstaltet, dem Verfall anheimgegeben oder zerstört werden dürfen. Es sieht unabhängig von der zuständigen Behörde und dem rechtlichen Rahmen, in dem es anwendbar ist, ein Verfahren der vorherigen Genehmigung für die verschiedenen Arten von Arbeiten vor, die das architektonische Erbe beeinträchtigen können. Ins Auge gefaßt sind auf diese Art und Weise:

- die Vorhaben der Änderung oder Zerstörung von Denkmälern, die geschützt sind oder geschützt werden sollen sowie die Vorhaben in bezug auf ihre nähere Umwelt (Absatz 2. a und b) und in ihrem Sichtfeld;
- die Vorhaben der Zerstörung, des Neubaus oder wesentlicher Änderungen, die ein architektonisches Ensemble oder eine Stätte beeinträchtigen können (Absatz 2. b).

Sinn dieser Bestimmungen ist es, keine Kontrolle der Arbeiten in bezug auf geschützte Güter zu gewährleisten, um absichtliche Verunstaltungen oder Verschlechterungen und natürlich Zerstörungen zu verhindern, die den Schutzmaßnahmen zuwiderlaufen würden. Dieser Mechanismus überläßt der zuständigen Behörde die Verantwortung, die annehmbaren Bauten oder Umbauten zu bewerten.

Absatz c bezieht sich auf die Möglichkeit der zuständigen Behörden, entweder von einem Eigentümer, der es unterläßt, Instandsetzungsarbeiten durchzuführen, die Durchführung dieser Arbeiten zu verlangen, oder falls er es nicht tut, diese Arbeiten selbst durchzuführen. In Anbetracht der eventuellen Unterschiede in den Gesetzen der verschiedenen Länder in diesem Bereich erklärt der Absatz nicht, ob, wenn die öffentlichen Behörden die Durchführung der Arbeiten übernommen haben, sie gegenüber dem Eigentümer Ansprüche geltend machen können.

Absatz d betrifft die Möglichkeit, ein geschütztes Gut zu enteignen.

Aufgrund verfassungsrechtlicher und interner Probleme, die sich in einigen Ländern durch die Bestimmungen der Absätze c und d ergeben, werden diese Absätze in Artikel 25 im Hinblick auf die den Mitgliedstaaten freistehenden Möglichkeiten des Vorbehalts genannt.

#### *Artikel 5*

Der Text basiert auf Artikel 7 der internationalen Charta über die Erhaltung und Restaurierung der Baudenkmäler und Kulturstätten (Charta von Venedig), die 1965 vom Internationalen Rat der Baudenkmäler und Kulturstätten (ICOMOS) angenommen worden war. „Das Baudenkmal ist untrennbar mit der Geschichte verbunden, von der es Zeugnis ablegt, und mit der Umgebung, in der es sich befindet. Daher kann die vollständige oder teilweise Versetzung eines Denkmals nur dann geduldet werden, wenn es zum Schutz des Denkmals erforderlich ist oder wenn Gründe von größerer nationaler oder internationaler Bedeutung es rechtfertigen.“

Für den Fall, daß ein höheres materielles Gebot die Versetzung eines geschützten Bauwerks erforderlich macht, legt das Übereinkommen fest, daß ausreichende technische Sicherheitsmaßnahmen für den Abbau und den Wiederaufbau des Gutes ergriffen werden müssen.

#### *Artikel 6*

Der Artikel betrifft die verschiedenen Maßnahmen der finanziellen Unterstützung, durch die die öffentlichen Behörden die Unterhaltung und Wiederherstellung der geschützten Güter gewährleisten oder fördern können.

Absatz 1 betrifft die teilweise oder völlige Finanzierung von Arbeiten an Gütern, die öffentlichen oder privaten Personen gehören, durch den Haushalt des Staates oder der dezentralisierten Körperschaften. Für die privaten Güter weist er auf die verschiedensten Subventionen hin, die von öffentlichen Behörden gewährt werden.

Die Absätze 2 und 3 betreffen indirekte Maßnahmen, durch die die Erhaltung gefördert werden kann, unabhängig davon, ob es sich um Arbeiten zur Unterhaltung, Wiederherstellung, Geltendmachung oder Verwaltung der Güter handelt. Es kann sich um Steuererleichterungen für private Eigentümer handeln, die die Bodensteuern oder die Erbschaftssteuern betreffen. Es könnte auch um die steuerliche Behandlung der Unternehmen oder Vereinigungen gehen.

Der Text ist so umfassend aufgesetzt, daß er die in den verschiedenen Ländern gewählten Lösungen in Anbetracht der Möglichkeiten und des allgemeinen wirtschaftlichen Kontextes einschließt. Der Artikel fordert zu einer Entwicklung der Mechanismen auf, die die Rolle der Privatpersonen oder der Vereinigungen fördern. In Anbetracht der Zunahme des Erbes müßte die Last der Erhaltung von der gesamten Gesellschaft geteilt werden und sollte nicht allein von den öffentlichen Behörden getragen werden.

### *Artikel 7*

Diese Bestimmung betrifft die verschiedenen Aktionsarten in bezug auf die öffentlichen Flächen: städtische Ausstattung, Schilder, Einrichtung der Plätze und öffentlichen Gärten, usw. ...

### *Artikel 8*

Dieser Artikel weist auf die Probleme im Zusammenhang mit der Umweltverschmutzung hin und verpflichtet die Vertragsparteien, nicht nur die wissenschaftliche Forschung auf diesem Gebiet zu fördern, um Mittel zur Bekämpfung der nachteiligen Auswirkungen der Verschmutzung zu finden, sondern auch das Gebot des Schutzes des Erbes bei den allgemeinen Maßnahmen zur Bekämpfung der Umweltverschmutzung zu berücksichtigen.

### *Artikel 9*

Die Verstöße gegen die Gesetze zum Schutz des Erbes werden in den Ländern unterschiedlich behandelt. Die Kompetenzen in diesem Bereich können beim Staat oder bei den dezentralisierten Körperschaften liegen. Die Maßnahmen, die ergriffen werden könnten, können dem Strafrecht oder dem Verwaltungsrecht zuzuordnen sein. Der Artikel ist so gefaßt, daß ein Konflikt zwischen dem Übereinkommen und internen Recht der Vertragsparteien vermieden wird.

### *Artikel 10*

Die 5 Absätze des Artikels bringen die Prinzipien der erhaltenden Erneuerung des Erbes zum Ausdruck, die im Verlauf von Vorarbeiten des Europarates ausgearbeitet worden sind.

Absatz 1 unterstreicht die Notwendigkeit, die Erhaltung der geschützten Güter in die Ziele der Raumordnungs- und Städtebauverfahren einzubeziehen, sowohl in der Phase der Ausarbeitung der Pläne wie in der der Genehmigung der Arbeiten.

Absatz 2 betont die Bedeutung der Durchführung von Programmen zur Wiederherstellung und Unterhaltung, insbesondere im Zusammenhang weitreichender Verfahren der erhaltenden Erneuerung.

Absatz 3 weist auf die Bedeutung hin, die offensichtlichen Verbindungen, die zwischen dem Schutz des architektonischen Erbes, der kulturellen Aktion, der Verbesserung der Lebensqualität und der Stadt- und Landplanung bestehen, herauszustellen und zu unterstützen.

Absatz 4 erinnert an die bedeutende Rolle, die im Rahmen des Planungsprozesses die Erhaltung bestimmter Elemente spielt, die zwar nicht geschützt sind, aber einen gewissen begleitenden Wert darstellen.

Mit dem Absatz 5 wird auf die positive Auswirkung der Erhaltungsmaßnahmen in bezug auf die Unternehmen sowie auf die Wahrung traditioneller Techniken und Materialien hingewiesen. Die Bewahrung dieser Fertigkeiten und der Versorgung mit Materialien stellt übrigens eine wesentliche Voraussetzung für die Unterhaltung des Erbes dar.

### *Artikel 11*

Dieser Artikel stellt das Prinzip auf, daß die Benutzung des architektonischen Erbes ein Faktor seiner Unterhaltung ist. Der Geist dieses Textes wäre mit Artikel 5 der Charta von Venedig (ICOMOS, 1964) zu vergleichen:

„Die Erhaltung der Baudenkmäler wird immer dadurch gefördert, daß ihnen eine der Gesellschaft nützliche Funktion zugewiesen wird; dies ist also wünschenswert, darf aber die Gliederung oder den Dekor der Gebäude nicht verändern. Die durch die Entwicklung der Verwendungszwecke und der Gebräuche erforderlichen Änderungen müssen innerhalb dieser Grenzen konzipiert und erlaubt werden.“

Es kann darum gehen, daß gewisse Änderungen an Gebäuden vorgenommen werden, die ihre ursprüngliche Funktion bewahrt haben, aber auch darum, Gebäude neuen Funktionen anzupassen. Die in diesem Bereich anzunehmenden Kriterien variieren natürlich je nach Art der Gebäude, ihres Kontextes und der Funktion, die ihnen zugeteilt ist. Der Artikel stellt das Prinzip auf, daß das Gebäude seinem architektonischen und geschichtlichen Charakter treu bleiben soll. Im Falle der Anpassung eines geschützten Gebäudes an völlig neue Funktionen wäre darunter die Wahl von Lösungen zu verstehen, die für das Gebäude nicht unumstößlich sind.

#### *Artikel 12*

Der Artikel betrifft die Verbesserung des Zugangs für die Öffentlichkeit und den Schutz der Umgebung der geschützten Güter. Ziel ist es, den öffentlichen Zugang für Besichtigungen mit der Erhaltung des architektonischen und geschichtlichen Charakters der Örtlichkeiten, der den Schutz gerechtfertigt hat, in Einklang zu bringen.

#### *Artikel 13*

Die Prinzipien der integrierten Erhaltung des Erbes beinhalten eine wirksame Zusammenarbeit der verschiedenen betroffenen Verwaltungsbehörden, um die erwünschte Politik erfolgreich durchzuführen. Der Artikel erinnert an die Notwendigkeit, daß auf verschiedenen Ebenen diese Abstimmung von Behörden und Vertretern von oft verschiedenen Verwaltungsstellen sowohl auf zentraler wie auf kommunaler Ebene realisiert wird.

#### *Artikel 14*

Der Artikel unterstreicht die Notwendigkeit, die öffentlichen Behörden, die privaten Organisationen und die Öffentlichkeit in den Entscheidungsprozeß auf dem Gebiet des Schutzes des architektonischen Erbes einzubeziehen.

So erwähnt der Absatz 1 die Einsetzung von Strukturen, die die Abstimmung der verschiedenen Parteien ermöglichen: Staat, Kommunalbehörde, Vereinigungen und Öffentlichkeit. Absatz 2 betrifft die Förderung der Vereinigung ohne Gewinnstreben und der verschiedenen Formen des Mäzenatentums. Es hat den Anschein, daß die Aktion der öffentlichen Behörden durch die Mitwirkung von Einzelpersonen oder privaten Gruppen mehr und mehr ersetzt werden muß; zu den neuen Formen des Mäzenatentums gehören die Verantwortlichkeiten, die bestimmte Industrie- oder Gesellschaftsunternehmen bei der Erhaltung ihres eigenen historischen Erbes, aber auch bei der Unterstützung einer gewissen Zahl von Erhaltungsarbeiten gewährleisten können.

#### *Artikel 15*

Eine Voraussetzung für die Mitwirkung bleibt die Sensibilität und die Kenntnis.

Die Wertschätzung des Erbes durch die gesamte Bevölkerung setzt voraus, daß schon im frühesten Alter das Interesse an Architektur, Geschichte und Umwelt geweckt wird.

Absatz 1 des Artikels zeigt den Zweck einer derartigen Sensibilisierung. Es geht darum, daß allen die auf europäischer Ebene geteilten tieferen kulturellen Wurzeln der



Staaten und natürlich der Regionen bewußt gemacht werden. So kann man die Geschichte von gestern und heute besser verstehen.

Absatz 2 verweist nicht nur auf die Themen, die in der Schule gelehrt werden müssen, sondern auch auf den Inhalt der Sensibilisierungsverfahren auf dem Gebiet des architektonischen Erbes. Soweit sich die Erhaltung nicht auf die Beibehaltung eines Dekors beschränkt, dessen Bedeutung jeden Sinn verloren hätte, kommt es darauf an, die Verbindungen aufzuzeigen, die zwischen Architektur, Kunst, Brauchtum und Lebensweisen bestehen. Bei den europäischen Bauten ist es besonders interessant, die regionalen kulturellen Komplexe zu betrachten, die über die Staatsgrenzen hinaus die gemeinsamen großen Kultureinheiten widerspiegeln.

#### *Artikel 16*

Der Text betrifft die notwendige Entwicklung der Systeme der Ausbildung in den verschiedenen Berufen und Handwerken, die mit der Erhaltung befaßt sind.

#### *Artikel 17*

Dieser Artikel ist der erste von denen, die der Abstimmung der Erhaltungsmaßnahmen auf europäischer Ebene gewidmet sind. Er zählt erschöpfend eine Reihe von Bereichen auf, in denen ein regelmäßiger Informationsaustausch zweckmäßig wäre, um die Überlegungen voranzutreiben. Ein solcher Austausch sollte zur Ausarbeitung abgestimmter Maßnahmen für alle Vertragsparteien führen.

Absatz 1 bezieht sich auf die Methoden der Erfassung des rechtlichen Schutzes und der materiellen Erhaltung der geschützten Güter. Ein europäischer Informationsaustausch und eine gemeinsame Betrachtung über die Konzeption des Erbes und die Kriterien für einen geeigneten rechtlichen Schutz wären besonders wichtig.

Absatz 2 betrifft die Wege und Mittel der Einbeziehung des baulichen Erbes in das wirtschaftliche, soziale und kulturelle Leben.

Absatz 3 erwähnt die Frage des Rückgriffs auf neue Technologien für die verschiedenen Stadien der Erfassung, Unterhaltung, Wiederherstellung und Aufwertung des Erbes.

Absatz 4 bezieht sich auf die zeitgenössische Architektur, die das Erbe von morgen darstellt. Die Probleme, die durch die Einbeziehung zeitgenössischer architektonischer Werke in alte Ensembles, Stätten und die Umgebung geschützter Baudenkmäler entstehen, erfordern einen umfangreichen Informationsaustausch zwischen den Vertragsparteien.

#### *Artikel 18*

Ein System technischer Unterstützung funktioniert bereits unter den Auspizien des Europarats durch die Entsendung von Expertendelegationen in Städte, für die von den nationalen Behörden der interessierten Länder entsprechende Anträge gestellt werden. Eine „Regelung für die technische Hilfe in bezug auf die erhaltene Erneuerung des ortsfesten kulturellen Erbes“ wurde schon am 28. Mai 1979 vom Ministerkomitee des Europarats angenommen.

#### *Artikel 19*

Dieser Artikel betrifft die wünschenswerte Entwicklung des Austausches von Fachleuten in den verschiedenen Berufen und Handwerken, die auf dem Gebiet des

Denkmalschutzes tätig sind. Er bezieht sich vor allem auf die Verantwortlichen für die Ausbildung in den verschiedenen Berufssparten.

Die im Rahmen der Fortbildung gebotenen Möglichkeiten scheinen für einen derartigen Austausch von kürzerer oder längerer Dauer günstig. Eine eventuelle Anpassung der nationalen und regionalen Regelungen über die Fortbildung wäre zweckmäßig. Außer Ausbildungskursen müßten die beruflichen Regelungen erlauben, wenn dies nicht bereits der Fall ist, daß Spezialisten ihren Beruf oder ihr Handwerk in anderen Ländern als ihrem Heimatland ausüben können.

#### *Artikel 20*

Um zu gewährleisten, daß das Übereinkommen so wirksam wie möglich umgesetzt wird, schien es wünschenswert, einen Ausschuß zur Überwachung der Anwendung einzusetzen.

##### *a) Aufgabe des Ausschusses*

- Der Ausschuß muß in Abständen, die er selbst festlegt, dem Ministerkomitee des Europarates einen Bericht vorlegen über:
- den Stand der in den Vertragsstaaten angewandten Maßnahmen zur Erhaltung des Erbes;
- die Anwendung der in dem Übereinkommen formulierten Grundsätze durch die Vertragsparteien;
- seine eigenen Tätigkeiten.

Der Ausschuß muß dem Ministerkomitee auch jede Maßnahme vorschlagen, die für die Anwendung des Übereinkommens von Nutzen ist, ob es sich um Empfehlungen an die Mitgliedstaaten, Vorschläge zum zwischenstaatlichen Arbeitsprogramm des Europarates oder um Vorschläge jeder anderen Art in bezug auf die internationale multilaterale Zusammenarbeit, die Information und die Sensibilisierung der Staaten, der Gemeinden und der europäischen Öffentlichkeit handelt.

Es ist auch Sache des Ausschusses, dem Ministerkomitee Empfehlungen hinsichtlich der eventuellen Einladung von Nichtmitgliedern des Europarates zum Beitritt zu dem Übereinkommen vorzulegen.

##### *b) Rechtsstellung des Ausschusses*

Gemäß Artikel 17 der Satzung des Europarates kann das Ministerkomitee für alle Zwecke, die es für wünschenswert hält, beratende oder technische Ausschüsse einsetzen.

Die Rechtsstellung eines derartigen Ausschusses wird vom Ministerkomitee festgelegt. Es kann sich um einen Ad-hoc-Expertenausschuß handeln, der unmittelbar dem Ministerkomitee angeschlossen ist, um einen für den Bereich „architektonisches Erbe“ zuständigen Lenkungsausschuß oder um jede andere für wünschenswert erachtete Formel.

Der kleine Expertenausschuß hatte in seinen Sitzungen die Ansicht vertreten, daß die Festlegung der Rechtsstellung des mit der Überwachung der Anwendung des Übereinkommens beauftragten Ausschusses zum Zeitpunkt des Inkrafttretens des Übereinkommens erfolgen sollte.

## *Artikel 21*

Der Artikel orientiert sich an Standardbestimmungen, wie sie schon in anderen internationalen Übereinkommen gewählt wurden, um das Problem von Wechselwirkungen mit Übereinkommen zu lösen, die sich auf ähnliche Probleme beziehen.

Dieses Übereinkommen unterscheidet sich von dem „Übereinkommen zum Schutz des Kultur- und Naturerbes der Welt“, das am 16. November 1972 von der Generalkonferenz der UNESCO angenommen wurde, in formeller und materieller Hinsicht. Die beiden Übereinkommen haben verschiedene Aufgaben ebenso wie die Organisation, unter deren Auspizien sie ausgearbeitet wurden. Das eine hat einen regionalen Aufgabenbereich, das andere einen weltweiten. Das Übereinkommen des Europarates erscheint als eine Ergänzung zu dem der UNESCO, und während es dem allgemeinen Geist des letzteren entspricht, enthält es eine Reihe von Bestimmungen, die im Hinblick auf die europäischen Erfordernisse konzipiert sind. Auf materieller Ebene umfaßt der Anwendungsbereich das Übereinkommen des Europarates im Gegensatz zu dem UNESCO-Text nicht die natürlichen Denkmalzonen. Es ist auch nicht darauf ausgerichtet, eine Liste der Güter von außergewöhnlicher, internationaler Bedeutung aufzustellen, sondern allgemeine Mindestanforderungen bezüglich des Schutzes der Güter festzusetzen und eine Reihe von Prinzipien für die europäischen Erhaltungsmaßnahmen zu bestimmen. Im übrigen bezieht sich das Übereinkommen des Europarates auf die technische Hilfe und den Austausch von Fachwissen, aber es richtet keinen gegenseitigen Unterstützungsfonds ein. So hat jeder Text seinen spezifischen Charakter.

Das Übereinkommen zum Schutz des architektonischen Erbes Europas mußte auch von dem europäischen Übereinkommen zum Schutz archäologischen Kulturgutes abgegrenzt werden, das 1969 im Rahmen des Europarates ausgearbeitet worden war. Gemäß Artikel 1 dieses Übereinkommens „... werden als archäologische Güter die Überreste und Gegenstände oder alle anderen Spuren menschlichen Lebens betrachtet, die Zeugnis von Epochen und Generationen ablegen, bei denen die oder eine der Hauptquellen wissenschaftlicher Erkenntnis durch Ausgrabungen oder Funde gewährleistet ist“.

Einige Elemente des archäologischen Erbes im Sinne dieses letzteren Übereinkommens können beweglich, andere dagegen unbeweglich sein. Auch die Grenze zwischen architektonischem und archäologischem Erbe kann in bestimmten Fällen ungenau sein.

Es war also notwendig, daß in Artikel 21 eventuellen Schwierigkeiten mit der Bestimmung vorgebeugt wird, daß dieses Übereinkommen nicht die Anwendung eventuell günstigerer Bestimmungen über den Schutz der Güter der anderen vorgenannten Übereinkommen beeinträchtigt.

## *Artikel 22 bis 27*

Die Schlußklauseln in den Artikeln 22 bis 27 basieren auf dem Modell der Schlußklauseln für Verträge im Rahmen des Europarates.

Artikel 25 betrifft die Möglichkeit, bei der Unterzeichnung oder der Hinterlegung der Ratifikations-, Annahme-, Genehmigungs- oder Beitrittsurkunde einen Vorbehalt anzumelden:

– bezüglich der Möglichkeit, daß die öffentlichen Behörden von dem Eigentümer eines geschützten Gutes die Durchführung von Arbeiten verlangen oder dieses selbst durchführen, wenn der Eigentümer dies unterläßt (Artikel 4. c)

und eine Reihe von Prinzipien für die europäischen Erhaltungsmaßnahmen zu bestimmen. Im übrigen bezieht sich das Übereinkommen des Europarats auf die technische Hilfe und den Austausch von Fachwissen, aber es richtet keinen gegenseitigen Unterstützungsfonds ein. So hat jeder Text seinen spezifischen Charakter.

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- bezüglich der Möglichkeit, ein geschütztes Gut zu enteignen (Artikel 4. c).

Eine andere Vorbehaltsmöglichkeit wurde von den Vertragsparteien nicht vorgesehen.

# Declaration of Amsterdam

Congress on the European Architectural Heritage, 21-25 October 1975

Text source: <http://www.icomos.org/docs/amsterdam.html> (ICOMOS – International Council on Monuments and Sights, 06.12.2010)

German version (S. 10 ff.):

[http://www.dnk.de/uploads/media/149\\_1975\\_Europarat\\_Deklaration\\_Amsterdam.pdf](http://www.dnk.de/uploads/media/149_1975_Europarat_Deklaration_Amsterdam.pdf) (Deutsches Nationalkomitee für Denkmalschutz, 06.12.2010)

The Congress of Amsterdam, the crowning event of European architectural heritage Year 1975, and composed of delegates from all parts of Europe, wholeheartedly welcomes the Charter promulgated by the Committee of Ministers of the Council of Europe, which recognizes that Europe's unique architecture is the common heritage of all her peoples and which declared the intention of the Member States to work with one another and with other European governments for its protection.

The Congress likewise affirms that Europe's architectural heritage is an integral part of the cultural heritage of the whole world and has noted with great satisfaction the mutual undertaking to promote co-operation and exchanges in the field of culture contained in the Final Act of the Congress on Security and Co-operation in Europe adopted at Helsinki in July of this year.

In so doing, the Congress emphasized the following basic considerations:

- a. Apart from its priceless cultural value, Europe's architectural heritage gives to her peoples the consciousness of their common history and common future. Its preservation is, therefore, a matter of vital importance.
- b. The architectural heritage includes not only individual buildings of exceptional quality and their surroundings, but also all areas of towns or villages of historic or cultural interest.
- c. Since these treasures are the joint possession of all the peoples of Europe, they have a joint responsibility to protect them against the growing dangers with which they are threatened - neglect and decay, deliberate demolition, incongruous new construction and excessive traffic.
- d. Architectural conservation must be considered, not as a marginal issue, but as a major objective of town and country planning.
- e. Local authorities, to whom most of the important planning decisions rest, have a special responsibility for the protection of the architectural heritage and should assist one another by the exchange of ideas and information.
- f. The rehabilitation of old areas should be conceived and carried out in such a way as to ensure that, where possible, this does not necessitate a major change in the social composition of the residents, all sections of society should share in the benefits of restoration financed by public funds.
- g. The legislative and administrative measures required should be strengthened and made more effective in all countries,
- h. To help meet the cost of restoration, adaptation and maintenance of buildings and areas of architectural or historic interest, adequate financial assistance should be made available to local authorities and financial support and fiscal relief should likewise be made available to private owners.
- i. The architectural heritage will survive only if it is appreciated by the public and in particular by the younger generation. Educational programmes for all ages should, therefore, give increased attention to this subject.
- j. Encouragement should be given to independent organizations - international, national and local - which help to awake public interest.
- k. Since the new buildings of today will be the heritage of tomorrow, every effort must be made to ensure that contemporary architecture is of a high quality.

In view of the recognition by the Committee of Ministers in the European Charter of the architectural heritage that it is the duty of the Council of Europe to ensure that the Member States pursue coherent policies in a spirit of solidarity, it is essential that periodic reports

should be made on the progress of architectural conservation in all European countries in a way which will promote an exchange of experience.

The Congress calls upon governments, parliaments, spiritual and cultural institutions, professional institutes, commerce, industry, independent associations and all individual citizens to give their full support to the objectives of this Declaration and to do all in their power to secure their implementation.

Only in this way can Europe's irreplaceable architectural heritage be preserved, for the enrichment of the lives of all her peoples now and in the future.

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Arising from its deliberations, the Congress submits its conclusions and recommendations, as set out below.

Unless a new policy of protection and integrated conservation is urgently implemented, our society will shortly find itself obliged to give up the heritage of buildings and sites which form its traditional environment. Protection is needed today for historic towns, the old quarters of cities, and towns and villages with a traditional character as well as historic parks and gardens. The conservation of these architectural complexes can only be conceived in a wide perspective, embracing all buildings of cultural value, from the greatest to the humblest - not forgetting those of our own day together with their surroundings. This overall protection will complement the piecemeal protection of individual and isolated monuments and sites.

The significance of the architectural heritage and justification for conserving it are now more clearly perceived. It is known that historical continuity must be preserved in the environment if we are to maintain or create surroundings which enable individuals to find their identity and feel secure despite abrupt social changes. A new type of town-planning is seeking to recover the enclosed spaces, the human dimensions, the inter-penetration of functions and the social and cultural diversity that characterized the urban fabric of old towns. But it is also being realized that the conservation of ancient buildings helps to economise resources and combat waste, one of the major preoccupations of present-day society. It has been proved that historic buildings can be given new functions which correspond to the needs of contemporary life. Furthermore, conservation calls for artists and highly-qualified craftsmen whose talents and know-how have to be kept alive and passed on. Lastly, the rehabilitation of existing housing helps to check encroachments on agricultural land and to obviate, or appreciably diminish, movements of population - a very important advantage of conservation policy.

Although, for all these reasons, there seems a stronger justification than ever today for the conservation of the architectural heritage, it must be placed on firm and lasting foundations. It must accordingly be made the subject of basis research and a feature of all educational courses **and cultural** development programmes.

*The conservation of the architectural heritage : one of the major objectives of urban and regional planning*

The conservation of the architectural heritage should become an integral part of urban and regional planning, instead of being treated as a secondary consideration or one requiring action here and there as has so often been the case in the recent past. A permanent dialogue between conservationists and those responsible for planning is thus indispensable.

Planners should recognize that not all areas are the same and that they should therefore be dealt with according to their individual characteristics. The recognition of the claims of the aesthetic and cultural values of the architectural heritage should lead to the adoption of specific aims and planning rules for old architectural complexes.

It is not enough to simply superimpose, although co-ordinating them, ordinary planning regulations and specific rules for protecting historic buildings.

To make the necessary integration possible, an inventory of buildings, architectural complexes and sites demarcating protected zones around them is required. It should be widely circulated, particularly among regional and local authorities and officials in charge of town and country planning, in order to draw their attention to the buildings and areas worthy of protection. Such an inventory will furnish a realistic basis for conservation as a fundamental qualitative factor in the management of space.

Regional planning policy must take account of the conservation of the architectural heritage and contribute to it. In particular it can induce new activities to establish themselves in economically declining areas in order to check depopulation and thereby prevent the deterioration of old buildings. In addition, decisions on the development of peripheral urban areas can be orientated in such a way as to reduce pressure on the older neighbourhoods; here transport and employment policies and a better distribution of the focal points of urban activity may have an important impact on the conservation of the architectural heritage.

The full development of a continuous policy of conservation requires a large measure of decentralization as well as a regard for local cultures. This means that there must be people responsible for conservation at all levels (central, regional and local) at which planning decisions are taken. The conservation of the architectural heritage, however, should not merely be a matter for experts. The support of public opinion is essential. The population, on the basis of full and objective information, should take a real part in every stage of the work, from the drawing up of inventories to the preparation of decisions,

Lastly, the conservation of the architectural heritage should become a feature of a new long-term approach which pays due attention to criteria of quality and just proportions and which should make it possible henceforth to reject options and aims which are too often governed by short-term considerations, narrow view of technology and, in short, an obsolete outlook.

*Integrated conservation involves the responsibility of local authorities and calls for citizens' participation.*

Local authorities should have specific and extensive responsibilities in the protection of the architectural heritage. In applying the principles of integrated conservation, they should take account



of the continuity of existing social and physical realities in urban and rural communities. The future cannot and should not be built at the expense of the past.

To implement such a policy, which respects the man-made environment intelligently, sensitively and with economy, local authorities should :

- use as a basis the study of the texture of urban and rural areas, notably their structure, their complex functions, and the architectural and volumetric characteristics of their built-up and open spaces;
- afford functions to buildings which, whilst corresponding to the needs of contemporary life, respect their character and ensure their survival;
- be aware that long-term studies on the development of public services (educational, administrative, medical) indicate that excessive size impairs their quality and effectiveness;
- devote an appropriate part of their budget to such a policy. In this context, they should seek from governments the creation of funds specifically earmarked for such purposes. Local authority grants and loans made to private individuals and various associations should be aimed at stimulating their involvement and financial commitment:
- appoint representatives to deal with all matters concerning the architectural heritage and sites;
- set up special agencies to provide direct links between potential users of buildings and their owners;
- facilitate the formation and efficient functioning of voluntary associations for restoration and rehabilitation.

Local authorities should improve their techniques of consultation for ascertaining the opinions of interested parties on conservation plans and should take these opinions into account from the earliest stages of planning. As part of their efforts to inform the public the decisions of local authorities should be taken in the public eye, using a clear and universally understood language, so that the local inhabitants may learn, discuss and assess the grounds for them. Meeting places should be provided, in order to enable members of the public to consult together.

In this respect, methods such as public meetings, exhibitions, opinion polls, the use of the mass media and all other appropriate methods should become common practice.

The education of young people in environmental issues and their involvement with conservation tasks is one of the most important communal requirements.

Proposals or alternatives put forward by groups or individuals should be considered as an important contribution to planning.

Local authorities can benefit greatly from each other's experience. They should therefore establish a continuing exchange of information and ideas through all available channels.

*The success of any policy of integrated conservation depends on taking social factors into consideration.*

A policy of conservation also means the integration of the architectural heritage into social life.

The conservation effort to be made must be measured not only against the cultural value of the buildings but also against their use-value. The social problems of integrated conservation can be properly posed only by simultaneous reference to both those scales of values.

The rehabilitation of an architectural complex forming part of the heritage is not necessarily more costly than new building on an existing infrastructure or even than building a new complex on a previously undeveloped site. When therefore comparing the cost of these three solutions, whose social consequences are quite different, it is important not to overlook the social costs. These concern not only owners and tenants but also the craftsmen, tradespeople and building contractors on the spot who keep the district alive.

To avoid the laws of the market having free play in restored and rehabilitated districts, resulting in inhabitants who are unable to pay the increased rents being forced out, public authorities should intervene to reduce the effect of economic factors as they always do when it is a case of low-cost housing. Financial interventions should aim to strike a balance between restoration grants to owners, combined with the fixing of maximum rent, and housing allowances to tenants to cover, in part or in whole, the difference between the old and new rents.

In order to enable the population to participate in the drawing up of programmes they must be given the facts necessary to understand the situation, on the one hand through explaining the historic and architectural value of the buildings to be conserved and on the other hand by being given full details about permanent and temporary rehousing.

This participation is all the more important because it is a matter not only of restoring a few privileged buildings but of rehabilitating whole areas.

This practical way of interesting people in culture would be of considerable social benefit.

*Integrated conservation necessitates the adaptation of legislative and administrative measures.*

Because the concept of the architectural heritage has been gradually extended from the individual historic building to urban and rural architectural complexes, and to the built testimonies of recent periods, far-reaching legislative reform, in conjunction with an increase in administrative resources, is a pre-requisite to effective action.

This reform must be guided by the need to co-ordinate regional planning legislation with legislation on the protection of the architectural heritage.

This latter must give a new definition of the architectural heritage and the aims of integrated conservation.

In addition it must make special provision for special procedures with regard to :

- the designation and delineation of architectural complexes;
- the mapping out of protective peripheral zones and the limitations on use to be imposed therein in the public interest;
- the preparation of integrated conservation schemes and the inclusion of their provisions in regional planning policies;

- the approval of projects and authorization to carry out work.

In addition the necessary legislation should be enacted in order to :

- ensure a balanced allocation of budgetary resources between rehabilitation and redevelopment respectively;
- grant citizens who decide to rehabilitate an old building at least the same financial advantages as those which they enjoy for new construction;
- revise the system of state financial aid in the light of the new policy of integrated conservation.

As far as possible, the application of building codes, regulations and requirements should be relaxed to meet the needs of integrated conservation.

In order to increase the operational capacity of the authorities, it is necessary to review the structure of the administration to ensure that the departments responsible for the cultural heritage are organized at the appropriate levels and that sufficient qualified personnel and essential scientific, technical and financial resources are put at their disposal.

These departments should assist local authorities, co-operate with regional planning offices and keep in constant touch with public and private bodies.

*Integrated conservation necessitates appropriate financial means.*

It is difficult to define a financial policy applicable to all countries or to evaluate the consequences of the different measures involved in the planning process, because of their mutual repercussions.

Moreover, this process is itself governed by external factors resulting from the present structure of society.

It is accordingly for every state to devise its own financing methods and instruments.

It can be established with certainty however, that there is scarcely any country in Europe where the financial means allocated to conservation are sufficient.

It is further apparent that no European country has yet devised the ideal administrative machinery to meet the economic requirements of an integrated conservation policy. In order to solve the economic problems of integrated conservation, it is important - and this is a decisive factor - to draw up legislation subjecting new building to certain restrictions with regard to their volume and dimensions (height, coefficient of utilization etc.) that will make for harmony with its surroundings.

Planning regulations should discourage increased density and promote rehabilitation rather than redevelopment.

Methods must be devised to assess the extra cost occasioned by the constraints of conservation programmes. Where possible, sufficient funds should be available to help owners who are obliged to carry out this restoration work to meet the extra cost - no more and no less.

If the criteria of extra cost were accepted, care would need to be taken of course, to see that the benefit was not diminished by taxation.

The same principle should be applied to the rehabilitation of dilapidated complexes of historic or architectural interest. This would tend to restore the social balance.

The financial advantages and tax concessions available for new building should be accorded in the same proportion for the upkeep and conservation of old buildings, less, of course, any compensation for extra cost that may have been paid.

Authorities should set up Revolving Funds, or encourage them to be established, by providing local authorities or non-profit making associations with the necessary capital. This is particularly applicable to areas where such programmes can become self-financing in the short or the long term because of the rise in value accruing from the high demand for such attractive property.

It is vital, however, to encourage all private sources of finance, particularly coming from industry. Numerous private initiatives have shown the viable part that they can play in association with the authorities at either national or local level.

*Integrated conservation requires the promotion of methods, techniques and skills for restoration and rehabilitation.*

Methods and techniques of the restoration and rehabilitation of historic complexes should be better exploited and their range developed.

Specialized techniques which have been developed for the restoration of important historic complexes should be henceforth applied to the wide range of buildings and complexes of less outstanding artistic merit.

Steps should be taken to ensure that traditional building materials remain available and that traditional crafts and techniques continue to be used.

Permanent maintenance of the architectural heritage, will, in the long run, obviate costly rehabilitation operations.

Every rehabilitation scheme should be studied thoroughly before it is carried out. Comprehensive documentation should be assembled about materials and techniques and an analysis of costs should be made. This documentation should be collected and housed in appropriate centres.

New materials and techniques should be used only after approval by independent scientific institutions.

Research should be undertaken to compile a catalogue of methods and techniques used for conservation and for this purpose scientific institutions should be created and should co-operate closely with each other. This catalogue should be made readily available and distributed to everyone concerned, thus stimulating the reform of restoration and rehabilitation practices.

There is a fundamental need for better training programme to produce qualified personnel. These programmes should be flexible, multi-disciplinary and should include courses where on-site practical experience can be gained.

International exchange of knowledge, experience and trainees an essential element in the training of all personnel concerned.

This should help to create the required pool of qualified planners, architects, technicians and craftsmen to prepare conservation programmes and help to ensure that particular crafts for restoration work, that are in danger of dying out, will be fostered.

The opportunity for qualifications, conditions of work, salary, employment security and social status should be sufficiently attractive to induce young people to take up and stay in disciplines connected with restoration and rehabilitation work.

Furthermore, the authorities responsible for educational programmes at all levels should endeavour to promote the interest of young people in conservation disciplines.

## **Deklaration von Amsterdam**

Europäischer Denkmalschutzkongreß

Amsterdam, 24. Oktober 1975

Der Amsterdamer Kongreß, Höhepunkt des Europäischen Denkmalschutzjahres 1975 und Versammlung von Delegierten aus allen Teilen Europas, begrüßt die vom Ministerkomitee des Europarats verabschiedete Charta, welche die einzige dastehende Architektur Europas zum gemeinsamen, verpflichtenden Erbe aller seiner Völker erklärt und den Willen der Mitgliedstaaten bekundet, unter sich und mit den anderen Staaten Europas zum Schutz dieses Erbes zusammenzuwirken.

Der Kongreß bekräftigt die Auffassung, daß Europas bauliches Erbe ein untrennbarer Bestandteil des Kulturerbes der ganzen Welt ist, und nimmt mit großer Genugtuung von den Bemühungen um Zusammenarbeit und Austausch auf kulturellem Gebiet Kenntnis, die in der im Juli 1975 in Helsinki verabschiedeten Schlußresolution des Kongresses für Sicherheit und Zusammenarbeit in Europa enthalten sind.

In diesem Sinne hebt der Kongreß folgende Grundsatzüberlegungen hervor:

- a) Über seinen unschätzbaren kulturellen Wert hinaus vermittelt Europas bauliches Erbe seinen Völkern das Bewußtsein ihrer gemeinsamen Geschichte und Bestimmung. Die Erhaltung dieses baulichen Erbes ist von lebenswichtiger Bedeutung.
- b) Das schützenswerte bauliche Erbe schließt nicht nur Einzelgebäude von überragender Qualität und deren Umgebung ein, sondern alle Stadt- und Dorfgebiete von historischer oder kultureller Bedeutung.
- c) Aus der Tatsache, daß die überlieferten Kulturschätze ihr gemeinsamer Besitz sind, erwächst allen europäischen Völkern eine gemeinsame Verantwortung, diesen Besitz gegen die wachsende Bedrohung – vor Vernachlässigung und Verfall, absichtlicher Zerstörung, maßstabsfremder Neubebauung und Beeinträchtigung durch übermäßigen Verkehr – zu schützen.
- d) In Städtebau und Raumplanung darf die Erhaltung des baulichen Erbes kein Randgebiet sein, sondern muß zu einem der zentralen Anliegen werden.
- e) Die Städte und Gemeinden, welche einen Großteil der wichtigen Planungsentscheidungen fällen, tragen eine besondere Verantwortung für den Schutz des baulichen Erbes und müssen einander durch Austausch von Ideen und Informationen unterstützen.
- f) Die Erneuerung historischer Baugebiete sollte so geplant und ausgeführt werden, daß wo dies möglich ist, kein größerer Umbruch in der Sozialstruktur eintritt. Die Vorteile solcher mit öffentlichen Mitteln unterstützter Maßnahmen sollten allen Gesellschaftsschichten gleichmäßig zugute kommen.
- g) Die erforderlichen gesetzlichen und administrativen Maßnahmen sollten in allen Ländern verschärft und vervollkommen werden.

- h) Das Aufbringen der Kosten für die Wiederherstellung, die Anpassung und den Unterhalt der Gebäude und Quartiere von architektonischer oder historischer Bedeutung sollte den Städten und Gemeinden durch angemessene Finanzhilfen erleichtert werden. Auch den privaten Eigentümern sollten Zuschüsse und Steuererleichterungen gewährt werden.
- i) Das bauliche Erbe kann nur dann überleben, wenn sein Wert von der Allgemeinheit und besonders von der jüngeren Generation erkannt wird. Diesem Ziel muß deshalb in den Erziehungs- und Ausbildungsprogrammen aller Altersstufen größere Aufmerksamkeit als bisher geschenkt werden.
- j) Die privaten Organisationen, die auf internationaler, nationaler und lokaler Ebenen dazu beitragen, das Allgemeininteresse für die Fragen der Erhaltung zu stärken, sollten in ihren Anstrengungen ermutigt werden.
- k) Es müssen alle Anstrengungen unternommen werden, um sicherzustellen, daß auch die zeitgenössische Architektur neue Werte schafft, denn die Neubauten von heute sind das bauliche Erbe von morgen.

Nachdem das Ministerkomitee in der Europäischen Denkmalschutz-Charta die Pflicht des Europarats festgelegt hat, dafür zu sorgen, daß in den Mitgliedstaaten eine vom Geiste der Solidarität getragene einheitliche Erhaltungspolitik verfolgt werde, ist es wichtig, daß regelmäßige Berichte über den Fortschritt der erhaltenden Erneuerung in den europäischen Ländern erscheinen und dadurch ein ständiger Erfahrungsaustausch gefördert wird.

Der Kongreß fordert alle Parlamente, geistliche und kulturelle Institutionen, Berufsverbände, Handel, Industrie, private Vereinigungen und alle Bürger auf, die Ziele dieser Deklaration zu unterstützen und in ihrem Bereich alles daran zu setzen, daß sie zur Anwendung gelangt.

Nur auf diesem Wege kann Europas unersetzliches bauliches Erbe bewahrt werden und in Gegenwart und Zukunft zur Bereicherung des Lebens seiner Völker beitragen.

Ausgehend von seinen Beratungen, legt der Kongreß folgende Beschlüsse und Empfehlungen vor:

Wenn es nicht gelingt, innerhalb kürzester Zeit eine Politik der Bewahrung und erhaltenden Erneuerung durchzusetzen, so wird unsere Gesellschaft bald gezwungen sein, ihr Erbe an Bauten und städtebaulichen Strukturen und damit die bestimmenden Elemente des überlieferten Lebensraumes ihrer Heimat aufzugeben.

Historische Städte, alte Stadt- und Dorfbereiche mit traditionellem Charakter sind heute ebenso schutzbedürftig wie historische Parks und Gärten. Die Erhaltung dieser baulichen und kulturlandschaftlichen Komplexe erfordert eine sehr umfassende Betrachtung, welche alle Gebäude von kulturellem Wert, vom größten bis zum bescheidensten, samt ihrer Umgebung einbezieht – diejenigen unserer Tage nicht ausgenommen. Dieser umfassende Schutzgedanke berücksichtigt selbstverständlich die Erhaltung einzelner Denkmäler und Landschaftsbilder.

Die Bedeutung des baulichen Erbes und die Berechtigung seiner Erhaltung werden klarer als noch vor wenigen Jahren erkannt. Wir wissen heute, daß historische Kontinuität in unserem Lebensraum notwendig ist, um eine Umgebung zu erhalten oder zu schaffen, die es dem Individuum erlaubt, sich mit ihr zu identifizieren und sich vor abrupten sozialen Veränderungen sicher zu fühlen. Die Stadtplanung sucht den geschlossenen Raum, den menschlichen Maßstab, das Ineinandergreifen verschiedener Betätigungen und die soziale und kulturelle Lebendigkeit, die für das Bild alter Städte charakteristisch sind, wieder zu entdecken. Aber nicht nur das – man beginnt

sich auch darüber klar zu werden, daß die Erhaltung alter Gebäude zu einem sinnvolleren Umgang mit den vorhandenen Mitteln und zur Bekämpfung unsinniger Verschwendung beiträgt und damit einem Hauptanliegen unserer heutigen Gesellschaft entspricht. Es hat sich erwiesen, daß man historische Gebäude durchaus mit neuen Funktionen, die den Anforderungen unseres modernen Lebens gerecht werden, in Einklang bringen kann. Ihre Erhaltung sichert auch die Nachfrage nach Künstlern und hochqualifizierten Handwerkern, deren Talente und Fertigkeiten gefördert und weitergegeben werden müssen. Schließlich trägt die Erneuerung bestehender Häuser dazu bei, der übermäßigen Inanspruchnahme landwirtschaftlicher Fläche für die Besiedlung Einhalt zu gebieten und unerwünschte Wanderungsbewegungen zum Stillstand zu bringen oder doch wesentlich zu vermindern; sie bildet damit ein wichtiges soziales Element in der Politik der Erhaltung.

Aus den genannten Gründen erscheint die Erhaltung des baulichen Erbes heute wichtiger denn je zuvor und muß auf ein solides Fundament gestellt werden. Sie muß sich auf die Grundlagenforschung stützen und in Lehrgängen wie in Programmen für die kulturelle Entwicklung Eingang finden.

### *Die Erhaltung des baulichen Erbes: eines der Hauptziele in Städtebau und Raumplanung*

Die Erhaltung der baulichen Schätze muß zum integralen Bestandteil des Städtebaus und der Raumplanung werden. Sie darf nicht mehr als Gegenstand isolierter Maßnahmen oder als Gesichtspunkt zweiten Ranges erscheinen, wie es bisher oft geschehen ist. Daher erweist sich ein ständiger Dialog zwischen Denkmalpflegern und den für die Raumplanung Verantwortlichen als unerlässlich.

Die Planer müssen die Unterschiede in den von ihnen bearbeiteten Gebieten sehen lernen, was dazu führt, diese entsprechend ihrem individuellen Charakter zu behandeln.

Die Erkennung der ästhetischen und kulturellen Werte des baulichen Erbes sollte dazu führen, spezifische Planungsziele und Methoden für historische Baukomplexe aufzustellen. Es reicht nicht aus, normale Planungsverfahren und spezifische Regeln für den Schutz historischer Gebäude unkoordiniert nebeneinander zu stellen.

Um diese Integration möglich zu machen, muß ein Gesamt-Inventar der Gebäude, Ensembles und der sie umgebenden geschützten Zonen aufgestellt und allen Beteiligten und Betroffenen zugänglich gemacht werden, insbesondere den für die räumliche Planung zuständigen regionalen und lokalen Behörden, mit dem Zweck, deren Aufmerksamkeit auf die erhaltenswerten Gebäude und Bereiche zu lenken. Mit einem solchen Inventar wird eine solide Basis für die Erhaltung der Baueinheiten und ihr Einfügen in die Raumordnung geschaffen. Die Regionalplanungspolitik muß die Erhaltung des baulichen Erbes berücksichtigen und zu ihrer Sache machen. Im besonderen kann sie den Anstoß dazu geben, daß neue Tätigkeitsbereiche in wirtschaftlich zurückgebliebenen Gebieten entstehen, um deren Entvölkerung entgegenzuwirken und gleichzeitig die alten Gebäude vor Entwertung zu schützen.

Darüber hinaus sollten Beschlüsse über die Entwicklung von Randgebieten in eine Richtung zielen, daß der auf Altstadtgebieten lastende Druck sich vermindert. Nahverkehrs- und Beschäftigungspolitik und eine kluge Verteilung der Brennpunkte städtischer Aktivität haben in manchen Fällen einen außerordentlich starken Einfluß auf die Möglichkeit zur Erhaltung des baulichen Erbes.



Der volle Ausbau einer langfristigen Erhaltungspolitik ist nicht denkbar ohne Aufteilung der Zuständigkeiten und Rücksicht auf örtliche Besonderheiten. Dies bedeutet, daß kompetente Erhaltungsfachleute auf allen Planungsebenen, den zentralen so gut wie den regionalen und lokalen, zur Verfügung stehen müssen.

Andererseits darf Erhaltung des baulichen Erbes nicht allein die Angelegenheit von Experten sein oder bleiben; die Unterstützung durch die öffentliche Meinung bleibt unentbehrlich. Die Bevölkerung sollte auf der Grundlage vollständiger und objektiver Information an allen Stadien der erhaltenden Erneuerung Anteil nehmen können, von der Aufstellung von Inventaren über die Planung bis zum Entscheid über konkrete Vorhaben. Die Bauerhaltung auf lange Sicht muß zu einer Änderung der Leitbilder führen. Sie hat den Kriterien der Qualität und Maßstäblichkeit stärker Rechnung zu tragen; der Einfluß eingengter Vorstellungen und letztlich eine überholte Konzeption müssen zurückgedrängt werden.

### *Altstadterhaltung verlangt die verantwortliche Beteiligung der Behörden und das Mitmachen der Bevölkerung*

Die Behörden bedürfen spezieller, nicht zu eng bemessener Verantwortlichkeiten für den Schutz des baulichen Erbes. Bei der Verwirklichung der Prinzipien der Altstadterhaltung fällt ihnen die Aufgabe zu, für die Kontinuität der sozialen und ländlichen Gemeinden zu sorgen. Die Zukunft kann und darf nicht auf Kosten des Überlieferten bauen.

Um eine solche Politik des klugen, einfühlsamen und sparsamen Umgangs mit der überkommenen Umwelt zu etablieren, müssen die Behörden:

- bei ihren Entscheidungen auf einer genauen Bestandsaufnahme der städtischen und ländlichen Räume aufbauen, welche nicht nur deren Struktur und komplexe Funktionen erfaßt, sondern auch die architektonischen und maßstäblichen Charakteristika ihrer bebauten und unbebauten Flächen.
- für eine Nutzung historischer Gebäude sorgen, die bei aller Einsicht in die Anforderungen des modereren Lebens deren Charakter berücksichtigt und ihr Überleben sichert;
- sich Rechenschaft darüber geben, daß – wie Langzeituntersuchungen über die Entwicklung der öffentlichen Dienste (Bildung, Verwaltung, Gesundheitswesen) zeigen – überzogene Größe von Gemeindebedarfseinrichtungen zu Lasten der Qualität und Wirtschaftlichkeit geht;
- einen angemessenen Teil ihres Budgets für die Verwirklichung der Altstadterhaltung vorsehen. In diesem Zusammenhang sollten sie auf die Schaffung von speziell für Erhaltungsaufgaben vorgesehenen Fonds hinwirken. Durch Zuschüsse und Darlehen der Gemeinden sollten Private und Vereinigungen aller Art dazu angeregt werden, sich ideell und finanziell zu engagieren;
- verantwortliche Vertreter für alle Bereiche des baulichen und kurlandschaftlichen Erbes benennen;
- besondere öffentliche Dienste schaffen, die direkte Kontakte zwischen den Eigentümern historischer Gebäude und potentiellen Benützern herstellen;
- die Gründung und die Arbeit freiwilliger Restaurierungs- und Rehabilitationsgemeinschaften fördern.

Die kommunalen Behörden müssen die Methoden zur Meinungsforschung bei der von Umgestaltungsplänen betroffenen Bevölkerung verbessern und die bei ihren Er-

hebungen gewonnenen Erkenntnisse schon im Anfangsstadium der Planung berücksichtigen. Als Teil der Anstrengungen zur Information der Bevölkerung müssen die Entscheidungen unter Teilnahme der von ihnen Betroffenen gefällt und in einer klaren und allgemein verständlichen Sprache publiziert werden, so daß die Bürger sie diskutieren und nachvollziehen können. Nicht zuletzt müssen auch die räumlichen Voraussetzungen dafür geschaffen werden, daß sich die Bewohner zur Aussprache über Erhaltungs- und Erneuerungsprobleme treffen können. Bürgerversammlungen, Ausstellungen, Meinungsumfragen, Einsatz der Massenmedien und generell alle zur Förderung der Partizipation geeigneten Methoden sollten allgemein in Übung kommen.

Die Erziehung der Jugend in Umweltfragen und ihre Beteiligung an allen Aufgaben der Bauerhaltung gehören zu den wichtigsten kommunalen Verpflichtungen.

Von Gruppen oder Einzelpersonlichkeiten zur Diskussion gestellte Anregungen oder Alternativ-Vorschläge sollten als ernst zu nehmende Beiträge zur Planung betrachtet werden.

Von größtem Nutzen für Städte und Gemeinden sind die Erfahrungen, die an anderer Stelle gesammelt wurden; es sollten deshalb alle zur Verfügung stehende Wege zum laufenden Austausch von Gedanken und Informationen genutzt werden.

### *Der Erfolg der Altstadterhaltungspolitik hängt weitgehend von der Rücksichtnahme auf soziale Gesichtspunkte ab*

Die Erhaltungspolitik verlangt, daß das bauliche Erbe in das soziale Leben integriert bleibt.

Die Erhaltungsbemühungen dürfen nicht ausschließlich am kulturellen Wert der Gebäude gemessen werden, sondern müssen auch deren Nutzwert in Betracht ziehen. Nur bei Berücksichtigung beider Wertfaktoren lassen sich die sozialen Probleme der Altstadterhaltung angemessen würdigen.

Die Erneuerung eines schutzwürdigen Baukomplexes muß nicht notwendigerweise teurer sein als ein Neubau im erschlossenen Gebiet und erst recht nicht teurer als ein neuer Komplex in einer erst noch zu erschließenden und auszustattenden Zone. Bei einem Vergleich der Kosten der drei genannten alternativen Ansätze, deren soziale Konsequenzen unterschiedlich sind, dürfen deshalb die volkswirtschaftlichen Kosten nicht übersehen werden. Diese betreffen nicht nur die Eigentümer und Mieter, sondern auch die am Orte tätigen Handwerker, Händler und anderen Gewerbetreibenden, die das Leben und den Unterhalt ihres Ortsteils gewährleisten.

Um zu vermeiden, daß durch das freie Spiel des Marktes in erneuerten Stadtvierteln diejenigen Einwohner vertrieben werden, welche die gestiegenen Mieten nicht mehr bezahlen können, muß die öffentliche Hand ausgleichend eingreifen, wie sie es beim sozialen Wohnungsbau schon seit langem tut.

Ziel der Finanzhilfen sollte ein ausgewogenes Verhältnis sein zwischen Zuschüssen einerseits – kombiniert mit Bestimmungen über die maximal zulässige Mietzinserhöhung – und Beihilfen an die Mieter andererseits, welche ganz oder teilweise die Differenz zwischen der alten und der neuen Miete decken.

Um der Bevölkerung die Beteiligung an der Aufstellung von Programmen zu ermöglichen, muß sie mit den Tatsachen und Kriterien vertraut gemacht werden, die zum Verständnis der Situation notwendig sind – durch Verdeutlichung des Gestalt- und Erinnerungswerts der zu erhaltenden Gebäude und durch alle die zeitweilige oder dauernde Wohnungsverlegung betreffenden Auskünfte.

Die Bedeutung einer Beteiligung der Bevölkerung liegt vor allem darin, daß es bei der Erhaltungspolitik nicht um die Restaurierung einiger weniger privilegierter Gebäude, sondern um die Rehabilitation ganzer Stadtgebiete geht.

Die Weckung des Interesses der Bevölkerung an kulturellen Fragen brächte gleichzeitig einen beträchtlichen Gewinn auf sozialem Gebiet.

### *Altstadterhaltung bedarf der Anpassung der gesetzlichen und administrativen Maßnahmen*

Da der Begriff des baulichen Erbes sich allmählich vom historischen Einzelgebäude auf größere städtische und ländliche Baukomplexe ausgedehnt hat und heute auch Zeugnisse relativ junger Perioden einschließt, sind eine weitreichende Gesetzesreform und eine Verstärkung der verwaltungsmäßigen Mittel die Vorbedingung für eine fruchtbare Arbeit auf diesem Gebiet.

Leitlinie der Reform ist die Notwendigkeit der Koordination zwischen Planungsrecht auf der einen Seite und Denkmalschutz auf der anderen.

Das Denkmalschutzrecht muß zu einer Neudefinition des baulichen Erbes und zu einer Umschreibung der Ziele der Stadterhaltung führen.

Darüber hinaus müssen besondere Regelungen für folgende Punkte geschaffen werden:

- Die Feststellung und Abgrenzung von Ensembles.
- Die genaue Kartierung von Schutzzonen und der Nutzungsbeschränkungen, die in diesen Zonen im öffentlichen Interesse möglich sind.
- Die Ausarbeitung von Stadterhaltungsplänen und die Einfügung dieser Pläne in die Raumplanung.
- Das Planfeststellungsverfahren und das Genehmigungsverfahren für die konkreten Vorhaben.

Darüber hinaus sollte sich der Gesetzgeber auf die folgenden Ziele festlegen:

- Eine ausgeglichene Aufteilung der für bauliche Vorhaben – einerseits die Erhaltung und andererseits den Neubau – bestimmten öffentlichen Kredite.
- Die Garantie, daß Bürger, die sich für die Erneuerung alter Gebäude entscheiden, zumindest dieselben finanziellen Vorteile haben wie diejenigen, die sich für den Neubau entschließen.
- Eine allgemeine Überprüfung des Systems der finanziellen Fördermaßnahmen des Staates und der öffentlichen Hand im Lichte der neuen Stadterhaltungspolitik.

Die Anwendung der baurechtlichen Vorschriften und Anforderungen muß im Interesse der Altstadtsanierung so weit gelockert werden, daß sie deren Ziele nicht gefährden kann.

Um die Leistungsfähigkeit der Behörden zu steigern, muß die Verwaltungsstruktur so geordnet werden, daß den für das bauliche Erbe verantwortlichen Abteilungen genügend qualifiziertes Personal sowie die notwendigen wissenschaftlichen, technischen und finanziellen Mittel zur Verfügung stehen.

Diese Abteilungen müssen die lokalen Behörden unterstützen, mit den regionalen Planungsinstanzen zusammenarbeiten und in ständigem Kontakt mit der Öffentlichkeit und privaten Gruppen stehen.

### *Altstadterhaltung bedarf ausreichender finanzieller Mittel*

Es ist schwierig, eine für alle Länder gleichermaßen anwendbare Finanzpolitik zu umschreiben oder die Konsequenzen der sehr unterschiedlichen Planungsverfahren zu bewerten, zumal der Planungsprozeß weitgehend von externen Faktoren bestimmt wird, die sich aus der gegenwärtigen gesellschaftlichen Struktur ergeben. Es liegt daher ausschließlich bei den einzelnen Staaten selbst, geeignete Methoden und Werkzeuge für die Erhaltungsfinanzierung zu schaffen.

Ohne unzulässige Verallgemeinerung kann man jedoch sagen, daß es kaum ein Land in Europa gibt, wo ausreichende finanzielle Mittel für die Denkmalpflege und Stadterhaltung zur Verfügung stehen. Es ist darüber hinaus augenfällig, daß noch kein europäisches Land die ideale Verwaltungsstruktur für die wirtschaftlichen Anforderungen einer integralen Erhaltungspolitik geschaffen hat.

Um die ökonomischen Probleme der Altstadterhaltung zu lösen, ist eine gesetzliche Beschränkung von Bauten auf bestimmte Größen und Dimensionen (Höhe, Geschoszahl, Ausnützungsziffer usw.) die für die Anpassung neuer Bauten an ihre Umgebung sorgt, von entscheidender Bedeutung. Das Planungsrecht sollte das Bestreben, das Maß der baulichen Nutzung zu erhöhen, dämpfen und die Erneuerung gegenüber der Flächensanierung begünstigen.

Es müssen Methoden zur Festlegung denkmalpflegerisch bedingter Mehrkosten bei der Bauerhaltung gefunden werden, und womöglich sollten ausreichende Fonds verfügbar sein, aus denen die Eigentümer bei der Finanzierung der denkmalpflegerischen Sonderkosten ihrer Baumaßnahmen unterstützt werden können.

Wenn das Kriterium der denkmalpflegerischen Sonderkosten akzeptiert wird, muß auf der anderen Seite dafür gesorgt werden, daß der Effekt einschlägiger Regelungen nicht durch die Steuer aufgehoben wird.

Dasselbe Prinzip sollte bei der Erneuerung verfallener Komplexe von historischem oder architektonischem Interesse angewandt werden. Dort könnte es dazu beitragen, auch das soziale Gleichgewicht wiederherzustellen.

Wo Förderungsmittel und Steuervorteile für Neubauten gewährt werden, sollten diese in gleichem Ausmaß für die Instandhaltung und die bauliche Umgestaltung alter Gebäude zur Verfügung gestellt werden – selbstverständlich unter Anrechnung aller Entschädigungen für Sonderkosten, die der betreffende Eigentümer erhalten hat.

Die zuständigen Behörden sollten selbsttragende Fonds ins Leben rufen oder zu deren Schaffung anregen, indem sie Städte und Gemeinden oder gemeinnützige Vereinigungen mit dem notwendigen Kapital ausstatten. Dieser Weg wäre besonders dort einzuschlagen, wo Erneuerungsprogramme aufgrund der Wertsteigerung durch die Nachfrage nach den attraktiver gewordenen Anwesen über kurze oder lange Frist gewinnbringend werden.

Es ist außerdem wichtig, alle privaten Finanzierungsquellen, insbesondere auch diejenigen, die von der Industrie kommen, auszuschöpfen: Zahlreiche private Initiativen haben bewiesen, welche ausschlaggebende Rolle die private Wirtschaft dort spielen kann, wo sie mit den Behörden auf nationaler oder lokaler Ebene zusammenarbeitet.

*Altstadterhaltung verlangt die Förderung von Methoden, Techniken und Kompetenzen für Denkmalpflege und bauliche Sanierung*

Methoden und Techniken für die Erhaltung und Sanierung historischer Ensembles sollten weiterentwickelt und allenfalls ausgebaut werden.

Die bei der Restaurierung bedeutender historischer Bauten gewonnenen Erfahrungen und die dabei entwickelten Techniken müssen auch für die Erneuerung und Sanierung der zahlreichen weniger bedeutenden Bauten und Ensembles nutzbar gemacht werden.

Die traditionellen Baumaterialien müssen fortlaufend verfügbar sein, und das Überleben des traditionellen Handwerks muß sichergestellt werden.

Ständiger sorgsamer Bauunterhalt sollte auf lange Sicht kostspielige und komplizierte Erneuerungsmaßnahmen unnötig machen.

Jede Erneuerungsmaßnahme sollte vor ihrer Ausführung sorgfältig durchdacht werden. Über die Einzelheiten der Planung und Ausführung, die verwendeten Materialien und die Kosten sollte jeweils eine ausführliche Dokumentation erstellt werden. Die Gesamt-Dokumentationen sollten gesammelt und in geeigneten Zentren zur Information Dritter bereitgehalten werden.

Neue Materialien und Verfahren sollten erst nach Prüfung und Freigabe durch unabhängige wissenschaftliche Institute verwendet werden.

Alle Methoden und Techniken, die für die Denkmalpflege und Altstadterhaltung von Bedeutung sind, sollten in einem Katalog zusammengestellt werden. Zu diesem Zweck sollten wissenschaftliche Institutionen geschaffen werden, die eng zusammenarbeiten. Der erwähnte Katalog sollte möglichst breit gestreut werden und jedermann zugänglich sein, der sich auf irgendeine Weise an der Altstadterhaltung beteiligt; derart werden die Reform von Denkmalpflege und Erneuerungspraxis stimuliert.

Eines der dringendsten Erfordernisse besteht darin, die Ausbildung aller an einschlägigen Aufgaben Mitwirkenden zu verbessern. Die Lehrprogramme sollten flexibel und pluridisziplinär sein und Ausbildungsgänge einschließen, in denen praktische Erfahrungen auf der Baustelle gesammelt werden können.

Der internationale Austausch von Wissen, von Erfahrungen und Praktikanten ist ein wesentliches Element bei der Ausbildung.

Die Verbesserung der Ausbildung sollte zur Schaffung eines Grundstocks von qualifizierten Planern, Architekten, Technikern und Handwerkern für Denkmalpflege und Erneuerungsaufgaben führen und sicherstellen, daß die für Denkmalpflege und Erneuerungsaufgaben notwendigen, aber vom Aussterben bedrohten Handwerke einen neuen Aufschwung nehmen.

Aufstiegsmöglichkeiten, Arbeits- und Einkommensbedingungen, Arbeitsplatzsicherheit und gesellschaftliche Stellung der an der Altstadterhaltung beteiligten Berufe sollten so attraktiv gemacht werden, daß junge Menschen sich diesen Berufen zuwenden.

Die für die Ausbildungsprogramme zuständigen Behörden aller Stufen sollten sich darum bemühen, das Interesse der jungen Generation für die Denkmalpflege und die damit verwandten Berufe zu wecken und zu festigen.

# **UNESCO World Heritage Convention**

**Convention Concerning the Protection of the World Cultural and Natural Heritage**

**THE GENERAL CONFERENCE of the United Nations Educational, Scientific and Cultural Organization meeting in Paris from 17 October to 21 November 1972, at its seventeenth session,**

Text source: <http://whc.unesco.org/en/175/> (UNESCO, 06.12.2010)

German version (S. 14 ff.): <http://www.unesco.de/welterbekonvention.html> (Deutsche UNESCO-Kommission e.V., 06.12.2010)

Also available in French (<http://whc.unesco.org/archive/convention-fr.pdf>), Spanish (<http://whc.unesco.org/archive/convention-es.pdf>) and other languages (<http://whc.unesco.org/en/175/>).

THE GENERAL CONFERENCE of the United Nations Educational, Scientific and Cultural Organization meeting in Paris from 17 October to 21 November 1972, at its seventeenth session,

*Noting* that the cultural heritage and the natural heritage are increasingly threatened with destruction not only by the traditional causes of decay, but also by changing social and economic conditions which aggravate the situation with even more formidable phenomena of damage or destruction,

*Considering* that deterioration or disappearance of any item of the cultural or natural heritage constitutes a harmful impoverishment of the heritage of all the nations of the world,

*Considering* that protection of this heritage at the national level often remains incomplete because of the scale of the resources which it requires and of the insufficient economic, scientific, and technological resources of the country where the property to be protected is situated,

*Recalling* that the Constitution of the Organization provides that it will maintain, increase, and diffuse knowledge, by assuring the conservation and protection of the world's heritage, and recommending to the nations concerned the necessary international conventions,

*Considering* that the existing international conventions, recommendations and resolutions concerning cultural and natural property demonstrate the importance, for all the peoples of the world, of safeguarding this unique and irreplaceable property, to whatever people it may belong,

*Considering* that parts of the cultural or natural heritage are of outstanding interest and therefore need to be preserved as part of the world heritage of mankind as a whole,

*Considering* that, in view of the magnitude and gravity of the new dangers threatening them, it is incumbent on the international community as a whole to participate in the protection of the cultural and natural heritage of outstanding universal value, by the granting of collective assistance which, although not taking the place of action by the State concerned, will serve as an efficient complement thereto,

*Considering* that it is essential for this purpose to adopt new provisions in the form of a convention establishing an effective system of collective protection of the cultural and natural heritage of outstanding universal value, organized on a permanent basis and in accordance with modern scientific methods,

*Having decided*, at its sixteenth session, that this question should be made the subject of an international convention,

*Adopts* this sixteenth day of November 1972 this Convention.

# I. DEFINITION OF THE CULTURAL AND NATURAL HERITAGE

## Article 1

For the purposes of this Convention, the following shall be considered as "cultural heritage":

**monuments:** architectural works, works of monumental sculpture and painting, elements or structures of an archaeological nature, inscriptions, cave dwellings and combinations of features, which are of outstanding universal value from the point of view of history, art or science;

**groups of buildings:** groups of separate or connected buildings which, because of their architecture, their homogeneity or their place in the landscape, are of outstanding universal value from the point of view of history, art or science;

**sites:** works of man or the combined works of nature and man, and areas including archaeological sites which are of outstanding universal value from the historical, aesthetic, ethnological or anthropological point of view.

## Article 2

For the purposes of this Convention, the following shall be considered as "natural heritage":

**natural features** consisting of physical and biological formations or groups of such formations, which are of outstanding universal value from the aesthetic or scientific point of view;

**geological and physiographical formations** and precisely delineated areas which constitute the habitat of threatened species of animals and plants of outstanding universal value from the point of view of science or conservation;

**natural sites** or precisely delineated natural areas of outstanding universal value from the point of view of science, conservation or natural beauty.

## Article 3

It is for each State Party to this Convention to identify and delineate the different properties situated on its territory mentioned in Articles 1 and 2 above.

# II. NATIONAL PROTECTION AND INTERNATIONAL PROTECTION OF THE CULTURAL AND NATURAL HERITAGE

## Article 4

Each State Party to this Convention recognizes that the duty of ensuring the identification, protection, conservation, presentation and transmission to future generations of the cultural and natural heritage referred to in [Articles 1](#) and [2](#) and situated on its territory, belongs



primarily to that State. It will do all it can to this end, to the utmost of its own resources and, where appropriate, with any international assistance and co-operation, in particular, financial, artistic, scientific and technical, which it may be able to obtain.

#### **Article 5**

To ensure that effective and active measures are taken for the protection, conservation and presentation of the cultural and natural heritage situated on its territory, each State Party to this Convention shall endeavor, in so far as possible, and as appropriate for each country:

1. to adopt a general policy which aims to give the cultural and natural heritage a function in the life of the community and to integrate the protection of that heritage into comprehensive planning programmes;
2. to set up within its territories, where such services do not exist, one or more services for the protection, conservation and presentation of the cultural and natural heritage with an appropriate staff and possessing the means to discharge their functions;
3. to develop scientific and technical studies and research and to work out such operating methods as will make the State capable of counteracting the dangers that threaten its cultural or natural heritage;
4. to take the appropriate legal, scientific, technical, administrative and financial measures necessary for the identification, protection, conservation, presentation and rehabilitation of this heritage; and
5. to foster the establishment or development of national or regional centres for training in the protection, conservation and presentation of the cultural and natural heritage and to encourage scientific research in this field.

#### **Article 6**

1. Whilst fully respecting the sovereignty of the States on whose territory the cultural and natural heritage mentioned in [Articles 1](#) and [2](#) is situated, and without prejudice to property right provided by national legislation, the States Parties to this Convention recognize that such heritage constitutes a world heritage for whose protection it is the duty of the international community as a whole to co-operate.
2. The States Parties undertake, in accordance with the provisions of this Convention, to give their help in the identification, protection, conservation and presentation of the cultural and natural heritage referred to in paragraphs 2 and 4 of [Article 11](#) if the States on whose territory it is situated so request.
3. Each State Party to this Convention undertakes not to take any deliberate measures which might damage directly or indirectly the cultural and natural heritage referred to in [Articles 1](#) and [2](#) situated on the territory of other States Parties to this Convention.

#### **Article 7**

For the purpose of this Convention, international protection of the world cultural and natural heritage shall be understood to mean the establishment of a system of international co-operation and assistance designed to support States Parties to the Convention in their efforts to conserve and identify that heritage.

### III. INTERGOVERNMENTAL COMMITTEE FOR THE PROTECTION OF THE WORLD CULTURAL AND NATURALHERITAGE

#### Article 8

1. An Intergovernmental Committee for the Protection of the Cultural and Natural Heritage of Outstanding Universal Value, called "the World Heritage Committee", is hereby established within the United Nations Educational, Scientific and Cultural Organization. It shall be composed of 15 States Parties to the Convention, elected by States Parties to the Convention meeting in general assembly during the ordinary session of the General Conference of the United Nations Educational, Scientific and Cultural Organization. The number of States members of the Committee shall be increased to 21 as from the date of the ordinary session of the General Conference following the entry into force of this Convention for at least 40 States.
2. Election of members of the Committee shall ensure an equitable representation of the different regions and cultures of the world.
3. A representative of the International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM), a representative of the International Council of Monuments and Sites (ICOMOS) and a representative of the International Union for Conservation of Nature and Natural Resources (IUCN), to whom may be added, at the request of States Parties to the Convention meeting in general assembly during the ordinary sessions of the General Conference of the United Nations Educational, Scientific and Cultural Organization, representatives of other intergovernmental or non-governmental organizations, with similar objectives, may attend the meetings of the Committee in an advisory capacity.

#### Article 9

1. The term of office of States members of the World Heritage Committee shall extend from the end of the ordinary session of the General Conference during which they are elected until the end of its third subsequent ordinary session.
2. The term of office of one-third of the members designated at the time of the first election shall, however, cease at the end of the first ordinary session of the General Conference following that at which they were elected; and the term of office of a further third of the members designated at the same time shall cease at the end of the second ordinary session of the General Conference following that at which they were elected. The names of these members shall be chosen by lot by the President of the General Conference of the United Nations Educational, Scientific and Cultural Organization after the first election.
3. States members of the Committee shall choose as their representatives persons qualified in the field of the cultural or natural heritage.

#### Article 10

1. The World Heritage Committee shall adopt its Rules of Procedure.
2. The Committee may at any time invite public or private organizations or individuals to participate in its meetings for consultation on particular problems.
3. The Committee may create such consultative bodies as it deems necessary for the performance of its functions.

## Article 11

1. Every State Party to this Convention shall, in so far as possible, submit to the World Heritage Committee an inventory of property forming part of the cultural and natural heritage, situated in its territory and suitable for inclusion in the list provided for in paragraph 2 of this Article. This inventory, which shall not be considered exhaustive, shall include documentation about the location of the property in question and its significance.
2. On the basis of the inventories submitted by States in accordance with paragraph 1, the Committee shall establish, keep up to date and publish, under the title of "World Heritage List," a list of properties forming part of the cultural heritage and natural heritage, as defined in Articles 1 and 2 of this Convention, which it considers as having outstanding universal value in terms of such criteria as it shall have established. An updated list shall be distributed at least every two years.
3. The inclusion of a property in the World Heritage List requires the consent of the State concerned. The inclusion of a property situated in a territory, sovereignty or jurisdiction over which is claimed by more than one State shall in no way prejudice the rights of the parties to the dispute.
4. The Committee shall establish, keep up to date and publish, whenever circumstances shall so require, under the title of "List of World Heritage in Danger", a list of the property appearing in the World Heritage List for the conservation of which major operations are necessary and for which assistance has been requested under this Convention. This list shall contain an estimate of the cost of such operations. The list may include only such property forming part of the cultural and natural heritage as is threatened by serious and specific dangers, such as the threat of disappearance caused by accelerated deterioration, large-scale public or private projects or rapid urban or tourist development projects; destruction caused by changes in the use or ownership of the land; major alterations due to unknown causes; abandonment for any reason whatsoever; the outbreak or the threat of an armed conflict; calamities and cataclysms; serious fires, earthquakes, landslides; volcanic eruptions; changes in water level, floods and tidal waves. The Committee may at any time, in case of urgent need, make a new entry in the List of World Heritage in Danger and publicize such entry immediately.
5. The Committee shall define the criteria on the basis of which a property belonging to the cultural or natural heritage may be included in either of the lists mentioned in paragraphs 2 and 4 of this article.
6. Before refusing a request for inclusion in one of the two lists mentioned in paragraphs 2 and 4 of this article, the Committee shall consult the State Party in whose territory the cultural or natural property in question is situated.
7. The Committee shall, with the agreement of the States concerned, co-ordinate and encourage the studies and research needed for the drawing up of the lists referred to in paragraphs 2 and 4 of this article.

## Article 12

The fact that a property belonging to the cultural or natural heritage has not been included in either of the two lists mentioned in paragraphs 2 and 4 of Article 11 shall in no way be construed to mean that it does not have an outstanding universal value for purposes other than those resulting from inclusion in these lists.

## Article 13

1. The World Heritage Committee shall receive and study requests for international assistance formulated by States Parties to this Convention with respect to property forming part of the

cultural or natural heritage, situated in their territories, and included or potentially suitable for inclusion in the lists mentioned referred to in paragraphs 2 and 4 of [Article 11](#). The purpose of such requests may be to secure the protection, conservation, presentation or rehabilitation of such property.

2. Requests for international assistance under paragraph 1 of this article may also be concerned with identification of cultural or natural property defined in [Articles 1](#) and [2](#), when preliminary investigations have shown that further inquiries would be justified.
3. The Committee shall decide on the action to be taken with regard to these requests, determine where appropriate, the nature and extent of its assistance, and authorize the conclusion, on its behalf, of the necessary arrangements with the government concerned.
4. The Committee shall determine an order of priorities for its operations. It shall in so doing bear in mind the respective importance for the world cultural and natural heritage of the property requiring protection, the need to give international assistance to the property most representative of a natural environment or of the genius and the history of the peoples of the world, the urgency of the work to be done, the resources available to the States on whose territory the threatened property is situated and in particular the extent to which they are able to safeguard such property by their own means.
5. The Committee shall draw up, keep up to date and publicize a list of property for which international assistance has been granted.
6. The Committee shall decide on the use of the resources of the Fund established under [Article 15](#) of this Convention. It shall seek ways of increasing these resources and shall take all useful steps to this end.
7. The Committee shall co-operate with international and national governmental and non-governmental organizations having objectives similar to those of this Convention. For the implementation of its programmes and projects, the Committee may call on such organizations, particularly the International Centre for the Study of the Preservation and Restoration of cultural Property (the Rome Centre), the International Council of Monuments and Sites (ICOMOS) and the International Union for Conservation of Nature and Natural Resources (IUCN), as well as on public and private bodies and individuals.
8. Decisions of the Committee shall be taken by a majority of two-thirds of its members present and voting. A majority of the members of the Committee shall constitute a quorum.

#### **Article 14**

1. The World Heritage Committee shall be assisted by a Secretariat appointed by the Director-General of the United Nations Educational, Scientific and Cultural Organization.
2. The Director-General of the United Nations Educational, Scientific and Cultural Organization, utilizing to the fullest extent possible the services of the International Centre for the Study of the Preservation and the Restoration of Cultural Property (the Rome Centre), the International Council of Monuments and Sites (ICOMOS) and the International Union for Conservation of Nature and Natural Resources (IUCN) in their respective areas of competence and capability, shall prepare the Committee's documentation and the agenda of its meetings and shall have the responsibility for the implementation of its decisions.

## **IV. FUND FOR THE PROTECTION OF THE WORLD CULTURAL AND NATURAL HERITAGE**

#### **Article 15**

1. A Fund for the Protection of the World Cultural and Natural Heritage of Outstanding Universal Value, called "the World Heritage Fund", is hereby established.

2. The Fund shall constitute a trust fund, in conformity with the provisions of the Financial Regulations of the United Nations Educational, Scientific and Cultural Organization.
3. The resources of the Fund shall consist of:
  1. compulsory and voluntary contributions made by States Parties to this Convention,
  2. Contributions, gifts or bequests which may be made by:
    1. other States;
    2. the United Nations Educational, Scientific and Cultural Organization, other organizations of the United Nations system, particularly the United Nations Development Programme or other intergovernmental organizations;
    3. public or private bodies or individuals;
  3. any interest due on the resources of the Fund;
  4. funds raised by collections and receipts from events organized for the benefit of the fund; and
  5. all other resources authorized by the Fund's regulations, as drawn up by the World Heritage Committee.
4. Contributions to the Fund and other forms of assistance made available to the Committee may be used only for such purposes as the Committee shall define. The Committee may accept contributions to be used only for a certain programme or project, provided that the Committee shall have decided on the implementation of such programme or project. No political conditions may be attached to contributions made to the Fund.

#### **Article 16**

1. Without prejudice to any supplementary voluntary contribution, the States Parties to this Convention undertake to pay regularly, every two years, to the World Heritage Fund, contributions, the amount of which, in the form of a uniform percentage applicable to all States, shall be determined by the General Assembly of States Parties to the Convention, meeting during the sessions of the General Conference of the United Nations Educational, Scientific and Cultural Organization. This decision of the General Assembly requires the majority of the States Parties present and voting, which have not made the declaration referred to in paragraph 2 of this Article. In no case shall the compulsory contribution of States Parties to the Convention exceed 1% of the contribution to the regular budget of the United Nations Educational, Scientific and Cultural Organization.
2. However, each State referred to in [Article 31](#) or in [Article 32](#) of this Convention may declare, at the time of the deposit of its instrument of ratification, acceptance or accession, that it shall not be bound by the provisions of paragraph 1 of this Article.
3. A State Party to the Convention which has made the declaration referred to in paragraph 2 of this Article may at any time withdraw the said declaration by notifying the Director-General of the United Nations Educational, Scientific and Cultural Organization. However, the withdrawal of the declaration shall not take effect in regard to the compulsory contribution due by the State until the date of the subsequent General Assembly of States parties to the Convention.
4. In order that the Committee may be able to plan its operations effectively, the contributions of States Parties to this Convention which have made the declaration referred to in paragraph 2 of this Article, shall be paid on a regular basis, at least every two years, and should not be less than the contributions which they should have paid if they had been bound by the provisions of paragraph 1 of this Article.
5. Any State Party to the Convention which is in arrears with the payment of its compulsory or voluntary contribution for the current year and the calendar year immediately preceding it

shall not be eligible as a Member of the World Heritage Committee, although this provision shall not apply to the first election.

The terms of office of any such State which is already a member of the Committee shall terminate at the time of the elections provided for in Article 8, paragraph 1 of this Convention.

#### **Article 17**

The States Parties to this Convention shall consider or encourage the establishment of national public and private foundations or associations whose purpose is to invite donations for the protection of the cultural and natural heritage as defined in Articles 1 and 2 of this Convention.

#### **Article 18**

The States Parties to this Convention shall give their assistance to international fund-raising campaigns organized for the World Heritage Fund under the auspices of the United Nations Educational, Scientific and Cultural Organization. They shall facilitate collections made by the bodies mentioned in paragraph 3 of Article 15 for this purpose.

## **V. CONDITIONS AND ARRANGEMENTS FOR INTERNATIONAL ASSISTANCE**

#### **Article 19**

Any State Party to this Convention may request international assistance for property forming part of the cultural or natural heritage of outstanding universal value situated within its territory. It shall submit with its request such information and documentation provided for in Article 21 as it has in its possession and as will enable the Committee to come to a decision.

#### **Article 20**

Subject to the provisions of paragraph 2 of Article 13, sub-paragraph (c) of Article 22 and Article 23, international assistance provided for by this Convention may be granted only to property forming part of the cultural and natural heritage which the World Heritage Committee has decided, or may decide, to enter in one of the lists mentioned in paragraphs 2 and 4 of Article 11.

#### **Article 21**

1. The World Heritage Committee shall define the procedure by which requests to it for international assistance shall be considered and shall specify the content of the request, which should define the operation contemplated, the work that is necessary, the expected cost thereof, the degree of urgency and the reasons why the resources of the State requesting assistance do not allow it to meet all the expenses. Such requests must be supported by experts' reports whenever possible.

2. Requests based upon disasters or natural calamities should, by reasons of the urgent work which they may involve, be given immediate, priority consideration by the Committee, which should have a reserve fund at its disposal against such contingencies.
3. Before coming to a decision, the Committee shall carry out such studies and consultations as it deems necessary.

#### **Article 22**

Assistance granted by the World Heritage Committee may take the following forms:

1. studies concerning the artistic, scientific and technical problems raised by the protection, conservation, presentation and rehabilitation of the cultural and natural heritage, as defined in paragraphs 2 and 4 of Article 11 of this Convention;
2. provisions of experts, technicians and skilled labour to ensure that the approved work is correctly carried out;
3. training of staff and specialists at all levels in the field of identification, protection, conservation, presentation and rehabilitation of the cultural and natural heritage;
4. supply of equipment which the State concerned does not possess or is not in a position to acquire;
5. low-interest or interest-free loans which might be repayable on a long-term basis;
6. the granting, in exceptional cases and for special reasons, of non-repayable subsidies.

#### **Article 23**

The World Heritage Committee may also provide international assistance to national or regional centres for the training of staff and specialists at all levels in the field of identification, protection, conservation, presentation and rehabilitation of the cultural and natural heritage.

#### **Article 24**

International assistance on a large scale shall be preceded by detailed scientific, economic and technical studies. These studies shall draw upon the most advanced techniques for the protection, conservation, presentation and rehabilitation of the natural and cultural heritage and shall be consistent with the objectives of this Convention. The studies shall also seek means of making rational use of the resources available in the State concerned.

#### **Article 25**

As a general rule, only part of the cost of work necessary shall be borne by the international community. The contribution of the State benefiting from international assistance shall constitute a substantial share of the resources devoted to each programme or project, unless its resources do not permit this.

#### **Article 26**

The World Heritage Committee and the recipient State shall define in the agreement they conclude the conditions in which a programme or project for which international assistance under the terms of this Convention is provided, shall be carried out. It shall be the responsibility of the State receiving such international assistance to continue to protect,

conserve and present the property so safeguarded, in observance of the conditions laid down by the agreement.

## **VI. EDUCATIONAL PROGRAMMES**

### **Article 27**

1. The States Parties to this Convention shall endeavor by all appropriate means, and in particular by educational and information programmes, to strengthen appreciation and respect by their peoples of the cultural and natural heritage defined in Articles 1 and 2 of the Convention.
2. They shall undertake to keep the public broadly informed of the dangers threatening this heritage and of the activities carried on in pursuance of this Convention.

### **Article 28**

States Parties to this Convention which receive international assistance under the Convention shall take appropriate measures to make known the importance of the property for which assistance has been received and the role played by such assistance.

## **VII. REPORTS**

### **Article 29**

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

## **VIII. FINAL CLAUSES**

### **Article 30**

This Convention is drawn up in Arabic, English, French, Russian and Spanish, the five texts being equally authoritative.

### **Article 31**

1. This Convention shall be subject to ratification or acceptance by States members of the United Nations Educational, Scientific and Cultural Organization in accordance with their respective constitutional procedures.
2. The instruments of ratification or acceptance shall be deposited with the Director-General of the United Nations Educational, Scientific and Cultural Organization.



### **Article 32**

1. This Convention shall be open to accession by all States not members of the United Nations Educational, Scientific and Cultural Organization which are invited by the General Conference of the Organization to accede to it.
2. Accession shall be effected by the deposit of an instrument of accession with the Director-General of the United Nations Educational, Scientific and Cultural Organization.

### **Article 33**

This Convention shall enter into force three months after the date of the deposit of the twentieth instrument of ratification, acceptance or accession, but only with respect to those States which have deposited their respective instruments of ratification, acceptance or accession on or before that date. It shall enter into force with respect to any other State three months after the deposit of its instrument of ratification, acceptance or accession.

### **Article 34**

The following provisions shall apply to those States Parties to this Convention which have a federal or non-unitary constitutional system:

1. with regard to the provisions of this Convention, the implementation of which comes under the legal jurisdiction of the federal or central legislative power, the obligations of the federal or central government shall be the same as for those States parties which are not federal States;
2. with regard to the provisions of this Convention, the implementation of which comes under the legal jurisdiction of individual constituent States, countries, provinces or cantons that are not obliged by the constitutional system of the federation to take legislative measures, the federal government shall inform the competent authorities of such States, countries, provinces or cantons of the said provisions, with its recommendation for their adoption.

### **Article 35**

1. Each State Party to this Convention may denounce the Convention.
2. The denunciation shall be notified by an instrument in writing, deposited with the Director-General of the United Nations Educational, Scientific and Cultural Organization.
3. The denunciation shall take effect twelve months after the receipt of the instrument of denunciation. It shall not affect the financial obligations of the denouncing State until the date on which the withdrawal takes effect.

### **Article 36**

The Director-General of the United Nations Educational, Scientific and Cultural Organization shall inform the States members of the Organization, the States not members of the Organization which are referred to in [Article 32](#), as well as the United Nations, of the deposit of all the instruments of ratification, acceptance, or accession provided for in [Articles 31 and 32](#), and of the denunciations provided for in [Article 35](#).

### **Article 37**

1. This Convention may be revised by the General Conference of the United Nations Educational, Scientific and Cultural Organization. Any such revision shall, however, bind only the States which shall become Parties to the revising convention.
2. If the General Conference should adopt a new convention revising this Convention in whole or in part, then, unless the new convention otherwise provides, this Convention shall cease to be open to ratification, acceptance or accession, as from the date on which the new revising convention enters into force.

### **Article 38**

In conformity with Article 102 of the Charter of the United Nations, this Convention shall be registered with the Secretariat of the United Nations at the request of the Director-General of the United Nations Educational, Scientific and Cultural Organization.

Done in Paris, this twenty-third day of November 1972, in two authentic copies bearing the signature of the President of the seventeenth session of the General Conference and of the Director-General of the United Nations Educational, Scientific and Cultural Organization, which shall be deposited in the archives of the United Nations Educational, Scientific and Cultural Organization, and certified true copies of which shall be delivered to all the States referred to in Articles 31 and 32 as well as to the United Nations.

## **Übereinkommen zum Schutz des Kultur- und Naturerbes der Welt**

Die Generalkonferenz der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur, die vom 17. Oktober bis 21. November 1972 in Paris zu ihrer 17. Tagung zusammengetreten ist -

im Hinblick darauf, daß das Kulturerbe und das Naturerbe zunehmend von Zerstörung bedroht sind, nicht nur durch die herkömmlichen Verfallsursachen, sondern auch durch den Wandel der sozialen und wirtschaftlichen Verhältnisse, der durch noch verhängnisvollere Formen der Beschädigung oder Zerstörung die Lage verschlimmert;

in der Erwägung, daß der Verfall oder der Untergang jedes einzelnen Bestandteils des Kultur- oder Naturerbes eine beklagenswerte Schmälerung des Erbes aller Völker der Welt darstellt;

in der Erwägung, daß der Schutz dieses Erbes auf nationaler Ebene wegen der Höhe der erforderlichen Mittel und der unzureichenden wirtschaftlichen, wissenschaftlichen und technischen Hilfsquellen des Landes, in dem sich das zu schützende Gut befindet, oft unvollkommen ist;

eingedenk der Tatsache, daß die Satzung der Organisation vorsieht, daß sie Kenntnisse aufrechterhalten, vertiefen und verbreiten wird, und zwar durch Erhaltung und Schutz des Erbes der Welt sowie dadurch, daß sie den beteiligten Staaten die diesbezüglich erforderlichen internationalen Übereinkünfte empfiehlt;

in der Erwägung, daß die bestehenden internationalen Übereinkünfte, Empfehlungen und Entschlüsse über Kultur- und Naturgut zeigen, welche Bedeutung der Sicherung dieses einzigartigen und unersetzlichen Gutes, gleichviel welchem Volk es gehört, für alle Völker der Welt zukommt;

in der Erwägung, daß Teile des Kultur- oder Naturerbes von außergewöhnlicher Bedeutung sind und daher als Bestandteil des Welterbes der ganzen Menschheit erhalten werden müssen;

in der Erwägung, daß es angesichts der Größe und Schwere der drohenden neuen Gefahren Aufgabe der internationalen Gemeinschaft als Gesamtheit ist, sich am Schutz des Kultur- und Naturerbes von außergewöhnlichem universellem Wert zu beteiligen, indem sie eine gemeinschaftliche Unterstützung gewährt, welche die Maßnahmen des betreffenden Staates zwar nicht ersetzt, jedoch wirksam ergänzt;

in der Erwägung, daß es zu diesem Zweck erforderlich ist, neue Bestimmungen in Form eines Übereinkommens zur Schaffung eines wirksamen Systems des gemeinschaftlichen Schutzes des Kultur- und Naturerbes von außergewöhnlichem universellem Wert zu beschließen, das als ständige Einrichtung nach modernen wissenschaftlichen Methoden aufgebaut wird;

nach dem auf ihrer 16. Tagung gefaßten Beschluß, diese Frage zum Gegenstand eines internationalen Übereinkommens zu machen -

beschließt am 16. November 1972 dieses Übereinkommen.

# **I. Begriffsbestimmung des Kultur- und Naturerbes**

## **Artikel 1**

Im Sinne dieses Übereinkommens gelten als "Kulturerbe"

Denkmäler: Werke der Architektur, Großplastik und Monumentalmalerei, Objekte oder Überreste archäologischer Art, Inschriften, Höhlen und Verbindungen solcher Erscheinungsformen, die aus geschichtlichen, künstlerischen oder wissenschaftlichen Gründen von außergewöhnlichem universellem Wert sind;

Ensembles: Gruppen einzelner oder miteinander verbundener Gebäude, die wegen ihrer Architektur, ihrer Geschlossenheit oder ihrer Stellung in der Landschaft aus geschichtlichen, künstlerischen oder wissenschaftlichen Gründen von außergewöhnlichem universellem Wert sind;

Stätten: Werke von Menschenhand oder gemeinsame Werke von Natur und Mensch sowie Gebiete einschließlich archäologischer Stätten, die aus geschichtlichen, ästhetischen, ethnologischen oder anthropologischen Gründen von außergewöhnlichem universellem Wert sind.

## **Artikel 2**

Im Sinne dieses Übereinkommens gelten als "Naturerbe"

Naturgebilde, die aus physikalischen und biologischen Erscheinungsformen oder -gruppen bestehen, welche aus ästhetischen oder wissenschaftlichen Gründen von außergewöhnlichem universellem Wert sind;

geologische und physiographische Erscheinungsformen und genau abgegrenzte Gebiete, die den Lebensraum für bedrohte Pflanzen- und Tierarten bilden, welche aus wissenschaftlichen Gründen oder ihrer Erhaltung wegen von außergewöhnlichem universellem Wert sind;

Naturstätten oder genau abgegrenzte Naturgebiete, die aus wissenschaftlichen Gründen oder ihrer Erhaltung oder natürlichen Schönheit wegen von außergewöhnlichem universellem Wert sind.

## **Artikel 3**

Es ist Sache jedes Vertragsstaats, die in seinem Hoheitsgebiet befindlichen, in den Artikeln 1 und 2 bezeichneten verschiedenen Güter zu erfassen und zu bestimmen.

## **II. Schutz des Kultur- und Naturerbes auf nationaler und internationaler Ebene**

### **Artikel 4**

Jeder Vertragsstaat erkennt an, daß es in erster Linie seine eigene Aufgabe ist, Erfassung, Schutz und Erhaltung in Bestand und Wertigkeit des in seinem Hoheitsgebiet befindlichen, in den Artikeln 1 und 2 bezeichneten Kultur- und Naturerbes sowie seine Weitergabe an künftige Generationen sicherzustellen. Er wird hierfür alles in seinen Kräften Stehende tun, unter vollem Einsatz seiner eigenen Hilfsmittel und gegebenenfalls unter Nutzung jeder ihm erreichbaren internationalen Unterstützung und Zusammenarbeit, insbesondere auf finanziellem, künstlerischem, wissenschaftlichem und technischem Gebiet.

### **Artikel 5**

Um zu gewährleisten, daß wirksame und tatkräftige Maßnahmen zum Schutz und zur Erhaltung in Bestand und Wertigkeit des in seinem Hoheitsgebiet befindlichen Kultur- und Naturerbes getroffen werden, wird sich jeder Vertragsstaat bemühen, nach Möglichkeit und im Rahmen der Gegebenheiten seines Landes

- a) eine allgemeine Politik zu verfolgen, die darauf gerichtet ist, dem Kultur- und Naturerbe eine Funktion im öffentlichen Leben zu geben und den Schutz dieses Erbes in erschöpfende Planungen einzubeziehen;
- b) in seinem Hoheitsgebiet, sofern Dienststellen für den Schutz und die Erhaltung des Kultur- und Naturerbes in Bestand und Wertigkeit nicht vorhanden sind, eine oder mehrere derartige Dienststellen einzurichten, die über geeignetes Personal und die zur Durchführung ihrer Aufgaben erforderlichen Mittel verfügen;
- c) wissenschaftliche und technische Untersuchungen und Forschungen durchzuführen und Arbeitsmethoden zu entwickeln, die es ihm ermöglichen, die seinem Kultur- und Naturerbe drohenden Gefahren zu bekämpfen;
- d) geeignete rechtliche, wissenschaftliche, technische, Verwaltungs- und Finanzmaßnahmen zu treffen, die für Erfassung, Schutz, Erhaltung in Bestand und Wertigkeit sowie Revitalisierung dieses Erbes erforderlich sind, und
- e) die Errichtung oder den Ausbau nationaler oder regionaler Zentren zur Ausbildung auf dem Gebiet des Schutzes und der Erhaltung des Kultur- und Naturerbes in Bestand und Wertigkeit zu fördern und die wissenschaftliche Forschung in diesem Bereich zu unterstützen.

### **Artikel 6**

(1) Unter voller Achtung der Souveränität der Staaten, in deren Hoheitsgebiet sich das in den Artikeln 1 und 2 bezeichnete Kultur- und Naturerbe befindet, und unbeschadet der durch das innerstaatliche Recht gewährten Eigentumsrechte erkennen die Vertragsstaaten an, daß

dieses Erbe ein Welterbe darstellt, zu dessen Schutz die internationale Staatengemeinschaft als Gesamtheit zusammenarbeiten muß.

(2) Die Vertragsstaaten verpflichten sich, im Einklang mit diesem Übereinkommen bei Erfassung, Schutz und Erhaltung des in Artikel 11 Absätze 2 und 4 bezeichneten Kultur- und Naturerbes in Bestand und Wertigkeit Hilfe zu leisten, wenn die Staaten, in deren Hoheitsgebiet sich dieses Erbe befindet, darum ersuchen.

(3) Jeder Vertragsstaat verpflichtet sich, alle vorsätzlichen Maßnahmen zu unterlassen, die das in den Artikeln 1 und 2 bezeichnete, im Hoheitsgebiet anderer Vertragsstaaten befindliche Kultur- und Naturerbe mittelbar oder unmittelbar schädigen könnten.

#### **Artikel 7**

Im Sinne dieses Übereinkommens bedeutet internationaler Schutz des Kultur- und Naturerbes der Welt die Einrichtung eines Systems internationaler Zusammenarbeit und Hilfe, das die Vertragsstaaten in ihren Bemühungen um die Erhaltung und Erfassung dieses Erbes unterstützen soll.

### **III. Zwischenstaatliches Komitee für den Schutz des Kultur- und Naturerbes der Welt**

#### **Artikel 8**

(1) Hiermit wird innerhalb der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur ein Zwischenstaatliches Komitee für den Schutz des Kultur- und Naturerbes von außergewöhnlichem universellem Wert mit der Bezeichnung "Komitee für das Erbe der Welt" errichtet. Ihm gehören 15 Vertragsstaaten an; sie werden von den Vertragsstaaten gewählt, die während der ordentlichen Tagung der Generalkonferenz der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur zu einer Hauptversammlung zusammentreten. Die Zahl der dem Komitee angehörenden Mitgliedstaaten wird auf 21 erhöht, sobald eine ordentliche Tagung der Generalkonferenz nach dem Zeitpunkt stattfindet, an dem das Übereinkommen für mindestens 40 Staaten in Kraft tritt.

(2) Bei der Wahl der Komiteemitglieder ist eine ausgewogene Vertretung der verschiedenen Regionen und Kulturen der Welt zu gewährleisten.

(3) Je ein Vertreter der Internationalen Studienzentrale für die Erhaltung und Restaurierung von Kulturgut (Römische Zentrale), des Internationalen Rates für Denkmalpflege (ICOMOS) und der Internationalen Union zur Erhaltung der Natur und der natürlichen Hilfsquellen (IUCN) sowie auf Verlangen der Vertragsstaaten, die während der ordentlichen Tagungen der Generalkonferenz der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur zu einer Hauptversammlung zusammentreten, weitere Vertreter anderer zwischenstaatlicher oder nichtstaatlicher Organisationen mit ähnlichen Zielen können in beratender Eigenschaft an den Sitzungen des Komitees teilnehmen.

## **Artikel 9**

(1) Die Amtszeit der Mitgliedstaaten des Komitees für das Erbe der Welt beginnt mit Ablauf der ordentlichen Tagung der Generalkonferenz, auf der sie gewählt wurden, und endet mit Ablauf der dritten darauffolgenden ordentlichen Tagung.

(2) Die Amtszeit eines Drittels der bei der ersten Wahl bestellten Mitglieder endet jedoch mit Ablauf der ersten ordentlichen Tagung der Generalkonferenz nach der Tagung, auf der sie gewählt wurden; die Amtszeit eines weiteren Drittels der zur selben Zeit bestellten Mitglieder endet mit Ablauf der zweiten ordentlichen Tagung der Generalkonferenz nach der Tagung, auf der sie gewählt wurden. Die Namen dieser Mitglieder werden vom Präsidenten der Generalkonferenz der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur nach der ersten Wahl durch das Los ermittelt.

(3) Die Mitgliedstaaten des Komitees wählen zu ihren Vertretern Personen, die Sachverständige auf dem Gebiet des Kulturerbes oder des Naturerbes sind.

## **Artikel 10**

(1) Das Komitee für das Erbe der Welt gibt sich eine Geschäftsordnung.

(2) Das Komitee kann jederzeit Organisationen des öffentlichen oder privaten Rechts oder Einzelpersonen einladen, zur Konsultation über Einzelfragen an seinen Sitzungen teilzunehmen.

(3) Das Komitee kann beratende Gremien einsetzen, die es zur Wahrnehmung seiner Aufgaben für erforderlich hält.

## **Artikel 11**

(1) Jeder Vertragsstaat legt dem Komitee für das Erbe der Welt nach Möglichkeit ein Verzeichnis des Gutes vor, das zu dem in seinem Hoheitsgebiet befindlichen Kultur- und Naturerbe gehört und für eine Aufnahme in die in Absatz 2 vorgesehene Liste geeignet ist. Dieses Verzeichnis, das nicht als erschöpfend anzusehen ist, muß Angaben über Lage und Bedeutung des betreffenden Gutes enthalten.

(2) Das Komitee wird auf Grund der von den Staaten nach Absatz 1 vorgelegten Verzeichnisse unter der Bezeichnung "Liste des Erbes der Welt" eine Liste der zu dem Kultur- und Naturerbe im Sinne der Artikel 1 und 2 gehörenden Güter, die nach seiner Auffassung nach den von ihm festgelegten Maßstäben von außergewöhnlichem universellem Wert sind, aufstellen, auf dem neuesten Stand halten und veröffentlichen. Eine auf den neuesten Stand gebrachte Liste wird mindestens alle zwei Jahre verbreitet.

(3) Die Aufnahme eines Gutes in die Liste des Erbes der Welt bedarf der Zustimmung des betreffenden Staates. Die Aufnahme eines Gutes, das sich in einem Gebiet befindet, über das von mehr als einem Staat Souveränität oder Hoheitsgewalt beansprucht wird, berührt nicht die Rechte der Streitparteien.

(4) Das Komitee wird unter der Bezeichnung "Liste des gefährdeten Erbes der Welt" nach Bedarf eine Liste des in der Liste des Erbes der Welt aufgeführten Gutes, zu dessen Erhaltung umfangreiche Maßnahmen erforderlich sind und für das auf Grund dieses Übereinkommens Unterstützung angefordert wurde, aufstellen, auf dem neuesten Stand halten und veröffentlichen. Diese Liste hat einen Voranschlag der Kosten für derartige Maßnahmen zu enthalten. In die Liste darf nur solches zu dem Kultur- und Naturerbe gehörendes Gut aufgenommen werden, das durch ernste und spezifische Gefahren bedroht ist, z.B. Gefahr des Untergangs durch beschleunigten Verfall, öffentliche oder private Großvorhaben oder rasch vorangetriebene städtebauliche oder touristische Entwicklungsvorhaben; Zerstörung durch einen Wechsel in der Nutzung des Grundbesitzes oder im Eigentum daran; größere Veränderungen auf Grund unbekannter Ursachen; Preisgabe aus irgendwelchen Gründen; Ausbruch oder Gefahr eines bewaffneten Konflikts; Natur- und sonstige Katastrophen; Feuersbrünste, Erdbeben, Erdbeben, Vulkanausbrüche; Veränderungen des Wasserspiegels, Überschwemmungen und Sturmfluten. Das Komitee kann, wenn dies dringend notwendig ist, jederzeit eine neue Eintragung in die Liste des gefährdeten Erbes der Welt vornehmen und diese Eintragung sofort bekanntmachen.

(5) Das Komitee bestimmt die Maßstäbe, nach denen ein zum Kultur- oder Naturerbe gehörendes Gut in eine der in den Absätzen 2 und 4 bezeichneten Listen aufgenommen werden kann.

(6) Bevor das Komitee einen Antrag auf Aufnahme in eine der beiden in den Absätzen 2 und 4 bezeichneten Listen ablehnt, konsultiert es den Vertragsstaat, in dessen Hoheitsgebiet sich das betreffende Kultur- oder Naturgut befindet.

(7) Das Komitee koordiniert und fördert im Einvernehmen mit den betreffenden Staaten die Untersuchungen und Forschungen, die zur Aufstellung der in den Absätzen 2 und 4 bezeichneten Listen erforderlich sind.

## **Artikel 12**

Ist ein zum Kultur- oder Naturerbe gehörendes Gut in keine der in Artikel 11 Absätze 2 und 4 bezeichneten Listen aufgenommen worden, so bedeutet das nicht, daß dieses Gut nicht für andere als die sich aus der Aufnahme in diese Listen ergebenden Zwecke von außergewöhnlichem universellem Wert ist.

## **Artikel 13**

(1) Das Komitee für das Erbe der Welt nimmt die von Vertragsstaaten für in ihrem Hoheitsgebiet befindliches, zum Kultur- oder Naturerbe gehörendes Gut, das in die in Artikel 11 Absätze 2 und 4 bezeichneten Listen aufgenommen oder möglicherweise für eine Aufnahme geeignet ist, gestellten Anträge auf internationale Unterstützung entgegen und prüft sie. Derartige Anträge können gestellt werden, um den Schutz, die Erhaltung in Bestand und Wertigkeit oder die Revitalisierung dieses Gutes zu sichern.

(2) Anträge auf internationale Unterstützung nach Absatz 1 können auch die Erfassung von Kultur- oder Naturgut im Sinne der Artikel 1 und 2 zum Gegenstand haben, wenn Voruntersuchungen gezeigt haben, daß weitere Untersuchungen gerechtfertigt wären.



(3) Das Komitee entscheidet über die hinsichtlich dieser Anträge zu treffenden Maßnahmen, bestimmt gegebenenfalls Art und Ausmaß seiner Unterstützung und genehmigt den Abschluß der in seinem Namen mit der beteiligten Regierung zu treffenden erforderlichen Vereinbarungen.

(4) Das Komitee legt eine Rangordnung seiner Maßnahmen fest. Dabei berücksichtigt es die Bedeutung des schutzbedürftigen Gutes für das Kultur- und Naturerbe der Welt, die Notwendigkeit, internationale Unterstützung für das Gut zu gewähren, das die natürliche Umwelt oder die schöpferische Kraft und die Geschichte der Völker der Welt am besten verkörpert, ferner die Dringlichkeit der zu leistenden Arbeit, die Mittel, die den Staaten, in deren Hoheitsgebiet sich das bedrohte Gut befindet, zur Verfügung stehen, und insbesondere das Ausmaß, in dem sie dieses Gut mit eigenen Mitteln sichern können.

(5) Das Komitee wird eine Liste des Gutes, für das internationale Unterstützung gewährt wurde, aufstellen, auf dem neuesten Stand halten und veröffentlichen.

(6) Das Komitee entscheidet über die Verwendung der Mittel des nach Artikel 15 errichteten Fonds. Es erkundet Möglichkeiten, diese Mittel zu erhöhen, und trifft dazu alle zweckdienlichen Maßnahmen.

(7) Das Komitee arbeitet mit internationalen und nationalen staatlichen und nichtstaatlichen Organisationen zusammen, deren Ziele denen dieses Übereinkommens gleichen. Zur Durchführung seiner Programme und Vorhaben kann das Komitee die Hilfe derartiger Organisationen, insbesondere der Internationalen Studienzentrale für die Erhaltung und Restaurierung von Kulturgut (Römische Zentrale), des Internationalen Rates für Denkmalpflege (ICOMOS) und der Internationalen Union zur Erhaltung der Natur und der natürlichen Hilfsquellen (IUCN) sowie sonstiger Einrichtungen des öffentlichen und privaten Rechts und von Einzelpersonen in Anspruch nehmen.

(8) Die Beschlüsse des Komitees bedürfen der Zweidrittelmehrheit seiner anwesenden und abstimmenden Mitglieder. Das Komitee ist beschlußfähig, wenn die Mehrheit der Mitglieder anwesend ist.

#### **Artikel 14**

(1) Dem Komitee für das Erbe der Welt steht ein Sekretariat zur Seite, das vom Generaldirektor der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur bestellt wird.

(2) Der Generaldirektor der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur bereitet unter möglichst weitgehender Nutzung der Dienste der Internationalen Studienzentrale für die Erhaltung und Restaurierung von Kulturgut (Römische Zentrale), des Internationalen Rates für Denkmalpflege (ICOMOS) und der Internationalen Union zur Erhaltung der Natur und der natürlichen Hilfsquellen (IUCN) in ihrem jeweiligen Zuständigkeits- und Fachbereich die Dokumentation des Komitees und die Tagesordnung seiner Sitzungen vor und ist für die Durchführung seiner Beschlüsse verantwortlich.

## **IV. Fonds für den Schutz des Kultur- und Naturerbes der Welt**

### **Artikel 15**

(1) Hiermit wird ein Fonds für den Schutz des Kultur- und Naturerbes der Welt von außergewöhnlichem universellem Wert errichtet; er wird als "Fonds für das Erbe der Welt" bezeichnet.

(2) Der Fonds stellt ein Treuhandvermögen im Sinne der Finanzordnung der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur dar.

(3) Die Mittel des Fonds bestehen aus

a) Pflichtbeiträgen und freiwilligen Beiträgen der Vertragsstaaten;

b) Beiträgen, Spenden oder Vermächtnissen

i) anderer Staaten,

ii) der Organisationen der Vereinten Nationen für Erziehung, Wissenschaft und Kultur, anderer Organisationen des Systems der Vereinten Nationen, insbesondere des Entwicklungsprogramms der Vereinten Nationen, sowie sonstiger zwischenstaatlicher Organisationen,

iii) von Einrichtungen des öffentlichen oder privaten Rechts oder von Einzelpersonen;

c) den für die Mittel des Fonds anfallenden Zinsen;

d) Mitteln, die durch Sammlungen und Einnahmen aus Veranstaltungen zugunsten des Fonds aufgebracht werden, und

e) allen sonstigen Mitteln, die durch die vom Komitee für das Erbe der Welt für den Fonds aufgestellten Vorschriften genehmigt sind.

(4) Beiträge an den Fonds und sonstige dem Komitee zur Verfügung gestellte Unterstützungsbeiträge dürfen nur für die vom Komitee bestimmten Zwecke verwendet werden. Das Komitee kann Beiträge entgegennehmen, die nur für ein bestimmtes Programm oder Vorhaben verwendet werden sollen, sofern es die Durchführung dieses Programms oder Vorhabens beschlossen hat. An die dem Fonds gezahlten Beiträge dürfen keine politischen Bedingungen geknüpft werden.

### **Artikel 16**

(1) Unbeschadet etwaiger zusätzlicher freiwilliger Beiträge verpflichten sich die Vertragsstaaten, regelmäßig alle zwei Jahre an den Fonds für das Erbe der Welt Beiträge zu zahlen, deren Höhe nach einem einheitlichen, für alle Staaten geltenden Schlüssel errechnet und von der Generalversammlung der Vertragsstaaten festgesetzt wird, die während der

Tagungen der Generalkonferenz der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur zusammentritt. Dieser Beschluß der Generalversammlung bedarf der Mehrheit der anwesenden und abstimmenden Vertragsstaaten, die nicht die in Absatz 2 genannte Erklärung abgegeben haben. Der Pflichtbeitrag der Vertragsstaaten darf 1 v.H. des Beitrags zum ordentlichen Haushalt der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur nicht überschreiten.

(2) Ein in Artikel 31 oder 32 genannter Staat kann jedoch bei der Hinterlegung seiner Ratifikations-, Annahme- oder Beitrittsurkunde erklären, daß er durch Absatz 1 des vorliegenden Artikels nicht gebunden ist.

(3) Ein Vertragsstaat, der die in Absatz 2 genannte Erklärung abgegeben hat, kann diese jederzeit durch eine an den Generaldirektor der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur gerichtete Notifikation zurücknehmen. Die Rücknahme der Erklärung wird jedoch für den Pflichtbeitrag des betreffenden Staates erst mit dem Zeitpunkt der nächsten Generalversammlung der Vertragsstaaten wirksam.

(4) Um dem Komitee die wirksame Planung seiner Tätigkeit zu ermöglichen, sind die Beiträge von Vertragsstaaten, welche die in Absatz 2 genannte Erklärung abgegeben haben, regelmäßig, mindestens jedoch alle zwei Jahre zu entrichten; sie sollen nicht niedriger sein als die Beiträge, die sie zu zahlen hätten, wenn Absatz 1 für sie gelten würde.

(5) Ein Vertragsstaat, der mit der Zahlung seiner Pflichtbeiträge oder seiner freiwilligen Beiträge für das laufende Jahr und das unmittelbar vorhergegangene Kalenderjahr im Rückstand ist, kann nicht Mitglied des Komitees für das Erbe der Welt werden; dies gilt jedoch nicht für die erste Wahl.

Die Amtszeit eines solchen Staates, der bereits Mitglied des Komitees ist, endet im Zeitpunkt der in Artikel 8 Absatz 1 vorgesehenen Wahl.

#### **Artikel 17**

Die Vertragsstaaten erwägen oder fördern die Errichtung nationaler Stiftungen oder Vereinigungen des öffentlichen und privaten Rechts, die den Zweck haben, Spenden für den Schutz des Kultur- und Naturerbes im Sinne der Artikel 1 und 2 anzuregen.

#### **Artikel 18**

Die Vertragsstaaten unterstützen die unter der Schirmherrschaft der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur zugunsten des Fonds für das Erbe der Welt durchgeführten Werbemaßnahmen zur Aufbringung von Mitteln. Sie erleichtern die Sammlungen, die von den in Artikel 15 Absatz 3 bezeichneten Einrichtungen für diesen Zweck durchgeführt werden.

## **V. Voraussetzungen und Maßnahmen der internationalen Unterstützung**

### **Artikel 19**

Jeder Vertragsstaat kann internationale Unterstützung für in seinem Hoheitsgebiet befindliches und zum Kultur- oder Naturerbe von außergewöhnlichem universellem Wert gehörendes Gut beantragen. Mit seinem Antrag hat er alle in Artikel 21 genannten Informationen und Unterlagen vorzulegen, über die er verfügt und die das Komitee benötigt, um einen Beschluß zu fassen.

### **Artikel 20**

Vorbehaltlich des Artikels 13 Absatz 2, des Artikels 22 Buchstabe c und des Artikels 23 kann die in diesem Übereinkommen vorgesehene internationale Unterstützung nur für solches zum Kultur- und Naturerbe gehörendes Gut gewährt werden, dessen Aufnahme in eine der in Artikel 11 Absätze 2 und 4 bezeichneten Listen vom Komitee für das Erbe der Welt beschlossen wurde oder künftig beschlossen wird.

### **Artikel 21**

(1) Das Komitee für das Erbe der Welt bestimmt das Verfahren, nach dem die ihm unterbreiteten Anträge auf internationale Unterstützung zu behandeln sind, und schreibt die Einzelheiten des Antrags vor, der die erwogene Maßnahme, die erforderliche Arbeit, die voraussichtlichen Kosten, den Dringlichkeitsgrad und die Gründe, warum die Eigenmittel des antragstellenden Staates nicht zur Deckung aller Kosten ausreichen, umfassen soll. Den Anträgen sind, sofern irgend möglich, Sachverständigengutachten beizufügen.

(2) Anträge auf Grund von Natur- oder sonstigen Katastrophen sollen vom Komitee wegen der gegebenenfalls erforderlichen dringlichen Arbeiten sofort und vorrangig erörtert werden; es soll für derartige Notfälle über einen Reservefonds verfügen.

(3) Bevor das Komitee einen Beschluß faßt, führt es alle Untersuchungen und Konsultationen durch, die es für erforderlich hält.

### **Artikel 22**

Unterstützung durch das Komitee für das Erbe der Welt kann in folgender Form gewährt werden:

a) Untersuchungen über die künstlerischen, wissenschaftlichen und technischen Probleme, die der Schutz, die Erhaltung in Bestand und Wertigkeit und die Revitalisierung des Kultur- und Naturerbes im Sinne des Artikels 11 Absätze 2 und 4 aufwerfen;

b) Bereitstellung von Sachverständigen, Technikern und Facharbeitern, um sicherzustellen, daß die genehmigte Arbeit richtig ausgeführt wird;

c) Ausbildung von Personal und Fachkräften aller Ebenen auf dem Gebiet der Erfassung, des Schutzes, der Erhaltung in Bestand und Wertigkeit und der Revitalisierung des Kultur- und Naturerbes;

d) Lieferung von Ausrüstungsgegenständen, die der betreffende Staat nicht besitzt oder nicht erwerben kann;

e) Darlehen mit niedrigem Zinssatz oder zinslose Darlehen, die langfristig zurückgezahlt werden können;

f) in Ausnahmefällen und aus besonderen Gründen Gewährung verlorener Zuschüsse.

#### **Artikel 23**

Das Komitee für das Erbe der Welt kann auch internationale Unterstützung für nationale oder regionale Zentren zur Ausbildung von Personal und Fachkräften aller Ebenen auf dem Gebiet der Erfassung, des Schutzes, der Erhaltung in Bestand und Wertigkeit und der Revitalisierung des Kultur- und Naturerbes gewähren.

#### **Artikel 24**

Einer großangelegten internationalen Unterstützung müssen eingehende wissenschaftliche, wirtschaftliche und technische Untersuchungen vorausgehen. Diesen Untersuchungen müssen die fortschrittlichsten Verfahren für Schutz, Erhaltung in Bestand und Wertigkeit und Revitalisierung des Natur- und Kulturerbes zugrunde liegen; sie müssen den Zielen dieses Übereinkommens entsprechen. Die Untersuchungen müssen auch Mittel und Wege erkunden, die in dem betreffenden Staat vorhandenen Hilfsquellen rationell zu nutzen.

#### **Artikel 25**

In der Regel wird nur ein Teil der Kosten für die erforderliche Arbeit von der internationalen Gemeinschaft getragen. Der Beitrag des Staates, dem die internationale Unterstützung zuteil wird, muß einen wesentlichen Teil der für jedes Programm oder Vorhaben aufgewendeten Mittel darstellen, es sei denn, seine Mittel erlauben dies nicht.

#### **Artikel 26**

Das Komitee für das Erbe der Welt und der Empfängerstaat legen in dem von ihnen zu schließenden Abkommen die Bedingungen für die Durchführung eines Programms oder Vorhabens fest, für das nach diesem Übereinkommen internationale Unterstützung gewährt wird. Es ist Aufgabe des Staates, der die internationale Unterstützung erhält, das betreffende Gut danach im Einklang mit diesem Übereinkommen zu schützen sowie in Bestand und Wertigkeit zu erhalten.

## **VI. Erziehungsprogramme**

### **Artikel 27**

(1) Die Vertragsstaaten bemühen sich unter Einsatz aller geeigneten Mittel, insbesondere durch Erziehungs- und Informationsprogramme, die Würdigung und Achtung des in den Artikeln 1 und 2 bezeichneten Kultur- und Naturerbes durch ihre Völker zu stärken.

(2) Sie verpflichten sich, die Öffentlichkeit über die diesem Erbe drohenden Gefahren und die Maßnahmen auf Grund dieses Übereinkommens umfassend zu unterrichten.

### **Artikel 28**

Die Vertragsstaaten, die internationale Unterstützung auf Grund dieses Übereinkommens erhalten, treffen geeignete Maßnahmen, um die Bedeutung sowohl des Gutes, für das Unterstützung empfangen wurde, als auch der Unterstützung bekanntzumachen.

## **VII. Berichte**

### **Artikel 29**

(1) Die Vertragsstaaten machen in den Berichten, die sie der Generalkonferenz der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur zu den von dieser festgesetzten Terminen in der von ihr bestimmten Weise vorlegen, Angaben über die von ihnen erlassenen Rechts- und Verwaltungsvorschriften und über sonstige Maßnahmen, die sie zur Anwendung dieses Übereinkommens getroffen haben, sowie über Einzelheiten der auf diesem Gebiet gesammelten Erfahrungen.

(2) Die Berichte sind dem Komitee für das Erbe der Welt zur Kenntnis zu bringen.

(3) Das Komitee legt auf jeder ordentlichen Tagung der Generalkonferenz der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur einen Tätigkeitsbericht vor.

## **VIII. Schlußbestimmungen**

### **Artikel 30**

Dieses Übereinkommen ist in arabischer, englischer, französischer, russischer und spanischer Sprache abgefaßt, wobei jeder Wortlaut gleichermaßen verbindlich ist.

### **Artikel 31**

(1) Dieses Übereinkommen bedarf der Ratifikation oder Annahme durch die Mitgliedsstaaten der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur nach Maßgabe ihrer Verfassungsrechtlichen Verfahren.

(2) Die Ratifikations- oder Annahmeerkunden werden beim Generaldirektor der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur hinterlegt.

### **Artikel 32**

(1) Dieses Übereinkommen liegt für alle Nichtmitgliedstaaten der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur, die von der Generalkonferenz der Organisation hierzu aufgefordert werden, zum Beitritt auf.

(2) Der Beitritt erfolgt durch Hinterlegung einer Beitrittsurkunde beim Generaldirektor der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur.

### **Artikel 33**

Dieses Übereinkommen tritt drei Monate nach Hinterlegung der zwanzigsten Ratifikations-, Annahme- oder Beitrittsurkunde in Kraft, jedoch nur für die Staaten, die bis zu diesem Tag ihre Ratifikations-, Annahme- oder Beitrittsurkunde hinterlegt haben. Für jeden anderen Staat tritt es drei Monate nach Hinterlegung seiner Ratifikations-, Annahme- oder Beitrittsurkunde in Kraft.

### **Artikel 34**

Folgende Bestimmungen gelten für die Vertragsstaaten, die ein bundesstaatliches oder nicht einheitsstaatliches Verfassungssystem haben:

a) Hinsichtlich derjenigen Bestimmungen dieses Übereinkommens, deren Durchführung in die Zuständigkeit des Bundes- oder Zentral-Gesetzgebungsorgans fällt, sind die Verpflichtungen der Bundes- oder Zentralregierung dieselben wie für diejenigen Vertragsstaaten, die nicht Bundesstaaten sind;

b) hinsichtlich derjenigen Bestimmungen dieses Übereinkommens, deren Durchführung in die Zuständigkeit eines einzelnen Gliedstaats, eines Landes, einer Provinz oder eines Kantons fällt, die nicht durch das Verfassungssystem des Bundes verpflichtet sind, gesetzgeberische Maßnahmen zu treffen, unterrichtet die Bundesregierung die zuständigen Stellen dieser Staaten, Länder, Provinzen oder Kantone von den genannten Bestimmungen und empfiehlt ihnen ihre Annahme.

### **Artikel 35**

(1) Jeder Vertragsstaat kann dieses Übereinkommen kündigen.

(2) Die Kündigung wird durch eine Urkunde notifiziert, die beim Generaldirektor der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur hinterlegt wird.

(3) Die Kündigung wird zwölf Monate nach Eingang der Kündigungsurkunde wirksam. Sie läßt die finanziellen Verpflichtungen des kündigenden Staates bis zu dem Tag unberührt, an dem der Rücktritt wirksam wird.

### **Artikel 36**

Der Generaldirektor der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur unterrichtet die Mitgliedstaaten der Organisation, die in Artikel 32 bezeichneten Nichtmitgliedstaaten der Organisation sowie die Vereinten Nationen von der Hinterlegung aller Ratifikations-, Annahme- oder Beitrittsurkunden nach den Artikeln 31 und 32 und von den Kündigungen nach Artikel 35.

### **Artikel 37**

(1) Dieses Übereinkommen kann von der Generalkonferenz der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur revidiert werden. Jede Revision ist jedoch nur für diejenigen Staaten verbindlich, die Vertragsparteien des Revisionsübereinkommens werden.

(2) Beschließt die Generalkonferenz ein neues Übereinkommen, das dieses Übereinkommen ganz oder teilweise revidiert, so liegt dieses Übereinkommen, sofern nicht das neue Übereinkommen etwas anderes bestimmt, vom Tag des Inkrafttretens des neuen Revisionsübereinkommens an nicht mehr zur Ratifikation, zur Annahme oder zum Beitritt auf.

### **Artikel 38**

Auf Ersuchen des Generaldirektors der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur wird dieses Übereinkommen nach Artikel 102 der Charta der Vereinten Nationen beim Sekretariat der Vereinten Nationen registriert.

GESCHEHEN zu Paris am 23. November 1972 in zwei Urschriften, die mit den Unterschriften des Präsidenten der 17. Tagung der Generalkonferenz und des Generaldirektors der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur versehen sind und im Archiv der Organisation der Vereinten Nationen für Erziehung, Wissenschaft und Kultur hinterlegt werden; allen in den Artikeln 31 und 32 bezeichneten Staaten sowie den Vereinten Nationen werden beglaubigte Abschriften übermittelt.

Deutsche Übersetzung aus dem Bundesgesetzblatt, Jahrgang 1977, Teil II, Nr. 10.



# **The Venice Charter**

## **INTERNATIONAL CHARTER FOR THE CONSERVATION AND RESTORATION OF MONUMENTS AND SITES**

**Adopted at the Second International Congress  
of Architects and Technicians of Historic Monuments, Venice 1964**

Text source: [http://www.icomos.org/docs/venice\\_charter.html](http://www.icomos.org/docs/venice_charter.html) (ICOMOS – International Council on Monuments and Sights, 06.12.2010)

German version (S. 6 ff.): [http://www.dnk.de/uploads/media/135\\_1964\\_Charta\\_von\\_Venedig.pdf](http://www.dnk.de/uploads/media/135_1964_Charta_von_Venedig.pdf)  
(Deutsches Nationalkomitee für Denkmalschutz, 06.12.2010)

**Imbued with a message from the past**, the historic monuments of generations of people remain to the present day as living witnesses of their age-old traditions. People are becoming more and more conscious of the unity of human values and regard ancient monuments as a common heritage. The common responsibility to safeguard them for future generations is recognized. It is our duty to hand them on in the full richness of their authenticity.

It is essential that the principles guiding the preservation and restoration of ancient buildings should be agreed and be laid down on an international basis, with each country being responsible for applying the plan within the framework of its own culture and traditions.

By defining these basic principles for the first time, the Athens Charter of 1931 contributed towards the development of an extensive international movement which has assumed concrete form in national documents, in the work of ICOM and UNESCO and in the establishment by the latter of the International Centre for the Study of the Preservation and the Restoration of Cultural Property. Increasing awareness and critical study have been brought to bear on problems which have continually become more complex and varied; now the time has come to examine the Charter afresh in order to make a thorough study of the principles involved and to enlarge its scope in a new document.

Accordingly, the II<sup>nd</sup> International Congress of Architects and Technicians of Historic Monuments, which met in Venice from May 25<sup>th</sup> to 31<sup>st</sup> 1964, approved the following text:

### **DEFINITIONS**

*ARTICLE 1.* The concept of an historic monument embraces not only the single architectural work but also the urban or rural setting in which is found the evidence of a particular civilization, a significant development or an historic event. This applies not only to great works of art but also to more modest works of the past which have acquired cultural significance with the passing of time.

*ARTICLE 2.* The conservation and restoration of monuments must have recourse to all the sciences and techniques which can contribute to the study and safeguarding of the architectural heritage.

### **AIM**

*ARTICLE 3.* The intention in conserving and restoring monuments is to safeguard them no less as works of art than as historical evidence.

### **CONSERVATION**

*ARTICLE 4.* It is essential to the conservation of monuments that they be maintained on a permanent basis.

*ARTICLE 5.* The conservation of monuments is always facilitated by making use of them for some socially useful purpose. Such use is therefore desirable but it must not change the lay-

out or decoration of the building. It is within these limits only that modifications demanded by a change of function should be envisaged and may be permitted.

*ARTICLE 6.* The conservation of a monument implies preserving a setting which is not out of scale. Wherever the traditional setting exists, it must be kept. No new construction, demolition or modification which would alter the relations of mass and color must be allowed.

*ARTICLE 7.* A monument is inseparable from the history to which it bears witness and from the setting in which it occurs. The moving of all or part of a monument cannot be allowed except where the safeguarding of that monument demands it or where it is justified by national or international interest of paramount importance.

*ARTICLE 8.* Items of sculpture, painting or decoration which form an integral part of a monument may only be removed from it if this is the sole means of ensuring their preservation.

## **RESTORATION**

*ARTICLE 9.* The process of restoration is a highly specialized operation. Its aim is to preserve and reveal the aesthetic and historic value of the monument and is based on respect for original material and authentic documents. It must stop at the point where conjecture begins, and in this case moreover any extra work which is indispensable must be distinct from the architectural composition and must bear a contemporary stamp. The restoration in any case must be preceded and followed by an archaeological and historical study of the monument.

*ARTICLE 10.* Where traditional techniques prove inadequate, the consolidation of a monument can be achieved by the use of any modern technique for conservation and construction, the efficacy of which has been shown by scientific data and proved by experience.

*ARTICLE 11.* The valid contributions of all periods to the building of a monument must be respected, since unity of style is not the aim of a restoration. When a building includes the superimposed work of different periods, the revealing of the underlying state can only be justified in exceptional circumstances and when what is removed is of little interest and the material which is brought to light is of great historical, archaeological or aesthetic value, and its state of preservation good enough to justify the action. Evaluation of the importance of the elements involved and the decision as to what may be destroyed cannot rest solely on the individual in charge of the work.

*ARTICLE 12.* Replacements of missing parts must integrate harmoniously with the whole, but at the same time must be distinguishable from the original so that restoration does not falsify the artistic or historic evidence.

*ARTICLE 13.* Additions cannot be allowed except in so far as they do not detract from the interesting parts of the building, its traditional setting, the balance of its composition and its relation with its surroundings.

## HISTORIC SITES

*ARTICLE 14.* The sites of monuments must be the object of special care in order to safeguard their integrity and ensure that they are cleared and presented in a seemly manner. The work of conservation and restoration carried out in such places should be inspired by the principles set forth in the foregoing articles.

## EXCAVATIONS

*ARTICLE 15.* Excavations should be carried out in accordance with scientific standards and the recommendation defining [international principles to be applied in the case of archaeological excavation](#) adopted by UNESCO in 1956.

Ruins must be maintained and measures necessary for the permanent conservation and protection of architectural features and of objects discovered must be taken. Furthermore, every means must be taken to facilitate the understanding of the monument and to reveal it without ever distorting its meaning.

All reconstruction work should however be ruled out "*a priori*." Only anastylosis, that is to say, the reassembling of existing but dismembered parts can be permitted. The material used for integration should always be recognizable and its use should be the least that will ensure the conservation of a monument and the reinstatement of its form.

## PUBLICATION

*ARTICLE 16.* In all works of preservation, restoration or excavation, there should always be precise documentation in the form of analytical and critical reports, illustrated with drawings and photographs. Every stage of the work of clearing, consolidation, rearrangement and integration, as well as technical and formal features identified during the course of the work, should be included. This record should be placed in the archives of a public institution and made available to research workers. It is recommended that the report should be published.

The following persons took part in the work of the Committee for drafting the International Charter for the Conservation and Restoration of Monuments:

Piero Gazzola (Italy), Chairman  
Raymond Lemaire (Belgium), Reporter  
Jose Bassegoda-Nonell (Spain)  
Luis Benavente (Portugal)  
Djurdje Boskovic (Yugoslavia)  
Hiroshi Daifuku (UNESCO)  
P.L de Vrieze (Netherlands)  
Harald Langberg (Denmark)  
Mario Matteucci (Italy)  
Jean Merlet (France)  
Carlos Flores Marini (Mexico)  
Roberto Pane (Italy)  
S.C.J. Pavel (Czechoslovakia)  
Paul Philippot (ICCROM)

Victor Pimentel (Peru)  
Harold Plenderleith (ICCROM)  
Deoclecio Redig de Campos (Vatican)  
Jean Sonnier (France)  
Francois Sorlin (France)  
Eustathios Stikas (Greece)  
Mrs. Gertrud Tripp (Austria)  
Jan Zachwatovicz (Poland)  
Mustafa S. Zbiss (Tunisia)

## **Charta von Venedig**

Internationale Charta über die Konservierung und Restaurierung von Denkmälern und Ensembles (Denkmalbereiche)

Venedig, 25. bis 31. Mai 1964 (in der Fassung von 1989)  
1965 von ICOMOS beschlossen

Als lebendige Zeugnisse jahrhundertealter Traditionen der Völker vermitteln die Denkmäler in der Gegenwart eine geistige Botschaft der Vergangenheit. Die Menschheit, die sich der universellen Geltung menschlicher Werte mehr und mehr bewußt wird, sieht in den Denkmälern ein gemeinsames Erbe und fühlt sich kommenden Generationen gegenüber für die Bewahrung gemeinsam verantwortlich. Sie hat die Verpflichtung, ihnen die Denkmäler im ganzen Reichtum ihrer Authentizität weiterzugeben.

Es ist daher wesentlich, daß die Grundsätze, die für die Konservierung und Restaurierung der Denkmäler maßgebend sein sollen, gemeinsam erarbeitet und auf internationaler Ebene formuliert werden, wobei jedes Land für die Anwendung im Rahmen seiner Kultur und seiner Tradition verantwortlich ist.

Indem sie diesen Grundprinzipien eine erste Form gab, hat die Charta von Athen von 1931 zur Entwicklung einer breiten internationalen Bewegung beigetragen, die insbesondere in nationalen Dokumenten, in den Aktivitäten von Icom und Unesco und in der Gründung des „Internationalen Studienzentrums für die Erhaltung und Restaurierung der Kulturgüter“ Gestalt angenommen hat. Wachsendes Bewußtsein und kritische Haltung haben sich immer komplexeren und differenzierteren Problemen zugewandt; so scheint es an der Zeit, die Prinzipien jener Charta zu überprüfen, um sie zu vertiefen und in einem neuen Dokument auf eine breitere Basis zu stellen.

Daher hat der vom 25. bis 31. Mai 1964 in Venedig versammelte II. Internationale Kongreß der Architekten und Techniker der Denkmalpflege den folgenden Text gebilligt:

### **Definitionen**

#### *Artikel 1*

Der Denkmalebegriff umfaßt sowohl das einzelne Denkmal als auch das städtische oder ländliche Ensemble (Denkmalbereich), das von einer ihm eigentümlichen Kultur, einer bezeichnenden Entwicklung oder einem historischen Ereignis Zeugnis ablegt. Er bezieht sich nicht nur auf große künstlerische Schöpfungen, sondern auch auf bescheidene Werke, die im Lauf der Zeit eine kulturelle Bedeutung bekommen haben.

## *Artikel 2*

Konservierung und Restaurierung der Denkmäler bilden eine Disziplin, welche sich aller Wissenschaften und Techniken bedient, die zur Erforschung und Erhaltung des kulturellen Erbes beitragen können.

## **Zielsetzung**

### *Artikel 3*

Ziel der Konservierung und Restaurierung von Denkmälern ist ebenso die Erhaltung des Kunstwerks wie die Bewahrung des geschichtlichen Zeugnisses.

## **Erhaltung**

### *Artikel 4*

Die Erhaltung der Denkmäler erfordert zunächst ihre dauernde Pflege.

### *Artikel 5*

Die Erhaltung der Denkmäler wird immer begünstigt durch eine der Gesellschaft nützliche Funktion. Ein solcher Gebrauch ist daher wünschenswert, darf aber Struktur und Gestalt der Denkmäler nicht verändern. Nur innerhalb dieser Grenzen können durch die Entwicklung gesellschaftlicher Ansprüche und durch Nutzungsänderungen bedingte Eingriffe geplant und bewilligt werden.

### *Artikel 6*

Zur Erhaltung eines Denkmals gehört die Bewahrung eines seinem Maßstab entsprechenden Rahmens. Wenn die überlieferte Umgebung noch vorhanden ist, muß sie erhalten werden und es verbietet sich jede neue Baumaßnahme, jede Zerstörung, jede Umgestaltung, die das Zusammenwirken von Bauvolumen und Farbigkeit verändern könnte.

### *Artikel 7*

Das Denkmal ist untrennbar mit der Geschichte verbunden, von der es Zeugnis ablegt, sowie mit der Umgebung, zu der es gehört. Demzufolge kann eine Translozierung des ganzen Denkmals oder eines Teiles nur dann geduldet werden, wenn dies zu seinem Schutz unbedingt erforderlich ist oder bedeutende nationale oder internationale Interessen dies rechtfertigen.

### *Artikel 8*

Werke der Bildhauerei, der Malerei oder der dekorativen Ausstattung, die integraler Bestandteil eines Denkmals sind, dürfen von ihm nicht getrennt werden; es sei denn, diese Maßnahme ist die einzige Möglichkeit, deren Erhaltung zu sichern.

## **Restaurierung**

### *Artikel 9*

Die Restaurierung ist eine Maßnahme, die Ausnahmecharakter behalten sollte. Ihr Ziel ist es, die ästhetischen und historischen Werte des Denkmals zu bewahren und zu erschließen. Sie gründet sich auf die Respektierung des überlieferten Bestandes und auf authentische Dokumente. Sie findet dort ihre Grenze, wo die Hypothese be-

ginnt. Wenn es aus ästhetischen oder technischen Gründen notwendig ist, etwas wiederherzustellen, von dem man nicht weiß, wie es ausgesehen hat, wird das ergänzende Werk von der bestehenden Komposition abheben und den Stempel unserer Zeit tragen. Zu einer Restaurierung gehören vorbereitende und begleitende archäologische, kunst- und geschichtswissenschaftliche Untersuchungen.

#### *Artikel 10*

Wenn sich die traditionellen Techniken als unzureichend erweisen, können zur Sicherung eines Denkmals alle modernen Konservierungs- und Konstruktionstechniken herangezogen werden, deren Wirksamkeit wissenschaftlich nachgewiesen und durch praktische Erfahrung erprobt ist.

#### *Artikel 11*

Die Beiträge aller Epochen zu einem Denkmal müssen respektiert werden: Stileinheit ist kein Restaurierungsziel. Wenn ein Werk verschiedene sich überlagernde Zustände aufweist, ist eine Aufdeckung verdeckter Zustände nur dann gerechtfertigt, wenn das zu Entfernende von geringer Bedeutung ist, wenn der aufzudeckende Bestand von hervorragendem historischen, wissenschaftlichen oder ästhetischen Wert ist und wenn sein Erhaltungszustand die Maßnahme rechtfertigt. Das Urteil über den Wert der zur Diskussion stehenden Zustände und die Entscheidung darüber, was beseitigt werden darf, dürfen nicht allein von dem für das Projekt Verantwortlichen abhängen.

#### *Artikel 12*

Die Elemente, welche fehlende Teile ersetzen sollen, müssen sich dem Ganzen harmonisch einfügen und vom Originalbestand unterscheidbar sein, damit die Restaurierung den Wert des Denkmals als Kunst- und Geschichtsdokument nicht verfälscht.

#### *Artikel 13*

Hinzufügungen können nur geduldet werden, soweit sie alle interessanten Teile des Denkmals, seinen überlieferten Rahmen, die Ausgewogenheit seiner Komposition und sein Verhältnis zur Umgebung respektieren.

### **Denkmalbereiche**

#### *Artikel 14*

Denkmalbereiche müssen Gegenstand besonderer Sorge sein, um ihre Integrität zu bewahren und zu sichern, daß sie saniert und in angemessener Weise präsentiert werden. Die Erhaltungs- und Restaurierungsarbeiten sind so durchzuführen, daß sie eine sinngemäße Anwendung der Grundsätze der vorstehenden Artikel darstellen.

### **Ausgrabungen**

#### *Artikel 15*

Ausgrabungen müssen dem wissenschaftlichen Standard entsprechen und gemäß der Unesco-Empfehlung von 1956 durchgeführt werden, welche internationale Grundsätze für archäologische Ausgrabungen formuliert.

Erhaltung und Erschließung der Ausgrabungsstätten sowie die notwendigen Maßnahmen zum dauernden Schutz der Architekturelemente und Fundstücke sind zu



gewährleisten. Außerdem muß alles getan werden, um das Verständnis für das ausgegrabene Denkmal zu erleichtern, ohne dessen Aussagewert zu verfälschen.

Jede Rekonstruktionsarbeit soll von vornherein ausgeschlossen sein; nur die Anastylose kann in Betracht gezogen werden, das heißt, das Wiederaussetzen vorhandener, jedoch aus dem Zusammenhang gelöster Bestandteile. Neue Integrationselemente müssen immer erkennbar sein und sollen sich auf das Minimum beschränken, das zur Erhaltung des Bestandes und zur Wiederherstellung des Formzusammenhanges notwendig ist.

## **Dokumentation und Publikation**

### *Artikel 16*

Alle Arbeiten der Konservierung, Restaurierung und archäologischen Ausgrabungen müssen immer von der Erstellung einer genauen Dokumentation in Form analytischer und kritischer Berichte, Zeichnungen und Photographien begleitet sein. Alle Arbeitsphasen sind hier zu verzeichnen: Freilegung, Bestandssicherung, Wiederherstellung und Integration sowie alle im Zuge der Arbeiten festgestellten technischen und formalen Elemente. Diese Dokumentation ist im Archiv einer öffentlichen Institution zu hinterlegen und der Wissenschaft zugänglich zu machen. Eine Veröffentlichung wird empfohlen.

Mitglieder der Redaktionskommission für die Internationale Charta über die Konservierung und Restaurierung von Denkmälern waren:

Piero Gazzola (Italien), Präsident; Raymond Lemaire (Belgien), Berichterstatter; J. Bassegoda Nonell (Spanien); Luis Benavente (Portugal); Djurdje Boscovic (Jugoslawien); Hirsoshi Daifuku (Unesco); P. L. de Vrieze (Niederlande); Harald Langberg (Dänemark); Mario Matteucci (Italien); Jean Merlet (Frankreich); Carlos Flores Marini (Mexiko); Robert Pane (Italien); S. C. J. Pavel (Tschechoslowakei); Paul Philippot (Iccrom); Victor Pimentel (Peru); Harold Plenderleith (Iccrom); Deoclecio Redig de Campos (Vatikan); Jean Sonnier (Frankreich); François Sorlin (Frankreich); Gertrud Tripp (Österreich); Jan Zachwatowicz (Polen); Mustafa S. Zbiss (Tunesien).

Deutsche Übersetzung auf der Grundlage des französischen und englischen Originaltextes und vorhandener deutscher Fassungen durch:

Ernst Bacher (Präsident des Icomos Nationalkomitees Österreich), Ludwig Deiters (Präsident des Icomos Nationalkomitees Deutsche Demokratische Republik), Michael Petzet (Präsident des Icomos Nationalkomitees Bundesrepublik Deutschland) und Alfred Wyss (Vizepräsident des Icomos Nationalkomitees Schweiz).

Chorin, 14. April 1989

# **The Athens Charter for the Restoration of Historic Monuments**

**Adopted at the First International Congress  
of Architects and Technicians of Historic Monuments, Athens 1931**

Text from: [http://www.icomos.org/athens\\_charter.html](http://www.icomos.org/athens_charter.html) (06.12.2010)

German Text: Denkmalschutz. Texte zum Denkmalschutz und zur Denkmalpflege, (Schriftenreihe des Deutschen Nationalkomitees für Denkmalschutz 52), Bonn <sup>4</sup>2007

At the Congress in Athens the following seven main resolutions were made and called "Carta del Restauro":

1. International organizations for Restoration on operational and advisory levels are to be established.
2. Proposed Restoration projects are to be subjected to knowledgeable criticism to prevent mistakes which will cause loss of character and historical values to the structures.
3. Problems of preservation of historic sites are to be solved by legislation at national level for all countries.
4. Excavated sites which are not subject to immediate restoration should be reburied for protection.
5. Modern techniques and materials may be used in restoration work.
6. Historical sites are to be given strict custodial protection.
7. Attention should be given to the protection of areas surrounding historic sites.

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## General Conclusions of the Athens Conference

### I. -- DOCTRINES. GENERAL PRINCIPLES.

The Conference heard the statement of the general principles and doctrines relating to the protection of monuments.

Whatever may be the variety of concrete cases, each of which are open to a different solution, the Conference noted that there predominates in the different countries represented a general tendency to abandon restorations *in toto* and to avoid the attendant dangers by initiating a system of regular and permanent maintenance calculated to ensure the preservation of the buildings.

When, as the result of decay or destruction, restoration appears to be indispensable, it recommends that the historic and artistic work of the past should be respected, without excluding the style of any given period.

The Conference recommends that the occupation of buildings, which ensures the continuity of their life, should be maintained but that they should be used for a purpose which respects their historic or artistic character.

### II. -- ADMINISTRATIVE AND LEGISLATIVE MEASURES REGARDING HISTORICAL MONUMENTS

The Conference heard the statement of legislative measures devised to protect monuments of artistic, historic or scientific interest and belonging to the different countries.

It unanimously approved the general tendency which, in this connection, recognises a certain right of the community in regard to private ownership.

It noted that the differences existing between these legislative measures were due to the difficulty of reconciling public law with the rights of individuals.

Consequently, while approving the general tendency of these measures, the Conference is of opinion that they should be in keeping with local circumstances and with the trend of public opinion, so that the least possible opposition may be encountered, due allowance being made for the sacrifices which the owners of property may be called upon to make in the general interest.

It recommends that the public authorities in each country be empowered to take conservatory measures in cases of emergency.

It earnestly hopes that the International Museums Office will publish a repertory and a comparative table of the legislative measures in force in the different countries and that this information will be kept up to date.

### **III. -- AESTHETIC ENHANCEMENT OF ANCIENT MONUMENTS.**

The Conference recommends that, in the construction of buildings, the character and external aspect of the cities in which they are to be erected should be respected, especially in the neighbourhood of ancient monuments, where the surroundings should be given special consideration. Even certain groupings and certain particularly picturesque perspective treatment should be preserved.

A study should also be made of the ornamental vegetation most suited to certain monuments or groups of monuments from the point of view of preserving their ancient character. It specially recommends the suppression of all forms of publicity, of the erection of unsightly telegraph poles and the exclusion of all noisy factories and even of tall shafts in the neighbourhood of artistic and historic monuments.

### **IV. -- RESTORATION OF MONUMENTS.**

The experts heard various communications concerning the use of modern materials for the consolidation of ancient monuments. They approved the judicious use of all the resources at the disposal of modern technique and more especially of reinforced concrete.

They specified that this work of consolidation should whenever possible be concealed in order that the aspect and character of the restored monument may be preserved.

They recommended their adoption more particularly in cases where their use makes it possible to avoid the dangers of dismantling and reinstating the portions to be preserved.

### **V. -- THE DETERIORATION OF ANCIENT MONUMENTS.**

The Conference noted that, in the conditions of present day life, monuments throughout the world were being threatened to an ever-increasing degree by atmospheric agents.

Apart from the customary precautions and the methods successfully applied in the preservation of monumental statuary in current practice, it was impossible, in view of the complexity of cases and with the knowledge at present available, to formulate any general rules.

The Conference recommends:

1. That, in each country, the architects and curators of monuments should collaborate with specialists in the physical, chemical, and natural sciences with a view to determining the methods to be adopted in specific cases;
2. That the International Museums Office should keep itself informed of the work being done in each country in this field and that mention should be made thereof in the publications of the Office.

With regard to the preservation of monumental sculpture, the Conference is of opinion that the removal of works of art from the surroundings for which they were designed is, *in principle*, to be discouraged. It recommends, by way of precaution, the preservation of original models whenever these still exist or if this proves impossible, the taking of casts.

#### **VI. -- THE TECHNIQUE of CONSERVATION.**

The Conference is gratified to note that the principles and technical considerations set forth in the different detailed communications are inspired by the same idea, namely:

In the case of ruins, scrupulous conservation is necessary, and steps should be taken to reinstate any original fragments that may be recovered (anastylosis), whenever this is possible; the new materials used for this purpose should in all cases be recognisable. When the preservation of ruins brought to light in the course of excavations is found to be impossible, the Conference recommends that they be buried, accurate records being of course taken before filling-in operations are undertaken.

It should be unnecessary to mention that the technical work undertaken in connection with the excavation and preservation of ancient monuments calls for close collaboration between the archaeologist and the architect.

With regard to other monuments, the experts unanimously agreed that, before any consolidation or partial restoration is undertaken, a thorough analysis should be made of the defects and the nature of the decay of these monuments. They recognised that each case needed to be treated individually.

#### **VII. -- THE CONSERVATION OF MONUMENTS AND INTERNATIONAL COLLABORATION.**

##### *a) Technical and moral co-operation.*

The Conference, convinced that the question of the conservation of the artistic and archaeological property of mankind is one that interests the community of the States, which are wardens of civilisation,

Hopes that the States, acting in the spirit of the Covenant of the League of Nations, will collaborate with each other on an ever-increasing scale and in a more concrete manner with a view to furthering the preservation of artistic and historic monuments;

Considers it highly desirable that qualified institutions and associations should, without in any manner whatsoever prejudicing international public law, be given an opportunity of manifesting their interest in the protection of works of art in which civilisation has been expressed to the highest degree and which would seem to be threatened with destruction;

Expresses the wish that requests to attain this end, submitted to the Intellectual Co-operation Organisation of the League of Nations, be recommended to the earnest attention of the States.

It will be for the International Committee on Intellectual Co-operation, after an enquiry conducted by the International Museums Office and after having collected all relevant information, more particularly from the National Committee on Intellectual Co-operation concerned, to express an opinion on the expediency of the steps to be taken and on the procedure to be followed in each individual case.

The members of the Conference, after having visited in the course of their deliberations and during the study cruise which they were able to make on this occasion, a number of excavation sites and ancient Greek monuments, unanimously paid a tribute to the Greek Government, which, for many years past, has been itself responsible for extensive works and, at the same time, has accepted the collaboration of archaeologists and experts from every country.

The members of the Conference there saw an example of activity which can but contribute to the realisation of the aims of intellectual co-operation, the need for which manifested itself during their work.

*b) The role of education in the respect of monuments.*

The Conference, firmly convinced that the best guarantee in the matter of the preservation of monuments and works of art derives from the respect and attachment of the peoples themselves;

Considering that these feelings can very largely be promoted by appropriate action on the part of public authorities;

Recommends that educators should urge children and young people to abstain from disfiguring monuments of every description and that they should teach them to take a greater and more general interest in the protection of these concrete testimonies of all ages of civilisation.

*c) Value of international documentation.*

The Conference expresses the wish that:

1. Each country, or the institutions created or recognised competent for this purpose, publish an inventory of ancient monuments, with photographs and explanatory notes;
2. Each country constitute official records which shall contain all documents relating to its historic monuments;
3. Each country deposit copies of its publications on artistic and historic monuments with the International Museums Office;
4. The Office devote a portion of its publications to articles on the general processes and methods employed in the preservation of historic monuments;
5. The Office study the best means of utilising the information so centralised.

## **Die Charta von Athen zur Restaurierung historischer Denkmäler**

Athen, 21. bis 30. Oktober 1931

Beim Kongress in Athen wurden die folgenden wichtigen Entschlüsse verabschiedet und als „Carta del Restauro“ bezeichnet:

1. Es sind auf operativer und beratender Ebene internationale Organisationen für die Restaurierung zu gründen.
2. Vorgesehene Restaurierungsprojekte sind einer kritischen Begutachtung durch Fachleute zu unterziehen, um Fehler zu vermeiden, die zu einer Beeinträchtigung des Charakters und des historischen Wertes der Bauwerke führen würden.
3. Fragen der Restaurierung historischer Stätten sind für alle Länder durch Gesetzgebung auf nationaler Ebene zu regeln.
4. Ausgegrabene Stätten, die nicht einer unmittelbaren Restaurierung unterzogen werden, sollten zum Schutz wieder eingegraben werden.
5. Bei Restaurierungsarbeiten dürfen moderne Verfahren und Materialien verwendet werden.
6. Historische Stätten sind unter strengen kuratorischen Schutz zu stellen.
7. Dem Schutz des Umfelds historischer Stätten sollte Aufmerksamkeit beigemessen werden.

### **Allgemeine Schlussfolgerungen der Athener Konferenz**

#### **I. Lehren. Allgemeine Grundsätze**

Die Konferenz nahm eine Erklärung der allgemeinen Grundsätze und Lehren in Bezug auf den Denkmalschutz zur Kenntnis.

So vielfältig die konkreten Einzelfälle auch sind, für die jeweils unterschiedliche Lösungen in Betracht zu ziehen sind, so stellte die Konferenz doch fest, dass in den verschiedenen vertretenen Ländern eine allgemeine Tendenz dahingehend bestehe, auf Restaurierungen in toto zu verzichten und die damit einhergehenden Risiken zu vermeiden, indem ein System regelmäßiger und dauerhafter Erhaltung eingeführt wird, das darauf ausgerichtet ist, den Erhalt der Gebäude zu gewährleisten.

Wenn auf Grund von Verfall oder Zerstörung eine Restaurierung unverzichtbar erscheint, empfiehlt sie (AdÜ: gemeint ist die Konferenz), die historische und künstlerische Arbeit der Vergangenheit zu respektieren, ohne den Stil einer bestimmten Periode auszuschließen.



Die Konferenz empfiehlt, die Nutzung von Gebäuden, die deren Fortbestand sichert, fortzusetzen, wobei der Nutzungszweck jedoch dem historischen oder künstlerischen Charakter der Gebäude Rechnung tragen sollte.

## **II. Administrative und gesetzgeberische Maßnahmen in Bezug auf historische Denkmäler**

Die Konferenz nahm eine Erklärung der gesetzgeberischen Maßnahmen zur Kenntnis, die zum Schutz von Denkmälern von künstlerischem, historischem oder wissenschaftlichem Interesse in den unterschiedlichen Ländern ergriffen wurden.

Sie billigte einstimmig die allgemeine Tendenz, in diesem Zusammenhang ein gewisses Recht der Allgemeinheit in Bezug auf das Privateigentum anzuerkennen.

Sie stellte fest, dass die zwischen diesen gesetzgeberischen Maßnahmen bestehenden Unterschiede auf die Schwierigkeit zurückzuführen seien, das öffentliche Recht mit den Rechten des Einzelnen in Einklang zu bringen.

Während sie die allgemeine Ausrichtung dieser Maßnahmen billigte, vertritt die Konferenz daher die Meinung, dass diese den örtlichen Umständen und der Tendenz der öffentlichen Meinung Rechnung tragen sollten, damit ihnen angesichts der Opfer, die den Eigentümern im Interesse der Allgemeinheit u. U. abverlangt werden, möglichst wenig Widerstand entgegengesetzt werde.

Sie empfiehlt, den öffentlichen Behörden in jedem Staat die Befugnis zu verleihen, im Notfall konservatorische Maßnahmen zu ergreifen.

Sie verleiht ihrer dringenden Hoffnung Ausdruck, dass das Internationale Museum ein Verzeichnis und eine vergleichende Tabelle der in den einzelnen Staaten geltenden gesetzgeberischen Maßnahmen veröffentlichen und diese Informationen fortlaufend aktualisieren werde.

## **III. Ästhetische Aufwertung historischer Baudenkmäler**

Die Konferenz empfiehlt, beim Bau von Gebäuden den Charakter und das äußere Erscheinungsbild der Städte, in denen sie errichtet werden sollen, zu respektieren; dies gilt insbesondere in der Nachbarschaft historischer Baudenkmäler, wo dem Umfeld in besonderer Weise Rechnung getragen werden sollte. Selbst bestimmte Ensembles und gewisse besonders pittoreske Perspektivbehandlungen sollten erhalten werden.

Es sollte auch eine Studie darüber durchgeführt werden, welche Zierbepflanzung im Hinblick auf die Erhaltung ihres historischen Charakters am besten für bestimmte Denkmäler oder Denkmalensembles geeignet erscheint. Sie (AdÜ: gemeint ist die Konferenz) empfiehlt, in der Nachbarschaft künstlerischer und historischer Denkmäler jegliche Form von Werbung sowie optisch störende Telegraphenmasten und sämtliche Lärm verursachenden Fabriken sowie selbst hohe Stangen zu verbieten.

## **IV. Restaurierung von Denkmälern**

Die Experten hörten verschiedene Mitteilungen über die Verwendung moderner Werkstoffe zur Konsolidierung antiker Denkmäler. Sie billigten die vorsichtige Verwendung all dieser der modernen Technik zur Verfügung stehenden Mittel, insbesondere die von Stahlbeton.

Sie erklärten im Einzelnen, dass diese Konsolidierungen, soweit möglich, verdeckt vorgenommen werden sollten, so dass das äußere Erscheinungsbild und der Charakter des restaurierten Denkmals erhalten bleiben.

Sie empfahlen den Rückgriff auf diese Konsolidierungsarbeiten insbesondere in Fällen, in denen dadurch die mit einer Demontage und Wiedereinsetzung der zu erhaltenden Teile verbundenen Gefahren vermieden werden können.

## **V. Der Verfall antiker Denkmäler**

Die Konferenz stellte fest, dass unter den Bedingungen des heutigen Lebens Denkmäler in aller Welt in stetig zunehmendem Maße einer Bedrohung durch in der Luft enthaltene Wirkstoffe ausgesetzt sind.

Abgesehen von den üblichen Vorsichtsmaßnahmen und Verfahren, die in der derzeitigen Praxis erfolgreich bei der Erhaltung von Skulpturendenkmälern angewendet werden, war es angesichts der Komplexität der Fälle und des derzeitigen Wissensstands nicht möglich, allgemeine Regeln zu formulieren.

Die Konferenz empfiehlt,

1. dass in jedem Staat die Architekten und Kuratoren von Denkmälern mit Spezialisten aus der Physik, der Chemie und den Naturwissenschaften zusammenarbeiten sollten, um die im Einzelfall anzuwendenden Verfahren festzulegen;
2. dass das Internationale Museumsamt sich ständig über die in jedem Staat laufenden Arbeiten in diesem Bereich informieren und diese in seinen Veröffentlichungen erwähnen sollte.

Im Hinblick auf die Erhaltung von Skulpturdenkmälern ist die Konferenz der Meinung, dass die Entfernung von Kunstwerken aus dem Umfeld, für das sie geschaffen wurden, im Grundsatz abzulehnen ist. Sie empfiehlt, vorsorglich die Originalmodelle zu erhalten, soweit diese noch vorhanden sind oder, wo dies nicht möglich ist, Abdrücke anzufertigen.

## **VI. Konservierungsverfahren**

Die Konferenz stellt mit Zufriedenheit fest, dass die Grundsätze und fachlichen Erwägungen, die in den verschiedenen detaillierten Mitteilungen dargelegt wurden, sich an demselben Gedanken ausrichten, d. h.:

Bei Ruinen ist eine sorgfältige Konservierung erforderlich, und es sollten Schritte ergriffen werden, um jedwede Originalfragmente, die geborgen werden können, wieder an ihrem ursprünglichen Ort anzubringen (Anastylose); die zu diesem Zweck verwendeten neuen Werkstoffe sollten in jedem Fall erkennbar sein. Wenn die Erhaltung von Ruinen, die bei Ausgrabungen entdeckt wurden, sich als unmöglich erweist, empfiehlt die Konferenz, diese wieder mit Erde zu bedecken, wobei selbstverständlich detaillierte Aufzeichnungen anzufertigen sind, ehe mit der Wiederverfüllung des Erdreiches begonnen wird.

Es sollte sich der Hinweis erübrigen, dass die in Zusammenhang mit der Ausgrabung und Erhaltung antiker Denkmäler durchgeführten technischen Arbeiten eine enge Zusammenarbeit zwischen dem Archäologen und dem Architekten erfordern.

Im Hinblick auf andere Denkmäler stimmten die Experten darin überein, dass vor jeder Konsolidierung oder Teilrestaurierung eine gründliche Analyse der Schwachstellen und des Verfallszustandes dieser Denkmäler durchgeführt werden sollte. Sie anerkannten die Tatsache, dass jeder Fall einzeln zu behandeln sei.

## **VII. Konservierung von Denkmälern und internationale Zusammenarbeit**

### *a) Technische und moralische Zusammenarbeit*

Die Konferenz, in der Überzeugung, dass die Erhaltung des künstlerischen und archäologischen Erbes der Menschheit eine Frage ist, welche die Staatengemeinschaft als Hüterin der Zivilisation betrifft,

verleiht ihrer Hoffnung Ausdruck, dass die Staaten im Geiste der Völkerbundssatzung handeln und in zunehmendem Maße und auf immer konkretere Art und Weise zusammenarbeiten werden, um die Erhaltung künstlerischer und historischer Denkmäler zu fördern;

hält es für äußerst wünschenswert, dass qualifizierten Institutionen und Vereinen unbeschadet der Bestimmungen des internationalen öffentlichen Rechts die Möglichkeit gegeben werde, ihr Interesse am Schutz von Kunstwerken, die höchster Ausdruck menschlicher Zivilisation und von Zerstörung bedroht sind, deutlich zu machen;

verleiht ihrem Wunsche Ausdruck, dass Anträge, die zu diesem Zwecke der Organisation für Intellektuelle Zusammenarbeit des Völkerbundes vorgelegt werden, der dringenden Aufmerksamkeit der Staaten empfohlen werden.

Es wird Aufgabe des Internationalen Komitees für Intellektuelle Zusammenarbeit sein, nach einer vom Internationalen Museumsamt durchgeführten Untersuchung und nach Zusammenstellung aller einschlägigen, insbesondere vonseiten des betroffenen Nationalen Komitees für Intellektuelle Zusammenarbeit erhaltenen Informationen eine Stellungnahme darüber abzugeben, inwieweit die geplanten Schritte angemessen sind und welches Verfahren im Einzelfall anzuwenden ist.

Die Teilnehmer der Konferenz, die im Verlauf ihrer Gespräche und anlässlich der Studienkreuzfahrt, die sie bei dieser Gelegenheit unternehmen konnten, eine Reihe von Ausgrabungsstätten und antiken Griechischen Denkmälern besuchen konnten, zollten einhellig der Griechischen Regierung Respekt, die seit vielen Jahren selbst umfangreiche Arbeiten zu verantworten hat und hierbei auch die Mitarbeit von Archäologen und Experten aus aller Herren Länder in Anspruch genommen hat.

Die Teilnehmer der Konferenz sahen hierin ein Beispiel für eine Maßnahme, die nur dazu beitragen kann, die Ziele der intellektuellen Zusammenarbeit zu verwirklichen, welche, wie die Arbeit der Konferenz gezeigt hat, dringend erforderlich ist.

### *b) Die Rolle der Bildung im Hinblick auf die Förderung eines Bewusstseins für Denkmalschutz*

Die Konferenz, in der festen Überzeugung, dass die beste Garantie für die Erhaltung von Denkmälern und Kunstwerken sich aus dem Respekt und der Verbundenheit ergibt, die die Völker diesen entgegenbringen;

in der Erwägung, dass diese Gefühle in großem Maße durch geeignete Maßnahmen vonseiten der öffentlichen Behörden gefördert werden können;

empfiehlt, dass Erzieher und Lehrer Kinder und junge Menschen dazu ermahnen sollten, Denkmäler gleich welcher Art nicht zu verunstalten und ihnen ein größeres und allgemeineres Interesse am Schutz dieser konkreten Zeugen aus allen Epochen der Kulturgeschichte vermitteln sollten.

*c) Wert internationaler Dokumentation*

Die Konferenz verleiht dem Wunsch Ausdruck, dass

1. jeder Staat bzw. die zu diesem Zweck eingerichteten oder anerkannten Institutionen ein Bestandsverzeichnis antiker Denkmäler mit Photographien und erläuternden Anmerkungen veröffentliche;
2. jeder Staat amtliche Verzeichnisse einrichte, in denen alle Dokumente, die sich auf seine historischen Denkmäler beziehen, enthalten sind;
3. jeder Staat Kopien seiner Veröffentlichungen über künstlerische und historische Denkmäler beim Internationalen Museumsamt hinterlege;
4. das Amt einen Teil seiner Veröffentlichungen Artikeln über die allgemeinen Verfahren und Methoden zur Erhaltung historischer Denkmäler widme;
5. das Amt prüfe, wie die solchermaßen zentral zusammen getragenen Informationen am besten zu verwenden sind.

**Nichtamtliche Übersetzung**

## **The Declaration of Dresden**

**At the invitation of the ICOMOS National Committee of the German Democratic Republic, participants from 11 countries held a symposium in Dresden from November 15th to 19th, 1982 on the subject of the "Reconstruction of Monuments Destroyed by War".**

### The meeting:

- has observed once again in Dresden with profound shock, what terrible suffering and losses war causes for people and their cultural property,
- recognized the achievement of the government and people of the German Democratic Republic, in reclaiming a substantial part of their treasures that had been damaged or believed lost, and in particular, architectural monuments,
- against this background gives its full support to the recommendation (No. 308) of the 2nd World Conference of Unesco (Mexico, August 1982), concerning the prevention of wars,
- and agrees also with the resolution concerning the same subject, adopted by the VIth General Assembly of ICOMOS in 1981 in Rome.

The meeting summarizes the results of its discussions in the following basic assessment:

1. The task of social development after the war, the reconstruction of towns and villages, and the resulting task of the protection of monuments constitutes a single entity. The spiritual values of monuments and the desire to acknowledge them both intellectually and politically were the reasons for initiating their reconstruction.
2. The objective and the practical efforts of governments and peoples in the restoration of monuments and the preservation of the character of towns and villages which has evolved over time have been, and will remain to be of great importance for the bond between peoples and their native lands and for their participation in social progress in their country.
3. A great cultural effect has been and will be achieved in such places where protection and meticulous preservation of monuments go hand in hand with efforts to restore their impact and to promote the understanding of them, and where existing monuments have been harmoniously complemented by new works of architecture, respecting and enhancing typical urban ensembles including their natural setting.
4. Since men have been influenced by the wartime destruction and by reconstruction work after the war to regard monuments with increasing interest, in particular as providing evidence of history, fresh emphasis has been placed on the demand to preserve the original substance of the monument. By this is meant that substance which, in all those components which make it worthy of being recognized as a monument, has grown through the ages, and which, by virtue of its authenticity, confirms the origins of the monument and its historical evolution up to the present day.
5. Reconstruction gave fresh impetus to basic studies and to intensive research by means of archaeology, for new modes of documenting results in monument protection. Completion of the documentation of individual monuments and of the stock of monuments is also recognized as an urgent task for the protection of monuments from the consequences of armed conflicts and catastrophes.
6. The new interest in the intellectual acknowledgement of monuments has frequently given rise to the wish to restore a monument by reason of its meaning and impact, in addition to mere preservation. The type and scope of restoration have been and continue to be dependent on the significance and specific character of the monument, on the extent of destruction, and of the cultural and political function attached to it.

7. In reconstructing monuments destroyed by war various techniques have been developed. A multiplicity of factors have to be taken into account in each individual case. These range from the conservation of a monument for its symbolic value to the restoration of a townscape condition which cannot be abandoned.
8. In the restoration of monuments destroyed by war special care should be taken that the historic development up to the present time can be traced. This applies to the elements of monuments from different periods as well as other evidence of its fate. This might include modern elements which have been added in a responsible manner. The complete reconstruction of severely damaged monuments must be regarded as an exceptional circumstance which is justified only for special reasons resulting from the destruction of a monument of great significance by war. Such a reconstruction must be based on reliable documentation of its condition before destruction.
9. The need to continue the traditional use of a building has frequently accelerated the restoration of destroyed architectural monuments. Increasing awareness of the spiritual value of monuments has further encouraged this trend. This concerns to a large extent residential houses in towns and villages as well as town-halls, churches, and other historic buildings.
10. The destruction of a monument frequently results in completely new objectives for social use and their understanding after its reconstruction being established. This may range from the efforts to find a use of great public significance to residential use.
11. In the task of reconstructing monuments, a highly meticulous scientific methodology has evolved, as well as skills in technology, artistry and craftsmanship. Arising from the legitimate desire of peoples to restore damaged monuments as completely as possible to their national significance, necessary restoration work, going beyond conservation, has attained a high professional level and thereby a new cultural dimension as well.
12. More and more clearly, peoples combine pride in monuments of their own history with interest in monuments of other countries and with respect for cultural achievements, both past and present, of the peoples represented by these monuments. Worldwide exchange of knowledge and experience on characteristic features, historical evidence, and the beauty of the cultural heritage, especially the monuments of every people and each ethnic and social group, plays a constructive role in assuring equitable, peaceful co-existence between peoples.

Our experience working in the field of monuments protection, in seeing the terrible loss of human life and the destruction of cultural treasures by wars, our experience in the beautiful and responsible work of restoring and newly understanding these monuments, place an obligation on all of us to make every effort for a more secure peace in the world on the basis of assiduous international cooperation and disarmament.

Dresden, November 18th, 1982

## ReSAVE

In this chapter, prepared a sketch of how a resource economic assessment can be incorporated into the SAVE system. In this context establishes a positive list for election materials for the maintenance of landmark buildings, based on the principle of replacement rather than renewal and the use of traditional building materials and techniques. It is argued further to state appraisal is central to a resource economic assessment of a building and it is recommended that the SAVE system condition assessment extended. This assessment will form the background for the owner's maintenance planning and strengthen SAVE registering the application in the current building inspection in municipalities.

### 3.1 ReSAVE

### 3.2 Material selection - a positive

### 3.3 Condition Assessment

### 3.4 Summary

### 3.1 ReSAVE

Urban and building conservation has proved to be a resource economically appropriate action. For renovations, repairs and maintenance are used as very small amounts of material in relation to consumption by new buildings. Providing a well thought insulation of older buildings, the heat consumption at the same level as in the building from the 1970s and 80s. Including additional energy respectively renovation and new construction it would appear that the total energy consumption of renovation is less than demolition followed by new construction.

Material quality in older buildings is assessed in many cases as fully equal and often better than similar new materials, like the older buildings are designed so that repairs to the individual building is possible. This allows a resource-saving combination of recycling and partial replacement of the maintenance work.

As energy and material consumption has been shown to be lower in older renovated buildings than in new construction, it is based on resource economic considerations even more important to ensure that these buildings are maintained and thus ensuring a long life. It emerged from the Royal Collection. bygningsinspektørers survey of listed buildings state that although the buildings were assessed as being in good condition, needed repairs to get the defect free condition. It was thus felt that the need was around 250-300 kr/m<sup>2</sup> for urban construction in good condition.

These factors give reason to conclude that the terms of design and material terms traditionally constructed buildings will generally be resource economic sense to preserve rather than demolish and pioneer.

It is important to note that in a resource-economic perspective, other factors that are crucial for the assessment of buildings conservation value than those prevailing at the architectural, cultural or purely economic grounds. Building state thus plays a far more crucial role in the resource-economic evaluation because it is vital both for the physical life, and partly for the consumption of energy and material resources for building operation and maintenance.



From a resource in economic terms it is therefore essential that the buildings through a continuous maintenance to ensure a maximum physical life and that this maintenance occurs with environmentally appropriate materials.

The main themes in the resource-economic evaluation is therefore first to identify which materials should be used for repairs and maintenance; second to register the building's condition and thereby indicate what is needed to bring the building defects,.

### 3.2 Material selection - a positive

Securing the building through the maintenance and repair is essential from a resource-economic perspective.

An environmental assessment of maintenance work is in many ways simpler than at major design tasks, as it often is for limited efforts such as façade renovations, window maintenance or replacement, replacement or repair of gutters, etc. In these works do not need nearly as comprehensive and detailed consideration of environmental solutions as for developing new designs. However, this can also be a contributing factor to environmental considerations not made in connection with maintenance. This is compounded by the fact that a large proportion of maintenance and repair work is performed in a combination of 'do-it-yourself work,' 'medbyg' and professional craftsmanship. This combination of 'småarbejder' and professional uprofessionalisme gives rise to fear that the consideration of environmental considerations in material selection often taking precedence over the construction of markets 'packaged' solutions.

As a support and guidance materials in the maintenance of traditionally constructed buildings, it is therefore appropriate to establish a positive list of environmentally commendable materials. An important criterion in this context that these materials have a quality that permits a long life and building parts are designed to repair and partial replacement is possible.

The report 'Building Materials for a sustainable development' (58) establishes an environmental profile for a wide range of commonly used building materials that can form the basis for such a positive. Environmental Profile is constructed from an evaluation of resource impacts and pollution impacts associated with extraction of raw materials and production of various building materials. Profile is summarized in Table 8, giving only the building that are part of the building envelope is included.

The materials are in each group assessed partly in relation to the resource impacts associated with extraction of raw materials and production of the material, and partly in relation to the pollution effects production and execution of product estimated to have.

Pollution effects are assessed in terms of emissions of 'greenhouse gases' (primarily CO<sub>2</sub>), acidifying substances (SO<sub>2</sub> and NO<sub>x</sub>) and smog precursors (NO<sub>x</sub>). It's all emissions, primarily from energy production and transportation of construction materials. Finally, under the rubric future aspects indicated whether the possibility of a future environmental product improvement is there. Within each group the materials assessed and ranked against each other in a three-tier scale with '1' as the best alternative and '3' as environmentally 'bad' alternative.

The report stresses that there is a very rough and simplified assessment of its weightings of incomparable relationship is influenced by subjective assessments:

'It is not foretatt comparative assessments operation between drugstore agree Ressurseffekter and Forurensningseffekter. This would then entails vekting operation between such råvareforbruk and inneklimateforhold and involves particularly political assessments. Up before each by the two hovedeffektgruppene it is a serious foretatt vekting operation between the different levels of the parameters. For example entails evaluation up before Forurensningseffekter vekting operation between påkjenninger on inneklimate and påkjenninger on plantebiotoper. Ressurseffekter up before it e.g. foretatt a vekting operation between consumption are av begrensede ressurser and vannforbruk. This is obviously basert on coarse skjønsmessige assessments greatly affected its expression of the author's viewpoint. It is likevel søkt an adaptation to more allment aksepterte assessment criteria which candy is accessible in the literature. '(59)

Table 8 Evaluation of relative environmental profiles of alternative materials (60)  
Materials

Material Consumption  
kg/m<sup>2</sup>

Resource Effects

Pollution Effects

Future Aspects  
Horizontal structures  
Steel joists

40  
2  
2

Concrete, in situ (150 mm)

400  
2  
2

Hulbeton elements (265 mm)

380  
2  
2

Aerated concrete (heat insulation) (200 mm)

130  
3  
3

-Clay lightweight aggregate concrete (thermal insulation) (200 mm)

190

3

3

Wood joists

40

1

1

Vertical structures

Steel

30

2

2

Concrete, in situ (350 mm)

350

2

2

Hulbeton elements (190 mm)

260

2

2

Aerated concrete (heat insulation) (240 mm)

150

3

2

The bricks (108 mm)

220

1

1

Natural stone (200 mm)

500

1

1

Soil, tamped (400 mm)

800

1

1

Brick (108 mm)

220

2

3

Wood

0,3

1

1

Roofing

Galvanized steel

6

3

3

Aluminium

4

3

3

Copper

6

3

2

Concrete stone

50

2

2

Cement Sheets

13

1

1

Slate

85

1

1

Bricks

35

2

2

Wood impregnated

16,5

2

3

Wood uimprægneret

18

1

1

Fittings and gutters

Stainless steel (0.5)

3,9

1

3

Galvanized steel (0.7)

5,2

1

3

Aluminum (0.9)

2,4

2

2

Copper (0.6)

5,3

2

1

Lead (1.5)

17

3

3

Polyvinylchloride (PVC)

3

2

Window Glass

Clear glass

2

1

Metal Coated Glass

1

2

Window frames

Aluminium

2

2

Polyvinylchloride (PVC)

3

3

Wood

1

1

Environmental profile of the ring of the different materials indicates that in a resource-economic perspective is useful to maintain and refurbish older traditionally constructed buildings with materials similar to those they are listed in. Wood is assessed as generally recognized as an environmentally appropriate materials, brick is in middle group between almost pure natural products and various kinds of galvanized materials. It should be noted on the statement that it illustrates the common situation where the homeowner can choose between using traditional building materials or new. (61)

A relationship which does not take into account in the profiling is the materials' quality and durability. As has been noted earlier in this report has shown that older materials are often of better quality than new ones - even when it comes to the same types of material. Particular it has been noticed that the new wood that are part of different elements, generally considered qualitatively inferior to the old / original. Resource-economic consequences of this deterioration has not been studied in detail in this report. However, it is natural to assume that a reduction in quality will affect different building component durability and maintenance needs.

In the spirit that should be selected traditional materials are repeated in a 'positive list' of eligible construction worker. This was prepared in connection with an expanded grant scheme for repair work on listed and landmark buildings. (62) The purpose of the grant scheme and the positive list was the landmark buildings that funded construction should help to maintain or improve buildings' conservation value. Nor does the list shall however require the technical quality of the materials contained in the works to be supported.

In figure 10 on the next page is reproduced principles which formed the basis for allocating aid.

Figure 10 Principles of materials for maintenance and repair of traditionally constructed buildings (63)

Building component maintenance and repair Replacement

Take Existing thatched roofs, tiled roofs and natural slate roofs should be converted, respectively, straw, brick and natural slate and not replaced, for example. wave plates. Roofs have been replaced with new, unhistorical material (64), can, with support from the system upgraded with original roofing material.

Outer Walls Exterior walls of brick and timber should be repaired in the original materials. Grants can be given for restoration of the exterior walls, which was later renewed in unhistorical materials, for example. aerated concrete.

Windows and doors can often old windows and doors with advantage be repaired by replacing the bottom pieces or parts of frames and sills. When replacing windows, the new windows out of the same material as the original - usually wood - preferably with the old windows profiles.

In both rehabilitation as replacement could add an extra insulating layer of glass in the form of either still frames, or coupled framework. Windows and doors in older homes should be painted. In many cases, the original windows were replaced with newer windows unhistorical form, eg. helrudede tilt windows with thermoglas. There will be awarded for the restoration of the old window form: It is important that the old hardware transferred to the new windows or new equivalent acquired.

Foundations By leveling of sunken or otherwise damaged foundations should be used wherever possible original materials. However, there may be no harm that best can be correct, for example. pouring of concrete.

In a resource-economic perspective it is essential to the principle that the maintenance of traditionally constructed buildings made with materials similar to those buildings listed in the added requirement that the materials must be of a high technical quality material. This should be part of future environmental labeling of building materials.

### 3.3 Condition Assessment

Condition assessment and registration of the material composition is the basis for a practical assessment of building conservation ingens resource economic consequences. Based on the state assessment you get an overview of the extent of resources that will be spent to bring the building into defects, thereby ensuring its conservation value.

As the SAVE system is built to be made here already a condition assessment, and an identification of the building material-related characteristics achieved partly through data from the BBR register first via registration on the spot. To act as the basis for a resource economic assessment, there is a need to specifically state assessment spelled out so that the envelope of each building is assessed. The intention is to achieve as high a level of detail that registration may be included in the basis for a maintenance and repair plan for the building. This can be done by the existing building description expanded to include a condition assessment. This is illustrated in Figure 11

It is debatable how detailed a scale to be worked for in the state assessment (65). As a basis for building expert review of buildings in connection with the sale, DTI prepared a registration form, where assessments of building damage is divided into three categories: 'less serious injuries,' 'serious damage' and 'critical injuries. "

These three categories are defined as follows. Less serious injuries are injuries' which does not affect the component's function or sections of buildings and will not develop further. Damages will mainly be defined as a cosmetic without planning technical meaning. " Serious injuries are injuries 'which indicates that the component becomes obsolete, and its function will fail in the foreseeable future, but that this would not lead to the development of damage to other parts of buildings'. Critical damage is defined as the final damage 'which should be rectified immediately, as they will lead to between building function will fail within a reasonable time, and this failure will cause damage to other buildings'.

In this context include: sentence cracks continue to evolve, degraded roofing, vandindsivning at doors and windows etc.. Add to this an opportunity to indicate that there is a need for further investigation. Based on a state assessment based on these criteria, there is thus also set a scale for need for refurbishment.

Figure 11 Excerpt from the SAVE system scheduler for single building registration

figur11-1.gif (92957 bytes)

The arrows illustrate that ReSAVE-added assessment as a condition assessment of the different building elements in one building registration. It should be noted that there are different versions of registration forms.

This version was used in the single building registration on Amager. Building description must be added a box of roofing material and condition.

Housing Ministry has a guide for registration of renewal requirements (66) prepared a manual for building inspection, which also operates three state levels: "general good condition ', minor repairs needed, 'and finally' major repair or replacement necessary." The criteria for level division is identical with the DTI.

These levels are spelled out further, however, using a 9-slice scale, where 1-3 indicates that the element is in general good condition, 4-6 there is a need for less effort and 7-9 that there is a need for greater effort . The higher the numerical value indicated in the three levels, the greater the need for action.

This system, with an initial 'rough categorization' followed by a finer detail within the category fits well into the SAVE system - but with the important differences that assessment, first place in the building and level and not in the SAVE system on the building level, and second, to 9-point scale in Home Ministry's system is linked to an assessment of the economic costs of a renovation of the recorded injuries. (67)

Figure 12 is reproduced a section of the Housing Ministry's registration guide, which is a prescription for state registration of windows and exterior doors (68). The manual covers all exterior building and will immediately be transferred as a model basis for ReSAVE registration. The assessment criteria will be clarified by a merger with DTI definitions of the three damage levels: minor injuries, serious damage and critical damage.



Figure 12 Assessment criteria for condition assessment of windows and exterior doors.

Fig-12a-1.gif (77919 bytes)

Fig-12b-1.gif (45325 bytes)

Chart on the next part as a complement to the Ministry of Housing manual. It sets out the hand which materials are typical of buildings built before 1940 and the range condition symptoms which experience can be considered for a state assessment. Based on an assessment of the nature of these symptoms be a 'character' for building mode. These assessments in resource economic context, further complemented with assessments of whether the building design and spatial orientation makes such exploitation of renewable energy in the form of passive solar heating, partly through solar heating of the building, partly through indstrålingsmuligheder through windows, setting up solar panels tag mm.

Figure 13 Overview of building components, materials and condition of signs the building envelope (69)

Building Component Material Condition Symptoms

Basic Foundations Concrete

Masonry

Syldsten Sentences / cracks

Flaking

Unfinished Exterior walls / structural systems in concrete facade Netrevner / single cracks

Flaking

Reinforcement Corrosion

Fouling

Exterior walls

Chimney Brick Sentences

Flaking

Defective joints crumbling

Springers

Fouling

Exterior walls Timber-Drying / mørning

Councils in the foot straps

Council of beam ends

Balconies

Stairs Concrete Netrevner / single cracks

Flaking

Reinforcement Corrosion

Fouling

Complete Windows / Doors Wood Mørning

Council

Metal Corrosion

Plastics Mørning

Downpipe / valleys Metal

Plastic Corrosion

Mørning

External wall surfaces Wood Cracks

Mørning

Failure surface  
Plaster flaking  
Cracks  
Fouling  
Failure surface  
Roofing:

Hard coatings

Tile  
Slate  
Art Slate  
Corrugated Asbestos foulings  
Flaking  
Cracks  
Desiccation  
Metal Corrosion

Soft coatings

Tjærepap Cracks  
Deformations  
Adhesion  
Straw Drying  
Fouling  
Roof surface flatness  
Wearing course thickness (over / under 5 cm.)  
Thatcher Thread (rust)

In future work on resource economic consequences of town preservation, it would be natural to incorporate an assessment of the economic costs and to bring buildings into different mode categories of defects,; and partly to the ongoing exterior maintenance of various building components. This work could build on the basic numbers of urban renewal costs as the Housing Ministry in its guidance related to the various state levels.

### 3.4 Summary

It has been demonstrated that there is a strong correlation between maintenance practices and building lifetime. A condition score thus expresses itself whether the building represents a resource managed in an environmentally responsible way.

Beside the resource economic benefits inherent in maintaining a building rather than tearing it down, repair and maintenance central activities in order to ensure the resource values of buildings contain. An expansion of the SAVE system condition assessment will be an essential technical basis for an ongoing repair and maintenance planning. This expansion is proposed to follow the level of detail that underlies the Ministry of Housing guidance in building inspection.

The possible optimization of building lifetime through maintenance and repair is the main factor in the economic evaluation of resource conservation work. It can be registered is the current state at the time of registration. Of this recording shows on various building has:

- \* Less serious injuries should be repaired / renovated
- \* Serious injuries should lead to the replacement / renewal or
- \* Critical injuries soon should be repaired or requires that building elements must be supplemented or replaced.

The resource-economic impact of conservation work would only be readable in the long term. The inventories of conservation values in cities and buildings, supplemented by records of maintenance and repair requirements are contributions to the strengthening of a resource appropriate management of the resources tied up in buildings and plants.

On the basis of a systematized ReSAVE material in cooperation with the municipalities in collaboration with advisory architects, builders, credit unions with more able information sessions / prepare information about typical maintenance needs in different types of construction in different neighborhoods. ReSAVE In this context, together with SAVE-registrations kommuneatlasen used as background information for campaigns that may qualify the maintenance and refurbishment of private house owners themselves engaged.

In addition, a systematic collection and storage of said material technical data could be included as a basic material for building knowledge about buildings and building materials durability and maintenance needs and to identify the future need for recycled materials.

WHC. 08/01  
January 2008

# Operational Guidelines for the Implementation of the World Heritage Convention

UNITED NATIONS EDUCATIONAL, SCIENTIFIC  
AND CULTURAL ORGANISATION

INTERGOVERNMENTAL COMMITTEE  
FOR THE PROTECTION OF THE  
WORLD CULTURAL AND NATURAL HERITAGE



WORLD HERITAGE CENTRE

The *Operational Guidelines* are periodically revised to reflect the decisions of the World Heritage Committee. Please verify that you are using the latest version of the *Operational Guidelines* by checking the date of the *Operational Guidelines* on the UNESCO World Heritage Centre Web address indicated below.

The *Operational Guidelines* (in English and French), the text of the *World Heritage Convention* (in five languages), and other documents and information concerning World Heritage are available from the World Heritage Centre:

UNESCO World Heritage Centre

7, place de Fontenoy

75352 Paris 07 SP

France

Tel : +33 (0)1 4568 1876

Fax : +33 (0)1 4568 5570

E-mail : [wh-info@unesco.org](mailto:wh-info@unesco.org)

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

<http://whc.unesco.org/en/guidelines> (*English*)

<http://whc.unesco.org/fr/orientations> (*French*)

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## ACRONYMS AND ABBREVIATIONS

DoCoMoMo	International Committee for the Documentation and Conservation of Monuments and Sites of the Modern Movement
ICCROM	International Centre for the Study of the Preservation and Restoration of Cultural Property
ICOMOS	International Council on Monuments and Sites
IFLA	International Federation of Landscape Architects
IUCN	World Conservation Union (formerly the International Union for Conservation of Nature and Natural Resources)
IUGS	International Union of Geological Sciences
MAB	Man and the Biosphere programme of UNESCO
NGO	Non-governmental organization
TICCIH	International Committee for the Conservation of the Industrial Heritage
UNEP	United Nations Environment Programme
UNEP-WCMC	World Conservation Monitoring Centre (UNEP)
UNESCO	United Nations Educational, Scientific and Cultural Organization



## I. INTRODUCTION

### I.A The Operational Guidelines

1. The *Operational Guidelines for the Implementation of the World Heritage Convention* (hereinafter referred to as the *Operational Guidelines*) aim to facilitate the implementation of the *Convention concerning the Protection of the World Cultural and Natural Heritage* (hereinafter referred to as "the *World Heritage Convention*" or "the *Convention*"), by setting forth the procedure for:

- a) the inscription of properties on the World Heritage List and the List of World Heritage in Danger;
- b) the protection and conservation of World Heritage properties;
- c) the granting of International Assistance under the World Heritage Fund; and
- d) the mobilization of national and international support in favor of the *Convention*.

2. The *Operational Guidelines* are periodically revised to reflect the decisions of the World Heritage Committee.

The historical development of the Operational Guidelines is available at the following Web address:  
<http://whc.unesco.org/en/guidelineshistorical>

3. The key users of the *Operational Guidelines* are:

- a) the States Parties to the *World Heritage Convention*;
- b) the Intergovernmental Committee for the Protection of the Cultural and Natural Heritage of Outstanding Universal Value, hereinafter referred to as "the World Heritage Committee" or "the Committee";
- c) the UNESCO World Heritage Centre as Secretariat to the World Heritage Committee, hereinafter referred to as "the Secretariat";
- d) the Advisory Bodies to the World Heritage Committee ;
- e) site managers, stakeholders and partners in the protection of World Heritage properties.

## **I.B The *World Heritage Convention***

- 4.** The cultural and natural heritage is among the priceless and irreplaceable assets, not only of each nation, but of humanity as a whole. The loss, through deterioration or disappearance, of any of these most prized assets constitutes an impoverishment of the heritage of all the peoples of the world. Parts of that heritage, because of their exceptional qualities, can be considered to be of “outstanding universal value” and as such worthy of special protection against the dangers which increasingly threaten them.
- 5.** To ensure, as far as possible, the proper identification, protection, conservation and presentation of the world's heritage, the Member States of UNESCO adopted the *World Heritage Convention* in 1972. The *Convention* foresees the establishment of a "World Heritage Committee" and a "World Heritage Fund". Both the Committee and the Fund have been in operation since 1976.
- 6.** Since the adoption of the *Convention* in 1972, the international community has embraced the concept of "sustainable development". The protection and conservation of the natural and cultural heritage are a significant contribution to sustainable development.
- 7.** The *Convention* aims at the identification, protection, conservation, presentation and transmission to future generations of cultural and natural heritage of outstanding universal value.
- 8.** The criteria and conditions for the inscription of properties on the World Heritage List have been developed to evaluate the outstanding universal value of properties and to guide States Parties in the protection and management of World Heritage properties.
- 9.** When a property inscribed on the World Heritage List is threatened by serious and specific dangers, the Committee considers placing it on the List of World Heritage in Danger. When the outstanding universal value of the property which justified its inscription on the World Heritage List is destroyed, the Committee considers deleting the property from the World Heritage List.

## **I.C The States Parties to the *World Heritage Convention***

10. States are encouraged to become party to the *Convention*. Model instruments for ratification/acceptance and accession are included as Annex 1. The original signed version should be sent to the Director-General of UNESCO.
11. The list of States Parties to the *Convention* is available at the following Web address:  
<http://whc.unesco.org/en/statesparties>
12. States Parties to the *Convention* are encouraged to ensure the participation of a wide variety of stakeholders, including site managers, local and regional governments, local communities, non-governmental organizations (NGOs) and other interested parties and partners in the identification, nomination and protection of World Heritage properties.
13. States Parties to the *Convention* should provide the Secretariat with the names and addresses of the governmental organization(s) primarily responsible as national focal point(s) for the implementation of the *Convention*, so that copies of all official correspondence and documents can be sent by the Secretariat to these national focal points as appropriate. A list of these addresses is available at the following Web address:  
<http://whc.unesco.org/en/statespartiesfocalpoints>  
States Parties are encouraged to publicize this information nationally and ensure that it is up to date.
14. States Parties are encouraged to bring together their cultural and natural heritage experts at regular intervals to discuss the implementation of the *Convention*. States Parties may wish to involve representatives of the Advisory Bodies and other experts as appropriate.
15. While fully respecting the sovereignty of the States on whose territory the cultural and natural heritage is situated, States Parties to the *Convention* recognize the collective interest of the international community to cooperate in the protection of this heritage. States Parties to the *World Heritage Convention*, have the responsibility to:
  - a) ensure the identification, nomination, protection, conservation, presentation, and transmission to future generations of the cultural and natural heritage found within their territory, and give help in these tasks to other States Parties that request it; Article 4 and 6(2) of the *World Heritage Convention*.
  - b) adopt general policies to give the heritage a function in the life of the community; Article 5 of the *World Heritage Convention*.



- c) integrate heritage protection into comprehensive planning programmes;
- d) establish services for the protection, conservation and presentation of the heritage;
- e) develop scientific and technical studies to identify actions that would counteract the dangers that threaten the heritage;
- f) take appropriate legal, scientific, technical, administrative and financial measures to protect the heritage;
- g) foster the establishment or development of national or regional centres for training in the protection, conservation and presentation of the heritage and encourage scientific research in these fields;
- h) not take any deliberate measures that directly or indirectly damage their heritage or that of another State Party to the *Convention*; *Article 6(3) of the World Heritage Convention.*
- i) submit to the World Heritage Committee an inventory of properties suitable for inscription on the World Heritage List (referred to as a Tentative List); *Article 11(1) of the World Heritage Convention.*
- j) make regular contributions to the World Heritage Fund, the amount of which is determined by the General Assembly of States Parties to the *Convention*; *Article 16(1) of the World Heritage Convention.*
- k) consider and encourage the establishment of national, public and private foundations or associations to facilitate donations for the protection of World Heritage; *Article 17 of the World Heritage Convention.*
- l) give assistance to international fund-raising campaigns organized for the World Heritage Fund; *Article 18 of the World Heritage Convention.*
- m) use educational and information programmes to strengthen appreciation and respect by their peoples of the cultural and natural heritage defined in Articles 1 and 2 of the *Convention*, and to keep the public informed of the dangers threatening this heritage; *Article 27 of the World Heritage Convention.*
- (n) provide information to the World Heritage Committee on the implementation of the *World Heritage Convention* and state of conservation of properties; and *Article 29 of the World Heritage Convention. Resolution adopted by the 11th General Assembly of States Parties (1997)*

16. States Parties are encouraged to attend sessions of the World Heritage Committee and its subsidiary bodies. Rule 8.1 of the *Rules of Procedure of the World Heritage Committee*.
- I.D The General Assembly of States Parties to the World Heritage Convention**
17. The General Assembly of States Parties to the *World Heritage Convention* meets during the sessions of the General Conference of UNESCO. The General Assembly manages its meetings according to its *Rules of Procedure*, available at the following Web address: <http://whc.unesco.org/en/garules> Article 8(1), of the *World Heritage Convention*, Rule 49 of the *Rules of Procedure of the World Heritage Committee*.
18. The General Assembly determines the uniform percentage of contributions to the World Heritage Fund applicable to all States Parties and elects members to the World Heritage Committee. Both the General Assembly and General Conference of UNESCO receive a report from the World Heritage Committee on its activities. Articles 8(1), 16(1) and 29 of the *World Heritage Convention* and Rule 49 of the *Rules of Procedure of the World Heritage Committee*.
- I.E The World Heritage Committee**
19. The World Heritage Committee is composed of 21 members and meets at least once a year (June/July). It establishes its Bureau, which meets during the sessions of the Committee as frequently as deemed necessary. The composition of the Committee and its Bureau is available at the following Web address: <http://whc.unesco.org/en/committeemembers> The World Heritage Committee can be contacted through its Secretariat, the World Heritage Centre.
20. The Committee manages its meetings according to its *Rules of Procedure*, available at the following Web address: <http://whc.unesco.org/committeerules>
21. The term of office of Committee members is six years but, in order to ensure equitable representation and rotation, States Parties are invited by the General Assembly to consider voluntarily reducing their term of office from six to four years and are discouraged from seeking consecutive terms of office. Article 9(1) of the *World Heritage Convention*.  
Article 8(2) of the *World Heritage Convention* and the Resolutions of the 7th (1989), 12th (1999) and 13th (2001) General Assembly of States Parties to the *World Heritage Convention*.
22. A certain number of seats may be reserved for States Parties who do not have a property on the World Heritage List, upon decision of the Committee at the session that precedes the General Assembly. Rule 14.1 of the *Rules of Procedure of the General Assembly of States Parties*.

23. Committee decisions are based on objective and scientific considerations, and any appraisal made on its behalf must be thoroughly and responsibly carried out. The Committee recognizes that such decisions depend upon:

- a) carefully prepared documentation;
- b) thorough and consistent procedures;
- c) evaluation by qualified experts; and
- d) if necessary, the use of expert referees.

24. The main functions of the Committee are, in co-operation with States Parties, to:

- a) identify, on the basis of Tentative Lists and nominations submitted by States Parties, cultural and natural properties of outstanding universal value which are to be protected under the *Convention* and to inscribe those properties on the World Heritage List; Article 11(2) of the *World Heritage Convention*.
- b) examine the state of conservation of properties inscribed on the World Heritage List through processes of Reactive Monitoring (see Chapter IV) and Periodic Reporting (see Chapter V); Articles 11(7) and 29 of the *World Heritage Convention*.
- c) decide which properties inscribed on the World Heritage List are to be inscribed on, or removed from the List of World Heritage in Danger; Article 11(4) and 11(5) of the *World Heritage Convention*.
- d) decide whether a property should be deleted from the World Heritage List (see Chapter IV);
- e) define the procedure by which requests for International Assistance are to be considered and carry out studies and consultations as necessary before coming to a decision (see Chapter VII); Article 21(1) and 21(3) of the *World Heritage Convention*.
- f) determine how the resources of the World Heritage Fund can be used most advantageously to assist States Parties in the protection of their properties of outstanding universal value; Article 13(6) of the *World Heritage Convention*.
- g) seek ways to increase the World Heritage Fund;
- h) submit a report on its activities every two years to the General Assembly of States Parties and to the UNESCO General Conference; Article 29(3) of the *World Heritage Convention* and Rule 49 of the Rules of procedure of the World Heritage Committee.

- i) review and evaluate periodically the implementation of the *Convention*;
- j) revise and adopt the *Operational Guidelines*.

25. In order to facilitate the implementation of the *Convention*, the Committee develops Strategic Objectives; they are periodically reviewed and revised to define the goals and objectives of the Committee to ensure that new threats placed on World Heritage are addressed effectively.

The first 'Strategic Orientations' adopted by the Committee in 1992 are contained in Annex II of document WHC-92/CONF.002/12

26. The current Strategic Objectives (also referred to as "the 5 Cs") are the following:

In 2002 the World Heritage Committee revised its Strategic Objectives. The *Budapest Declaration on World Heritage* (2002) is available at the following Web address: <http://whc.unesco.org/en/budapestdeclaration>

1. Strengthen the **Credibility** of the World Heritage List;
2. Ensure the effective **Conservation** of World Heritage Properties;
3. Promote the development of effective **Capacity-building** in States Parties;
4. Increase public awareness, involvement and support for World Heritage through **Communication**.

5. Enhance the role of **Communities** in the implementation of the *World Heritage Convention*.

Decision 31 COM 13B

**I.F The Secretariat to the World Heritage Committee (World Heritage Centre)**

**UNESCO World Heritage Centre**  
7, place de Fontenoy  
75352 Paris 07 SP  
France  
Tel: +33 (0) 1 4568 1571  
Fax: +33 (0) 1 4568 5570  
E-mail: [wh-info@unesco.org](mailto:wh-info@unesco.org)  
www: <http://whc.unesco.org/>

27. The World Heritage Committee is assisted by a Secretariat appointed by the Director-General of UNESCO. The function of the Secretariat is currently assumed by the World Heritage Centre, established in 1992 specifically for this purpose. The Director-General designated the Director of the World Heritage Centre as Secretary to the Committee. The Secretariat assists and collaborates with the States Parties and the Advisory Bodies. The Secretariat works in close co-operation with other sectors and field offices of UNESCO.

Article 14 of the *World Heritage Convention*.

Rule 43 of *Rules of Procedure of the World Heritage Committee*.

Circular Letter 16 of 21 October 2003  
<http://whc.unesco.org/circs/circ03-16e.pdf>

28. The Secretariat's main tasks are:

- a) the organization of the meetings of the General Assembly and the Committee;

Article 14.2 of the *World Heritage Convention*.

- b) the implementation of decisions of the World Heritage Committee and resolutions of the General Assembly and reporting to them on their execution; *Article 14.2 of the World Heritage Convention and the Budapest Declaration on World Heritage (2002)*
- c) the receipt, registration, checking the completeness, archiving and transmission to the relevant Advisory Bodies of nominations to the World Heritage List;
- d) the co-ordination of studies and activities as part of the Global Strategy for a Representative, Balanced and Credible World Heritage List;
- e) the organization of Periodic Reporting and co-ordination of Reactive Monitoring;
- f) the co-ordination of International Assistance;
- g) the mobilisation of extra-budgetary resources for the conservation and management of World Heritage properties;
- h) the assistance to States Parties in the implementation of the Committee's programmes and projects; and
- i) the promotion of World Heritage and the *Convention* through the dissemination of information to States Parties, the Advisory Bodies and the general public.

**29.** These activities follow the decisions and Strategic Objectives of the Committee and the resolutions of the General Assembly of the States Parties and are conducted in close co-operation with the Advisory Bodies.

### **I.G Advisory Bodies to the World Heritage Committee**

**30.** The Advisory Bodies to the World Heritage Committee are ICCROM (the International Centre for the Study of the Preservation and Restoration of Cultural Property), ICOMOS (the International Council on Monuments and Sites), and IUCN - the World Conservation Union. *Article 8.3 of the World Heritage Convention*

**31.** The roles of the Advisory Bodies are to:

- a) advise on the implementation of the *World Heritage Convention* in the field of their expertise; *Article 13.7 of the World Heritage Convention.*
- b) assist the Secretariat, in the preparation of the Committee's documentation, the agenda of its meetings and the implementation of the Committee's decisions;

- c) assist with the development and implementation of the Global Strategy for a Representative, Balanced and Credible World Heritage List, the Global Training Strategy, Periodic Reporting, and the strengthening of the effective use of the World Heritage Fund;
- d) monitor the state of conservation of World Heritage properties and review requests for International Assistance; Article 14.2 of the *World Heritage Convention*.
- e) in the case of ICOMOS and IUCN evaluate properties nominated for inscription on the World Heritage List and present evaluation reports to the Committee; and
- f) attend meetings of the World Heritage Committee and the Bureau in an advisory capacity. Article 8.3 of the *World Heritage Convention*.

### ICCROM

- 32.** ICCROM (the International Centre for the Study of the Preservation and Restoration of Cultural Property) is an international intergovernmental organization with headquarters in Rome, Italy. Established by UNESCO in 1956, ICCROM's statutory functions are to carry out research, documentation, technical assistance, training and public awareness programmes to strengthen conservation of immovable and moveable cultural heritage. **ICCROM**  
Via di S. Michele, 13  
I-00153 Rome, Italy  
Tel : +39 06 585531  
Fax: +39 06 5855 3349  
Email: [icrom@icrom.org](mailto:icrom@icrom.org)  
<http://www.icrom.org/>
- 33.** The specific role of ICCROM in relation to the *Convention* includes: being the priority partner in training for cultural heritage, monitoring the state of conservation of World Heritage cultural properties, reviewing requests for International Assistance submitted by States Parties, and providing input and support for capacity-building activities.

### ICOMOS

- 34.** ICOMOS (the International Council on Monuments and Sites) is a non-governmental organization with headquarters in Paris, France. Founded in 1965, its role is to promote the application of theory, methodology and scientific techniques to the conservation of the architectural and archaeological heritage. Its work is based on the principles of the 1964 International Charter on the Conservation and Restoration of Monuments and Sites (the Venice Charter). **ICOMOS**  
49-51, rue de la Fédération  
75015 Paris, France  
Tel : +33 (0)1 45 67 67 70  
Fax : +33 (0)1 45 66 06 22  
E-mail: [secretariat@icomos.org](mailto:secretariat@icomos.org)  
<http://www.icomos.org/>
- 35.** The specific role of ICOMOS in relation to the *Convention*

includes: evaluation of properties nominated for inscription on the World Heritage List, monitoring the state of conservation of World Heritage cultural properties, reviewing requests for International Assistance submitted by States Parties, and providing input and support for capacity-building activities.

## IUCN

- 36.** IUCN – The World Conservation Union (formely the International Union for the Conservation of Nature and Natural Resources) was founded in 1948 and brings together national governments, NGOs, and scientists in a worldwide partnership. Its mission is to influence, encourage and assist societies throughout the world to conserve the integrity and diversity of nature and to ensure that any use of natural resources is equitable and ecologically sustainable. IUCN has its headquarters in Gland, Switzerland.

### **IUCN - The World Conservation Union**

rue Mauverney 28  
CH-1196 Gland, Switzerland  
Tel: + 41 22 999 0001  
Fax: +41 22 999 0010  
E-Mail: [mail@hq.iucn.org](mailto:mail@hq.iucn.org)  
<http://www.iucn.org>

- 37.** The specific role of IUCN in relation to the *Convention* includes: evaluation of properties nominated for inscription on the World Heritage List, monitoring the state of conservation of World Heritage natural properties, reviewing requests for International Assistance submitted by States Parties, and providing input and support for capacity-building activities.

## **I.H Other organizations**

- 38.** The Committee may call on other international and non-governmental organizations with appropriate competence and expertise to assist in the implementation of the programmes and projects.

## **I.I Partners in the protection of World Heritage**

- 39.** A partnership approach to nomination, management and monitoring provides a significant contribution to the protection of World Heritage properties and the implementation of the *Convention*.

- 40.** Partners in the protection and conservation of World Heritage can be those individuals and other stakeholders, especially local communities, governmental, non-governmental and private organizations and owners who have an interest and involvement in the conservation and management of a World Heritage property.

## **I.J Other Conventions, Recommendations and Programmes**

- 41.** The World Heritage Committee recognizes the benefits of closer co-ordination of its work with other UNESCO

42. The World Heritage Committee with the support of the Secretariat will ensure appropriate co-ordination and information-sharing between the *World Heritage Convention* and other Conventions, programmes and international organizations related to the conservation of cultural and natural heritage.
43. The Committee may invite representatives of the intergovernmental bodies under related Conventions to attend its meetings as observers. It may appoint a representative to observe meetings of the other intergovernmental bodies upon receipt of an invitation.
44. **Selected global Conventions and programmes relating to the protection of cultural and natural heritage**

#### **UNESCO Conventions and Programmes**

*Convention for the Protection of Cultural Property in the Event of Armed Conflict (1954)*

*Protocol I (1954)*

*Protocol II (1999)*

[http://www.unesco.org/culture/laws/hague/html\\_eng/page1.shtml](http://www.unesco.org/culture/laws/hague/html_eng/page1.shtml)

*Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property (1970)*

[http://www.unesco.org/culture/laws/1970/html\\_eng/page1.shtml](http://www.unesco.org/culture/laws/1970/html_eng/page1.shtml)

*Convention concerning the Protection of the World Cultural and Natural Heritage (1972)*

[http://www.unesco.org/whc/world\\_he.htm](http://www.unesco.org/whc/world_he.htm)

*Convention on the Protection of the Underwater Cultural Heritage (2001)*

[http://www.unesco.org/culture/laws/underwater/html\\_eng/convention.shtml](http://www.unesco.org/culture/laws/underwater/html_eng/convention.shtml)

*Convention for the Safeguarding of the Intangible Cultural Heritage (2003)*

<http://unesdoc.unesco.org/images/0013/001325/132540e.pdf>

*Man and the Biosphere (MAB) Programme*

<http://www.unesco.org/mab/>

#### **Other Conventions**

*Convention on Wetlands of International Importance especially as Waterfowl Habitat (Ramsar) (1971)*

[http://www.ramsar.org/key\\_conv\\_e.htm](http://www.ramsar.org/key_conv_e.htm)



*Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) (1973)*

<http://www.cites.org/eng/disc/text.shtml>

*Convention on the Conservation of Migratory Species of Wild Animals (CMS) (1979)*

[http://www.unep-wcmc.org/cms/cms\\_conv.htm](http://www.unep-wcmc.org/cms/cms_conv.htm)

*United Nations Convention on the Law of the Sea (UNCLOS) (1982)*

[http://www.un.org/Depts/los/convention\\_agreements/texts/unclos/closindx.htm](http://www.un.org/Depts/los/convention_agreements/texts/unclos/closindx.htm)

*Convention on Biological Diversity (1992)*

<http://www.biodiv.org/convention/articles.asp>

*UNIDROIT Convention on Stolen or Illegally Exported Cultural Objects (Rome, 1995)*

<http://www.unidroit.org/english/conventions/culturalproperty/c-cult.htm>

*United Nations Framework Convention on Climate Change (New York, 1992)*

[http://unfccc.int/essential\\_background/convention/background/items/1350.php](http://unfccc.int/essential_background/convention/background/items/1350.php)

## II. THE WORLD HERITAGE LIST

### II.A Definition of World Heritage

#### Cultural and Natural Heritage

45. Cultural and natural heritage are defined in Articles 1 and 2 of the *World Heritage Convention*.

#### Article 1

*For the purposes of this Convention, the following shall be considered as "cultural heritage";*

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

#### Article 2

*For the purposes of this Convention, the following shall be considered as "natural heritage":*

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

#### Mixed Cultural and Natural Heritage

46. Properties shall be considered as "mixed cultural and natural heritage" if they satisfy a part or the whole of the definitions

of both cultural and natural heritage laid out in Articles 1 and 2 of the *Convention*.

### Cultural landscapes

47. Cultural landscapes are cultural properties and represent the "combined works of nature and of man" designated in Article 1 of the *Convention*. They are illustrative of the evolution of human society and settlement over time, under the influence of the physical constraints and/or opportunities presented by their natural environment and of successive social, economic and cultural forces, both external and internal. Annex 3

### Movable Heritage

48. Nominations of immovable heritage which are likely to become movable will not be considered.

### Outstanding universal value

49. Outstanding universal value means cultural and/or natural significance which is so exceptional as to transcend national boundaries and to be of common importance for present and future generations of all humanity. As such, the permanent protection of this heritage is of the highest importance to the international community as a whole. The Committee defines the criteria for the inscription of properties on the World Heritage List.
50. States Parties are invited to submit nominations of properties of cultural and/or natural value considered to be of "outstanding universal value" for inscription on the World Heritage List.
51. At the time of inscription of a property on the World Heritage List, the Committee adopts a Statement of Outstanding Universal Value (see paragraph 154) which will be the key reference for the future effective protection and management of the property.
52. The *Convention* is not intended to ensure the protection of all properties of great interest, importance or value, but only for a select list of the most outstanding of these from an international viewpoint. It is not to be assumed that a property of national and/or regional importance will automatically be inscribed on the World Heritage List.
53. Nominations presented to the Committee shall demonstrate the full commitment of the State Party to preserve the heritage concerned, within its means. Such commitment shall take the

form of appropriate policy, legal, scientific, technical, administrative and financial measures adopted and proposed to protect the property and its outstanding universal value.

## **II.B A Representative, Balanced and Credible World Heritage List**

- 54.** The Committee seeks to establish a representative, balanced and credible World Heritage List in conformity with the four Strategic Objectives adopted by the Committee at its 26th session (Budapest, 2002).

*Budapest Declaration on World Heritage* (2002) at [http://whc.unesco.org/en/budapest\\_declaration](http://whc.unesco.org/en/budapest_declaration)

### The Global Strategy for a Representative, Balanced and Credible World Heritage List

- 55.** The Global Strategy for a Representative, Balanced and Credible World Heritage List is designed to identify and fill the major gaps in the World Heritage List. It does this by encouraging more countries to become States Parties to the *Convention* and to develop Tentative Lists as defined in paragraph 62 and nominations of properties for inscription on the World Heritage List (see <http://whc.unesco.org/en/globalstrategy>)

The report of the Expert Meeting on the "Global Strategy" and thematic studies for a representative World Heritage List (20-22 June 1994) was adopted by the World Heritage Committee at its 18th session (Phuket, 1994).

The Global Strategy was initially developed with reference to cultural heritage. At the request of the World Heritage Committee, the Global Strategy was subsequently expanded to also include reference to natural heritage and combined cultural and natural heritage.

- 56.** States Parties and the Advisory Bodies are encouraged to participate in the implementation of the Global Strategy in cooperation with the Secretariat and other partners. Regional and thematic Global Strategy meetings and comparative and thematic studies are organized for this purpose. The results of these meetings and studies are available to assist States Parties in preparing Tentative Lists and nominations. The reports of the expert meetings and studies presented to the World Heritage Committee are available at the following Web address: <http://whc.unesco.org/en/globalstrategy>
- 57.** All efforts should be made to maintain a reasonable balance between cultural and natural heritage on the World Heritage List.
- 58.** No formal limit is imposed on the total number of properties to be inscribed on the World Heritage List.

### Other measures

- 59.** To promote the establishment of a representative, balanced

Resolution adopted by the 12th

and credible World Heritage List, States Parties are requested to consider whether their heritage is already well represented on the List and if so to slow down their rate of submission of further nominations by:

General Assembly of States Parties (1999).

- a) spacing voluntarily their nominations according to conditions that they will define, and/or;
- b) proposing only properties falling into categories still under-represented, and/or;
- c) linking each of their nominations with a nomination presented by a State Party whose heritage is under-represented; or
- d) deciding, on a voluntary basis, to suspend the presentation of new nominations.

**60.** States Parties whose heritage of outstanding universal value is under-represented on the World Heritage List are requested to:

Resolution adopted by the 12th General Assembly of States Parties (1999).

- a) give priority to the preparation of their Tentative Lists and nominations;
- b) initiate and consolidate partnerships at the regional level based on the exchange of technical expertise;
- c) encourage bilateral and multilateral co-operation so as to increase their expertise and the technical capacities of institutions in charge of the protection, safeguarding and management of their heritage; and,
- d) participate, as much as possible, in the sessions of the World Heritage Committee.

**61.** The Committee has decided to apply the following mechanism:

Decisions 24 COM VI.2.3.3, 28 COM 13.1 and 7 EXT.COM 4B.1  
**29 COM 18A**  
**31 COM 10**

- a) examine up to two complete nominations per State Party, provided that at least one of such nominations concerns a natural property, nevertheless, on an experimental basis of 4 years, leaving to the State Party the decision on the nature of the nomination, whether natural or cultural, as per its national priorities, its history and geography and,
- b) set at 45 the annual limit on the number of nominations it will review, inclusive of nominations deferred and referred by previous sessions of the Committee, extensions (except minor modifications of limits of the property), transboundary and serial

nominations,

- c) the following order of priorities will be applied in case the overall annual limit of 45 nominations is exceeded:
- i) nominations of properties submitted by States Parties with no properties inscribed on the List;
  - ii) nominations of properties submitted by States Parties having up to 3 properties inscribed on the List;
  - iii) nominations of properties that have been previously excluded due to the annual limit of 45 nominations and the application of these priorities;
  - iv) nominations of properties for natural heritage;
  - v) nominations of properties for mixed heritage;
  - vi) nominations of transboundary/transnational properties;
  - vii) nominations from States Parties in Africa, the Pacific and the Caribbean;
  - viii) nominations of properties submitted by States Parties having ratified the *World Heritage Convention* during the last ten years;
  - ix) nominations of properties submitted by States Parties that have not submitted nominations for ten years or more;
  - x) when applying this priority system, date of receipt of full and complete nominations by the World Heritage Centre shall be used as a secondary factor to determine the priority between those nominations that would not be designated by the previous points.
- d) the States Parties co-authors of a transboundary or transnational serial nomination can choose, amongst themselves and with a common understanding, the State Party which will be bearing this nomination; and this nomination can be registered exclusively within the ceiling of the bearing State Party.

The impact of this decision will be evaluated at the Committee's 35th session (2011).

## II.C Tentative Lists

### Procedure and Format

- 62.** A Tentative List is an inventory of those properties situated on its territory which each State Party considers suitable for inscription on the World Heritage List. States Parties should therefore include, in their Tentative Lists, the names of those properties which they consider to be cultural and/or natural heritage of outstanding universal value and which they intend to nominate during the following years. Articles 1, 2 and 11(1) of the *World Heritage Convention*.
- 63.** Nominations to the World Heritage List are not considered unless the nominated property has already been included on the State Party's Tentative List. Decision 24COM para.VI.2.3.2
- 64.** States Parties are encouraged to prepare their Tentative Lists with the participation of a wide variety of stakeholders, including site managers, local and regional governments, local communities, NGOs and other interested parties and partners.
- 65.** States Parties shall submit Tentative Lists to the Secretariat, preferably at least one year prior to the submission of any nomination. States Parties are encouraged to re-examine and re-submit their Tentative List at least every ten years.
- 66.** States Parties are requested to submit their Tentative Lists in English or French using the standard format in Annex 2, containing the name of the properties, their geographical location, a brief description of the properties, and justification of their outstanding universal value.
- 67.** The original duly signed version of the completed Tentative List shall be submitted by the State Party, to:
- UNESCO World Heritage Centre**  
7, place de Fontenoy  
75352 Paris 07 SP  
France  
Tel: +33 (0) 1 4568 1136  
E-mail: wh-tentativelists@unesco.org
- 68.** If all information has been provided, the Tentative List will be registered by the Secretariat and transmitted to the relevant Advisory Bodies for information. A summary of all Tentative Lists is presented annually to the Committee. The Secretariat, in consultation with the States Parties concerned, updates its Decision 7 EXT.COM 4A

records, in particular by removing from the Tentative Lists the inscribed properties and nominated properties which were not inscribed.

69. The Tentative Lists of States Parties are available at the following Web address: <http://whc.unesco.org/en/tentativelists> Decision 27 COM 8A

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

70. Tentative Lists are a useful and important planning tool for States Parties, the World Heritage Committee, the Secretariat, and the Advisory Bodies, as they provide an indication of future nominations.

71. States Parties are encouraged to consult the analyses of both the World Heritage List and Tentative Lists prepared at the request of the Committee by ICOMOS and IUCN to identify the gaps in the World Heritage List. These analyses could enable States Parties to compare themes, regions, geo-cultural groupings and bio-geographic provinces for prospective World Heritage properties.
- Decision 24 COM para. VI.2.3.2(ii)  
Documents WHC-04/28.COM/13.B I and II  
<http://whc.unesco.org/archive/2004/whc04-28com-13b1e.pdf>  
and  
<http://whc.unesco.org/archive/2004/whc04-28com-13b2e.pdf>

72. In addition, States Parties are encouraged to consult the specific thematic studies carried out by the Advisory Bodies (see paragraph 147). These studies are informed by a review of the Tentative Lists submitted by States Parties and by reports of meetings on the harmonization of Tentative Lists, as well as by other technical studies performed by the Advisory Bodies and qualified organizations and individuals. A list of those studies already completed is available at the following Web address: <http://whc.unesco.org/en/globalstrategy>
- Thematic studies are different than the comparative analysis to be prepared by States Parties when nominating properties for inscription in the World Heritage List (see paragraph 132).

73. States Parties are encouraged to harmonize their Tentative Lists at regional and thematic levels. Harmonization of Tentative Lists is the process whereby States Parties, with the assistance of the Advisory Bodies, collectively assess their respective Tentative List to review gaps and identify common themes. The outcome of harmonization can result in improved Tentative Lists, new nominations from States Parties and co-operation amongst groups of States Parties in the preparation of nominations.

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

74. To implement the Global Strategy, cooperative efforts in capacity-building and training may be necessary to assist States Parties to acquire and/or consolidate their expertise in the preparation, updating and harmonisation of their Tentative List and the preparation of nominations.



75. International Assistance may be requested by States Parties for the purpose of preparing, updating and harmonizing Tentative Lists (see Chapter VII).

76. The Advisory Bodies and the Secretariat will use the opportunity of evaluation missions to hold regional training workshops to assist under-represented States in the methods of preparation of their Tentative List and nominations.

Decision 24COM VI.2.3.5(ii)

## II.D Criteria for the assessment of outstanding universal value

These criteria were formerly presented as two separate sets of criteria - criteria (i) - (vi) for cultural heritage and (i) - (iv) for natural heritage. The 6th extraordinary session of the World Heritage Committee decided to merge the ten criteria (Decision 6 EXT.COM 5.1)

77. The Committee considers a property as having outstanding universal value (see paragraphs 49-53) if the property meets one or more of the following criteria. Nominated properties shall therefore :

- (i) represent a masterpiece of human creative genius;
- (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;
- (iii) bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared;
- (iv) be an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history;
- (v) be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;
- (vi) be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance. (The Committee considers that this criterion should preferably be used in conjunction with other criteria) ;
- (vii) contain superlative natural phenomena or areas of exceptional natural beauty and aesthetic importance;

- (viii) be outstanding examples representing major stages of earth's history, including the record of life, significant on-going geological processes in the development of landforms, or significant geomorphic or physiographic features;
- (ix) be outstanding examples representing significant on-going ecological and biological processes in the evolution and development of terrestrial, fresh water, coastal and marine ecosystems and communities of plants and animals;
- (x) contain the most important and significant natural habitats for in-situ conservation of biological diversity, including those containing threatened species of outstanding universal value from the point of view of science or conservation.

**78.** To be deemed of outstanding universal value, a property must also meet the conditions of integrity and/or authenticity and must have an adequate protection and management system to ensure its safeguarding.

## **II.E Integrity and/or authenticity**

### Authenticity

- 79.** Properties nominated under criteria (i) to (vi) must meet the conditions of authenticity. Annex 4 which includes the Nara Document on Authenticity, provides a practical basis for examining the authenticity of such properties and is summarized below.
- 80.** The ability to understand the value attributed to the heritage depends on the degree to which information sources about this value may be understood as credible or truthful. Knowledge and understanding of these sources of information, in relation to original and subsequent characteristics of the cultural heritage, and their meaning, are the requisite bases for assessing all aspects of authenticity.
- 81.** Judgments about value attributed to cultural heritage, as well as the credibility of related information sources, may differ from culture to culture, and even within the same culture. The respect due to all cultures requires that cultural heritage must be considered and judged primarily within the cultural contexts to which it belongs.
- 82.** Depending on the type of cultural heritage, and its cultural context, properties may be understood to meet the conditions of authenticity if their cultural values (as recognized in the

nomination criteria proposed) are truthfully and credibly expressed through a variety of attributes including:

- form and design;
- materials and substance;
- use and function;
- traditions, techniques and management systems;
- location and setting;
- language, and other forms of intangible heritage;
- spirit and feeling; and
- other internal and external factors.

- 83.** Attributes such as spirit and feeling do not lend themselves easily to practical applications of the conditions of authenticity, but nevertheless are important indicators of character and sense of place, for example, in communities maintaining tradition and cultural continuity.
- 84.** The use of all these sources permits elaboration of the specific artistic, historic, social, and scientific dimensions of the cultural heritage being examined. "Information sources" are defined as all physical, written, oral, and figurative sources, which make it possible to know the nature, specificities, meaning, and history of the cultural heritage.
- 85.** When the conditions of authenticity are considered in preparing a nomination for a property, the State Party should first identify all of the applicable significant attributes of authenticity. The statement of authenticity should assess the degree to which authenticity is present in, or expressed by, each of these significant attributes.
- 86.** In relation to authenticity, the reconstruction of archaeological remains or historic buildings or districts is justifiable only in exceptional circumstances. Reconstruction is acceptable only on the basis of complete and detailed documentation and to no extent on conjecture.

#### Integrity

- 87.** All properties nominated for inscription on the World Heritage List shall satisfy the conditions of integrity.

Decision 20 COM IX.13

- 88.** Integrity is a measure of the wholeness and intactness of the natural and/or cultural heritage and its attributes. Examining the conditions of integrity, therefore requires assessing the extent to which the property:
- a) includes all elements necessary to express its outstanding universal value;
  - b) is of adequate size to ensure the complete representation of the features and processes which convey the property's significance;
  - c) suffers from adverse effects of development and/or neglect.

This should be presented in a statement of integrity.

- 89.** For properties nominated under criteria (i) to (vi), the physical fabric of the property and/or its significant features should be in good condition, and the impact of deterioration processes controlled. A significant proportion of the elements necessary to convey the totality of the value conveyed by the property should be included. Relationships and dynamic functions present in cultural landscapes, historic towns or other living properties essential to their distinctive character should also be maintained.
- 90.** For all properties nominated under criteria (vii) - (x), bio-physical processes and landform features should be relatively intact. However, it is recognized that no area is totally pristine and that all natural areas are in a dynamic state, and to some extent involve contact with people. Human activities, including those of traditional societies and local communities, often occur in natural areas. These activities may be consistent with the outstanding universal value of the area where they are ecologically sustainable.
- 91.** In addition, for properties nominated under criteria (vii) to (x), a corresponding condition of integrity has been defined for each criterion.
- 92.** Properties proposed under criterion (vii) should be of outstanding universal value and include areas that are essential for maintaining the beauty of the property. For example, a property whose scenic value depends on a waterfall, would meet the conditions of integrity if it includes adjacent catchment and downstream areas that are integrally linked to the maintenance of the aesthetic qualities of the property.

Examples of the application of the conditions of integrity to properties nominated under criteria (i) - (vi) are under development.

- 93.** Properties proposed under criterion (viii) should contain all or most of the key interrelated and interdependent elements in their natural relationships. For example, an "ice age" area would meet the conditions of integrity if it includes the snow field, the glacier itself and samples of cutting patterns, deposition and colonization (e.g. striations, moraines, pioneer stages of plant succession, etc.); in the case of volcanoes, the magmatic series should be complete and all or most of the varieties of effusive rocks and types of eruptions be represented.
- 94.** Properties proposed under criterion (ix) should have sufficient size and contain the necessary elements to demonstrate the key aspects of processes that are essential for the long term conservation of the ecosystems and the biological diversity they contain. For example, an area of tropical rain forest would meet the conditions of integrity if it includes a certain amount of variation in elevation above sea level, changes in topography and soil types, patch systems and naturally regenerating patches; similarly a coral reef should include, for example, seagrass, mangrove or other adjacent ecosystems that regulate nutrient and sediment inputs into the reef.

95. Properties proposed under criterion (x) should be the most important properties for the conservation of biological diversity. Only those properties which are the most biologically diverse and/or representative are likely to meet this criterion. The properties should contain habitats for maintaining the most diverse fauna and flora characteristic of the bio-geographic province and ecosystems under consideration. For example, a tropical savannah would meet the conditions of integrity if it includes a complete assemblage of co-evolved herbivores and plants; an island ecosystem should include habitats for maintaining endemic biota; a property containing wide ranging species should be large enough to include the most critical habitats essential to ensure the survival of viable populations of those species; for an area containing migratory species, seasonal breeding and nesting sites, and migratory routes, wherever they are located, should be adequately protected.

## **II.F Protection and management**

96. Protection and management of World Heritage properties should ensure that the outstanding universal value, the conditions of integrity and/or authenticity at the time of inscription are maintained or enhanced in the future.
97. All properties inscribed on the World Heritage List must have adequate long-term legislative, regulatory, institutional and/or traditional protection and management to ensure their safeguarding. This protection should include adequately delineated boundaries. Similarly States Parties should demonstrate adequate protection at the national, regional, municipal, and/or traditional level for the nominated property. They should append appropriate texts to the nomination with a clear explanation of the way this protection operates to protect the property.

### Legislative, regulatory and contractual measures for protection

98. Legislative and regulatory measures at national and local levels should assure the survival of the property and its protection against development and change that might negatively impact the outstanding universal value, or the integrity and/or authenticity of the property. States Parties should also assure the full and effective implementation of such measures.

### Boundaries for effective protection

99. The delineation of boundaries is an essential requirement in

the establishment of effective protection of nominated properties. Boundaries should be drawn to ensure the full expression of the outstanding universal value and the integrity and/or authenticity of the property.

- 100.** For properties nominated under criteria (i) - (vi), boundaries should be drawn to include all those areas and attributes which are a direct tangible expression of the outstanding universal value of the property, as well as those areas which in the light of future research possibilities offer potential to contribute to and enhance such understanding.
- 101.** For properties nominated under criteria (vii) - (x), boundaries should reflect the spatial requirements of habitats, species, processes or phenomena that provide the basis for their inscription on the World Heritage List. The boundaries should include sufficient areas immediately adjacent to the area of outstanding universal value in order to protect the property's heritage values from direct effect of human encroachments and impacts of resource use outside of the nominated area.
- 102.** The boundaries of the nominated property may coincide with one or more existing or proposed protected areas, such as national parks or nature reserves, biosphere reserves or protected historic districts. While such established areas for protection may contain several management zones, only some of those zones may satisfy criteria for inscription.

#### Buffer zones

- 103.** Wherever necessary for the proper conservation of the property, an adequate buffer zone should be provided.
- 104.** For the purposes of effective protection of the nominated property, a buffer zone is an area surrounding the nominated property which has complementary legal and/or customary restrictions placed on its use and development to give an added layer of protection to the property. This should include the immediate setting of the nominated property, important views and other areas or attributes that are functionally important as a support to the property and its protection. The area constituting the buffer zone should be determined in each case through appropriate mechanisms. Details on the size, characteristics and authorized uses of a buffer zone, as well as a map indicating the precise boundaries of the property and its buffer zone, should be provided in the nomination.
- 105.** A clear explanation of how the buffer zone protects the property should also be provided.
- 106.** Where no buffer zone is proposed, the nomination should

include a statement as to why a buffer zone is not required.

- 107.** Although buffer zones are not normally part of the nominated property, any modifications to the buffer zone subsequent to inscription of a property on the World Heritage List should be approved by the World Heritage Committee.

#### Management systems

- 108.** Each nominated property should have an appropriate management plan or other documented management system which should specify how the outstanding universal value of a property should be preserved, preferably through participatory means.
- 109.** The purpose of a management system is to ensure the effective protection of the nominated property for present and future generations.
- 110.** An effective management system depends on the type, characteristics and needs of the nominated property and its cultural and natural context. Management systems may vary according to different cultural perspectives, the resources available and other factors. They may incorporate traditional practices, existing urban or regional planning instruments, and other planning control mechanisms, both formal and informal.
- 111.** In recognizing the diversity mentioned above, common elements of an effective management system could include:
- a) a thorough shared understanding of the property by all stakeholders;
  - b) a cycle of planning, implementation, monitoring, evaluation and feedback;
  - c) the involvement of partners and stakeholders;
  - d) the allocation of necessary resources;
  - e) capacity-building; and
  - f) an accountable, transparent description of how the management system functions.
- 112.** Effective management involves a cycle of long-term and day-to-day actions to protect, conserve and present the nominated property.
- 113.** Moreover, in the context of the implementation of the



*Convention*, the World Heritage Committee has established a process of Reactive Monitoring (see Chapter IV) and a process of Periodic Reporting (see Chapter V).

- 114.** In the case of serial properties, a management system or mechanisms for ensuring the co-ordinated management of the separate components are essential and should be documented in the nomination (see paragraphs 137-139).
- 115.** In some circumstances, a management plan or other management system may not be in place at the time when a property is nominated for the consideration of the World Heritage Committee. The State Party concerned should then indicate when such a management plan or system would be put in place, and how it proposes to mobilize the resources required for the preparation and implementation of the new management plan or system. The State Party should also provide other document(s) (e.g. operational plans) which will guide the management of the site until such time when a management plan is finalized.
- 116.** Where the intrinsic qualities of a property nominated are threatened by action of man and yet meet the criteria and the conditions of authenticity or integrity set out in paragraphs 78-95, an action plan outlining the corrective measures required should be submitted with the nomination file. Should the corrective measures submitted by the nominating State Party not be taken within the time proposed by the State Party, the property will be considered by the Committee for delisting in accordance with the procedure adopted by the Committee (see Chapter IV.C).
- 117.** States Parties are responsible for implementing effective management activities for a World Heritage property. State Parties should do so in close collaboration with property managers, the agency with management authority and other partners, and stakeholders in property management.
- 118.** The Committee recommends that States Parties include risk preparedness as an element in their World Heritage site management plans and training strategies.

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### Sustainable use

- 119.** World Heritage properties may support a variety of ongoing and proposed uses that are ecologically and culturally sustainable. The State Party and partners must ensure that such sustainable use does not adversely impact the outstanding universal value, integrity and/or authenticity of the property. Furthermore, any uses should be ecologically and culturally sustainable. For some properties, human use would not be appropriate.

### **III. PROCESS FOR THE INSCRIPTION OF PROPERTIES ON THE WORLD HERITAGE LIST**

#### **III.A Preparation of Nominations**

- 120.** The nomination document is the primary basis on which the Committee considers the inscription of the properties on the World Heritage List. All relevant information should be included in the nomination document and it should be cross-referenced to the source of information.
- 121.** Annex 3 provides guidance to States Parties in preparing nominations of specific types of properties.
- 122.** Before States Parties begin to prepare a nomination of a property for inscription on the World Heritage List, they should become familiar with the nomination cycle, described in Paragraph 168.
- 123.** Participation of local people in the nomination process is essential to enable them to have a shared responsibility with the State Party in the maintenance of the property. States Parties are encouraged to prepare nominations with the participation of a wide variety of stakeholders, including site managers, local and regional governments, local communities, NGOs and other interested parties.
- 124.** Preparatory Assistance, as described in Chapter VII.E, may be requested by States Parties for the preparation of nominations.
- 125.** States Parties are encouraged to contact the Secretariat, which can provide assistance throughout the nomination process.
- 126.** The Secretariat can also provide:
- a) assistance in identifying appropriate maps and photographs and the national agencies from which these may be obtained;
  - b) examples of successful nominations, of management and legislative provisions;
  - c) guidance for nominating different types of properties, such as Cultural Landscapes, Towns, Canals, and Heritage Routes (see Annex 3)
  - d) guidance for nominating serial and transboundary properties (see paragraphs 134-139).
- 127.** States Parties may submit draft nominations to the Secretariat

for comment and review by **30 September** of each year (see paragraph 168). This submission of a draft nomination is voluntary.

- 128.** Nominations may be submitted **at any time during the year**, but only those nominations that are "complete" (see paragraph 132) and received by the Secretariat on or before **1 February** will be considered for inscription on the World Heritage List by the World Heritage Committee during the following year. Only nominations of properties included in the State Party's Tentative List will be examined by the Committee (see paragraph 63).

### **III.B Format and content of nominations**

- 129.** Nominations of properties for inscription on the World Heritage List should be prepared in accordance with the format set out in Annex 5.

- 130.** The format includes the following sections:

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

- 131.** Nominations to the World Heritage List are evaluated on content rather than on appearance.

- 132.** For a nomination to be considered as "**complete**", the following requirements are to be met:

1. Identification of the Property

The boundaries of the property being proposed shall be clearly defined, unambiguously distinguishing between the nominated property and any buffer zone (when present) (see paragraphs 103-107). Maps shall be sufficiently detailed to determine precisely which area of land and/or water is nominated. Officially up-to-date published topographic maps of the State Party annotated to show the property boundaries shall be provided if available. A nomination shall be considered "incomplete" if it does not include clearly defined boundaries.

2. Description of the Property

The Description of the property shall include the identification

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

The History and Development of the property shall describe how the property has reached its present form and the significant changes that it has undergone. This information shall provide the important facts needed to support and give substance to the argument that the property meets the criteria of outstanding universal value and conditions of integrity and/or authenticity.

### 3. Justification for Inscription

This section shall indicate the World Heritage criteria (see Paragraph 77) under which the property is proposed, together with a clearly stated argument for the use of each criterion. Based on the criteria, a proposed Statement of Outstanding Universal Value (see paragraphs 49-53 and 155) of the property prepared by the State Party shall make clear why the property is considered to merit inscription on the World Heritage List. A comparative analysis of the property in relation to similar properties, whether or not on the World Heritage List, both at the national and international levels, shall also be provided. The comparative analysis shall explain the importance of the nominated property in its national and international context. Statements of integrity and/or authenticity shall be included and shall demonstrate how the property satisfies the conditions outlined in paragraphs 78-95.

The comparative analyses prepared by States Parties when nominating properties for inscription in the World Heritage List should not be confused with the thematic studies prepared by the Advisory Bodies at the request of the Committee (paragraph 148 below)

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### 4. State of conservation and factors affecting the property

This section shall include accurate information on the present state of conservation of the property (including information on its physical condition of the property and conservation measures in place). It shall also include a description of the factors affecting the property (including threats). Information provided in this section constitutes the baseline data which are necessary to monitor the state of conservation of the nominated property in the future.

### 5. Protection and management

Protection: Section 5 shall include the list of the legislative, regulatory, contractual, planning, institutional and/ or traditional measures most relevant to the protection of the property and provide a detailed analysis of the way in which this protection actually operates. Legislative, regulatory,

contractual planning and/or institutional texts, or an abstract of the texts, shall also be attached in English or French.

Management: An appropriate management plan or other management system is essential and shall be provided in the nomination. Assurances of the effective implementation of the management plan or other management system are also expected.

A copy of the management plan or documentation of the management system shall be annexed to the nomination. If the management plan exists only in a language other than English or French, an English or French detailed description of its provisions shall be annexed.

A detailed analysis or explanation of the management plan or a documented management system shall be provided.

A nomination which does not include the above-mentioned documents is considered incomplete unless other documents guiding the management of the property until the finalization of the management plan are provided as outlined in paragraph 115.

## 6. Monitoring

States Parties shall include the key indicators proposed to measure and assess the state of conservation of the property, the factors affecting it, conservation measures at the property, the periodicity of their examination, and the identity of the responsible authorities.

## 7. Documentation

All necessary documentation to substantiate the nomination shall be provided. In addition to what is indicated above, this shall include photographs, 35 mm slides, image inventory and photograph authorization form. The text of the nomination shall be transmitted in printed form as well as in electronic format (Diskette or CD-Rom).

## 8. Contact Information of responsible authorities

Detailed contact information of responsible authorities shall be provided.

## 9. Signature on behalf of the State Party

The nomination shall conclude with the original signature of the official empowered to sign it on behalf of the State Party.

#### 10. Number of printed copies required

- Nominations of cultural properties (excluding cultural landscapes): 2 copies
- Nominations of natural properties: 3 copies
- Nominations of mixed properties and cultural landscapes: 4 copies

#### 11. Paper and electronic format

Nominations shall be presented on A4-size paper (or "letter"); and in electronic format (diskette or CD-ROM). At least one paper copy shall be presented in a loose-leaf format to facilitate photocopying, rather than in a bound volume.

#### 12. Sending

States Parties shall submit the nomination in English or French duly signed, to:

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

7, place de Fontenoy

75352 Paris 07 SP

France

Tel: +33 (0) 1 4568 1136

Fax: +33 (0) 1 4568 5570

E-mail: wh-nominations@unesco.org

- 133.** The Secretariat will retain all supporting documentation (maps, plans, photographic material, etc.) submitted with the nomination.

#### **III.C Requirements for the nomination of different types of properties**

##### Transboundary properties

- 134.** A nominated property may occur:
- a) on the territory of a single State Party, or
  - b) on the territory of all concerned States Parties having adjacent borders (transboundary property).
- 135.** Wherever possible, transboundary nominations should be prepared and submitted by States Parties jointly in conformity with Article 11.3 of the *Convention*. It is highly recommended that the States Parties concerned establish a joint management committee or similar body to oversee the management of the

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whole of a transboundary property.

- 136.** Extensions to an existing World Heritage property located in one State Party may be proposed to become transboundary properties.

Serial properties

- 137.** Serial properties will include component parts related because they belong to:

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

and provided it is the series as a whole – and not necessarily the individual parts of it – which are of outstanding universal value.

- 138.** A serial nominated property may occur :

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- a) on the territory of a single State Party (serial national property); or
- b) within the territory of different States Parties, which need not be contiguous and is nominated with the consent of all States Parties concerned (serial transnational property)

- 139.** Serial nominations, whether from one State Party or multiple States, may be submitted for evaluation over several nomination cycles, provided that the first property nominated is of outstanding universal value in its own right. States Parties planning serial nominations phased over several nomination cycles are encouraged to inform the Committee of their intention in order to ensure better planning.

**III.D Registration of nominations**

- 140.** On receipt of nominations from States Parties, the Secretariat will acknowledge receipt, check for completeness and register nominations. The Secretariat will forward complete nominations to the relevant Advisory Bodies for evaluation. The Secretariat will request any additional information from the State Party and when required by Advisory Bodies. The timetable for registration and processing of nominations is detailed in paragraph 168.



**141.** The Secretariat establishes and submits at each Committee session a list of all nominations received, including the date of reception, an indication of their status "complete" or "incomplete", as well as the date at which they are considered as "complete" in conformity with paragraph 132.

Decisions 26 COM 14 and  
28 COM 14B.57

**142.** A nomination passes through a cycle between the time of its submission and the decision by the World Heritage Committee. This cycle normally lasts one and a half years between submission in February of Year 1 and the decision of the Committee in June of Year 2.

### **III.E. Evaluation of nominations by the Advisory Bodies**

**143.** The Advisory Bodies will evaluate whether or not properties nominated by States Parties have outstanding universal value, meet the conditions of integrity and/or authenticity and meet the requirements of protection and management. The procedures and format of ICOMOS and IUCN evaluations are described in Annex 6.

**144.** Evaluations of cultural heritage nominations will be carried out by ICOMOS.

**145.** Evaluations of natural heritage nominations will be carried out by IUCN.

**146.** In the case of nominations of cultural properties in the category of 'cultural landscapes', as appropriate, the evaluation will be carried out by ICOMOS in consultation with IUCN. For mixed properties, the evaluation will be carried out jointly by ICOMOS and IUCN.

**147.** As requested by the World Heritage Committee or as necessary, ICOMOS and IUCN will carry out **thematic studies** to evaluate proposed World Heritage properties in their regional, global or thematic context. These studies should be informed by a review of the Tentative Lists submitted by States Parties and by reports of meetings on the harmonization of Tentative Lists, as well as by other technical studies performed by the Advisory Bodies and qualified organizations and individuals. A list of those studies already completed may be found in section III of Annex 3, and on the Web addresses of the Advisory Bodies. These studies should not be confused with the **comparative analysis** to be prepared by States Parties in nominating properties for inscription on the World Heritage List (see paragraph 132).

#### **ICOMOS:**

<http://www.icomos.org/studies/>

#### **IUCN:**

<http://www.iucn.org/themes/wcpa/pubs/Worldheritage.htm>

**148.** The following principles must guide the evaluations and presentations of ICOMOS and IUCN. The evaluations and presentations should:

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14B.57.3

- a) adhere to the *World Heritage Convention* and the relevant *Operational Guidelines* and any additional policies set out by the Committee in its decisions;
- b) be objective, rigorous and scientific in their evaluations;
- c) be conducted to a consistent standard of professionalism;
- d) comply to standard format, both for evaluations and presentations, to be agreed with the Secretariat and include the name of the evaluator(s) who conducted the site visit;
- d) indicate clearly and separately whether the property has outstanding universal value, meets the conditions of integrity and/or authenticity, a management plan/system and legislative protection;
- f) evaluate each property systematically according to all relevant criteria, including its state of conservation, relatively, that is, by comparison with that of other properties of the same type, both inside and outside the State Party's territory;
- g) include references to Committee decisions and requests concerning the nomination under consideration;
- h) not take into account or include any information submitted by the State Party **after 28 February, as evidenced by the postmark,** in the year in which the nomination is considered. The State Party should be informed when information has arrived after the deadline and is not being taken into account in the evaluation. This deadline should be rigorously enforced; and
- i) provide a justification for their views through a list of references (literature) consulted, as appropriate.

Decision 30 COM 13.13

- 149.** The Advisory Bodies are requested to forward to States Parties by **31 January** of each year any final question or request for information that they may have after the examination of their evaluation.

Decision 7 EXT.COM 4B.1

- 150.** The concerned States Parties are invited to send, at least two working days before the opening of the session of the Committee, a letter to the Chairperson, with copies to the Advisory Bodies, detailing the factual errors they might have identified in the evaluation of their nomination made by the Advisory Bodies. This letter will be distributed in the working languages to the members of the Committee and may be read by the Chairperson following the presentation of the evaluation.
- 151.** ICOMOS and IUCN make their recommendations under three categories:
- a) properties which are **recommended for inscription** without reservation;
  - b) properties which are **not recommended** for inscription;
  - c) nominations which are recommended for **referral** or **deferral**.

### **III.F Withdrawal of nominations**

- 152.** A State Party may **withdraw** a nomination it has submitted at any time prior to the Committee session at which it is scheduled to be examined. The State Party should inform the Secretariat in writing of its intention to withdraw the nomination. If the State Party so wishes it can resubmit a nomination for the property, which will be considered as a new nomination according to the procedures and timetable outlined in paragraph 168.

### **III.G Decision of the World Heritage Committee**

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

#### Inscription

- 154.** When deciding to inscribe a property on the World Heritage List, the Committee, guided by the Advisory Bodies, adopts a Statement of Outstanding Universal Value for the property.
- 155.** The Statement of Outstanding Universal Value should include a summary of the Committee's determination that the property has outstanding universal value, identifying the criteria under which the property was inscribed, including the assessments of the conditions of integrity or authenticity, and of the requirements for protection and management in force. The Statement of Outstanding Universal Value shall be the basis for the future protection and management of the property.

- 156.** At the time of inscription, the Committee may also make other recommendations concerning the protection and management of the World Heritage property.
- 157.** The Statement of Outstanding Universal Value (including the criteria for which a specific property is inscribed on the World Heritage List) will be set out by the Committee in its reports and publications.

#### Decision not to inscribe

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

#### Referral of Nominations

- 159.** Nominations which the Committee decides **to refer** back to the State Party for additional information may be resubmitted to the following Committee session for examination. The additional information shall be submitted to the Secretariat by **1 February** of the year in which examination by the Committee is desired. The Secretariat will immediately transmit it to the relevant Advisory Bodies for evaluation. A referred nomination which is not presented to the Committee within three years of the original Committee decision will be considered as a new nomination when it is resubmitted for examination, following the procedures and timetable outlined in paragraph 168.

#### Deferral of Nominations

- 160.** The Committee may decide **to defer** a nomination for more in-depth assessment or study, or a substantial revision by the State Party. Should the State Party decide to resubmit the deferred nomination, it shall be resubmitted to the Secretariat by **1 February**. These nominations will then be reevaluated by the relevant Advisory Bodies during the course of the full year and a half evaluation cycle according to the procedures and timetable outlined in paragraph 168.

### **III.H Nominations to be processed on an emergency basis**

- 161.** The normal timetable and definition of completeness for the submission and processing of nominations will not apply in the case of properties which, in the opinion of the relevant Advisory Bodies, would **unquestionably** meet the criteria for inscription on the World Heritage List and which have suffered damage or

face serious and specific dangers from natural events or human activities. Such nominations will be processed on an emergency basis and may be inscribed simultaneously on the World Heritage List and on the List of World Heritage in Danger (see paragraphs 177-191).

- 162.** The procedure for nominations to be processed on an emergency basis is as follows:
- a) A State Party presents a nomination with the request for processing on an emergency basis. The State Party shall have already included, or immediately include, the property on its Tentative List.
  - b) The nomination shall:
    - i) describe and identify the property;
    - ii) justify its outstanding universal value according to the criteria;
    - iii) justify its integrity and/or authenticity;
    - iv) describe its protection and management system;
    - v) describe the nature of the emergency, including the nature and extent of the damage or danger and showing that immediate action by the Committee is necessary for the survival of the property.
  - c) The Secretariat immediately transmits the nomination to the relevant Advisory Bodies, requesting an assessment of its outstanding universal value, and of the nature of the emergency, damage and/or danger. A field visit may be necessary if the relevant Advisory Bodies consider it appropriate;
  - d) If the relevant Advisory Bodies determine that the property **unquestionably** meets the criteria for inscription, and that the requirements (see a) above) are satisfied, the examination of the nomination will be added to the agenda of the next session of the Committee.
  - e) When reviewing the nomination the Committee will also consider:
    - i) inscription on the List of World Heritage in Danger;
    - ii) allocation of International Assistance to complete the nomination; and
    - iii) follow-up missions as necessary by the Secretariat and the relevant Advisory Bodies as soon as possible after inscription.

### **III.I Modifications to the boundaries, to the criteria used to justify inscription or to the name of a World Heritage property**

#### Minor modifications to the boundaries

- 163.** A minor modification is one which has not a significant impact on the extent of the property nor affects its outstanding universal value.
- 164.** If a State Party wishes to request a minor modification to the boundaries of a property already on the World Heritage List, it shall submit this by **1 February** to the Committee through the Secretariat, which will seek the advice of the relevant Advisory Bodies. The Committee can approve such modification, or it may consider that the modification to the boundary is sufficiently important to constitute an extension of the property, in which case the procedure for new nominations will apply.

#### Significant modifications to the boundaries

- 165.** If a State Party wishes to significantly modify the boundary of a property already on the World Heritage List, the State Party shall submit this proposal as if it were a new nomination. This re-nomination shall be presented by **1 February** and will be evaluated in the full year and a half cycle of evaluation according to the procedures and timetable outlined in paragraph 168. This provision applies to extensions, as well as reductions.

#### Modifications to the criteria used to justify inscription on the World Heritage List

- 166.** Where a State Party wishes to have the property inscribed under additional or different criteria other than those used for the original inscription, it shall submit this request as if it were a new nomination. This re-nomination shall be presented by **1 February** and will be evaluated in the full year and a half cycle of evaluation according to the procedures and timetable outlined in paragraph 168. Properties recommended will only be evaluated under the new criteria and will remain on the World Heritage List even if unsuccessful in having additional criteria recognized.

#### Modification to the name of a World Heritage property

- 167.** A State Party may request that the Committee authorize a modification to the name of a property already inscribed on the World Heritage List. A request for a modification to the name shall be received by the Secretariat **at least 3 months prior to**

the meeting of the Committee.

### III.J Timetable – overview

#### 168. TIMETABLE

##### 30 September (before Year 1)

##### 15 November (before Year 1)

##### 1 February Year 1

##### 1 February – 1 March Year 1

##### 1 March Year 1

##### March Year 1 – May Year 2

#### PROCEDURES

Voluntary deadline for receipt of draft nominations from States Parties by the Secretariat.

Secretariat to respond to the nominating State Party concerning the completeness of the draft nomination, and, if incomplete, to indicate the missing information required to make the nomination complete.

Deadline by which complete nominations must be received by the Secretariat to be transmitted to the relevant Advisory Bodies for evaluation.

Nominations shall be received by 17h00 GMT, or, if the date falls on a weekend by 17h00 GMT the preceding Friday.

Nominations received after this date will be examined in a future cycle.

Registration, assessment of completeness and transmission to the relevant Advisory Bodies.

The Secretariat registers each nomination, acknowledges receipt to the nominating State Party and inventories its contents. The Secretariat will inform the nominating State Party whether or not the nomination is complete.

Nominations that are not complete (see paragraph 132) will not be transmitted to the relevant Advisory Bodies for evaluation. If a nomination is incomplete, the State Party concerned will be advised of information required to complete the nomination by the deadline of 1 February of the following year in order for the nomination to be examined in a future cycle.

Nominations that are complete are transmitted to the relevant Advisory Bodies for evaluation.

Deadline by which the Secretariat informs the State Party of the receipt of a Nomination, whether it is considered complete and whether it has been received by 1 February.

Evaluation by the Advisory Bodies

**31 January Year 2**

If necessary, the relevant Advisory Bodies may request States Parties to submit additional information during the evaluation and no later than 31 January Year 2.

**28 February Year 2**

Deadline by which additional information requested by the relevant Advisory Bodies shall be submitted by the State Party to them via the Secretariat.

Additional information shall be submitted in the same number of copies and electronic formats as specified in Paragraph 132 to the Secretariat. To avoid confusing new and old texts, if the additional information submitted concerns changes to the main text of the nomination, the State Party shall submit these changes in an amended version of the original text. The changes shall be clearly identified. An electronic version (CD-ROM or diskette) of this new text shall accompany the paper version.

**Six weeks prior to the annual World Heritage Committee session Year 2**

The relevant Advisory Bodies deliver their evaluations and recommendations to the Secretariat for transmission to the World Heritage Committee as well as to States Parties.

**At least two working days before the opening of the annual World Heritage Committee session Year 2**

Correction of factual errors by States Parties

The concerned States Parties can send, at least two working days before the opening of the session of the Committee, a letter to the Chairperson, with copies to the Advisory Bodies, detailing the factual errors they might have identified in the evaluation of their nomination made by the Advisory Bodies.

**Annual session of the World Heritage Committee (June/July) Year 2**

The Committee examines the nominations and makes its decisions.

**Immediately following the annual session of the World Heritage Committee**

Notification to the States Parties

The Secretariat notifies all States Parties whose nominations have been examined by the Committee of the relevant decisions of the Committee.

Following the decision of the World Heritage Committee to inscribe a property on the World Heritage List, the Secretariat writes to the State Party and site managers providing a map of the area inscribed and the Statement of Outstanding Universal Value (to include reference to the criteria met).

**Immediately following the annual session of the World Heritage Committee**

The Secretariat publishes the updated World Heritage List every year following the annual session of the



Committee.

The name of the States Parties having nominated the properties inscribed on the World Heritage List are presented in the published form of the List under the following heading: "Contracting State having submitted the nomination of the property in accordance with the *Convention*".

**In the month following the closure of the annual session of the World Heritage Committee**

The Secretariat forwards the published report of all the decisions of the World Heritage Committee to all States Parties.

## IV. PROCESS FOR MONITORING THE STATE OF CONSERVATION OF WORLD HERITAGE PROPERTIES

### IV.A Reactive Monitoring

#### Definition of Reactive Monitoring

- 169.** Reactive Monitoring is the reporting by the Secretariat, other sectors of UNESCO and the Advisory Bodies to the Committee on the state of conservation of specific World Heritage properties that are under threat. To this end, the States Parties shall submit by **1 February** to the Committee through the Secretariat, specific reports and impact studies each time exceptional circumstances occur or work is undertaken which may have an effect on the state of conservation of the property. Reactive Monitoring is also foreseen in reference to properties inscribed, or to be inscribed, on the List of World Heritage in Danger as set out in paragraphs 177-191. Reactive Monitoring is foreseen in the procedures for the eventual deletion of properties from the World Heritage List as set out in paragraphs 192-198.

#### Objective of Reactive Monitoring

- 170.** When adopting the process of Reactive Monitoring, the Committee was particularly concerned that all possible measures should be taken to prevent the deletion of any property from the List and was ready to offer technical co-operation as far as possible to States Parties in this connection.
- 171.** The Committee recommends that States Parties co-operate with the Advisory Bodies which have been asked by the Committee to carry out monitoring and reporting on its behalf on the progress of work undertaken for the preservation of properties inscribed on the World Heritage List.

Article 4 of the *Convention*:

*"Each State Party to this Convention recognizes that the duty of ensuring the identification, protection, conservation, presentation and transmission to future generations of the cultural and natural heritage referred to in Articles 1 and 2 and situated on its territory, belongs primarily to that State..."*

#### Information received from States Parties and/or other sources

- 172.** The World Heritage Committee invites the States Parties to the *Convention* to inform the Committee, through the Secretariat, of their intention to undertake or to authorize in an area protected under the *Convention* major restorations or new constructions which may affect the outstanding universal value of the property. Notice should be given as soon as possible (for instance, before drafting basic

documents for specific projects) and before making any decisions that would be difficult to reverse, so that the Committee may assist in seeking appropriate solutions to ensure that the outstanding universal value of the property is fully preserved.

- 173.** The World Heritage Committee requests that reports of missions to review the state of conservation of the World Heritage properties include: Decision 27 COM 7B.106.2
- a) an indication of threats or significant improvement in the conservation of the property since the last report to the World Heritage Committee;
  - b) any follow-up to previous decisions of the World Heritage Committee on the state of conservation of the property;
  - c) information on any threat or damage to or loss of outstanding universal value, integrity and/or authenticity for which the property was inscribed on the World Heritage List.

- 174.** When the Secretariat receives information that a property inscribed has seriously deteriorated, or that the necessary corrective measures have not been taken within the time proposed, from a source other than the State Party concerned, it will, as far as possible, verify the source and the contents of the information in consultation with the State Party concerned and request its comments.

Decision by the World Heritage Committee

- 175.** The Secretariat will request the relevant Advisory Bodies to forward comments on the information received.
- 176.** The information received, together with the comments of the State Party and the Advisory Bodies, will be brought to the attention of the Committee in the form of a state of conservation report for each property, which may take one or more of the following steps:
- a) it may decide that the property has not seriously deteriorated and that no further action should be taken;
  - b) when the Committee considers that the property has seriously deteriorated, but not to the extent that its restoration is impossible, it may decide that the property be maintained on the List, provided that the State Party takes the necessary measures to restore the property within a reasonable period of time. The

Committee may also decide that technical co-operation be provided under the World Heritage Fund for work connected with the restoration of the property, proposing to the State Party to request such assistance, if it has not already been done;

- c) when the requirements and criteria set out in paragraphs 177-182 are met, the Committee may decide to inscribe the property on the List of World Heritage in Danger according to the procedures set out in paragraphs 183-189;
- d) when there is evidence that the property has deteriorated to the point where it has irretrievably lost those characteristics which determined its inscription on the List, the Committee may decide to delete the property from the List. Before any such action is taken, the Secretariat will inform the State Party concerned. Any comments which the State Party may make will be brought to the attention of the Committee;
- e) when the information available is not sufficient to enable the Committee to take one of the measures described in a), b), c) or d) above, the Committee may decide that the Secretariat be authorized to take the necessary action to ascertain, in consultation with the State Party concerned, the present condition of the property, the dangers to the property and the feasibility of adequately restoring the property, and to report to the Committee on the results of its action; such measures may include the sending of a fact-finding or the consultation of specialists. In cases where emergency action is required, the Committee may authorize the financing from the World Heritage Fund of the Emergency Assistance that is required.

#### **IV.B The List of World Heritage in Danger**

##### Guidelines for the inscription of properties on the List of World Heritage in Danger

- 177.** In accordance with Article 11, paragraph 4, of the *Convention*, the Committee may inscribe a property on the List of World Heritage in Danger when the following requirements are met:
- a) the property under consideration is on the World Heritage List;
  - b) the property is threatened by serious and specific danger;
  - c) major operations are necessary for the conservation of

the property;

- d) assistance under the *Convention* has been requested for the property; the Committee is of the view that its assistance in certain cases may most effectively be limited to messages of its concern, including the message sent by inscription of a property on the List of World Heritage in Danger and that such assistance may be requested by any Committee member or the Secretariat.

Criteria for the inscription of properties on the List of World Heritage in Danger

**178.** A World Heritage property - as defined in Articles 1 and 2 of the *Convention* - can be inscribed on the List of World Heritage in Danger by the Committee when it finds that the condition of the property corresponds to at least one of the criteria in either of the two cases described below.

**179.** In the case of **cultural properties**:

- a) ASCERTAINED DANGER - The property is faced with specific and proven imminent danger, such as:
  - i) serious deterioration of materials;
  - ii) serious deterioration of structure and/or ornamental features;
  - iii) serious deterioration of architectural or town-planning coherence;
  - iv) serious deterioration of urban or rural space, or the natural environment;
  - v) significant loss of historical authenticity;
  - vi) important loss of cultural significance.

- b) POTENTIAL DANGER - The property is faced with threats which could have deleterious effects on its inherent characteristics. Such threats are, for example:
- i) modification of juridical status of the property diminishing the degree of its protection;
  - ii) lack of conservation policy;
  - iii) threatening effects of regional planning projects;
  - iv) threatening effects of town planning;
  - v) outbreak or threat of armed conflict;
  - vi) gradual changes due to geological, climatic or other environmental factors.

**180.** In the case of natural properties:

- a) ASCERTAINED DANGER - The property is faced with specific and proven imminent danger, such as:
- i) A serious decline in the population of the endangered species or the other species of outstanding universal value for which the property was legally established to protect, either by natural factors such as disease or by man-made factors such as poaching.
  - ii) Severe deterioration of the natural beauty or scientific value of the property, as by human settlement, construction of reservoirs which flood important parts of the property, industrial and agricultural development including use of pesticides and fertilizers, major public works, mining, pollution, logging, firewood collection, etc.
  - iii) Human encroachment on boundaries or in upstream areas which threaten the integrity of the property.
- b) POTENTIAL DANGER - The property is faced with major threats which could have deleterious effects on its inherent characteristics. Such threats are, for example:
- i) a modification of the legal protective status of the area;
  - ii) planned resettlement or development projects

within the property or so situated that the impacts threaten the property;

- iii) outbreak or threat of armed conflict;
- iv) the management plan or management system is lacking or inadequate, or not fully implemented.

**181.** In addition, the factor or factors which are threatening the integrity of the property must be those which are amenable to correction by human action. In the case of cultural properties, both natural factors and man-made factors may be threatening, while in the case of natural properties, most threats will be man-made and only very rarely a natural factor (such as an epidemic disease) will threaten the integrity of the property. In some cases, the factors threatening the integrity of a property may be corrected by administrative or legislative action, such as the cancelling of a major public works project or the improvement of legal status.

**182.** The Committee may wish to bear in mind the following supplementary factors when considering the inclusion of a cultural or natural property in the List of World Heritage in Danger:

- a) Decisions which affect World Heritage properties are taken by Governments after balancing all factors. The advice of the World Heritage Committee can often be decisive if it can be given before the property becomes threatened.
- b) Particularly in the case of ascertained danger, the physical or cultural deteriorations to which a property has been subjected should be judged according to the intensity of its effects and analyzed case by case.
- c) Above all in the case of potential danger to a property, one should consider that:
  - i) the threat should be appraised according to the normal evolution of the social and economic framework in which the property is situated;
  - ii) it is often impossible to assess certain threats - such as the threat of armed conflict - as to their effect on cultural or natural properties;
  - iii) some threats are not imminent in nature, but can only be anticipated, such as demographic growth.
- d) Finally, in its appraisal the Committee should take into

account any cause of unknown or unexpected origin which endangers a cultural or natural property.

Procedure for the inscription of properties on the List of World Heritage in Danger

- 183.** When considering the inscription of a property on the List of World Heritage in Danger, the Committee shall develop, and adopt, as far as possible, in consultation with the State Party concerned, a programme for corrective measures.
- 184.** In order to develop the programme of corrective measures referred to in the previous paragraph, the Committee shall request the Secretariat to ascertain, as far as possible in co-operation with the State Party concerned, the present condition of the property, the dangers to the property and the feasibility of undertaking corrective measures. The Committee may further decide to send a mission of qualified observers from the relevant Advisory Bodies or other organizations to visit the property, evaluate the nature and extent of the threats and propose the measures to be taken.
- 185.** The information received, together with the comments as appropriate of the State Party and the relevant Advisory Bodies or other organizations, will be brought to the attention of the Committee by the Secretariat.
- 186.** The Committee shall examine the information available and take a decision concerning the inscription of the property on the List of World Heritage in Danger. Any such decision shall be taken by a majority of two-thirds of the Committee members present and voting. The Committee will then define the programme of corrective action to be taken. This programme will be proposed to the State Party concerned for immediate implementation.
- 187.** The State Party concerned shall be informed of the Committee's decision and public notice of the decision shall immediately be issued by the Committee, in accordance with Article 11.4 of the *Convention*.
- 188.** The Secretariat publishes the updated List of World Heritage in Danger in printed form and is also available at the following Web address: <http://whc.unesco.org/en/danger>
- 189.** The Committee shall allocate a specific, significant portion of the World Heritage Fund to financing of possible assistance to World Heritage properties inscribed on the List of World Heritage in Danger.

Regular review of the state of conservation of properties on the List of World Heritage in Danger



- 190.** The Committee shall review annually the state of conservation of properties on the List of World Heritage in Danger. This review shall include such monitoring procedures and expert missions as might be determined necessary by the Committee.
- 191.** On the basis of these regular reviews, the Committee shall decide, in consultation with the State Party concerned, whether:
- a) additional measures are required to conserve the property;
  - b) to delete the property from the List of World Heritage in Danger if the property is no longer under threat;
  - c) to consider the deletion of the property from both the List of World Heritage in Danger and the World Heritage List if the property has deteriorated to the extent that it has lost those characteristics which determined its inscription on the World Heritage List, in accordance with the procedure set out in paragraphs 192-198.

#### **IV.C Procedure for the eventual deletion of properties from the World Heritage List**

- 192.** The Committee adopted the following procedure for the deletion of properties from the World Heritage List in cases:
- a) where the property has deteriorated to the extent that it has lost those characteristics which determined its inclusion in the World Heritage List; and
  - b) where the intrinsic qualities of a World Heritage site were already threatened at the time of its nomination by action of man and where the necessary corrective measures as outlined by the State Party at the time, have not been taken within the time proposed (see paragraph 116).
- 193.** When a property inscribed on the World Heritage List has seriously deteriorated, or when the necessary corrective measures have not been taken within the time proposed, the State Party on whose territory the property is situated should so inform the Secretariat.
- 194.** When the Secretariat receives such information from a source other than the State Party concerned, it will, as far as possible, verify the source and the contents of the information in consultation with the State Party concerned and request its comments.

- 195.** The Secretariat will request the relevant Advisory Bodies to forward comments on the information received.
- 196.** The Committee will examine all the information available and will take a decision. Any such decision shall, in accordance with Article 13 (8) of the *Convention*, be taken by a majority of two-thirds of its members present and voting. The Committee shall not decide to delete any property unless the State Party has been consulted on the question.
- 197.** The State Party shall be informed of the Committee's decision and public notice of this decision shall be immediately given by the Committee.
- 198.** If the Committee's decision entails any modification to the World Heritage List, this modification will be reflected in the next updated List that is published.

## V. PERIODIC REPORTING ON THE IMPLEMENTATION OF THE WORLD HERITAGE CONVENTION

### V.A Objectives

- 199.** States Parties are requested to submit reports to the UNESCO General Conference through the World Heritage Committee on the legislative and administrative provisions they have adopted and other actions which they have taken for the application of the *Convention*, including the state of conservation of the World Heritage properties located on their territories.
- Article 29 of the *World Heritage Convention* and Resolutions of the 11th session of the General Assembly of States Parties (1997) and the 29<sup>th</sup> session of the UNESCO General Conference.
- 200.** States Parties may request expert advice from the Advisory Bodies and the Secretariat, which may also (with agreement of the States Parties concerned) commission further expert advice.
- 201.** Periodic Reporting serves four main purposes:
- a) to provide an assessment of the application of the *World Heritage Convention* by the State Party;
  - b) to provide an assessment as to whether the outstanding universal value of the properties inscribed on the World Heritage List is being maintained over time;
  - c) to provide up-dated information about the World Heritage properties to record the changing circumstances and state of conservation of the properties;
  - d) to provide a mechanism for regional co-operation and exchange of information and experiences between States Parties concerning the implementation of the *Convention* and World Heritage conservation.
- 202.** Periodic Reporting is important for more effective long term conservation of the properties inscribed, as well as to strengthen the credibility of the implementation of the *Convention*.

### V.B. Procedure and Format

- 203.** World Heritage Committee:
- Decision 22 COM VI.7
- a) adopted the Format and Explanatory Notes set out in Annex 7;
  - b) invited States Parties to submit periodic reports every

six years;

- c) decided to examine the States Parties' periodic reports region by region according to the following table:

Region	Examination of properties inscribed up to and including	Year of Examination by Committee
Arab States	1992	December 2000
Africa	1993	December 2001/July 2002
Asia and the Pacific	1994	June-July 2003
Latin America and the Caribbean	1995	June-July 2004
Europe and North America	1996/1997	June-July 2005/2006

- d) requested the Secretariat, jointly with the Advisory Bodies, and making use of States Parties, competent institutions and expertise available within the region, to develop regional strategies for the periodic reporting process as per the timetable established under c) above.

**204.** The above-mentioned regional strategies should respond to specific characteristics of the regions and should promote coordination and synchronization between States Parties, particularly in the case of transboundary properties. The Secretariat will consult States Parties with regard to the development and implementation of those regional strategies.

**205.** After the first six-year cycle of periodic reports, each region will be assessed again in the same order as indicated in the table above. Following the first six-year cycle, there may be a pause for evaluation to assess and revise the periodic reporting mechanism before a new cycle is initiated.

**206.** The Format for the periodic reports by the States Parties consists of two sections:

- a) **Section I** refers to the legislative and administrative provisions which the State Party has adopted and other actions which it has taken for the application of the *Convention*, together with details of the experience acquired in this field. This particularly concerns the general obligations defined in specific articles of the *Convention*.

This Format was adopted by the Committee at its 22nd session (Kyoto 1998) and may be revised following the completion of the first cycle of Periodic Reporting in 2006. For this reason, the Format has not been revised.

- b) **Section II** refers to the state of conservation of specific World Heritage properties located on the territory of the State Party concerned. This Section should be completed for each World Heritage property.

Explanatory Notes are provided with the Format in Annex 7.

- 207.** In order to facilitate management of information, States Parties are requested to submit reports, in English or French, in electronic as well as in printed form to :

**UNESCO World Heritage Centre**

7, place de Fontenoy

75352 Paris 07 SP

France

Tél: +33 (0)1 45 68 15 71

Fax: +33 (0)1 45 68 55 70

Email: [wh-info@unesco.org](mailto:wh-info@unesco.org)

**V.C Evaluation and Follow Up**

- 208.** The Secretariat consolidates national reports into Regional State of the World Heritage reports, which are available in electronic format at the following Web address <http://whc.unesco.org/en/publications> and in paper version (series World Heritage Papers).
- 209.** The World Heritage Committee carefully reviews issues raised in Periodic Reports and advises the States Parties of the regions concerned on matters arising from them.
- 210.** The Committee requested the Secretariat with the Advisory Bodies, in consultation with the relevant States Parties, to develop long-term follow-up Regional Programmes structured according to its Strategic Objectives and to submit them for its consideration. These should accurately reflect the needs of World Heritage in the Region and facilitate the granting of International Assistance. The Committee also expressed its support to ensure direct links between the Strategic Objectives and the International Assistance.

## **VI. ENCOURAGING SUPPORT FOR *THE WORLD HERITAGE CONVENTION***

### **VI.A Objectives**

Article 27 of the *World Heritage Convention*

**211.** The objectives are:

- a) to enhance capacity-building and research;
- b) to raise the general public's awareness, understanding and appreciation of the need to preserve cultural and natural heritage;
- c) to enhance the function of World Heritage in the life of the community; and
- d) to increase the participation of local and national populations in the protection and presentation of heritage.

Article 5(a) of the *World Heritage Convention*

### **VI.B Capacity-building and research**

**212.** The Committee seeks to develop capacity-building within the States Parties in conformity with its Strategic Objectives.

Budapest Declaration on World Heritage (2002)

#### The Global Training Strategy

**213.** Recognizing the high level of skills and multidisciplinary approach necessary for the protection, conservation, and presentation of the World Heritage, the Committee has adopted a Global Training Strategy for World Cultural and Natural Heritage. The primary goal of the Global Training Strategy is to ensure that necessary skills are developed by a wide range of actors for better implementation of the *Convention*. In order to avoid overlap and effectively implement the Strategy, the Committee will ensure links to other initiatives such as the Global Strategy for a Representative, Balanced and Credible World Heritage List and Periodic Reporting. The Committee will annually review relevant training issues, assess training needs, review annual reports on training initiatives, and make recommendations for future training initiatives.

Global Training Strategy for World Cultural and Natural Heritage adopted by the World Heritage Committee at its 25th session (Helsinki, Finland, 2001) (see ANNEX X of document WHC-01/CONF.208/24).

#### National training strategies and regional co-operation

**214.** States Parties are encouraged to ensure that their professionals and specialists at all levels are adequately trained. To this end, States Parties are encouraged to develop national training strategies and include regional co-operation for training as part of their strategies.

### Research

- 215.** The Committee develops and coordinates international co-operation in the area of research needed for the effective implementation of the *Convention*. States Parties are also encouraged to make resources available to undertake research, since knowledge and understanding are fundamental to the identification, management, and monitoring of World Heritage properties.

### International Assistance

- 216.** Training and Research Assistance may be requested by States Parties from the World Heritage Fund (see Chapter VII).

## **VI.C Awareness-raising and education**

### Awareness-raising

- 217.** States Parties are encouraged to raise awareness of the need to preserve World Heritage. In particular, they should ensure that World Heritage status is adequately marked and promoted on-site.
- 218.** The Secretariat provides assistance to States Parties in developing activities aimed at raising public awareness of the *Convention* and informing the public of the dangers threatening World Heritage. The Secretariat advises States Parties regarding the preparation and implementation of on-site promotional and educational projects to be funded through International Assistance. The Advisory Bodies and appropriate State agencies may also be solicited to provide advice on such projects.

### Education

- 219.** The World Heritage Committee encourages and supports the development of educational materials, activities and programmes.

### International Assistance

- 220.** States Parties are encouraged to develop educational activities related to World Heritage with, wherever possible, the participation of schools, universities, museums and other local and national educational authorities.

Article 27.2 of the *World Heritage Convention*

- 221.** The Secretariat, in co-operation with the UNESCO Education Sector and other partners, produces and publishes a World Heritage Educational Resource Kit, "World Heritage in Young Hands", for use in secondary schools around the world. The Kit is adaptable for use at other educational levels.
- "World Heritage in Young Hands" is available at the following Web address  
<http://whc.unesco.org/education/index.htm>
- 222.** International Assistance may be requested by States Parties from the World Heritage Fund for the purpose of developing and implementing awareness-raising and educational activities or programmes (see Chapter VII).



## VII. THE WORLD HERITAGE FUND AND INTERNATIONAL ASSISTANCE

### VII.A The World Heritage Fund

**223.** The World Heritage Fund is a trust fund, established by the *Convention* in conformity with the provisions of the Financial Regulations of UNESCO. The resources of the Fund consist of compulsory and voluntary contributions made by States Parties to the *Convention*, and any other resources authorized by the Fund's regulations.

Article 15 of the *World Heritage Convention*.

**224.** The financial regulations for the Fund are set out in document WHC/7 available at the following Web address:  
<http://whc.unesco.org/en/financialregulations>

### VII.B. Mobilization of other technical and financial resources and partnerships in support of the *World Heritage Convention*

**225.** To the extent possible, the World Heritage Fund should be used to mobilize additional funds for International Assistance from other sources.

**226.** The Committee decided that contributions offered to the World Heritage Fund for international assistance campaigns and other UNESCO projects for any property inscribed on the World Heritage List shall be accepted and used as international assistance pursuant to Section V of the *Convention*, and in conformity with the modalities established for carrying out the campaign or project.

**227.** States Parties are invited to provide support to the *Convention* in addition to obligatory contributions paid to the World Heritage Fund. This voluntary support can be provided through additional contributions to the World Heritage Fund or direct financial and technical contributions to properties.

Article 15(3) of the *World Heritage Convention*

**228.** States Parties are encouraged to participate in international fund-raising campaigns launched by UNESCO and aimed at protecting World Heritage.

**229.** States Parties and others who anticipate making contributions towards these campaigns or other UNESCO projects for World Heritage properties are encouraged to make their contributions through the World Heritage Fund.

**230.** States Parties are encouraged to promote the establishment of national, public and private foundations or associations

Article 17 of the *World Heritage Convention*

aimed at raising funds to support World Heritage conservation efforts.

**231.** The Secretariat provides support in mobilizing financial and technical resources for World Heritage conservation. To this end, the Secretariat develops partnerships with public and private institutions in conformity with the Decisions and the Guidelines issued by the World Heritage Committee and UNESCO regulations.

**232.** The Secretariat should refer to the “Directives concerning UNESCO’s co-operation with private extra-budgetary funding sources” and “Guidelines for mobilizing private funds and criteria for selecting potential partners” to govern external fund-raising in favour of the World Heritage Fund. These documents are available at the following Web address: <http://whc.unesco.org/en/privatefunds>

"Directives concerning UNESCO's co-operation with private extra-budgetary funding sources" (Annex to the Decision 149 EX/Dec. 7.5) and "Guidelines for mobilizing private funds and criteria for selecting potential partners" (Annex to the Decision 156 EX/Dec. 9.4)

### VII.C International Assistance

**233.** The *Convention* provides International Assistance to States Parties for the protection of the world cultural and natural heritage located on their territories and inscribed, or potentially suitable for inscription on the World Heritage List. International Assistance should be seen as supplementary to national efforts for the conservation and management of World Heritage and Tentative List properties when adequate resources cannot be secured at the national level.

See Articles 13 (1&2) and 19-26 of the *World Heritage Convention*.

**234.** International Assistance is primarily financed from the World Heritage Fund, established under the World Heritage Convention. The Committee determines the budget for International Assistance on a biennial basis.

Section IV of the *World Heritage Convention*

**235.** The World Heritage Committee co-ordinates and allocates types of International Assistance in response to State Party requests. These types of International Assistance, described in the summary table set out below, in order of priority are:

Decision 30 COM 14A

- a) Emergency assistance
- b) Preparatory assistance
- c) Conservation and Management assistance (incorporating assistance for training and research, technical co-operation and promotion and education).

## VII.D Principles and priorities for International Assistance

- 236.** Priority is given to International Assistance for properties inscribed on the List of World Heritage in Danger. The Committee created a specific budget line to ensure that a significant portion of assistance from the World Heritage Fund is allocated to properties inscribed on the List of World Heritage in Danger. *Article 13(1) of the World Heritage Convention.*
- 237.** States Parties in arrears of payment of their compulsory or voluntary contributions to the World Heritage Fund are not eligible for international assistance, it being understood that this provision does not apply to requests for emergency assistance. *Decision 13 COM XII.34*
- 238.** To support its Strategic Objectives, the Committee also allocates International Assistance in conformity with the priorities set out by Regional Programmes. These Programmes are adopted as follow up to Periodic Reports and regularly reviewed by the Committee based on the needs of States Parties identified in Periodic Reports (see chapter V). *Decisions 26 COM 17.2, 26 COM 20 and 26 COM 25.3*
- 239.** In addition to the priorities outlined in paragraphs 236-238 above, the following considerations govern the Committee's decisions in granting International Assistance:
- a) the likelihood that the assistance will have a catalytic and multiplier effect (“seed money”) and promote financial and technical contributions from other sources;
  - b) when funds available are limited and a selection has to be made, preference is given to:
    - a Least Developed Country or Low Income Economy as defined by the United Nations Economic and Social Council's Committee for Development Policy, or
    - a Lower Middle Income Country as defined by the World Bank, or
    - a Small Island Developing State (SIDS), or
    - a State Party in a post-conflict situation;*Decision 31 COM 18B*
  - c) the urgency of the protective measures to be taken at World Heritage properties;
  - d) whether the legislative, administrative and, wherever possible, financial commitment of the recipient State Party is available to the activity;
  - e) the impact of the activity on furthering the Strategic *Paragraph 26 of Operational Guidelines*

Objectives decided by the Committee;

- f) the degree to which the activity responds to needs identified through the reactive monitoring process and/or the analysis of regional Periodic Reports; Decision 20 COM XII
- g) the exemplary value of the activity in respect to scientific research and the development of cost effective conservation techniques;
- h) the cost of the activity and expected results; and
- i) the educational value both for the training of experts and for the general public.

240. A balance will be maintained in the allocation of resources to activities for cultural and natural heritage. This balance is reviewed and decided upon on a regular basis by the Committee.

65% of the total International Assistance budget is set aside for cultural properties and 35% for natural properties

Decision 31 COM 18B

## VII.E Summary Table

241.

Type of international assistance	Purpose	Budget ceilings	Deadline for submission of request	Authority for approval
Emergency Assistance	This assistance may be requested to address ascertained or potential threats facing properties included on the List of World Heritage in Danger and the World Heritage List which have suffered severe damage or are in imminent danger of severe damage due to sudden, unexpected phenomena. Such phenomena may include land subsidence, extensive fires, explosions, flooding or man-made disasters including war. This assistance does not concern cases of damage or deterioration caused by gradual processes of decay, pollution or erosion. It addresses emergency situations strictly relating to the conservation of a World Heritage property (see Decision 28 COM 10B 2.c). It may be made available, if necessary, to more than one World Heritage property in a single State Party (see Decision 6 EXT. COM 15.2). The budget ceilings relate to a single World Heritage property.  The assistance may be requested to :	Up to US\$ 5.000	At any time	Director of the World Heritage Centre
		Between US\$ 5.001 and 75.000	At any time	Chairperson of the Committee
		Over US\$ 75.000	1 February	Committee
	(i) undertake emergency measures for the safeguarding of the property;			
	(ii) draw up an emergency plan for the property.			

<p><b>Preparatory assistance</b></p>	<p>This assistance may be requested to:</p> <ul style="list-style-type: none"> <li>(i) prepare or update national Tentative Lists of properties suitable for inscription on the World Heritage List;</li> <li>(ii) organize meetings for the harmonization of national Tentative Lists within the same geo-cultural area;</li> <li>(iii) prepare nominations of properties for inscription on the World Heritage List (this may include the preparation of a comparative analysis of the property in relation to other similar properties (see 3.c of Annex 5);</li> <li>(iv) prepare requests for training and research assistance and for technical co-operation for World Heritage properties.</li> </ul> <p>Requests by States Parties whose heritage in un-represented or under-represented in the World Heritage List will be given priority for preparatory assistance.</p>	<p>Up to US\$ 5.000</p> <p>Between US\$ 5.001 and 30.000</p>	<p>At any time</p> <p>At any time</p>	<p>Director of the World Heritage Centre</p> <p>Chairperson of the Committee</p>
<p><b>Conservation and Management Assistance</b> (incorporating Training and Research assistance, Technical co-operation assistance and Promotion and education assistance)</p>	<p>This assistance may be requested for:</p> <ul style="list-style-type: none"> <li>(i) the training of staff and specialists at all levels in the fields of identification, monitoring, conservation, management and presentation of World Heritage, with an emphasis on group training;</li> <li>(ii) scientific research benefiting World Heritage properties;</li> <li>(iii) studies on the scientific and technical problems of conservation, management, and presentation of World Heritage properties.</li> </ul> <p>Note: Requests for support for individual training courses from UNESCO should be submitted on the standard "Application for fellowship" form available from the Secretariat.</p> <ul style="list-style-type: none"> <li>(iv) provision of experts, technicians and skilled labour for the conservation, management, and presentation of properties inscribed on the List of World Heritage in Danger and the World Heritage List;</li> <li>(v) supply of equipment which the State Party requires for the conservation, management, and presentation of properties inscribed on the List of World Heritage in Danger and the World Heritage List;</li> <li>(vi) low-interest or interest-free loans for undertaking activities for the conservation, management, and presentation of properties inscribed on the List of World Heritage in Danger and the World Heritage List, which may be repayable on a long-term basis.</li> <li>(vii) At the regional and international levels for Programmes, activities and the holding of meetings that could: <ul style="list-style-type: none"> <li>- help to create interest in the <i>Convention</i> within the countries of a given region;</li> <li>- create a greater awareness of the different issues related to the implementation of the <i>Convention</i> to promote more active involvement in its application;</li> <li>- be a means of exchanging experiences;</li> <li>- stimulate joint education, information and promotional programmes and activities, especially when they involve the participation of young people for the benefit of World Heritage</li> </ul> </li> </ul>	<p>Only for requests falling under items (i) to (vi):</p> <p>Up to US\$ 5.000</p> <p>Between US\$ 5.001 and 30.000</p> <p>Over US\$ 30.000</p> <p>Only for requests falling under items (vii) and (viii):</p> <p>Up to US\$ 5,000</p> <p>Between US\$ 5,001 and 10,000</p>	<p>Only for requests falling under items (i) to (vi):</p> <p>At any time</p> <p>1 February</p> <p>At any time</p> <p>At any time</p>	<p>Only for requests falling under items (i) to (vi):</p> <p>Director of the World Heritage Centre</p> <p>Chairperson of the Committee</p> <p>Committee</p> <p>Director of the World Heritage Centre</p> <p>Chairperson of the Committee</p>

	<p>conservation.</p> <p>(viii) At the national level for:</p> <ul style="list-style-type: none"> <li>- meetings specifically organized to make the <i>Convention</i> better known, especially amongst young people, or for the creation of national World Heritage associations, in accordance with Article 17 of the <i>Convention</i>;</li> <li>- preparation and discussion of education and information material (such as brochures, publications, exhibitions, films, multimedia tools) for the general promotion of the <i>Convention</i> and the World Heritage List and not for the promotion of a particular property, and especially for young people.</li> </ul>			
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## VII.F Procedure and format

242. All States Parties submitting requests for international assistance are encouraged to consult the Secretariat and the Advisory Bodies during the conceptualization, planning and elaboration of each request. To facilitate States Parties' work, examples of successful international assistance requests may be provided upon request.

243. The application form for International Assistance is presented in Annex 8 and the types, amounts, deadlines for submission and the authorities responsible for approval are outlined in the summary table in Chapter VII.E.

244. The request should be submitted in English or French, duly signed and transmitted by the National Commission for UNESCO, the State Party Permanent Delegation to UNESCO and/or appropriate governmental Department or Ministry to the following address:

### UNESCO World Heritage Centre

7, place de Fontenoy

75352 Paris 07 SP

France

Tel: +33 (0) 1 4568 1276

Fax: +33 (0) 1 4568 5570

E-mail: [wh-intassistance@unesco.org](mailto:wh-intassistance@unesco.org)

245. Requests for international assistance may be submitted by electronic mail by the State Party but must be accompanied by an officially signed hard copy or be filled-in using the online format on the World Heritage Centre's Website at the following address: <http://whc.unesco.org>

246. It is important that all information requested in this application form is provided. If appropriate or necessary, requests may be supplemented by additional information, reports, etc.

### VII.G Evaluation and approval of International Assistance requests

247. Provided that a request for assistance from a State Party is complete, the Secretariat, with the assistance of the Advisory Bodies, for requests above US\$ 5,000, will process each request in a timely manner, as follows.
248. All requests for international assistance for cultural heritage are evaluated by ICOMOS and ICCROM, except requests for less than US\$ 5,000. Decision 13 COM XII.34  
Decision 31 COM 18B
249. All requests for international assistance for mixed heritage are evaluated by ICOMOS, ICCROM and IUCN, except requests for less than US\$ 5,000. Decision 31 COM 18B
250. All requests for international assistance for natural heritage are evaluated by IUCN, except requests for less than US\$ 5,000. Decision 31 COM 18B
251. The evaluation criteria used by the Advisory Bodies are outlined in Annex 9. Decision 31 COM 18B
252. All requests for International Assistance of more than US\$ 5,000 are evaluated by a panel composed of the Chairperson of the World Heritage Committee, or one vice-chairperson, representatives of the World Heritage Centre Regional Desks and the Advisory Bodies, meeting at least twice a year before action by the Chairperson and Committee. Requests for the approval of the Chairperson can be submitted at anytime to the Secretariat and approved by the Chairperson after appropriate evaluation. Decision 31 COM 18B
253. The Chairperson is not authorized to approve requests submitted by his own country. These will be examined by the Committee.
254. All requests for the approval of the Committee should be received by the Secretariat on or before **1 February**. These requests are submitted to the Committee at its next session.

### VII.H Contractual Arrangements

255. Agreements are established between UNESCO and the concerned State Party or its representative(s) for the implementation of the approved International Assistance requests in conformity with UNESCO regulations, following

the work plan and budget breakdown described in the originally approved request.

#### **VII.I Evaluation and follow-up of International Assistance**

- 256.** The monitoring and evaluation of the implementation of the International Assistance requests will take place **within 3 months** of the activities' completion. The results of these evaluations will be collated and maintained by the Secretariat in collaboration with the Advisory Bodies and examined by the Committee on a regular basis.
- 257.** The Committee reviews the implementation, evaluation and follow-up of International Assistance in order to evaluate the International Assistance effectiveness and to redefine its priorities.



## VIII. THE WORLD HERITAGE EMBLEM

### VIII.A Preamble

- 258.** At its second session (Washington, 1978), the Committee adopted the World Heritage Emblem which had been designed by Mr. Michel Olyff. This Emblem symbolizes the interdependence of cultural and natural properties: the central square is a form created by man and the circle represents nature, the two being intimately linked. The Emblem is round, like the world, but at the same time it is a symbol of protection. It symbolizes the *Convention*, signifies the adherence of States Parties to the *Convention*, and serves to identify properties inscribed in the World Heritage List. It is associated with public knowledge about the *Convention* and is the imprimatur of the *Convention's* credibility and prestige. Above all, it is a representation of the universal values for which the *Convention* stands.
- 259.** The Committee decided that the Emblem proposed by the artist could be used, in any colour or size, depending on the use, the technical possibilities and considerations of an artistic nature. The Emblem should always carry the text "WORLD HERITAGE . PATRIMOINE MONDIAL". The space occupied by "PATRIMONIO MUNDIAL" can be used for its translation into the national language of the country where the Emblem is to be used.
- 260.** In order to ensure the Emblem benefits from as much visibility as possible while preventing improper uses, the Committee at its twenty-second session (Kyoto, 1998) adopted "Guidelines and Principles for the Use of the World Heritage Emblem" as set out in the following paragraphs.
- 261.** Although there is no mention of the Emblem in the *Convention*, its use has been promoted by the Committee to identify properties protected by the *Convention* and inscribed on the World Heritage List since its adoption in 1978.
- 262.** The World Heritage Committee is responsible for determining the use of the World Heritage Emblem and for making policy prescriptions regarding how it may be used.
- 263.** As requested by the Committee at its 26th session (Budapest, 2002), the World Heritage Emblem, the "World Heritage" name and its derivatives are currently being registered under Article 6ter of the Paris Convention for the Protection of Industrial Property and are therefore protected.

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- 264.** The Emblem also has fund-raising potential that can be used to enhance the marketing value of products with which it is associated. A balance is needed between the Emblem's use to further the aims of the *Convention* and optimize knowledge of the *Convention* worldwide and the need to prevent its abuse for inaccurate, inappropriate, and unauthorized commercial or other purposes.
- 265.** The Guidelines and Principles for the Use of the Emblem and modalities for quality control should not become an obstacle to co-operation for promotional activities. Authorities responsible for reviewing and deciding on uses of the Emblem (see below) need parameters on which to base their decisions.

### **VIII.B Applicability**

- 266.** The Guidelines and Principles proposed herein cover all proposed uses of the Emblem by:
- a. The World Heritage Centre;
  - b. The UNESCO Publishing Office and other UNESCO offices;
  - c. Agencies or National Commissions, responsible for implementing the *Convention* in each State Party;
  - d. World Heritage properties;
  - e. Other contracting parties, especially those operating for predominantly commercial purposes.

### **VIII.C Responsibilities of States Parties**

- 267.** States Parties to the *Convention* should take all possible measures to prevent the use of the Emblem in their respective countries by any group or for any purpose not explicitly recognized by the Committee. States Parties are encouraged to make full use of national legislation including Trade Mark Laws.

### **VIII.D Increasing proper uses of the World Heritage Emblem**

- 268.** Properties inscribed on the World Heritage List should be marked with the emblem jointly with the UNESCO logo, which should, however, be placed in such a way that they do not visually impair the property in question.

#### Production of plaques to commemorate the inscription of properties on the World Heritage List

- 269.** Once a property is inscribed on the World Heritage List, the

State Party should place a plaque, whenever possible, to commemorate this inscription. These plaques are designed to inform the public of the country concerned and foreign visitors that the property visited has a particular value which has been recognized by the international community. In other words, the property is exceptional, of interest not only to one nation, but also to the whole world. However, these plaques have an additional function which is to inform the general public about the *World Heritage Convention* or at least about the World Heritage concept and the World Heritage List.

**270.** The Committee has adopted the following Guidelines for the production of these plaques:

- a) the plaque should be so placed that it can easily be seen by visitors, without disfiguring the property;
- b) the World Heritage Emblem should appear on the plaque;
- c) the text should mention the property's outstanding universal value; in this regard it might be useful to give a short description of the property's outstanding characteristics. States Parties may, if they wish, use the descriptions appearing in the various World Heritage publications or in the World Heritage exhibit, and which may be obtained from the Secretariat;
- d) the text should make reference to the *World Heritage Convention* and particularly to the World Heritage List and to the international recognition conferred by inscription on this List (however, it is not necessary to mention at which session of the Committee the property was inscribed); it may be appropriate to produce the text in several languages for properties which receive many foreign visitors.

**271.** The Committee proposes the following text as an example:

"(Name of property) has been inscribed upon the World Heritage List of the *Convention concerning the Protection of the World Cultural and Natural Heritage*. Inscription on this List confirms the outstanding universal value of a cultural or natural property which deserves protection for the benefit of all humanity."

**272.** This text could be then followed by a brief description of the property concerned.

**273.** Furthermore, the national authorities should encourage World Heritage properties to make a broad use of the

Emblem such as on their letterheads, brochures and staff uniforms.

274. Third parties which have received the right to produce communication products related to the *World Heritage Convention* and World Heritage properties must give the Emblem proper visibility. They should avoid creating a different Emblem or logo for that particular product.

#### **VIII.E Principles on the use of the World Heritage Emblem**

275. The responsible authorities are henceforth requested to use the following principles in making decisions on the use of the Emblem:

- a) The Emblem should be utilized for all projects substantially associated with the work of the *Convention*, including, to the maximum extent technically and legally possible, those already approved and adopted, in order to promote the *Convention*.
- b) A decision to approve use of the Emblem should be linked strongly to the quality and content of the product with which it is to be associated, not on the volume of products to be marketed or the financial return expected. The main criterion for approval should be the educational, scientific, cultural, or artistic value of the proposed product related to World Heritage principles and values. Approval should not routinely be granted to place the Emblem on products that have no, or extremely little, educational value, such as cups, T-shirts, pins, and other tourist souvenirs. Exceptions to this policy will be considered for special events, such as meetings of the Committee and ceremonies at which plaques are unveiled.
- c) Any decision with respect to authorizing the use of the Emblem must be completely unambiguous and in keeping with the explicit and implicit goals and values of the *World Heritage Convention*.
- d) Except when authorized in accordance with these principles it is not legitimate for commercial entities to use the Emblem directly on their own material to show their support for World Heritage. The Committee recognizes, however, that any individual, organization, or company is free to publish or produce whatever they consider to be appropriate regarding World Heritage properties, but official authorization to do so under the World Heritage Emblem remains the exclusive prerogative of the Committee, to be

exercised as prescribed in these Guidelines and Principles.

- e) Use of the Emblem by other contracting parties should normally only be authorized when the proposed use deals directly with World Heritage properties. Such uses may be granted after approval by the national authorities of the countries concerned.
- f) In cases where no specific World Heritage properties are involved or are not the principal focus of the proposed use, such as general seminars and/or workshops on scientific issues or conservation techniques, use may be granted only upon express approval in accordance with these Guidelines and Principles. Requests for such uses should specifically document the manner in which the proposed use is expected to enhance the work of the *Convention*.
- g) Permission to use the Emblem should not be granted to travel agencies, airlines, or to any other type of business operating for predominantly commercial purposes, except under exceptional circumstances and when manifest benefit to the World Heritage generally or particular World Heritage properties can be demonstrated. Requests for such use should require approval in accordance with these Guidelines and Principles and the concurrence of the national authorities of countries specifically concerned.

The Secretariat is not to accept any advertising, travel, or other promotional considerations from travel agencies or other, similar companies in exchange or in lieu of financial remuneration for use of the Emblem.

- h) When commercial benefits are anticipated, the Secretariat should ensure that the World Heritage Fund receives a fair share of the revenues and conclude a contract or other agreement that documents the nature of the understandings that govern the project and the arrangements for provision of income to the Fund. In all cases of commercial use, any staff time and related costs for personnel assigned by the Secretariat or other reviewers, as appropriate, to any initiative, beyond the nominal, must be fully covered by the party requesting authorization to use the Emblem.

National authorities are also called upon to ensure that their properties or the World Heritage Fund receive a fair share of the revenues and to document the nature of the understandings that govern the project and the

distribution of any proceeds.

- i) If sponsors are sought for manufacturing products whose distribution the Secretariat considers necessary, the choice of partner or partners should be consistent, at a minimum, with the criteria set forth in the "Directives concerning UNESCO's co-operation with private extra-budgetary funding sources" and "Guidelines for mobilizing private funds and criteria for selecting potential partners" and with such further fund-raising guidance as the Committee may prescribe. The necessity for such products should be clarified and justified in written presentations that will require approval in such manner as the Committee may prescribe.

"Directives concerning UNESCO's co-operation with private extra-budgetary funding sources" (Annex to the Decision 149 EX/Dec. 7.5) and "Guidelines for mobilizing private funds and criteria for selecting potential partners" (Annex to the Decision 156 EX/Dec. 9.4)

#### **VIII.F Authorization procedure for the use of the World Heritage Emblem**

##### Simple agreement of the national authorities

276. National authorities may grant the use of the Emblem to a national entity, provided that the project, whether national or international, involves only World Heritage properties located on the same national territory. National authorities' decision should be guided by the Guidelines and Principles.
277. States Parties are invited to provide the Secretariat with the names and addresses of the authorities in charge of managing the use of the Emblem.

Circular letter dated 14 April 1999  
<http://whc.unesco.org/circs/circ99-4e.pdf>

##### Agreement requiring quality control of content

278. Any other request for authorization to use the Emblem should adopt the following procedure:
  - a) A request indicating the objective of the use of the Emblem, its duration and territorial validity, should be addressed to the Director of the World Heritage Centre.
  - b) The Director of the World Heritage Centre has the authority to grant the use of the Emblem in accordance with the Guidelines and Principles. For cases not covered, or not sufficiently covered, by the Guidelines and Principles, the Director refers the matter to the Chairperson who, in the most difficult cases, might wish to refer the matter to the Committee for final decision. A yearly report on the authorized uses of the Emblem will be submitted to the World Heritage Committee.

- c) Authorization to use the Emblem in major products to be widely distributed over an undetermined period of time is conditional upon obtaining the manufacturer's commitment to consult with countries concerned and secure their endorsement of texts and images illustrating properties situated in their territory, at no cost to the Secretariat, together with the proof that this has been done. The text to be approved should be provided in either one of the official languages of the Committee or in the language of the country concerned. A draft model to be used by States Parties to authorize the use of the Emblem to third parties appears below.

Content Approval Form:

**[Name of responsible national body]**, officially identified as the body responsible for approving the content of the texts and photos relating to the World Heritage properties located in the territory of **[name of country]**, hereby confirms to **[name of producer]** that the text and the images that it has submitted for the **[name of properties]** World Heritage property(ies) are **[approved] [approved subject to the following changes requested] [are not approved]**

(delete whatever entry does not apply, and provide, as needed, a corrected copy of the text or a signed list of corrections).

Notes:

It is recommended that the initials of the responsible national official be affixed to each page of text.

The National Authorities are given one month from their acknowledged receipt in which to authorize the content, following which the producers may consider that the content has been tacitly approved, unless the responsible National Authorities request in writing a longer period.

Texts should be supplied to the National Authorities in one of the two official languages of the Committee, or in the official language (or in one of the official languages) of the country in which the properties are located, at the convenience of both parties.

- d) After having examined the request and considered it as acceptable, the Secretariat may establish an agreement with the partner.
- e) If the Director of the World Heritage Centre judges that a proposed use of the Emblem is not acceptable, the Secretariat informs the requesting party of the decision in writing.

### **VIII.G Right of States Parties to exert quality control**

- 279.** Authorization to use the Emblem is inextricably linked to the requirement that the national authorities may exert quality control over the products with which it is associated.
- a) The States Parties to the *Convention* are the only parties authorized to approve the content (images and text) of any distributed product appearing under the World Heritage Emblem with regard to the properties located in their territories.
  - b) States Parties that protect the Emblem legally must review these uses.
  - c) Other States Parties may elect to review proposed uses or refer such proposals to the Secretariat. States Parties are responsible for identifying an appropriate national authority and for informing the Secretariat whether they wish to review proposed uses or to identify uses that are inappropriate. The Secretariat maintains a list of responsible national authorities.



## **IX. INFORMATION SOURCES**

### **IX.A Information archived by the Secretariat**

- 280.** The Secretariat maintains a database of all documents of the World Heritage Committee and the General Assembly of States Parties to the *World Heritage Convention*. This database is available at the following Web address: <http://whc.unesco.org/en/statutorydoc>
- 281.** The Secretariat ensures that copies of Tentative Lists, World Heritage nominations, including copies of maps and relevant information received from States Parties are archived in hard copy and in electronic format where possible. The Secretariat also arranges for the archiving of relevant information relating to inscribed properties, including evaluations and other documents developed by the Advisory Bodies, any correspondence and reports received from States Parties (including Reactive Monitoring and Periodic Reports) and correspondence and material from the Secretariat and World Heritage Committee.
- 282.** Archived material will be kept in a form appropriate to long-term storage. Provisions will be made for the storage of paper copies and electronic copies, as relevant. Provision will be made for copies to be provided to States Parties as requested.
- 283.** Nominations of those properties inscribed on the World Heritage List by the Committee will be made available for consultation. States Parties are urged to place a copy of the nomination on their own Web addresses and inform the Secretariat of this action. States Parties preparing nominations may wish to use such information as guides for identifying and elaborating nomination of properties within their own territories.
- 284.** Advisory Body evaluations for each nomination and the decision of the Committee concerning each nomination are available at the following Web address : <http://whc.unesco.org/en/advisorybodies>

### **IX.B Specific Information for World Heritage Committee members and other States Parties**

- 285.** The Secretariat maintains two electronic mailing lists: one for Committee members ([wh-committee@unesco.org](mailto:wh-committee@unesco.org)) and one for all States Parties ([wh-states@unesco.org](mailto:wh-states@unesco.org)). States Parties are requested to supply all appropriate email addresses for the establishment of these lists. These electronic mailing

lists, which supplement but do not replace the traditional means of notifying States Parties, allow the Secretariat to communicate, in a timely manner, announcements about the availability of documents, changes to meeting schedules, and other issues relevant to Committee members and other States Parties.

- 286.** Circular letters to the States Parties are available at the following Web address:  
<http://whc.unesco.org/en/circularletters>  
Another Web address, linked to the public Web address through restricted access, is maintained by the Secretariat and contains specific information targeted at Committee members, other States Parties and Advisory Bodies.
- 287.** The Secretariat maintains also a database of decisions of the Committee and resolutions of the General Assembly of States Parties. These are available at the following Web address: <http://whc.unesco.org/en/decisions>

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### **IX.C. Information and publications available to the public**

- 288.** The Secretariat provides access to information labelled as publicly available and copyright free on World Heritage properties and other relevant matters, wherever possible.
- 289.** Information on issues related to World Heritage is available at the Secretariat's Web address (<http://whc.unesco.org>), on the Web addresses of the Advisory Bodies and in libraries. A list of databases accessible on the web and links to relevant web addresses can be found in the Bibliography.
- 290.** The Secretariat produces a wide variety of World Heritage publications, including the World Heritage List, the List of World Heritage in Danger, Brief Descriptions of World Heritage properties, World Heritage Papers series, newsletters, brochures and information kits. In addition, other information materials aimed specifically at experts and the general public are also developed. The list of World Heritage publications can be found in the Bibliography or at the following Web address:  
<http://whc.unesco.org/en/publications>.  
These information materials are distributed to the public directly or through the national and international networks established by States Parties or by World Heritage partners.



# ANNEXES





MODEL INSTRUMENT OF RATIFICATION / ACCEPTANCE



**WHEREAS** the Convention concerning the Protection of the World Cultural and Natural Heritage was adopted on 16 November 1972 by the General Conference of UNESCO at its seventeenth session;

**NOW THEREFORE** the Government of ..... having considered the aforesaid *Convention*, hereby [ratifies the same and undertake faithfully to carry out [accepts the stipulations therein contained.

**IN WITNESS WHEREOF**, I have signed and sealed this instrument.

Done at .....this .....day of .....20..... .

(Seal) *Signature of Head of State,  
Prime Minister or  
Minister of Foreign Affairs*

- The model instrument of ratification / acceptance is available from the UNESCO World Heritage Centre and at the following Web address: <http://whc.unesco.org/en/modelratification>
- The original signed version of the completed form should be sent, preferably with an official translation in English or French, to: Director-General, UNESCO, 7 place de Fontenoy, 75352 Paris 07 SP, France



MODEL INSTRUMENT OF ACCESSION



**WHEREAS** the Convention concerning the Protection of the World Cultural and Natural Heritage was adopted on 16 November 1972 by the General Conference of UNESCO at its seventeenth session;

**NOW THEREFORE** the Government of ..... having considered the aforesaid *Convention*, hereby accedes the same and undertake faithfully to carry out the stipulations therein contained.

**IN WITNESS WHEREOF**, I have signed and sealed this instrument.

Done at .....this .....day of .....20..... .

(Seal)

*Signature of Head of State,*

*Prime Minister or*

*Minister of Foreign Affairs*

- 
- The model instrument of accession is available from the UNESCO World Heritage Centre and at the following Web address: <http://whc.unesco.org/en/modelratification>
  - The original signed version of the completed form should be sent, preferably with an official translation in English or French, to: Director-General, UNESCO, 7 place de Fontenoy, 75352 Paris 07 SP, France



## TENTATIVE LIST SUBMISSION FORMAT



STATE PARTY:

DATE OF SUBMISSION:

Submission prepared by:

Name:

E-mail:

Address:

Fax:

Institution:

Telephone:

NAME OF PROPERTY:
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State, Province or Region:
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Latitude and Longitude, or UTM coordinates:
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DESCRIPTION:

**Justification of Outstanding Universal Value:**

(Preliminary identification of the values of the property which merit inscription on the World Heritage List)

**Criteria met** [see Paragraph 77 of the *Operational Guidelines*]:

(Please tick the box corresponding to the proposed criteria and justify the use of each below)

(i)	(ii)	(iii)	(iv)	(v)	(vi)	(vii)	(viii)	(ix)	(x)
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**Statements of authenticity and/or integrity** [see Paragraphs 78-95 of the *Operational Guidelines*]:**Comparison with other similar properties:**

(The comparison should outline similarities with other properties on the World Heritage List or not, and the reasons that make the property stand out)

- The Tentative List submission format is available from the UNESCO World Heritage Centre and at the following Web address: <http://whc.unesco.org/en/tentativelists>
- Further guidance on the preparation of Tentative Lists can be found in Paragraphs 62-67 of the *Operational Guidelines*.
- An example of a completed Tentative List submission format can be found at the following Web address: <http://whc.unesco.org/en/tentativelists>
- All Tentative Lists submitted by States Parties are available at the following Web address: <http://whc.unesco.org/en/tentativelists>
- The original signed version of the completed Tentative List submission format should be sent in English or French to: UNESCO World Heritage Centre, 7 place de Fontenoy, 75352 Paris 07 SP, France
- States Parties are encouraged to also submit this information in electronic format (diskette or CD-Rom) or by e-mail to [wh-tentativelists@unesco.org](mailto:wh-tentativelists@unesco.org)







## GUIDELINES ON THE INSCRIPTION OF SPECIFIC TYPES OF PROPERTIES ON THE WORLD HERITAGE LIST<sup>1</sup>



### INTRODUCTION

1. This annex provides information on specific types of properties to guide States Parties in preparing nominations of properties for inscription on the World Heritage List. The following information constitutes guidelines that should be used in association with Chapter II of the *Operational Guidelines*, which contains the criteria for inscription of properties on the World Heritage List.
2. The Committee has endorsed the findings of expert meetings on the subject of cultural landscapes, towns, canals and routes (Part I, below).
3. The reports of other expert meetings requested by the World Heritage Committee, in the framework of the Global Strategy for a representative, balanced and credible World Heritage List, are referred to in Part II.
4. Part III lists various comparative and thematic studies prepared by the Advisory Bodies.

### I. CULTURAL LANDSCAPES, TOWNS, CANALS AND ROUTES

5. The World Heritage Committee has identified and defined several specific types of cultural and natural properties and has adopted specific guidelines to facilitate the evaluation of such properties when nominated for inscription on the World Heritage List. To date, these cover the following categories, although it is likely that others may be added in due course:
  - a) Cultural Landscapes;
  - b) Historic Towns and Town Centres;
  - c) Heritage Canals;
  - d) Heritage Routes.

### CULTURAL LANDSCAPES<sup>2</sup>

#### Definition

6. Cultural landscapes are cultural properties and represent the "combined works of nature and of man" designated in Article 1 of the *Convention*. They are illustrative of the evolution of human society and settlement over time, under the influence of the physical constraints and/or opportunities presented by their natural environment and of successive social, economic and cultural forces, both external and internal.

<sup>1</sup> The Committee may develop additional guidelines for other types of properties in future years.

<sup>2</sup> This text was prepared by an Expert Group on Cultural Landscapes (La Petite Pierre, France, 24 - 26 October 1992) (see document *WHC-92/CONF.202/10/Add*). The text was subsequently approved for inclusion in the *Operational Guidelines* by the World Heritage Committee at its 16th session (Santa Fe 1992) (see document *WHC-92/CONF.002/12*).

7. They should be selected on the basis both of their outstanding universal value and of their representativity in terms of a clearly defined geo-cultural region and also for their capacity to illustrate the essential and distinct cultural elements of such regions.
8. The term "cultural landscape" embraces a diversity of manifestations of the interaction between humankind and its natural environment.
9. Cultural landscapes often reflect specific techniques of sustainable land-use, considering the characteristics and limits of the natural environment they are established in, and a specific spiritual relation to nature. Protection of cultural landscapes can contribute to modern techniques of sustainable land-use and can maintain or enhance natural values in the landscape. The continued existence of traditional forms of land-use supports biological diversity in many regions of the world. The protection of traditional cultural landscapes is therefore helpful in maintaining biological diversity.

### **Definition and Categories**

10. Cultural landscapes fall into three main categories, namely:
  - (i) The most easily identifiable is the clearly defined **landscape designed and created intentionally by man**. This embraces garden and parkland landscapes constructed for aesthetic reasons which are often (but not always) associated with religious or other monumental buildings and ensembles.
  - (ii) The second category is the **organically evolved landscape**. This results from an initial social, economic, administrative, and/or religious imperative and has developed its present form by association with and in response to its natural environment. Such landscapes reflect that process of evolution in their form and component features. They fall into two sub-categories:
    - a relict (or fossil) landscape is one in which an evolutionary process came to an end at some time in the past, either abruptly or over a period. Its significant distinguishing features are, however, still visible in material form.
    - a continuing landscape is one which retains an active social role in contemporary society closely associated with the traditional way of life, and in which the evolutionary process is still in progress. At the same time it exhibits significant material evidence of its evolution over time.
  - (iii) The final category is the **associative cultural landscape**. The inscription of such landscapes on the World Heritage List is justifiable by virtue of the powerful religious, artistic or cultural associations of the natural element rather than material cultural evidence, which may be insignificant or even absent.

### **Inscription of Cultural Landscapes on the World Heritage List**

11. The extent of a cultural landscape for inscription on the World Heritage List is relative to its functionality and intelligibility. In any case, the sample selected must be substantial enough to adequately represent the totality of the cultural landscape that it illustrates. The possibility of designating long linear areas which represent culturally significant transport and communication networks should not be excluded.

12. General criteria for protection and management are equally applicable to cultural landscapes. It is important that due attention be paid to the full range of values represented in the landscape, both cultural and natural. The nominations should be prepared in collaboration with and the full approval of local communities.
13. The existence of a category of "cultural landscape", included on the World Heritage List on the basis of the criteria set out in Paragraph 77 of the *Operational Guidelines*, does not exclude the possibility of properties of exceptional importance in relation to both cultural and natural criteria continuing to be inscribed (see definition of mixed properties as set out in Paragraph 46). In such cases, their outstanding universal value must be justified under both sets of criteria.

### **HISTORIC TOWNS AND TOWN CENTRES<sup>3</sup>**

#### **Definition and Categories**

14. Groups of urban buildings eligible for inscription on the World Heritage List fall into three main categories, namely:
  - (i) towns which are **no longer inhabited** but which provide unchanged archaeological evidence of the past; these generally satisfy the criterion of authenticity and their state of conservation can be relatively easily controlled;
  - (ii) **historic towns which are still inhabited** and which, by their very nature, have developed and will continue to develop under the influence of socio-economic and cultural change, a situation that renders the assessment of their authenticity more difficult and any conservation policy more problematical;
  - (iii) **new towns of the twentieth century** which paradoxically have something in common with both the aforementioned categories: while their original urban organization is clearly recognizable and their authenticity is undeniable, their future is unclear because their development is largely uncontrollable.

#### **Inscription of Historic Towns and Town Centres on the World Heritage List**

15. The significance of Historic Towns and Town Centres can be examined under the factors outlined below:

- (i) **Towns no longer inhabited**

The evaluation of towns that are no longer inhabited does not raise any special difficulties other than those related to archaeological properties in general: the criteria which call for uniqueness or exemplary character have led to the choice of groups of buildings noteworthy for their purity of style, for the concentrations of monuments they contain and sometimes for their important historical associations. It is important for urban archaeological sites to be listed as integral units. A cluster of monuments or a small group of buildings is not adequate to suggest the multiple and complex functions of a city which has disappeared; remains of such a city should be preserved in their entirety together with their natural surroundings whenever possible.

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<sup>3</sup> This text was included in the January 1987 version of the *Operational Guidelines* following the discussion by the Committee at its 8th session (Buenos Aires, 1984) of the conclusions of the Meeting of Experts to Consult on Historic Towns which met in Paris from 5 to 7 September 1984 organized by ICOMOS.

**(ii) Inhabited historic towns**

In the case of inhabited historic towns the difficulties are numerous, largely owing to the fragility of their urban fabric (which has in many cases been seriously disrupted since the advent of the industrial era) and the runaway speed with which their surroundings have been urbanized. To qualify for inscription, towns should compel recognition because of their architectural interest and should not be considered only on the intellectual grounds of the role they may have played in the past or their value as historical symbols under criterion (vi) for the inscription of cultural properties on the World Heritage List (see Paragraph 77 (vi) of the *Operational Guidelines*). To be eligible for inscription in the List, the spatial organization, structure, materials, forms and, where possible, functions of a group of buildings should essentially reflect the civilization or succession of civilizations which have prompted the nomination of the property. Four categories can be distinguished:

- a) Towns which are typical of a specific period or culture, which have been almost wholly preserved and which have remained largely unaffected by subsequent developments. Here the property to be listed is the entire town together with its surroundings, which must also be protected;
- b) Towns that have evolved along characteristic lines and have preserved, sometimes in the midst of exceptional natural surroundings, spatial arrangements and structures that are typical of the successive stages in their history. Here the clearly defined historic part takes precedence over the contemporary environment;
- c) "Historic centres" that cover exactly the same area as ancient towns and are now enclosed within modern cities. Here it is necessary to determine the precise limits of the property in its widest historical dimensions and to make appropriate provision for its immediate surroundings;
- d) Sectors, areas or isolated units which, even in the residual state in which they have survived, provide coherent evidence of the character of a historic town which has disappeared. In such cases surviving areas and buildings should bear sufficient testimony to the former whole.

Historic centres and historic areas should be listed only where they contain a large number of ancient buildings of monumental importance which provide a direct indication of the characteristic features of a town of exceptional interest. Nominations of several isolated and unrelated buildings which allegedly represent, in themselves, a town whose urban fabric has ceased to be discernible, should not be encouraged.

However, nominations could be made regarding properties that occupy a limited space but have had a major influence on the history of town planning. In such cases, the nomination should make it clear that it is the monumental group that is to be listed and that the town is mentioned only incidentally as the place where the property is located. Similarly, if a building of clearly outstanding universal value is located in severely degraded or insufficiently representative urban surroundings, it should, of course, be listed without any special reference to the town.

**(iii) New towns of the twentieth century**

It is difficult to assess the quality of new towns of the twentieth century. History alone will tell which of them will best serve as examples of contemporary town planning. The examination of the files on these towns should be deferred, save under exceptional circumstances.

Under present conditions, preference should be given to the inscription in the World Heritage List of small or medium-sized urban areas which are in a position to manage any potential

growth, rather than the great metropolises, on which sufficiently complete information and documentation cannot readily be provided that would serve as a satisfactory basis for their inscription in their entirety.

In view of the effects which the inscription of a town on the World Heritage List could have on its future, such entries should be exceptional. Inscription in the List implies that legislative and administrative measures have already been taken to ensure the protection of the group of buildings and its environment. Informed awareness on the part of the population concerned, without whose active participation any conservation scheme would be impractical, is also essential.

## **HERITAGE CANALS**

16. The concept of "canals" is discussed in detail in the Report of the Expert Meeting on Heritage Canals (Canada, September 1994)<sup>4</sup>.

### **Definition**

17. A canal is a human-engineered waterway. It may be of outstanding universal value from the point of view of history or technology, either intrinsically or as an exceptional example representative of this category of cultural property. The canal may be a monumental work, the defining feature of a linear cultural landscape, or an integral component of a complex cultural landscape.

### **Inscription of Heritage Canals on the World Heritage List**

18. Authenticity depends holistically upon values and the relationships between these values. One distinctive feature of the canal as a heritage element is its evolution over time. This is linked to how it was used during different periods and the associated technological changes the canal underwent. The extent of these changes may constitute a heritage element.
19. The authenticity and historical interpretation of a canal encompass the connection between the real property (subject of the *Convention*), possible movable property (boats, temporary navigation items) and the associated structures (bridges, etc) and landscape.
20. The significance of canals can be examined under technological, economic, social, and landscape factors as outlined below:

#### **(i) Technology**

Canals can serve a variety of purposes: irrigation, navigation, defence, water-power, flood mitigation, land-drainage and water-supply. The following are areas of technology which may be of significance:

- a) The lining and waterproofing of the water channel;
- b) The engineering structures of the line with reference to comparative structural features in other areas of architecture and technology;
- c) The development of the sophistication of construction methods; and
- d) The transfer of technologies.

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<sup>4</sup> Expert meeting on "Heritage Canals" (Canada, 15-19 September 1994) (see document *WHC-94/CONF.003/INF.10*) discussed by the World Heritage Committee at its 19th session (Berlin, Germany, 1995) (see document *WHC-95/CONF.203/16*).

**(ii) Economy**

Canals contribute to the economy in a variety of ways, e.g. in terms of economic development and the conveyance of goods and people. Canals were the first man-made routes for the effective carriage of bulk cargoes. Canals played and continue to play a key role in economic development through their use for irrigation. The following factors are important:

- a) Nation building;
- b) Agricultural development;
- c) Industrial development;
- d) Generation of wealth;
- e) Development of engineering skills applied to other areas and industries;  
and
- f) Tourism.

**(iii) Social Factors**

The building of canals had, and their operation continues to have, social consequences:

- a) The redistribution of wealth with social and cultural results; and
- b) The movement of people and the interaction of cultural groups.

**(iv) Landscape**

Such large-scale engineering works had and continue to have an impact on the natural landscape. Related industrial activity and changing settlement patterns cause visible changes to landscape forms and patterns.

**HERITAGE ROUTES**

21. The concept of "routes" or cultural itineraries was discussed by the expert meeting on "Routes as a Part of our Cultural Heritage" (Madrid, Spain, November 1994)<sup>5</sup>.

**Definition**

22. The concept of heritage routes is shown to be a rich and fertile one, offering a privileged framework in which mutual understanding, a plural approach to history and a culture of peace can all operate.
23. A heritage route is composed of tangible elements of which the cultural significance comes from exchanges and a multi-dimensional dialogue across countries or regions, and that illustrate the interaction of movement, along the route, in space and time.

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<sup>5</sup> Expert Meeting on "Routes as part of Our Cultural Heritage" (Madrid, 24-25 November 1994) (see document *WHC-94/CONF.003/INF.13*) discussed by the World Heritage Committee at its 19th session (Berlin, 1995) (see document *WHC-95/CONF.203/16*).

### **Inscription of Heritage Routes on the World Heritage List**

24. The following points should be considered when determining whether a heritage route is suitable for inscription on the World Heritage List:
- (i) The requirement to hold outstanding universal value should be recalled.
  - (ii) The concept of heritage routes:
    - is based on the dynamics of movement and the idea of **exchanges**, with **continuity** in space and time;
    - refers to a **whole**, where the route has a worth over and above the sum of the elements making it up and through which it gains its cultural significance;
    - highlights exchange and dialogue **between countries or between regions**;
    - is **multi-dimensional**, with different aspects developing and adding to its prime purpose which may be religious, commercial, administrative or otherwise.
  - (iii) A heritage route may be considered as a specific, dynamic type of cultural landscape, just as recent debates have led to their acceptance within the *Operational Guidelines*.
  - (iv) The identification of a heritage route is based on a collection of strengths and tangible elements, testimony to the significance of the route itself.
  - (v) The conditions of authenticity are to be applied on the grounds of its significance and other elements making up the heritage route. It will take into account the duration of the route, and perhaps how often it is used nowadays, as well as the legitimate wishes for development of peoples affected.

These points will be considered within the natural framework of the route and its intangible and symbolic dimensions.

## **II. REPORTS OF REGIONAL AND THEMATIC EXPERT MEETINGS**

25. The World Heritage Committee, in the framework of the Global Strategy for a representative, balanced and credible World Heritage List has requested a number of regional and thematic expert meetings on different types of properties. The results of these meetings may guide States Parties in preparing nominations. The reports of the expert meetings presented to the World Heritage Committee are available at the following Web address: <http://whc.unesco.org/en/globalstrategy>

## **III. THEMATIC AND COMPARATIVE STUDIES BY THE ADVISORY BODIES**

26. To fulfil their obligations concerning evaluations of nominations of cultural and natural properties, the Advisory Bodies have undertaken comparative and thematic studies, often with partner organizations, in different subject areas in order to provide a context for their evaluations.

These reports, most of which are available on their respective Web addresses, include:

Earth's Geological History - A Contextual Framework for Assessment of World Heritage Fossil



Site Nominations (September 1996)

International Canal Monuments List (1996)  
<http://www.icomos.org/studies/canals-toc.htm>

World Heritage Bridges (1996)  
<http://www.icomos.org/studies/bridges.htm>

A Global Overview of Forest Protected Areas on the World Heritage List (September 1997)  
<http://www.unep-wcmc.org/wh/reviews/forests/>

A Global Overview of Wetland and Marine Protected Areas on the World Heritage List (September 1997)  
<http://www.unep-wcmc.org/wh/reviews/wetlands/>

Human Use of World Heritage Natural Sites (September 1997)  
<http://www.unep-wcmc.org/wh/reviews/human/>

Fossil Hominid Sites (1997)  
<http://www.icomos.org/studies/hominid.htm>

The Urban Architectural Heritage of Latin America (1998)  
<http://www.icomos.org/studies/latin-towns.htm>

Les Théâtres et les Amphithéâtres antiques (1999)  
<http://www.icomos.org/studies/theatres.htm>

Railways as World Heritage Sites (1999)  
<http://www.icomos.org/studies/railways.htm>

A Global Overview of Protected Areas on the World Heritage List of Particular Importance for Biodiversity (November 2000)  
<http://www.unep-wcmc.org/wh/reviews/>

Les villages ouvriers comme éléments du patrimoine de l'industrie (2001)  
<http://www.icomos.org/studies/villages-ouvriers.htm>

A Global Strategy for Geological World Heritage (February 2002)

Rock-Art Sites of Southern Africa (2002)  
<http://www.icomos.org/studies/sarockart.htm>



## AUTHENTICITY IN RELATION TO THE WORLD HERITAGE CONVENTION



### INTRODUCTION

This Annex reproduces the Nara Document on Authenticity, drafted by the 45 participants to the Nara Conference on Authenticity in Relation to the *World Heritage Convention*, held at Nara, Japan, from 1-6 November 1994. The Nara Conference was organized in co-operation with UNESCO, ICCROM and ICOMOS.

The World Heritage Committee examined the report of the Nara meeting on Authenticity at its 18th session (Phuket, Thailand, 1994) (see document WHC-94/CONF.003/16).

Subsequent expert meetings have enriched the concept of authenticity in relation to the *World Heritage Convention* (see Bibliography of the *Operational Guidelines*).

### I. THE NARA DOCUMENT ON AUTHENTICITY

#### *Preamble*

1. *We, the experts assembled in Nara (Japan), wish to acknowledge the generous spirit and intellectual courage of the Japanese authorities in providing a timely forum in which we could challenge conventional thinking in the conservation field, and debate ways and means of broadening our horizons to bring greater respect for cultural and heritage diversity to conservation practice.*
2. *We also wish to acknowledge the value of the framework for discussion provided by the World Heritage Committee's desire to apply the test of authenticity in ways which accord full respect to the social and cultural values of all societies, in examining the outstanding universal value of cultural properties proposed for the World Heritage List.*
3. *The Nara Document on Authenticity is conceived in the spirit of the Charter of Venice, 1964, and builds on it and extends it in response to the expanding scope of cultural heritage concerns and interests in our contemporary world.*
4. *In a world that is increasingly subject to the forces of globalization and homogenization, and in a world in which the search for cultural identity is sometimes pursued through aggressive nationalism and the suppression of the cultures of minorities, the essential contribution made by the consideration of authenticity in conservation practice is to clarify and illuminate the collective memory of humanity.*

#### *Cultural Diversity and Heritage Diversity*

5. *The diversity of cultures and heritage in our world is an irreplaceable source of spiritual and intellectual richness for all humankind. The protection and enhancement of cultural and heritage diversity in our world should be actively promoted as an essential aspect of human development.*

6. *Cultural heritage diversity exists in time and space, and demands respect for other cultures and all aspects of their belief systems. In cases where cultural values appear to be in conflict, respect for cultural diversity demands acknowledgment of the legitimacy of the cultural values of all parties.*
7. *All cultures and societies are rooted in the particular forms and means of tangible and intangible expression which constitute their heritage, and these should be respected.*
8. *It is important to underline a fundamental principle of UNESCO, to the effect that the cultural heritage of each is the cultural heritage of all. Responsibility for cultural heritage and the management of it belongs, in the first place, to the cultural community that has generated it, and subsequently to that which cares for it. However, in addition to these responsibilities, adherence to the international charters and conventions developed for conservation of cultural heritage also obliges consideration of the principles and responsibilities flowing from them. Balancing their own requirements with those of other cultural communities is, for each community, highly desirable, provided achieving this balance does not undermine their fundamental cultural values.*

#### **Values and authenticity**

9. *Conservation of cultural heritage in all its forms and historical periods is rooted in the values attributed to the heritage. Our ability to understand these values depends, in part, on the degree to which information sources about these values may be understood as credible or truthful. Knowledge and understanding of these sources of information, in relation to original and subsequent characteristics of the cultural heritage, and their meaning, is a requisite basis for assessing all aspects of authenticity.*
10. *Authenticity, considered in this way and affirmed in the Charter of Venice, appears as the essential qualifying factor concerning values. The understanding of authenticity plays a fundamental role in all scientific studies of the cultural heritage, in conservation and restoration planning, as well as within the inscription procedures used for the World Heritage Convention and other cultural heritage inventories.*
11. *All judgements about values attributed to cultural properties as well as the credibility of related information sources may differ from culture to culture, and even within the same culture. It is thus not possible to base judgements of values and authenticity within fixed criteria. On the contrary, the respect due to all cultures requires that heritage properties must be considered and judged within the cultural contexts to which they belong.*
12. *Therefore, it is of the highest importance and urgency that, within each culture, recognition be accorded to the specific nature of its heritage values and the credibility and truthfulness of related information sources.*
13. *Depending on the nature of the cultural heritage, its cultural context, and its evolution through time, authenticity judgements may be linked to the worth of a great variety of sources of information. Aspects of the sources may include form and design, materials and substance, use and function, traditions and techniques, location and setting, and spirit and feeling, and other internal and external factors. The use of these sources permits elaboration of the specific artistic, historic, social, and scientific dimensions of the cultural heritage being examined.*

**Appendix 1: Suggestions for follow-up (proposed by Herb Stovel)**

1. *Respect for cultural and heritage diversity requires conscious efforts to avoid imposing mechanistic formulae or standardized procedures in attempting to define or determine authenticity of particular monuments and sites.*
2. *Efforts to determine authenticity in a manner respectful of cultures and heritage diversity requires approaches which encourage cultures to develop analytical processes and tools specific to their nature and needs. Such approaches may have several aspects in common:*
  - *efforts to ensure assessment of authenticity involve multidisciplinary collaboration and the appropriate utilisation of all available expertise and knowledge;*
  - *efforts to ensure attributed values are truly representative of a culture and the diversity of its interests, in particular monuments and sites;*
  - *efforts to document clearly the particular nature of authenticity for monuments and sites as a practical guide to future treatment and monitoring;*
  - *efforts to update authenticity assessments in light of changing values and circumstances.*
3. *Particularly important are efforts to ensure that attributed values are respected, and that their determination included efforts to build, as far as possible, a multidisciplinary and community consensus concerning these values.*
4. *Approaches should also build on and facilitate international co-operation among all those with an interest in conservation of cultural heritage, in order to improve global respect and understanding for the diverse expressions and values of each culture.*
5. *Continuation and extension of this dialogue to the various regions and cultures of the world is a prerequisite to increasing the practical value of consideration of authenticity in the conservation of the common heritage of humankind.*
6. *Increasing awareness within the public of this fundamental dimension of heritage is an absolute necessity in order to arrive at concrete measures for safeguarding the vestiges of the past. This means developing greater understanding of the values represented by the cultural properties themselves, as well as respecting the role such monuments and sites play in contemporary society.*

**Appendix 2: Definitions**

*Conservation: all efforts designed to understand cultural heritage, know its history and meaning, ensure its material safeguard and, as required, its presentation, restoration and enhancement. (Cultural heritage is understood to include monuments, groups of buildings and sites of cultural value as defined in Article 1 of the World Heritage Convention).*

*Information sources: all material, written, oral and figurative sources which make it possible to know the nature, specifications, meaning and history of the cultural heritage.*

## II. CHRONOLOGICAL BIBLIOGRAPHY - ON AUTHENTICITY

Publications which preceded the Nara meeting and which helped prepare the ground for the authenticity discussion which took place in Nara:

Larsen, Knut Einar, *A note on the authenticity of historic timber buildings with particular reference to Japan*, Occasional Papers for the World Heritage Convention, ICOMOS, December 1992.

Larsen, Knut Einar, *Authenticity and Reconstruction: Architectural Preservation in Japan*, Norwegian Institute of Technology, Vols. 1-2, 1993.

Preparatory meeting for the Nara Meeting, held in Bergen, Norway, 31 January - 1 February 1994:

Larsen, Knut Einar and Marstein, Nils (ed.), *Conference on authenticity in relation to the World Heritage Convention Preparatory workshop*, Bergen, Norway, 31 January - 2 February 1994, Tapir Forlag, Trondheim 1994.

The Nara meeting, 1-6 November 1994, Nara, Japan:

Larsen, Knut Einar with an editorial group (Jokilehto, Lemaire, Masuda, Marstein, Stovel), *Nara conference on authenticity in relation to the World Heritage Convention. Conférence de Nara sur l'authenticité dans le cadre de la Convention du Patrimoine Mondial*. Nara, Japan, 1-6 November 1994, Proceedings published by UNESCO - World Heritage Centre, Agency for Cultural Affairs of Japan, ICCROM and ICOMOS, 1994.

The Nara meeting brought together 45 experts from 26 countries and international organizations from around the world. Their papers are contained in the volume cited above, as is the Nara document prepared in a working group of 12 meeting participants and edited by Raymond Lemaire and Herb Stovel. This volume of Proceedings invites members of ICOMOS and others to extend the discussions of the Nara Document issues to other regions of the world.

Significant post-Nara regional meetings (as of January 2005):

*Authenticity and Monitoring, October 17-22, 1995*, Cesky Krumlov, Czech Republic, ICOMOS European Conference, 1995.

The European ICOMOS Conference of 17-22 October, 1995 which took place in Cesky Krumlov, Czech Republic brought together 18 European members of ICOMOS to present national views of the application of authenticity concepts from 14 countries. A synthesis of presentations affirmed the importance of authenticity within the analytical processes we apply to conservation problems as a means of assuring truthful, sincere and honest approaches to conservation problems, and gave emphasis to strengthening the notion of dynamic conservation in order to apply authenticity analysis appropriately to cultural landscapes and urban settings.

*Interamerican symposium on authenticity in the conservation and management of the cultural heritage*, US/ICOMOS, The Getty Conservation Institute, San Antonio, Texas 1996.

This Authenticity meeting which took place in San Antonio, Texas, USA in March 1996, brought together participants from ICOMOS national committees of North, Central and South America to debate the application of the concepts of Nara. The meeting adopted the

*Declaration of San Antonio*, which discussed the relationship between authenticity and identity, history, materials, social value, dynamic and static sites, stewardship and economics, and contained recommendations extending “proofs” of authenticity to include *reflection of its true value, integrity, context, identity, use and function*, as well as recommendations pertinent to different typologies of sites.

Saouma-Forero, Galia, (edited by), *Authenticity and integrity in an African context: expert meeting, Great Zimbabwe, Zimbabwe, 26-29 May 2000*, UNESCO - World Heritage Centre, Paris 2001.

The Great Zimbabwe meeting organised by the World Heritage Centre (26-29 May 2000) focused attention on both authenticity and integrity in an African context. Eighteen speakers looked at issues arising in management of both cultural and natural heritage properties. The meeting resulted in the publication cited above, which includes a set of recommendations coming from meeting participants. Among recommendations were suggestions to include *management systems, language, and other forms of intangible heritage* among attributes expressing authenticity, and an emphasis given to the place of local communities in the sustainable heritage management process.

Reconstruction discussions in the context of the *World Heritage Convention* (as of January 2005):

*The Riga Charter on authenticity and historical reconstruction in relationship to cultural heritage adopted by regional conference, Riga, 24 October 2000*, Latvian National Commission for UNESCO - World Heritage Centre, ICCROM.

Incerti Medici, Elena and Stovel, Herb, *Authenticity and historical reconstruction in relationship with cultural heritage, regional conference, Riga, Latvia, October 23-24 2000: summary report*, UNESCO - World Heritage Centre, Paris, ICCROM, Rome 2001.

Stovel, Herb, *The Riga Charter on authenticity and historical reconstruction in relationship to cultural heritage, Riga, Latvia, October 2000*, in *Conservation and management of archaeological sites*, Vol. 4, n. 4, 2001.

*Alternatives to historical reconstruction in the World Heritage Cities*, Tallinn, 16-18 May 2002, Tallinn Cultural Heritage Department, Estonia National Commission for UNESCO, Estonia National Heritage Board.





FORMAT FOR THE NOMINATION OF PROPERTIES FOR INSCRIPTION ON THE  
WORLD HERITAGE LIST



**This Format must be used for all nominations  
submitted after 2 February 2005**

- The Nomination Format is available at the following Web address: <http://whc.unesco.org/en/nominationform>
- Further guidance on the preparation of nominations can be found in Section III of the *Operational Guidelines*
- The original signed version of the completed Nomination Format should be sent in English or French to  
**UNESCO World Heritage Centre**  
7, place de Fontenoy  
75352 Paris 07 SP  
France  
Telephone: +33 (0) 1 4568 1571  
Fax: +33 (0) 1 4568 5570  
E-mail: [wh-nominations@unesco.org](mailto:wh-nominations@unesco.org)



**Executive Summary**

**This information, to be provided by the State Party, will be updated by the Secretariat following the decision by the World Heritage Committee. It will then be returned to the State Party confirming the basis on which the property is inscribed on the World Heritage List.**

<b>State Party</b>	
<b>State, Province or Region</b>	
<b>Name of Property</b>	
<b>Geographical coordinates to the nearest second</b>	
<b>Textual description of the boundary(ies) of the nominated property</b>	
<b>A4 (or "letter") size map of the nominated property, showing boundaries and buffer zone (if present)</b>	<b>Attach A4 (or "letter") size map</b>
<b>Justification</b> <b>Statement of Outstanding Universal Value</b> (text should clarify what is considered to be the outstanding universal value embodied by the nominated property)	
<b>Criteria under which property is nominated (itemize criteria)</b> (see Paragraph 77 of the <i>Operational Guidelines</i> )	
<b>Name and contact information of official local institution/agency</b>	Organization: Address: Tel: Fax: E-mail: Web address:

**Properties for inscription on the World Heritage List**

Note: In preparing the nomination, States Parties should use this format but delete the explanatory notes.

NOMINATION FORMAT	EXPLANATORY NOTES
<p><b>1. Identification of the Property</b></p>	<p>Together with Section 2, this is the most important section in the nomination. It must make clear to the Committee precisely where the property is located and how it is geographically defined. In the case of serial nominations, insert a table that shows the name of the component part, region (if different for different components), coordinates, area and buffer zone. Other fields could also be added (page reference or map number, etc.) that differentiate the several components.</p>
<p><b>1.a Country (and State Party if different)</b></p>	
<p><b>1.b State, Province or Region</b></p>	
<p><b>1.c Name of Property</b></p>	<p>This is the official name of the property that will appear in published material about World Heritage. It should be concise. Do not exceed 200 characters, including spaces and punctuation.</p> <p>In the case of serial nominations (see Paragraphs 137-140 of the <i>Operational Guidelines</i>), give a name for the <b>ensemble</b> (e.g., <i>Baroque Churches of the Philippines</i>). Do not include the name of the components of a serial nomination, which should be included in a table as part of 1.d and 1.f.</p>
<p><b>1.d Geographical coordinates to the nearest second</b></p>	<p>In this space provide the latitude and longitude coordinates (to the nearest second) or UTM coordinates (to the nearest 10 metres) of a point at the approximate centre of the nominated property. Do not use other coordinate systems. If in doubt, please consult the Secretariat.</p> <p>In the case of serial nominations, provide a table showing the name of each property, its region (or nearest town as appropriate), and the coordinates of its centre point. Coordinate format examples:</p> <p>N 45° 06' 05" W 15° 37' 56" or UTM Zone 18 Easting: <sup>5</sup>45670 Northing: <sup>45</sup>86750</p>

NOMINATION FORMAT	EXPLANATORY NOTES
<p><b>1.e Maps and plans, showing the boundaries of the nominated property and buffer zone</b></p>	<p>Annex to the nomination, and list below with scales and dates:</p> <p>(i) An original copy of a topographic map showing the property nominated, at the largest scale available which shows the entire property. The boundaries of the nominated property and buffer zone should be clearly marked. Either on this map, or an accompanying one, there should also be a record of the boundaries of zones of special legal protection from which the property benefits. Multiple maps may be necessary for serial nominations.</p> <p>Maps may be obtained from the addresses shown at the following Web address <a href="http://whc.unesco.org/en/mapagencies">http://whc.unesco.org/en/mapagencies</a></p> <p>If topographic maps are not available at the appropriate scale, other maps may be substituted. All maps should be capable of being geo-referenced, with a minimum of three points on opposite sides of the maps with complete sets of coordinates. The maps, untrimmed, should show scale, orientation, projection, datum, property name and date. If possible, maps should be sent rolled and not folded.</p> <p>Geographic Information in digital form is encouraged if possible, suitable for incorporation into a GIS (Geographic Information System). In this case the delineation of the boundaries (nominated property and buffer zone) should be presented in vector form, prepared at the largest scale possible. The State Party is invited to contact the Secretariat for further information concerning this option.</p> <p>(ii) A Location Map showing the location of the property within the State Party,</p> <p>(iii) Plans and specially prepared maps of the property showing individual features are helpful and may also be annexed.</p> <p>To facilitate copying and presentation to the Advisory Bodies and the World Heritage Committee A4 (or “letter”) size reduction and a digital image file of the principal maps should be included in the nomination text if possible.</p> <p>Where no buffer zone is proposed, the nomination must include a statement as to why a buffer zone is not required for the proper conservation of the nominated property.</p>

NOMINATION FORMAT	EXPLANATORY NOTES
<p><b>1.f Area of nominated property (ha.) and proposed buffer zone (ha.)</b></p> <p>Area of nominated property: _____ ha</p> <p>Buffer zone _____ ha</p> <p>Total _____ ha</p>	<p>In the case of <b>serial nominations</b> (see Paragraphs 137-140 of the <i>Operational Guidelines</i>), insert a table that shows the name of the component part, region (if different for different components), coordinates, area and buffer zone.</p> <p>The serial nomination table should also be used to show the size of the separate nominated areas and of the buffer zone(s).</p>
<p><b>2. Description</b></p>	
<p><b>2.a Description of Property</b></p>	<p>This section should begin with a description of the nominated property at the date of nomination. It should refer to all the significant features of the property.</p> <p>In the case of a cultural property this section will include a description of whatever elements make the property culturally significant. It could include a description of any building or buildings and their architectural style, date of construction, materials, etc. This section should also describe important aspects of the setting such as gardens, parks etc. For a rock art site, for example, the description should refer to the rock art as well as the surrounding landscapes. In the case of an historic town or district, it is not necessary to describe each individual building, but important public buildings should be described individually and an account should be given of the planning or layout of the area, its street pattern and so on.</p> <p>In the case of a natural property the account should deal with important physical attributes, geology, habitats, species and population size, and other significant ecological features and processes. Species lists should be provided where practicable, and the presence of threatened or endemic taxa should be highlighted. The extent and methods of exploitation of natural resources should be described.</p> <p>In the case of cultural landscapes, it will be necessary to produce a description under all the matters mentioned above. Special attention should be paid to the interaction of man and nature.</p> <p>The entire nominated property identified in section 1 (Identification of the Property) should be described. In the case of serial nominations (see Paragraphs 137-140 of the <i>Operational Guidelines</i>), each of the component parts should be separately described.</p>
<p><b>2.b History and Development</b></p>	<p>Describe how the property has reached its present form and condition and the significant changes that it has undergone, including recent conservation history.</p>

<b>NOMINATION FORMAT</b>	<b>EXPLANATORY NOTES</b>
	<p>This should include some account of construction phases in the case of monuments, sites, buildings or groups of buildings. Where there have been major changes, demolitions or rebuilding since completion they should also be described.</p> <p>In the case of a natural property, the account should cover significant events in history or pre-history that have affected the evolution of the property and give an account of its interaction with humankind. This will include changes in the use of the property and its natural resources for hunting, fishing or agriculture, or changes brought about by climatic change, floods, earthquake or other natural causes.</p> <p>Such information will also be required in the case of cultural landscapes, where all aspects of the history of human activity in the area needs to be covered.</p>
<p><b>3. Justification for Inscription</b></p>	<p>This section must make clear why the property is considered to be of "outstanding universal value".</p> <p>The whole of this section of the nomination should be written with careful reference to the criteria for inscription found in Paragraph 75 of the <i>Operational Guidelines</i>. It should not include detailed descriptive material about the property or its management, which are addressed in other sections, but should concentrate on why the property is important.</p>
<p><b>3.a Criteria under which inscription is proposed (and justification for inscription under these criteria)</b></p>	<p>See Paragraph 77 of the <i>Operational Guidelines</i>.</p> <p>Provide a separate justification for each criterion cited.</p> <p>State briefly how the property meets those criteria under which it has been nominated (where necessary, make reference to the "description" and "comparative analysis" sections below, but do not duplicate the text of these sections.).</p>
<p><b>3.b Proposed Statement of Outstanding Universal Value</b></p>	<p>Based on the criteria used above, the proposed Statement of Outstanding Universal Value should make clear why the property is considered to merit inscription on the World Heritage List (see Paragraphs 154-157 of the <i>Operational Guidelines</i>). It may be a unique survival of a particular building form or habitat or designed town. It may be a particularly fine or early or rich survival and it may bear witness to a vanished culture, way of life or eco-system. It may comprise assemblages of threatened endemic species, exceptional eco-systems, outstanding landscapes or other natural phenomena.</p>
<p><b>3.c Comparative analysis (including state of conservation of similar properties)</b></p>	<p>The property should be compared to similar properties, whether on the World Heritage List or not. The comparison should outline the similarities the nominated property has with other properties and the reasons that make the nominated property stand out. The comparative</p>

NOMINATION FORMAT	EXPLANATORY NOTES
<p><b>3.d Integrity and/or Authenticity</b></p>	<p>The statement of integrity and/or authenticity should demonstrate that the property fulfils the conditions of integrity and/or authenticity set out in Section II.D of the <i>Operational Guidelines</i>, which describe these conditions in greater detail.</p> <p>In the case of a cultural property it should also record whether repairs have been carried out using materials and methods traditional to the culture, in conformity with the Nara Document (1995) (see Annex 4).</p> <p>In the case of natural properties it should record any intrusions from exotic species of fauna or flora and any human activities that could compromise the integrity of the property.</p>
<p><b>4. State of Conservation and factors affecting the Property</b></p>	
<p><b>4.a Present state of conservation</b></p>	<p>The information presented in this section constitutes the base-line data necessary to monitor the state of conservation of the nominated property in the future. Information should be provided in this section on the physical condition of the property, any threats to the [redacted] of the property and conservation measures at the property (see Paragraph 132)</p> <p>For example, in a historic town or area, buildings, monuments or other structures needing major or minor repair works, should be indicated as well as the scale and duration of any recent or forthcoming major repair projects.</p> <p>In the case of a natural property, data on species trends or the integrity of eco-systems should be provided. This is important because the nomination will be used in future years for purposes of comparison to trace changes in the condition of the property.</p> <p>For the indicators and statistical benchmarks used to monitor the state of conservation of the property see section 6 below.</p>
<p><b>4.b Factors affecting the property</b></p>	<p>This section should provide information on all the factors which are likely to affect or threaten the <b>Outstanding Universal Value</b> of a property. It should also describe any difficulties that may be encountered in addressing such problems. Not all the factors suggested in this section are appropriate for all properties. They are indicative and are intended to assist the State Party to identify the factors that are relevant to each specific property.</p>

NOMINATION FORMAT	EXPLANATORY NOTES
<p><b>(i) Development Pressures (e.g., encroachment, adaptation, agriculture, mining)</b></p>	<p>Itemize types of development pressures affecting the property, e.g., pressure for demolition, rebuilding or new construction; the adaptation of existing buildings for new uses which would harm their authenticity or integrity; habitat modification or destruction following encroaching agriculture, forestry or grazing, or through poorly managed tourism or other uses; inappropriate or unsustainable natural resource exploitation; damage caused by mining; the introduction of exotic species likely to disrupt natural ecological processes, creating new centres of population on or near properties so as to harm them or their settings.</p>
<p><b>(ii) Environmental pressures (e.g., pollution, climate change, desertification)</b></p>	<p>List and summarize major sources of environmental deterioration affecting building fabric, flora and fauna.</p>
<p><b>(iii) Natural disasters and risk preparedness (earthquakes, floods, fires, etc.)</b></p>	<p>Itemize those disasters which present a foreseeable threat to the property and what steps have been taken to draw up contingency plans for dealing with them, whether by physical protection measures or staff training.</p>
<p><b>(iv) Visitor/tourism pressures</b></p>	<p>Describe the "carrying capacity" of the property. Can it absorb the current or likely number of visitors without adverse effects?</p> <p>An indication should also be given of the steps taken to manage visitors and tourists. Possible forms of deterioration due to visitor pressure are: wear on stone, timber, grass or other ground surfaces; increases in heat or humidity levels; disturbances to species habitats; or disruption of traditional cultures or ways of life.</p>
<p><b>(v) Number of inhabitants within the property and the buffer zone</b></p> <p>Estimated population located within:</p> <p>Area of nominated property _____</p> <p>Buffer zone _____</p> <p>Total _____</p> <p>Year _____</p>	<p>Give the best available statistics or estimate of the number of inhabitants living within the nominated property and any buffer zone. Indicate the year this estimate or count was made.</p>
<p><b>5. Protection and Management of the Property</b></p>	<p>This section of the nomination is intended to provide a clear picture of the legislative, regulatory, contractual, planning, institutional and/or traditional measures (see Paragraph 132 of the <i>Operational Guidelines</i>) and the management plan or other management system (Paragraphs 108 to 118 of the <i>Operational Guidelines</i>) that is in place to protect and manage the property as</p>

NOMINATION FORMAT	EXPLANATORY NOTES
	<p>and protective measures and with the practicalities of day-to-day administration and management.</p>
<b>5.a Ownership</b>	<p>Indicate the major categories of land ownership (including State, Provincial, private, community, traditional, customary and non-governmental ownership, etc.).</p>
<b>5.b Protective designation</b>	<p>List the relevant legal, regulatory, contractual, planning, institutional and/ or traditional status of the property: For example, national or provincial park; historic monument, protected area under national law or custom; or other designation.</p> <p>Provide the year of designation and the legislative act(s) under which the status is provided.</p> <p>If the document cannot be provided in English or French, an English or French executive summary should be provided highlighting the key provisions.</p>
<b>5.c Means of implementing protective measures.</b>	<p>Describe how the protection afforded by its legal, regulatory, contractual, planning, institutional and/ or traditional status indicated in section 5.b. actually works.</p>
<b>5.d Existing plans related to municipality and region in which the proposed property is located (e.g., regional or local plan, conservation plan, tourism development plan)</b>	<p>List the agreed plans which have been adopted with the date and agency responsible for preparation. The relevant provisions should be summarized in this section. A copy of the plan should be included as an attached document as indicated in section 7.b.</p> <p>If the plans exist only in a language other than English or French, an English or French executive summary should be provided highlighting the key provisions.</p>
<b>5.e Property management plan or other management system</b>	<p>As noted in Paragraphs 132 of the <i>Operational Guidelines</i>, an appropriate management plan or other management system is essential and shall be provided in the nomination. Assurances of the effective implementation of the management plan or other management system are also expected.</p> <p>A copy of the management plan or documentation of the management system shall be annexed to the nomination, in English or French as indicated in section 7.b.</p> <p>If the management plan exists only in a language other than English or French, an English or French detailed description of its provisions shall be annexed. Give the title, date and author of management plans annexed to this nomination.</p> <p>A detailed analysis or explanation of the management plan or a documented management system shall be provided.</p>
<b>5.f Sources and levels of finance</b>	<p>Show the sources and level of funding which are available to the property on an annual basis. An</p>



NOMINATION FORMAT	EXPLANATORY NOTES
	estimate could also be given of the adequacy or otherwise of resources available, in particular identifying any gaps or deficiencies or any areas where assistance may be required.
<b>5.g Sources of expertise and training in conservation and management techniques</b>	Indicate the expertise and training which are available from national authorities or other organizations to the property.
<b>5.h Visitor facilities and statistics</b>	As well as providing any available statistics or estimates of visitor numbers or patterns over several years, this section could describe the facilities available on site for visitors, for example interpretation/explanation, whether by trails, guides, notices or publications; property museum, visitor or interpretation centre; overnight accommodation; restaurant or refreshment facilities; shops; car parking; lavatories; search and rescue.
<b>5.i Policies and programmes related to the presentation and promotion of the property</b>	This section refers to Articles 4 and 5 of the <i>Convention</i> regarding the presentation and transmission to future generations of the cultural and natural heritage. States Parties are encouraged to provide information on the policies and programmes for the presentation and promotion of the nominated property.
<b>5.j Staffing levels (professional, technical, maintenance)</b>	Indicate the skills and training which are available at the property.
<b>6. Monitoring</b>	This section of the nomination is intended to provide the evidence for the state of conservation of the property which can be reviewed and reported on regularly so as to give an indication of trends over time.
<b>6.a Key indicators for measuring state of conservation</b>	<p>List in table form those key indicators that have been chosen as the measure of the state of conservation of the whole property (see section 4.a above). Indicate the periodicity of the review of these indicators and the location where the records are kept. They could be representative of an important aspect of the property and relate as closely as possible to the Statement of Outstanding Universal Value (see section 2.b above). Where possible they could be expressed numerically and where this is not possible they could be of a kind which can be repeated, for example by taking a photograph from the same point. Examples of good indicators are the:</p> <ul style="list-style-type: none"> <li>(i) number of species, or population of a keystone species on a natural property;</li> <li>(ii) percentage of buildings requiring major repair in a historic town or district;</li> <li>(iii) number of years estimated to elapse before a major conservation programme is likely to be completed;</li> <li>(iv) stability or degree of movement in a particular building or element of a building;</li> <li>(v) rate at which encroachment of any kind on a property has increased or diminished.</li> </ul>

NOMINATION FORMAT	EXPLANATORY NOTES

Indicator	Periodicity	Location of Records

NOMINATION FORMAT	EXPLANATORY NOTES
<b>6.b Administrative arrangements for monitoring property</b>	Give the name and contact information of the agency(ies) responsible for the monitoring referenced in 6.a.
<b>6.c Results of previous reporting exercises</b>	List, with a brief summary, earlier reports on the state of conservation of the property and provide extracts and references to published sources (for example, reports submitted in compliance with international agreements and programmes, e.g., Ramsar, MAB).
<b>7. Documentation</b>	This section of the nomination is the check-list of the documentation which shall be provided to make up a complete nomination.
<b>7.a Photographs, slides, image inventory and authorization table and other audiovisual materials</b>	<p>States Parties shall provide a sufficient number of recent images (prints, slides and, where possible, electronic formats, videos and aerial photographs) to give a good general picture of the property.</p> <p>Slides shall be in 35mm format and electronic images in jpg format at a minimum of 300 dpi (dots per inch) resolution. If film material is provided, Beta SP format is recommended for quality assurances.</p> <p>This material shall be accompanied by the image inventory and photograph and audiovisual authorization form as set out below.</p> <p>At least one photograph that may be used on the public web page illustrating the property shall be included.</p> <p>States Parties are encouraged to grant to UNESCO, in written form and free of charge, the non exclusive cession of rights to diffuse, to communicate to the public, to publish, to reproduce, to exploit, in any form and on any support, including digital, all or part of the images provided and license these rights to third parties.</p> <p>The non exclusive cession of rights does not impinge upon intellectual property rights (rights of the photographer / director of the video or copyright owner if different) and that when the images are distributed by UNESCO a credit to the photographer / director of the video is always given, if clearly provided in the form.</p> <p>All possible profits deriving from such cession</p>

NOMINATION FORMAT	EXPLANATORY NOTES
	of rights will go to the World Heritage Fund.

**IMAGE INVENTORY AND PHOTOGRAPH AND AUDIOVISUAL AUTHORIZATION FORM**

Id. No	Format (slide/print/video)	Caption	Date of Photo (mo/yr)	Photographer/Director of the video	Copyright owner (if different than photographer/director of video)	Contact details of copyright owner (Name, address, tel/fax, and e-mail)	Non exclusive cession of rights

NOMINATION FORMAT	EXPLANATORY NOTES
<b>7.b</b> Texts relating to protective designation, copies of property management plans or documented management systems and extracts of other plans relevant to the property	Attach the texts as indicated in sections 5.b, 5.d and 5.e above.
<b>7.c</b> Form and date of most recent records or inventory of property	Provide a straightforward statement giving the form and date of the most recent records or inventory of the property. Only records that are still available should be described.
<b>7.d</b> Address where inventory, records and archives are held	Give the name and address of the agencies holding inventory records (buildings, monuments, flora or fauna species).
<b>7.e</b> Bibliography	List the principal published references, using standard bibliographic format.
<b>8.</b> Contact Information of responsible authorities	This section of the nomination will allow the Secretariat to provide the property with current information about World Heritage news and other issues.
<b>8.a</b> Preparer	Provide the name, address and other contact information of the individual responsible for

NOMINATION FORMAT	EXPLANATORY NOTES
<b>Name:</b> <b>Title:</b> <b>Address:</b> <b>City, Province/State, Country:</b> <b>Tel:</b> <b>Fax:</b> <b>E-mail:</b>	preparing the nomination. If an e-mail address cannot be provided, the information must include a fax number.
<b>8.b Official Local Institution/Agency</b>	Provide the name of the agency, museum, institution, community or manager locally responsible for the management of the property. If the normal reporting institution is a national agency, please provide that contact information.
<b>8.c Other Local Institutions</b>	List the full name, address, telephone, fax and e-mail addresses of all museums, visitor centres and official tourism offices who should receive the free <i>World Heritage Newsletter</i> about events and issues related to World Heritage.
<b>8.d Official Web address</b>  <b>http://</b> <b>Contact name:</b> <b>E-mail:</b>	Please provide any existing official web addresses of the nominated property. Indicate if such web addresses are planned for the future with the contact name and e-mail address.
<b>9. Signature on behalf of the State Party</b>	The nomination should conclude with the signature of the official empowered to sign it on behalf of the State Party.





## EVALUATION PROCEDURES OF THE ADVISORY BODIES FOR NOMINATIONS



This Annex includes:

- A. THE ICOMOS PROCEDURE FOR THE EVALUATION OF CULTURAL PROPERTIES
- B. THE IUCN PROCEDURE FOR THE EVALUATION OF NATURAL PROPERTIES
- C. ADVISORY BODY COLLABORATION - PROCEDURE FOR THE EVALUATION OF CULTURAL AND NATURAL PROPERTIES AND OF CULTURAL LANDSCAPES

For further information please also refer to Paragraphs 143-151 of the *Operational Guidelines*.

### A. THE ICOMOS PROCEDURE FOR THE EVALUATION OF CULTURAL PROPERTIES

1. In carrying out its evaluation of nominations of cultural properties ICOMOS (the International Council of Monuments and Sites) is guided by the *Operational Guidelines*; (see Paragraph 148).
2. The evaluation process (see Figure 1) involves consultation of the wide range of expertise represented by the membership of ICOMOS and its National and International Committees, as well as the many other specialist networks with which it is linked. Members are also sent on expert missions to carry out confidential on-site evaluations. This extensive consultation results in the preparation of detailed recommendations that are submitted to the World Heritage Committee at its annual meetings.

#### Choice of experts

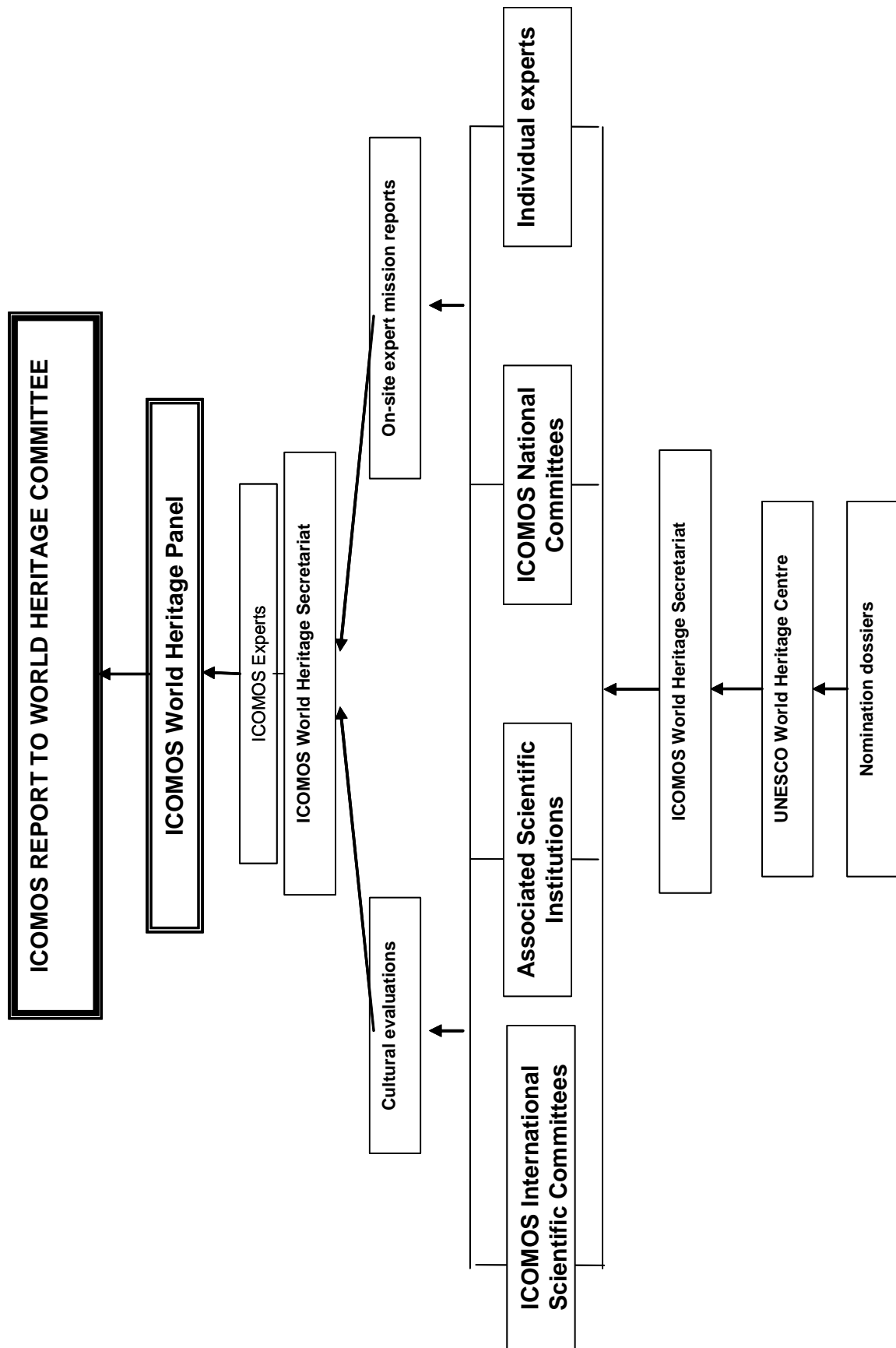
3. There is a clearly defined annual procedure for the submission of properties to the World Heritage List. Once new nominations have been checked for completeness by the UNESCO World Heritage Centre and the Advisory Bodies, the nomination dossiers are then delivered to ICOMOS, where they are handled by the ICOMOS World Heritage secretariat. The first action involved is the choice of the experts who are to be consulted. This involves two separate groups. First, there are those who can advise on the “outstanding universal value” of the nominated property. This is essentially a “library” exercise for specialist academics, and may sometimes involve non-ICOMOS members, in cases where there is no adequate expertise within the ICOMOS membership on a specific topic: an example is the occasional nomination of fossil hominid sites, where the services of palaeontologists are required.
4. The second group of experts are those with practical experience of the management, conservation, and authenticity aspects of individual properties, who are required to carry out site missions. The process of selecting these experts makes full use of the ICOMOS network. The advice of International Scientific Committees and individual members is sought, as is that of specialist bodies with whom ICOMOS has partnership agreements, such as The International Committee for the Conservation of the Industrial Heritage (TICCIH), the International Federation of Landscape Architects (IFLA), and the International Committee for the Documentation and Conservation of Monuments and Sites of the Modern Movement (DoCoMoMo).

**Site missions**

5. In selecting experts to carry out on-site evaluation missions, the policy of ICOMOS is wherever possible to choose someone from the region in which the nominated property is located. Such experts are required to be experienced in heritage management and conservation: they are not necessarily high academic experts in the type of property. They are expected to be able to talk to site managers on a basis of professional equality and to make informed assessments of management plans, conservation practices, visitor handling, etc. They are provided with detailed briefings, which include copies of the relevant information from the dossiers. The dates and programmes of their visits are agreed in consultation with States Parties, who are requested to ensure that ICOMOS evaluation missions are given a low profile so far as the media are concerned. ICOMOS experts submit their reports in confidence to the Executive Committee on practical aspects of the properties concerned, and premature publicity can cause embarrassment both to ICOMOS and to the World Heritage Committee.

**World Heritage Panel**

6. The two reports (cultural assessment and site mission report) that emerge from these consultations are received by the ICOMOS secretariat in Paris, and from them a draft evaluation is prepared. This contains a brief description and history of the property, summaries of its legislative protection, management, and state of conservation, comments on these aspects, and recommendations to the World Heritage Committee. Draft evaluations are then presented to a two or three-day meeting of the ICOMOS World Heritage Panel. The Panel comprises the members of the Executive Committee, who come from all parts of the world and who possess a wide range of skills and experience. The Executive Committee members are supplemented by experts in certain categories of heritage that figure on the annual list of nominations but which are not represented on the Committee.
7. Each nominated property is the subject of a 10–15 minute illustrated presentation by a representative of ICOMOS, followed by discussion. Following the objective and exhaustive examination of the nominations, the collective recommendations of ICOMOS are prepared, and the evaluations are revised and printed, for presentation to the World Heritage Committee.





## B. THE IUCN PROCEDURE FOR THE EVALUATION OF NATURAL PROPERTIES

8. In carrying out its evaluation of nominations of natural properties, IUCN (the World Conservation Union) is guided by the *Operational Guidelines* (see Paragraph 148). The evaluation process (see Figure 2) involves five steps:
- (i) **Data Assembly.** Following receipt of the nomination dossier from the World Heritage Centre, a standardised data sheet is compiled on the property by the UNEP-World Conservation Monitoring Centre (UNEP-WCMC), using the Protected Area database, and verified with the State Party during the field inspection.
  - (ii) **External Review.** The nomination is normally sent for desk review to up to 15 experts knowledgeable about the property, primarily members of IUCN's specialist Commissions and networks.
  - (iii) **Field Inspection.** One or two IUCN experts visit each nominated property to clarify details about the area, to evaluate site management and to discuss the nomination with relevant authorities and stakeholders. IUCN experts, selected for their global perspective on conservation and natural history as well as their knowledge of the *Convention*, are usually members of the IUCN World Commission on Protected Areas' World Heritage Expert Network or are IUCN secretariat staff. (This field inspection is undertaken jointly with ICOMOS in certain situations - see Part C below)
  - (iv) **Other sources of information.** IUCN may also consult additional literature and receive comments from local NGOs and others.
  - (v) **IUCN World Heritage Panel Review.** The IUCN World Heritage Panel reviews all field inspection reports, reviewers' comments, the UNEP-WCMC data sheet and other background material before finalising the text of the IUCN evaluation report for each nominated property.

Each evaluation report presents a concise summary of the outstanding universal value of the property nominated, a comparison with other similar sites and a review of integrity and management issues. It concludes with the assessment of the applicability of the criteria, and a clear recommendation to the World Heritage Committee. The UNEP-WCMC data sheets are also made available to the World Heritage Committee.

### The Udvardy biogeographic classification system

9. In the evaluations, IUCN uses Udvardy's "Biogeographical Provinces of the World" (1975) biogeographic classification system. This is a classification system for freshwater and terrestrial areas of the world which enables predictions and assumptions to be made about similar biogeographical regions. The Udvardy system provides an objective means of comparing nominated properties with sites of similar climatic and ecological conditions.
10. It is stressed, however, that the Biogeographical Province concept is used as a basis for comparison only and does not imply that World Heritage properties are to be selected solely on this criterion. The guiding principle is that World Heritage properties must be of outstanding universal value.

**Systems to identify priority areas for conservation**

11. IUCN also uses systems which identify priority areas for conservation such as the Worldwide Fund for Nature's (WWF) Global Ecoregions, WWF/IUCN's Centres of Plant Diversity, Conservation International's Biodiversity Hotspots, and Birdlife International's Endemic Bird Areas and Important Bird Areas.

**Systems to evaluate properties for earth science value**

12. In evaluating properties which have been nominated for their geological value, IUCN consults with a range of specialised organisations such as the UNESCO Earth Sciences Division, the International Union of Speleology and the International Union of Geological Sciences (IUGS).

**Relevant publications used in the evaluation process**

13. The evaluation process is aided by the publication of some 20 reference volumes on the world's protected areas published by IUCN, UNEP, UNEP-WCMC, Birdlife International and other publishers. These include:
  - (i) Reviews of Protected Area Systems in Oceania, Africa, and Asia;
  - (ii) The four volume directory of Protected Areas of the World;
  - (iii) The World Atlas of Coral Reefs;
  - (iv) The six volume Conservation Atlas series;
  - (v) The four volume "A Global Representative System of Marine Protected Areas";
  - (vi) The three volume Centres of Plant Diversity; and
  - (vii) Important Bird Areas and Endemic Bird Areas of the World
14. These documents together provide system-wide overviews which allow comparison of the conservation importance of protected areas throughout the world. With the development of the Global Strategy work for natural heritage, IUCN is increasingly using its "global overview" papers to identify gaps in natural World Heritage coverage and properties of World Heritage potential. These can be viewed on the IUCN website at <http://iucn.org/themes/wcpa/wheritage/globalstrategy.htm>

**Evaluation of Cultural Landscapes (see also Annex 3)**

15. IUCN has an interest in many cultural properties, especially those nominated as cultural landscapes. For that reason, it will on occasion participate in joint field inspections to nominated cultural landscapes with ICOMOS (see Part C below). IUCN's evaluation of such nominations is guided by an internal paper, "The Assessment of Natural Values in cultural landscapes", available on the IUCN web site at <http://www.iucn.org/themes/wcpa/wheritage/culturallandscape.htm>
16. In accordance with the natural qualities of certain cultural landscapes identified in Annex 3, Paragraph 11, IUCN's evaluation is concerned with the following factors:
  - (i) Conservation of natural and semi-natural systems, and of wild species of fauna and flora
  - (ii) Conservation of biodiversity within farming systems;
  - (iii) Sustainable land use;
  - (iv) Enhancement of scenic beauty;
  - (v) Ex-situ collections;

- (vi) Outstanding examples of humanity's inter-relationship with nature;
- (vii) Historically significant discoveries

The following table sets each of the above list in the context of the categories of cultural landscapes in Annex 3, thereby indicating where each consideration is most likely to occur (the absence of a consideration does not mean that it will *never* occur, only that this is unlikely):

Cultural Landscape type (see also Annex 3)	Natural considerations most likely to be relevant (see Paragraph 16 above)						
Designed landscape					(v)		
Organically evolving landscape - continuous	(i)	(ii)	(iii)	(iv)			
Organically evolving landscape - fossil	(i)					(vi)	
Associative landscape							(vii)

### C. ADVISORY BODY COLLABORATION - THE EVALUATION OF MIXED PROPERTIES AND OF CULTURAL LANDSCAPES

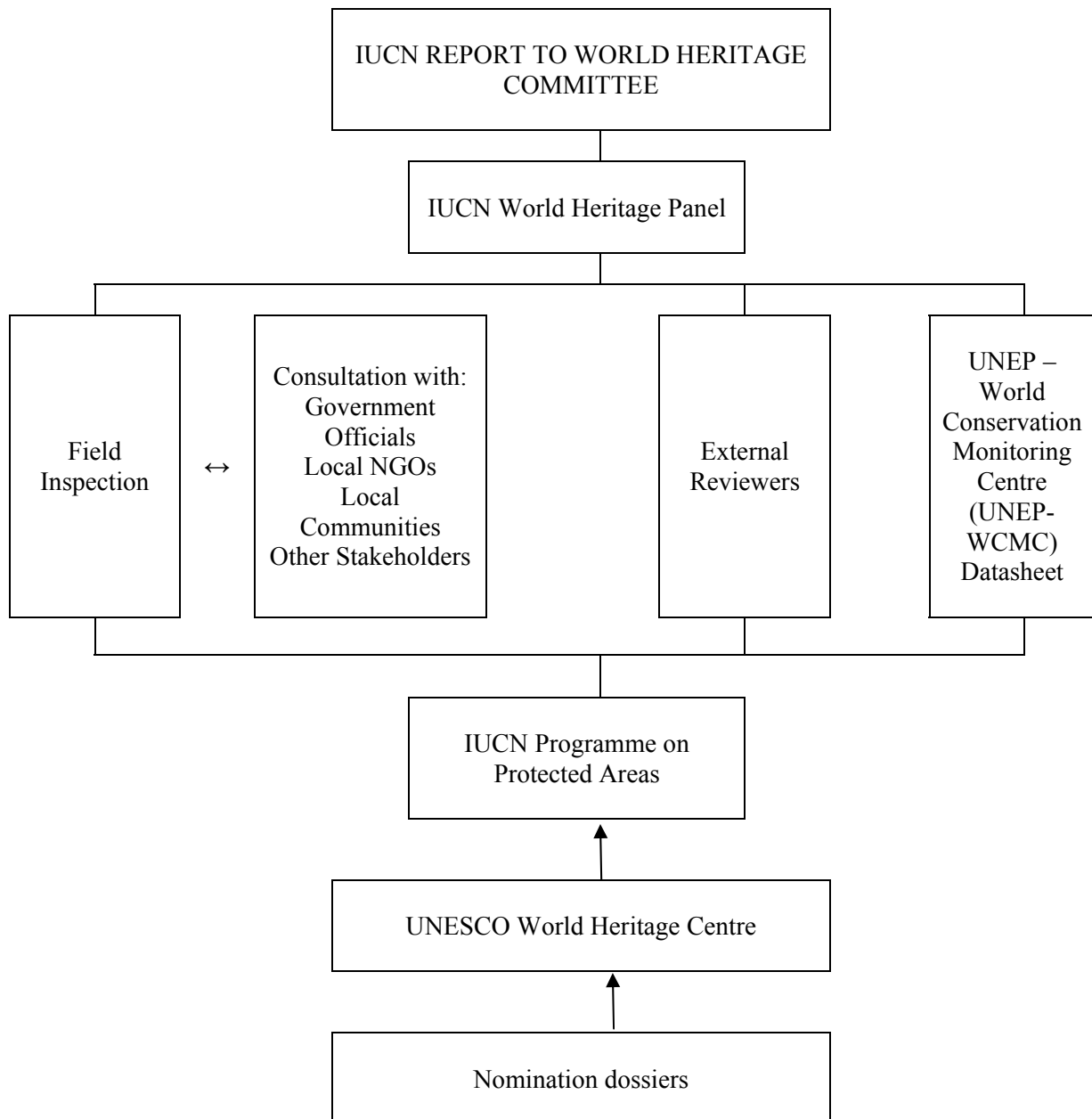
#### Mixed properties

17. Properties that are nominated as having both natural and cultural value entail a joint IUCN and ICOMOS mission to the nominated property. Following the mission, IUCN and ICOMOS prepare separate evaluation reports of the property under the relevant criteria (see A, Paragraph 5 and B, Paragraph 9 (iii) above).

#### Cultural Landscapes

18. Properties nominated as Cultural Landscapes are evaluated by ICOMOS under criteria (i) - (vi) (see Paragraph 77 of the *Operational Guidelines*). IUCN is called upon by ICOMOS to review the natural values and the management of the nominated property. This has been the subject of an agreement between the Advisory Bodies. In some cases, a joint mission is required.

**FIGURE 2: IUCN EVALUATION PROCEDURE**







**FORMAT FOR THE PERIODIC REPORTING  
ON THE APPLICATION OF  
THE WORLD HERITAGE CONVENTION**



- 
- The Format for Periodic Reporting is available at the following Web address:  
<http://whc.unesco.org/en/periodicreporting>
  - Further guidance on Periodic Reporting can be found in Section V of the *Operational Guidelines*
  - In order to facilitate management of information, States Parties are requested to submit reports, in English or French, in electronic as well as in printed form to :

**UNESCO World Heritage Centre**  
7, place de Fontenoy  
75352 Paris 07 SP  
France  
Telephone: +33 (0) 1 4568 1571  
Fax: +33 (0) 1 4568 5570  
E-mail through: <http://whc.unesco.org/en/contacts>

## **FORMAT**

### **PERIODIC REPORTING ON THE APPLICATION OF THE WORLD HERITAGE CONVENTION**

#### **General Requirements**

- Information should be as precise and specific as possible. It should be quantified where possible and fully referenced.
- Information should be concise. In particular long historical accounts of sites and events which have taken place there should be avoided, especially when they can be found in readily available published sources.
- Expressions of opinion should be supported by reference to the authority on which they are made and the verifiable facts which support them.
- Periodic reports should be completed on A4 paper (210mm x 297mm), with maps and plans a maximum of A3 paper (297mm x 420mm). States Parties are also encouraged to submit the full text of the periodic reports in electronic form.

#### **SECTION I: APPLICATION OF THE WORLD HERITAGE CONVENTION BY THE STATE PARTY**

States Parties are requested to give information on the legislative and administrative provisions which they have adopted and other action which they have taken for the application of this *Convention*, together with details of the experience acquired in this field (Article 29.1 of the *World Heritage Convention*).

##### **I.1 Introduction**

- (i) State Party
- (ii) Year of ratification or acceptance of the *Convention*
- (iii) Organization(s) or entity(ies) responsible for the preparation of the report
- (iv) Date of the report
- (v) Signature on behalf of the State Party

##### **I.2 Identification of cultural and natural heritage properties**

This item refers in particular to Articles 3, 4 and 11 of the *Convention* regarding the identification of cultural and natural heritage and the nomination of properties for inscription on the World Heritage List.

###### **(i) National inventories**

Inventories of cultural and natural heritage of national significance form the basis for the identification of possible World Heritage properties.

Indicate which institutions are in charge of the preparation and keeping up-to-date of these national inventories and if, and to what extent, inventories, lists and/or registers at the local, state and/or national level exist and have been completed.

###### **(ii) Tentative List**

Article 11 of the *Convention* refers to the submission by States Parties of inventories of

Provide the date of submission of the Tentative List or any revision made since its submission. States Parties are also encouraged to provide a description of the process of preparation and revision of the Tentative List, e.g. has (have) any particular institution(s) been assigned the responsibility for identifying and delineating World Heritage properties, have local authorities and local population been involved in its preparation? If so, provide exact details.

**(iii) Nominations**

The periodic report should list properties that have been nominated for inscription on the World Heritage List. States Parties are encouraged to provide an analysis of the process by which these nominations are prepared, the collaboration and co-operation with local authorities and people, the motivation, obstacles and difficulties encountered in that process and perceived benefits and lessons learnt.

**I.3 Protection, conservation and presentation of the cultural and natural heritage**

This item refers in particular to Articles 4 and 5 of the *Convention*, in which States Parties recognise their duty of ensuring the identification, protection, conservation, presentation and transmission to future generations of the cultural and natural World Heritage and that effective and active measures are taken to this effect. Additional guidance on States Parties obligations can be found in Paragraphs 10-16 of the *Operational Guidelines*.

Article 5 of the *Convention* specifies the following measures:

**(i) General policy development**

Provide information on the adoption of policies that aim to give the cultural and natural heritage a function in the life of the community. Provide information on the way the State Party or the relevant authorities has (have) taken steps to integrate the protection of World Heritage properties into comprehensive planning programmes. Areas where improvement would be desirable, and towards which the State Party is working should be indicated.

**(ii) Status of services for protection, conservation and presentation**

Provide information on any services within the territories of the State Party which have been set up or have been substantially improved since the previous periodic report, if applicable. Particular attention should be given to services aiming at the protection, conservation and presentation of the cultural and natural heritage, indicating the appropriate staff and the means to discharge their functions. Areas where improvement would be desirable, and towards which the State Party is working should be indicated.

**(iii) Scientific and technical studies and research**



Additional guidance on research can be found in Paragraph 215 of the *Operational Guidelines*.

List significant scientific and technical studies or research projects of a generic nature that would benefit World Heritage properties, initiated or completed since the last periodic report. Areas where improvement would be desirable, and towards which the State Party is working should be indicated.

Site specific scientific studies or research projects should be reported upon under Section II.4 of this Format.

**(iv) Measures for identification, protection, conservation, presentation and rehabilitation**

Indicate appropriate legal and administrative measures that the State Party or relevant authorities have taken for the identification, protection, conservation, presentation and rehabilitation of cultural and natural heritage. Particular attention should be given to measures concerning visitor management and development in the region. The State Party is also encouraged to indicate if, on the basis of the experiences gained, policy and/or legal reform is considered necessary. It is also relevant to note which other international conventions for the protection of cultural or natural heritage have been signed or ratified by the State Party and if so, how the application of these different legal instruments is co-ordinated and integrated in national policies and planning.

Indicate relevant scientific, and technical measures that the State Party or relevant institutions within the State have taken for the identification, protection, conservation, presentation and rehabilitation of cultural and natural heritage.

Indicate relevant financial measures that the State Party or relevant authorities have taken for the identification, protection, conservation, presentation and rehabilitation of cultural and natural heritage.

Information on the presentation of the heritage can refer to publications, internet web-pages, films, stamps, postcards, books etc.

Areas where improvement would be desirable, and towards which the State Party is working should be indicated.

**(v) Training**

Additional guidance on training can be found in Paragraphs 213-214 of the *Operational Guidelines*.

Provide information on the training and educational strategies that have been implemented within the State Party for professional capacity building, as well as on the establishment or development of national or regional centres for training and education in the protection, conservation, and presentation of the cultural and natural heritage, and the degree to which such training has been integrated within existing university and educational systems.

Indicate the steps that the State Party has taken to encourage scientific research as a support to training and educational activities.

Areas where improvement would be desirable, and towards which the State Party is working should be indicated.

#### **I.4 International co-operation and fund raising**

This item refers particularly to Articles 4, 6, 17 and 18 of the *Convention*. Additional guidance on this issue can be found in Paragraphs 227-231 of the *Operational Guidelines*.

Provide information on the co-operation with other States Parties for the identification, protection, conservation and preservation of the World Heritage located on their territories.

Also indicate which measures have been taken to avoid damage directly or indirectly to the World Heritage on the territory of other States Parties.

Have national, public and private foundations or associations been established for, and has the State Party given assistance to, raising funds and donations for the protection of the World Heritage?

#### **I.5 Education, information and awareness building**

This item refers particularly to Articles 27 and 28 of the *Convention* on educational programmes. Additional guidance on these matters can be found in Chapter IX of the *Operational Guidelines*.

Indicate steps that the State Party has taken to raise the awareness of decision-makers, property owners, and the general public about the protection and conservation of cultural and natural heritage.

Provide information on education (primary, secondary and tertiary) and information programmes that have been undertaken or are planned to strengthen appreciation and respect by the population, to keep the public broadly informed of the dangers threatening the heritage and of activities carried out in pursuance of the *Convention*. Does the State Party participate in the UNESCO Special Project *Young People's Participation in World Heritage Preservation and Promotion*?

Information on site-specific activities and programmes should be provided under item II.4 concerning management, below.

#### **I.6 Conclusions and recommended action**

The main conclusions under each of the items of Section I of the report should be summarized and tabulated together with the proposed action(s) to be taken, the agency(ies) responsible for taking the action(s) and the timeframe for its execution:

- (i) Main conclusions
- (ii) Proposed future action(s)
- (iii) Responsible implementing agency(ies)
- (iv) Timeframe for implementation
- (v) Needs for international assistance

States Parties are also encouraged to provide in their first periodic report an analysis of the process by which they ratified the *Convention*, the motivation, obstacles and difficulties encountered in that process and perceived benefits and lessons learnt.

## **SECTION II: STATE OF CONSERVATION OF SPECIFIC WORLD HERITAGE PROPERTIES**

The preparation of periodic state of conservation reports should involve those who are responsible for the day-to-day management of the property. For transboundary properties it is recommended that reports be prepared jointly by or in close collaboration between the agencies concerned.

The first periodic report should update the information provided in the original nomination dossier. Subsequent reports will then focus on any changes that may have occurred since the previous report was submitted.

This section of the periodic report follows, therefore, the format for the nomination dossier.

The state of properties included on the List of World Heritage in Danger are reviewed by the World Heritage Committee at regular intervals, in general once every year. This review concentrates on the specific factors and considerations that led to the inscription of the property on the List of World Heritage in Danger. It will still be necessary to prepare a complete periodic report on the state of conservation of these properties.

This section should be completed for each individual World Heritage property.

### **II.1 Introduction**

- (i) State Party
- (ii) Name of the World Heritage property
- (iii) Geographical coordinates to the nearest second
- (iv) Date of inscription on the World Heritage List
- (v) Organization(s) or entity(ies) responsible for the preparation of the report
- (vi) Date of the report
- (vii) Signature on behalf of the State Party

### **II.2 Statement of Outstanding Universal Value**

At the time of inscription of a property on the World Heritage List, the World Heritage Committee indicates its outstanding universal value by deciding on the criteria for inscription. Please indicate the justification for inscription provided by the State Party, and the criteria under which the Committee inscribed the property on the World Heritage List.

In the view of the State Party, does the Statement of Outstanding Universal Value adequately reflect the outstanding universal value of the property or is a re-submission necessary? This could be considered, for example, to recognise cultural values of a World Heritage property inscribed for its outstanding natural value, or vice-versa. This may become necessary either due to the substantive revision of the criteria by the World Heritage Committee or due to better identification or knowledge of specific outstanding universal value of the property.

Another issue that might be reviewed here is whether the delimitation of the World Heritage property, and its buffer zone if appropriate, is adequate to ensure the protection and conservation of the outstanding universal value embodied in it. A revision or extension of the boundaries might be considered in response to such a review.

If a Statement of Outstanding Universal Value is not available or incomplete, it will be necessary, in the first periodic report, for the State Party to propose such a statement. The Statement of Outstanding Universal Value should reflect the criterion (criteria) on the basis of which the Committee inscribed the property on the World Heritage List. It should also address questions such as: What does the property represent, what makes the property outstanding,

what are the specific values that distinguish the property, what is the relationship of the property with its setting, etc.? Such Statement of Outstanding Universal Value will be examined by the Advisory Body(ies) concerned and transmitted to the World Heritage Committee for approval, if appropriate.

### **II.3 Statement of authenticity and/or integrity**

Under this item it is necessary to review whether the value on the basis of which the property was inscribed on the World Heritage List, and reflected in the Statement of Outstanding Universal Value under item II.2 above, are being maintained.

This should also include the issue of authenticity and/or integrity in relation to the property. What was the evaluation of the authenticity and/or integrity of the property at the time of inscription? What is the authenticity and/or integrity of the property at present?

Please note that a more detailed analysis of the conditions of the property is required under item II.6 on the basis of key indicators for measuring its state of conservation.

### **II.4 Management**

Under this item, it is necessary to report on the implementation and effectiveness of protective legislation at the national, provincial or municipal level and/or contractual or traditional protection as well as of management and/or planning control for the property concerned, as well as on actions that are foreseen for the future, to preserve the value described in the Statement of Outstanding Universal Value under item II.2. Additional guidance on this issue can be found in Section III.D of the *Operational Guidelines*.

The State Party should also report on significant changes in the ownership, legal status and/or contractual or traditional protective measures, management arrangements and management plans as compared to the situation at the time of inscription or the previous periodic report. In such case, the State Party is requested to attach to the periodic report all relevant documentation, in particular legal texts, management plans and/or (annual) work plans for the management and maintenance of the property. Full name and address of the agency or person directly responsible for the property should also be provided.

The State Party could also provide an assessment of the human and financial resources that are available and required for the management of the property, as well as an assessment of the training needs for its staff.

The State Party is also invited to provide information on scientific studies, research projects, education, information and awareness building activities directly related to the property and to comment on the degree to which heritage values of the property are effectively communicated to residents, visitors and the public. Matters that could be addressed are, among other things: is there a plaque at the property indicating that the property is a World Heritage property? Are there educational programmes for schools? Are there special events and exhibitions? What facilities, visitor centre, site museum, trails, guides, information material etc. are made available to visitors? What role does the World Heritage designation play in all these programmes and activities?

Furthermore, the State Party is invited to provide statistical information, if possible on an annual basis, on income, visitor numbers, staff and other items if appropriate.

On the basis of the review of the management of the property, the State Party may wish to consider if a substantive revision of the legislative and administrative provisions for the conservation of the property is required.

## **II.5 Factors affecting the property**

Please comment on the degree to which the property is threatened by particular problems and risks. Factors that could be considered under this item are those that are listed in the nomination format, e.g. development pressure, environmental pressure, natural disasters and preparedness, visitor/tourism pressure, number of inhabitants.

Considering the importance of forward planning and risk preparedness, provide relevant information on operating methods that will make the State Party capable of counteracting dangers that threaten or may endanger its cultural or natural heritage. Problems and risks to be considered could include earthquakes, floods, land-slides, vibrations, industrial pollution, vandalism, theft, looting, changes in the physical context of properties, mining, deforestation, poaching, as well as changes in land-use, agriculture, road building, construction activities, tourism. Areas where improvement would be desirable, and towards which the State Party is working should be indicated.

This item should provide up-to-date information on all factors which are likely to affect or threaten the property. It should also relate those threats to measures taken to deal with them.

An assessment should also be given if the impact of these factors on the property is increasing or decreasing and what actions to address them have been effectively taken or are planned for the future.

## **II.6 Monitoring**

Whereas item II.3 of the periodic report provides an overall assessment of the maintenance of the outstanding universal value of the property, this item analyses in more detail the conditions of the property on the basis of key indicators for measuring its state of conservation.

If no indicators were identified at the time of inscription of the property on the World Heritage List, this should be done in the first periodic report. The preparation of a periodic report can also be an opportunity to evaluate the validity of earlier identified indicators and to revise them, if necessary.

Up-to-date information should be provided in respect to each of the key indicators. Care should be taken to ensure that this information is as accurate and reliable as possible, for example by carrying out observations in the same way, using similar equipment and methods at the same time of the year and day.

Indicate which partners if any are involved in monitoring and describe what improvement the State Party foresees or would consider desirable in improving the monitoring system.

In specific cases, the World Heritage Committee and/or its Bureau may have already examined the state of conservation of the property and made recommendations to the State Party, either at the time of inscription or afterwards. In such cases the State Party is requested to report on the actions that have been taken in response to the observations or recommendations made by the Bureau or Committee.

## **II.7 Summary of conclusions and recommended actions**

The main conclusions under each of the items of the state of conservation report, in particular, whether the outstanding universal value of the property are maintained, should be summarized and tabulated together with:

- (i) Main conclusions regarding the state of the outstanding universal value of the property (see items II.2. and II.3. above)
- (ii) Main conclusions regarding the management and factors affecting the property (see Items II.4 and II.5. above)
- (iii) Proposed future action(s)
- (iv) Responsible implementing agency(ies)
- (v) Timeframe for implementation
- (vi) Needs for international assistance

The State Party is also requested to indicate what experience the State Party has obtained that could be relevant to others dealing with similar problems or issues. Please provide names and contact details of organizations or specialists who could be contacted for this purpose.





**INTERNATIONAL ASSISTANCE REQUEST FORM**



- 
- The International Assistance request form is available at the following Web address: <http://whc.unesco.org/en/intassistance> , and can be filled at the same address.
  - Further guidance on International Assistance can be found in Section VII of the *Operational Guidelines*
  - See attached Explanatory Notes on completing this Request form
  - The original signed version of the completed International Assistance request form should be sent in English or French to:

**UNESCO World Heritage Centre**  
7, place de Fontenoy  
75352 Paris 07 SP  
France  
Telephone: +33 (0)1 45 68 12 76  
Fax: +33 (0)1 45 68 55 70  
E-mail: wh-intassistance@unesco.org



**1. STATE PARTY**

\_\_\_\_\_

**2. TITLE OF PROJECT**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**3. TYPE OF ASSISTANCE**

	<i>Emergency Assistance</i>	<i>Preparatory Assistance</i>	<i>Conservation and management</i>
Culture			
Nature			
Mixed			

**4. PROJECT LOCATION:**

a) Will the project be implemented at a World Heritage property?

- yes       - no

If yes, give the name of the property

\_\_\_\_\_

\_\_\_\_\_

b) Will the project include a field component?

- yes       - no

If yes, where and how?

\_\_\_\_\_

\_\_\_\_\_

c) If the project is being implemented at a World Heritage property, indicate whether it will also benefit other World Heritage properties, and if so, which ones and how?

\_\_\_\_\_

\_\_\_\_\_

**5. TIMEFRAME FOR THE IMPLEMENTATION OF THE PROJECT (indicate whether estimated or fixed)**

Dates: \_\_\_\_\_

Duration: \_\_\_\_\_

**6. THE PROJECT IS:**

- local
- national
- sub-regional involving a few States Parties from a region
- regional involving most States Parties from a region
- international involving States Parties from different regions

If the project is national, sub-regional, regional or international, please indicate the countries/properties which will participate/benefit from the project:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**7. JUSTIFICATION OF THE PROJECT**

a) Explain why this project is needed  
(for Emergency Assistance, please fill in item 8 below instead).

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

b) List all supporting documents submitted, if applicable.

---

---

**8. FOR EMERGENCY ASSISTANCE ONLY**

a) Describe the actual or potential threat/danger affecting the property

---

---

b) Indicate how it might affect the property's Outstanding Universal Value

---

---

c) Explain how the proposed project will address the threat/danger

---

---

**9. OBJECTIVES OF THE PROJECT**

Clearly set out the specific objectives of the project

**10. EXPECTED RESULTS**

a) Clearly state the results expected from the project

---

---

b) Define the indicators and means of verification which can be used to assess the achievements of these results:

<i>Expected Results</i>	<i>Indicators</i>	<i>Means of verification</i>

**11. WORK PLAN (including specific activities and timetable)**

<i>Activities</i>	<i>Timeframe (in months)</i>						
Activity							
Activity							
Activity							
Activity							

**12. EVALUATION AND REPORTING (to be submitted to the World Heritage Centre within three months after the project is completed)**

**13. PROFILES OF SPECIALISTS, TRAINERS, TECHNICIANS AND/OR SKILLED LABOUR, IF THE PROJECT FORESEES THE PARTICIPATION OF SUCH PEOPLE (if the identity of the specialists, trainers, technicians, and/or skilled labourers is already known, please state their names and include a brief CV if possible)**

**14. KEY TARGET AUDIENCES, INCLUDING PROFILES OF TRAINEES / PARTICIPANTS, IF THE PROJECT FORESEES THE PARTICIPATION OF SUCH PEOPLE**

**15. BUDGET BREAKDOWN**

- a) Provide, in the following table (in United States dollars), a detailed breakdown of costs of the individual elements of the project including, if possible, unit costs and show how these will be shared between the different funding sources.

<b>Items</b> (choose items as applicable to the project)	<b>Detail US\$</b> (for applicable items)	<b>State Party Funds US\$</b>	<b>Amount requested to the World Heritage Fund US\$</b>	<b>Other sources US\$</b>	<b>Total US\$</b>
<b>Organization</b> <ul style="list-style-type: none"> <li>• venue</li> <li>• office expenses</li> <li>• secretarial assistance</li> <li>• translation</li> <li>• simultaneous interpretation</li> <li>• audio-visual equipment</li> <li>• other</li> </ul>	US\$ ___ / day for ___ days = US\$ ___ US\$ ___ US\$ ___ / day for ___ days - US\$ ___ US\$ ___ / page for ___ pages = US\$ ___ US\$ ___ / hour for ___ hours = US\$ ___ US\$ ___ / day for ___ days = US\$ ___ US\$ ___				
<b>Personnel / consultancy service (fees)</b> <ul style="list-style-type: none"> <li>• international expert</li> <li>• national expert</li> <li>• coordinator</li> <li>• other</li> </ul>	US\$ ___ / week for ___ weeks = US\$ ___ US\$ ___ / week for ___ weeks = US\$ ___ US\$ ___ / week for ___ weeks = US\$ ___ US\$ ___ / week for ___ weeks = US\$ ___				
<b>Travel</b> <ul style="list-style-type: none"> <li>• international travel cost</li> <li>• domestic travel costs</li> <li>• other</li> </ul>	US\$ ___ US\$ ___ US\$ ___				
<b>Daily subsistence allowance</b> <ul style="list-style-type: none"> <li>• accommodation</li> <li>• board</li> </ul>	US\$ ___ / day for ___ persons = US\$ ___ US\$ ___ / day for ___ persons = US\$ ___				
<b>Equipment</b> <ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> </ul>	US\$ ___ / unit for ___ units = US\$ ___ / unit for ___ units =				
<b>Evaluation, Reporting and Publication</b> <ul style="list-style-type: none"> <li>• evaluation</li> <li>• reporting</li> <li>• editing, layout</li> <li>• printing</li> <li>• distribution</li> <li>• other</li> </ul>	US\$ ___ US\$ ___ US\$ ___ US\$ ___ US\$ ___ US\$ ___				
<b>Miscellaneous</b> <ul style="list-style-type: none"> <li>• visas</li> <li>• other</li> </ul>	US\$ ___ for ___ participants = US\$ ___ US\$ ___				
<b>TOTAL</b>					

b) Specify whether or not resources from the State Party or other sources are already available or when they are likely to become available.

\_\_\_\_\_

\_\_\_\_\_

**16. IN KIND CONTRIBUTIONS FROM THE STATE PARTY AND OTHER AGENCIES**

a) National agency(ies)

\_\_\_\_\_

\_\_\_\_\_

b) Other bi/multi-lateral organizations, donors, etc

\_\_\_\_\_

\_\_\_\_\_

**17. AGENCY(IES) RESPONSIBLE FOR THE IMPLEMENTATION OF THE PROJECT**

\_\_\_\_\_

\_\_\_\_\_

**18. SIGNATURE ON BEHALF OF STATE PARTY**

Full name \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

**19. ANNEXES**

\_\_\_\_\_ (number of annexes attached to the request)

**EXPLANATORY NOTES**

	<b>INTERNATIONAL ASSISTANCE APPLICATION FORM</b>	<b>EXPLANATORY NOTES</b>																																																																
<b>1.</b>	<b>STATE PARTY</b>	Name of the State Party presenting the International Assistance request																																																																
<b>2.</b>	<b>TITLE OF THE PROJECT</b>																																																																	
<b>3.</b>	<p><b>TYPE OF ASSISTANCE</b></p> <table border="1" data-bbox="268 633 802 864"> <thead> <tr> <th></th> <th><i>Emergency Assistance</i></th> <th><i>Preparatory Assistance</i></th> <th><i>Conservation and Management*</i></th> </tr> </thead> <tbody> <tr> <td>Culture</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Nature</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Mixed</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>* Please note that « Conservation and Management » now includes the previous categories :</p> <ul style="list-style-type: none"> <li>- Training, Research Assistance</li> <li>- Technical Cooperation</li> <li>- Assistance for education, information and awareness raising</li> </ul>		<i>Emergency Assistance</i>	<i>Preparatory Assistance</i>	<i>Conservation and Management*</i>	Culture				Nature				Mixed				<p>See Paragraph 241 of the <i>Operational Guidelines</i> for details.</p> <p>Indicate the type of assistance you are requesting, as well as the type of heritage covered by the project.</p> <p>Please, tick only one box in the table. For example:</p> <p>- Training project on rock paintings:</p> <table border="1" data-bbox="847 927 1382 1084"> <thead> <tr> <th></th> <th><i>Emergency Assistance</i></th> <th><i>Preparatory Assistance</i></th> <th><i>Conservation and Management</i></th> </tr> </thead> <tbody> <tr> <td>Culture</td> <td></td> <td></td> <td><b>X</b></td> </tr> <tr> <td>Nature</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Mixed</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>- Preparation of a nomination file for a mixed property:</p> <table border="1" data-bbox="847 1196 1382 1352"> <thead> <tr> <th></th> <th><i>Emergency Assistance</i></th> <th><i>Preparatory Assistance</i></th> <th><i>Conservation and Management</i></th> </tr> </thead> <tbody> <tr> <td>Culture</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Nature</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Mixed</td> <td></td> <td><b>X</b></td> <td></td> </tr> </tbody> </table> <p>- Emergency assistance request following a tropical storm which affected a protected forest area:</p> <table border="1" data-bbox="847 1503 1382 1659"> <thead> <tr> <th></th> <th><i>Emergency Assistance</i></th> <th><i>Preparatory Assistance</i></th> <th><i>Conservation and Management</i></th> </tr> </thead> <tbody> <tr> <td>Culture</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Nature</td> <td><b>X</b></td> <td></td> <td></td> </tr> <tr> <td>Mixed</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		<i>Emergency Assistance</i>	<i>Preparatory Assistance</i>	<i>Conservation and Management</i>	Culture			<b>X</b>	Nature				Mixed					<i>Emergency Assistance</i>	<i>Preparatory Assistance</i>	<i>Conservation and Management</i>	Culture				Nature				Mixed		<b>X</b>			<i>Emergency Assistance</i>	<i>Preparatory Assistance</i>	<i>Conservation and Management</i>	Culture				Nature	<b>X</b>			Mixed			
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<b>4.</b>	<p><b>PROJECT LOCATION</b></p> <p>a) Will the project be implemented at a World Heritage property?  <input type="checkbox"/> - yes      <input type="checkbox"/> - no          If yes, give the name of the property</p>																																																																	



	<p>b) Will the project include a field component?  <input type="checkbox"/> - yes      <input type="checkbox"/> - no                  If yes, where and how?</p> <p>c) If the project is being implemented at a World Heritage property, indicate whether it will also benefit other World Heritage properties, and if so which ones and how?</p>	
<p><b>5.</b></p>	<p><b>TIMEFRAME FOR THE IMPLEMENTATION OF THE PROJECT</b>                  (indicate whether estimated or fixed)</p>	<p>Indicate the proposed starting date for the project as well as its duration.</p>
<p><b>6.</b></p>	<p><b>THE PROJECT IS:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> local</li> <li><input type="checkbox"/> national</li> <li><input type="checkbox"/> sub-regional involving a few States Parties from a region</li> <li><input type="checkbox"/> regional involving most States Parties from a region</li> <li><input type="checkbox"/> international involving States Parties from different regions</li> </ul> <p>If the project is national, sub-regional, regional or international, please indicate the countries/properties which will participate/benefit from the project.</p>	<p>If other countries benefit from the project, please state whether their support for the project has been obtained. Also note if a transboundary property is involved.</p>
<p><b>7.</b></p>	<p><b>JUSTIFICATION OF THE PROJECT</b></p>	
	<p>a) Explain why the project is needed (for Emergency Assistance, please fill in item 8 below instead)</p>	<p>Set out the problems or issues to be discussed/addressed. This should include, where appropriate, the degree of urgency of the activities to be undertaken where appropriate.</p> <p>If relevant, give details, in no more than 2 pages, of ascertained or potential threat to the property(ies).</p> <p>Explain how the project contributes to the implementation of:                  - decisions of the World Heritage Committee;</p>

		<ul style="list-style-type: none"> <li>- recommendations of international expert missions undertaken at the request of the Committee, Chairperson or UNESCO;</li> <li>- recommendations of the Advisory Bodies;</li> <li>- recommendations of UNESCO World Heritage Centre or other UNESCO Divisions;</li> <li>- management plans for the property;</li> <li>- recommendations from previous activities supported by the World Heritage Fund.</li> </ul> <p>Clearly indicate which documents you are referring to (World Heritage Committee's decision number, Mission dates, etc...)</p>
	<p>b) List all supporting documents submitted, if applicable.</p>	<p>Whenever possible, support the justification with documentary evidence, such as reports, photographs, slides, maps, etc...</p>
<p><b>8.</b></p>	<p><b>FOR EMERGENCY ASSISTANCE ONLY</b></p>	
	<p>a) Describe the actual or potential threat/danger affecting the property</p>	<p>Emergency Assistance funds will not be automatically granted after a major disaster has occurred. This type of assistance will be provided only in cases when an <u>imminent</u> danger related to a <u>natural or human-made</u> disaster is threatening the overall Outstanding Universal Value of a World Heritage property and its authenticity and/or integrity, to prevent or at least significantly mitigate its possible negative impact on the property.</p> <p>Emergency Assistance may also be provided to assess whether or not imminent danger is present, for example as a result of a major disaster.</p> <p>When, on the contrary, due to a disaster, a certain loss of heritage has already taken place, but there is no more imminent threat or risk that needs to be addressed as a matter of urgency, other forms of assistance would appear to be more appropriate (e.g. conservation and management assistance).</p>

	<p>b) Indicate how it might affect the property's Outstanding Universal Value</p>	<p>In establishing priorities for granting Emergency Assistance, consideration will be given to whether the threat/danger to be addressed has the potential, if not mitigated, to affect the Outstanding Universal Value of the World Heritage property and its authenticity and/or integrity.</p>												
	<p>c) Explain how the proposed project will address the threat/danger</p>	<p>Proposals for funding under the Emergency Assistance programme should set out how the scope of the project and its activities will assess the threat/danger to the World Heritage property and show how it will be effectively mitigated.</p>												
<p><b>9.</b></p>	<p><b>OBJECTIVE(S) OF THE PROJECT</b>  Clearly set out the specific objectives of the project</p>	<p>What are the objectives you want to achieve through the implementation of this particular project?</p>												
<p><b>10.</b></p>	<p><b>EXPECTED RESULTS</b></p>													
	<p>a) Clearly state the results expected from the project proposed.</p>	<p>The expected results should be concrete and measurable. Each expected result will be measured by a set of indicators (see Paragraph 10b).</p>												
	<p>b) Define the indicators and means of verification which can be used to assess the achievements of these results:</p> <table border="1" data-bbox="261 1368 794 1503"> <thead> <tr> <th><i>Expected Results</i></th> <th><i>Indicators</i></th> <th><i>Means of verification</i></th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	<i>Expected Results</i>	<i>Indicators</i>	<i>Means of verification</i>										<p>Indicators are used to measure the results achieved and to determine the progress towards the objective of the project. They are based on the expected results defined in Paragraph 10, and will serve as the base for the evaluation of the project after its completion.</p> <p>These indicators should be objective, measurable and expressed in quantifiable terms such as numeric values, or percentages.</p> <p>For example:</p> <p><b>Preparatory Assistance</b></p> <p><i>Objective:</i> To prepare a complete nomination file for submission to the World Heritage Centre.</p>
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<p><b>12.</b></p>	<p><b>EVALUATION AND REPORTING (to be submitted to the World Heritage Centre within three months after the implementation of the project is completed)</b></p>	<p><b>Final Report:</b> The final report should be prepared by the authority/person in charge of the implementation of the project. The final report should be structured according to the expected results defined in Paragraph 10.</p> <p><b>Evaluation:</b> The evaluation should focus on the results achieved and their impact on (for example):</p> <ul style="list-style-type: none"> <li>- the inscription of a property on the World Heritage List following a preparatory assistance,</li> <li>- the Periodic Report and the State of conservation,</li> <li>- the removal of a property from the List of World Heritage in danger following an emergency assistance,</li> <li>- the implementation of the <i>World Heritage Convention</i>, including its Strategic Objectives (“4Cs”) and other</li> </ul>																																																																																																									

		<p>strategies (e.g. Global Strategy, ...),</p> <ul style="list-style-type: none"> <li>- the national and/or local institutions,</li> <li>- the capacity building of local staff,</li> <li>- the awareness raising of the general public,</li> <li>- the participants to the project,</li> <li>- attracting other resources,</li> <li>- etc...</li> </ul> <p>Indicate who will be responsible for the evaluation of the project.</p>
<b>13.</b>	<b>PROFILES OF SPECIALISTS, TRAINERS, TECHNICIANS AND/OR SKILLED LABOUR, IF THE PROJECT FORESEES THE PARTICIPATION OF SUCH PEOPLE (if the identity of the specialists, trainers, technicians, and/or skilled labourers is already known, please state their names and include a brief CV if possible)</b>	<p>Indicate the precise field of specialization and the work to be undertaken by each specialist as well as the duration required. The World Heritage Centre and the Advisory Bodies are available to recommend resource persons / trainers, should the State(s) Party(ies) concerned so request. Please include the names of any specialists, if already known, who will be taking part in the project and send a short CV if possible as an annex to the request form.</p>
<b>14.</b>	<b>KEY TARGET AUDIENCES, INCLUDING PROFILES OF TRAINEES / PARTICIPANTS, IF THE PROJECT FORESEES THE PARTICIPATION OF SUCH PEOPLE</b>	<p>Indicate the target groups and beneficiaries of the project, their professions, institutions, or field(s) of specialization.</p>
<b>15.</b>	<b>BUDGET BREAKDOWN</b>	
	a) Provide, in the following table (in United States dollars), a detailed breakdown of costs of the individual elements of the project including, if possible, unit costs and show how these will be shared between the different funding sources:	<p>Indicate in the table the breakdown of all expenses related to the project, also indicating the cost-sharing between the various donors (State Party, World Heritage Fund, others).</p>
	(i) Organization	<p>Items within this section could include the cost of a venue, office expenses, secretarial assistance, translation, simultaneous interpretation, audio-visual equipment, or other organizational costs necessary for the successful implementation of the project.</p>
	(ii) Personnel and Consultancy Services	<p>Items within this section could include the cost of international experts, national</p>

		experts, a local or international coordinator, or other personnel necessary for the successful implementation of the project.
	(iii) Travel	Items within this section could include the cost of international or domestic travel necessary for the successful implementation of the project.
	(iv) Daily Subsistence Allowance	Items within this section could include the cost of accommodation, meals, and incidentals necessary for the successful implementation of the project.
	(v) Equipment	Items within this section could include any equipment necessary for the successful implementation of the project.
	(vi) Evaluation, Reporting and Publication	Items within this section could include the cost of evaluation, reporting, editing and layout, printing, distribution, and other costs necessary for the successful implementation of the project.
	(vii) Miscellaneous	Items within this section could include the cost of visas or other small costs that are necessary for the successful implementation of the project.
	b) Specify whether or not resources from the State Party or other sources are already available or when they are likely to become available	If the resources are not already available, indicate whether they will be before the beginning of the project.
<b>16.</b>	<b>IN KIND CONTRIBUTIONS FROM THE STATE PARTY AND OTHER AGENCIES</b>	
	a) National agency(ies)	Specify in detail
	b) Other bi/multi-lateral organizations, donors, etc	Specify in detail
<b>17.</b>	<b>AGENCY(IES) RESPONSIBLE FOR THE IMPLEMENTATION OF THE PROJECT</b>	Please provide the name, title, address and all contact details of the person/agency(ies) who will be responsible for the implementation of the project as well as those of any other participating agencies.



		Please, indicate whether the legislative and administrative commitment of the State Party is available for the project (see Paragraph 239d of the <i>Operational Guidelines</i> ).
<b>18.</b>	<b>SIGNATURE ON BEHALF OF STATE PARTY</b>	Full name Title Date
<b>19.</b>	<b>ANNEXES</b>	In this section, list the number of annexes attached to the request and titles of each annex.



## EVALUATION CRITERIA OF THE ADVISORY BODIES FOR INTERNATIONAL ASSISTANCE REQUESTS



The following considerations are to be taken into account by the Advisory Bodies, World Heritage Centre, and the relevant Decision-maker (the Chairperson of the World Heritage Committee, the World Heritage Committee or the Director of the World Heritage Centre) when assessing International Assistance requests.

These items do not constitute a checklist, and not every item will be applicable to every International Assistance Request. Rather the appropriate items are to be considered together in an integrated manner in making balanced judgments concerning the appropriateness of allocating the limited financial support available through the World Heritage Fund.

### A. Eligibility requirements

1. Is the State Party in arrears for payment of its contribution to the World Heritage Fund?
2. Is the request coming from an authorized organization/institution of the State Party?

### B. Priority considerations

3. Is the request from a State Party on the list of the Least Developed Countries (LDCs), Low Income Economies (LIEs), Small Island Developing States (SIDS) or post-conflict countries?
4. Is the property on the List of World Heritage in Danger?
5. Does the request further one or more of the Strategic Objectives of the World Heritage Committee (Credibility, Conservation, Capacity building, and Communication)?
6. Does the request respond to needs identified through the Periodic Reporting process at the property and/or regional levels?
7. Is the request linked to a regional or sub-regional capacity building programme?
8. Is there a capacity building aspect to the activity (no matter what type of assistance sought)?
9. Will the lessons learned from the activity provide benefits to the larger World Heritage system?

**C. Considerations linked to the specific content of the proposed activity**

10. Are the objectives of the request clearly stated and achievable?
11. Is there a clear work plan for achieving the results, including a timeline for its implementation? Is the work plan reasonable?
12. Does the agency/organization responsible for implementing the proposal have the capacity to do so, and is there a responsible person identified for ongoing contacts?
13. Are the professionals proposed to be used (whether national or international) qualified to carry out the work being requested? Are there clear terms of reference for them, including adequate period of their involvement?
14. Is the involvement of all relevant parties taken into account in the proposal (for example stakeholders, other institutions, etc.)?
15. Are the technical requirements clearly expressed and are they reasonable?
16. Is there a clear plan for reporting the results and for continued monitoring, including appropriate indicators for success?
17. Is there a commitment of the State Party for appropriate follow-up after the activity is completed?

**D. Budgetary / Financial considerations**

18. Is the overall budget reasonable for the work that is proposed to be carried out?
19. Is the budget detailed sufficiently to ensure that the unit costs are reasonable and in line with local costs and/or UNESCO norms and rules as appropriate?
20. Does the request act as a catalyst (multiplier) for other funding (are other sources of funding, either cash or in-kind clearly specified)?

**E. Considerations for specific types of International Assistance****a) Emergency Assistance Requests**

21. Does the threat or disaster covered by the request conform to the definition of an emergency within the *Operational Guidelines* (unexpected phenomena)?
22. Can the proposed intervention be carried out with reasonable safety for those involved with its implementation?
23. Does the intervention respond to the most critical issues related to the protection/conservation of the property?

***b) Preparatory Assistance Requests***

For requests for preparation of nomination files

24. Is the property on the State Party's Tentative List?
25. Does the State Party already have properties inscribed on the World Heritage List? If yes, how many?
26. Is the type of property proposed for World Heritage listing un-represented or under-represented in the World Heritage List?
27. Is sufficient attention paid to necessary elements, such as the preparation of the management plan, comparative analysis, Statement of Outstanding Universal Value, mapping, etc.?
28. Is sufficient attention given to community involvement?

For requests for preparation of Tentative Lists

29. Is the process designed to include all the necessary stakeholders and points of view?
30. Are both natural and cultural heritage professionals proposed to be involved?
31. Is the State Party new to the *World Heritage Convention*?
32. If the request is for harmonization of Tentative Lists, are representatives from all the necessary States Parties in the region or sub-region involved?

For requests for preparation of other types of assistance

33. If the request is for the preparation of a request for other assistance, is the need for the eventual request well documented?

***c) Conservation and Management Assistance Requests***

For requests for conservation work or the preparation of a management plan

34. Is the property on the World Heritage List?
35. Is the work being proposed a priority for protecting or safeguarding the property?
36. Does the work being proposed conform to best practice?

For requests for training activities

37. Is it clearly related to the implementation of the *World Heritage Convention*?
38. Does it take place on a World Heritage property or involve a visit/case study of a World Heritage property?

39. Does it involve those responsible for conservation at a World Heritage property as trainees or resource persons?
40. Does it respond to well-defined training needs?
41. Are the training methods appropriate to ensure that the learning objectives will be met?
42. Does it strengthen a local and/or regional training institution?
43. Is it linked with practical applications in the field?
44. Is there a provision for disseminating results and related training materials to other organizations in the World Heritage system?

For requests related to scientific research

45. Can it be demonstrated that the subject matter is of a priority nature for better protection and safeguarding of World Heritage properties?
46. Can it be demonstrated that the results will be concrete and applicable widely within the World Heritage system?

For requests for educational or awareness activities

47. Will it help make the *World Heritage Convention* better known or create a stronger interest in it amongst the target audience?
48. Will it create a greater awareness of the different issues related to the implementation of the *World Heritage Convention*?
49. Will it promote more involvement in *World Heritage Convention* related activities?
50. Will it be a means of exchanging experiences or stimulate joint educational and information programmes, especially amongst school children?
51. Will it produce appropriate awareness materials for the promotion of the *World Heritage Convention* for use by the target audience?



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The International Federation of Landscape Architects (IFLA)

Email: [info@iflaonline.org](mailto:info@iflaonline.org)

<http://www.iflaonline.org/home.html>





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# Required documents to create the energy balance with the Passive House Planning Package (PHPP) of a building:

## 1 Planning documents for design, construction, building services:

All these points have to be fulfilled both for the existing building and for the refurbishment

- Site plan including the building orientation, neighbouring constructions (position and height), prominent trees or similar vegetation, possible horizontal shading from ground level elevations; photographs of the plot and surroundings. The shading situation must be comprehensible.
- Design plans (floor plans, sections, elevations) as pre-construction plans 1:100, or implementation plans 1:50 with comprehensible dimensioning for all area calculations (room dimensions, envelope areas, unfinished window opening sizes).
- Location plan of envelope areas and windows, also thermal bridges, for allocation of the areas or thermal bridges calculated in the PHPP.
- Detail drawings of all building envelope connections, e.g. the external and internal walls at the basement ceiling or floor slab, external wall at the roof and ceiling, roof ridge, verge, installation situations of windows at sides, above and below, anchorage of balconies etc.. The details should be given with dimensions and information about materials and conductivities. The airtight level should be indicated and its connection points for the implementation should be described.
- Building services plans – ventilation: representation and designing of ventilation units, volumetric flows (Specification Sheet Planning, see PHPP CD), sound protection, filters, supply and extract air valves, openings for transferred air, external air suction and exhaust air outlet, dimensioning and insulation of ducts, sub-soil heat exchanger (if present), regulation, etc..
- Building services plans – heating/plumbing: representation and designing of heat generators, heat storage, heat distribution (pipes, heat coils, heating surfaces, pumps, regulation), hot water distribution (circulation, single pipes, pumps, regulation), cold water pipes, drainage with aeration including their dimensioning and insulating standards.
- Building services plans – electrical: illustration and designing of lighting (if necessary, also concepts or simulations for utilisation of daylight), elevator, kitchen equipment, data processing applications, telephone systems, other use-specific electrical applications (e.g. furnace).
- Building services plans – air conditioning (if used): representation and designing of cooling and dehumidification systems.

## 2 Proofs, technical information, with product information sheets if applicable:

### a) For the existing building:

- Proof of product-specific conditions
- Itemisation of a comprehensible calculation of the treated floor area.
- Type and technical information of all existing materials, ( $\lambda$ )



- Information about the existing window and door frames (as exact as it is possible for historic buildings): manufacturer, type,  $U_w$  value,  $\Psi_{\text{Install}}$ ,  $\Psi_{\text{Glazing Edge}}$ .
- Information about the existing glazing: manufacturer, type, build-up,  $U_g$
- Short description of the existing-technical supply systems, with schematic drawings if applicable.
- Manufacturer, type, technical data sheets of all building-technical components existing: ventilation system, heat generator for heating and hot water, heat storage, insulation of ductwork and pipes, heater coils, frost protection, pumps, elevator, lighting etc..
- Information about the length, dimensioning and insulation level of the supply pipelines (hot water and heating) as well as the ventilation ducts between the heat exchanger and thermal building envelope. electricity utilisation

#### **b) For the refurbishment:**

- Proof of product-specific conditions
- Itemisation of a comprehensible calculation of the treated floor area.
- Type and technical information of all materials to be installed ( $\lambda$ )
  - $\lambda$ (Insulation) for the PHPP of the refurbishment
- Information about the windows and doors to be installed (manufacturer, type,  $U_w$  value,  $\Psi_{\text{Install}}$ ,  $\Psi_{\text{Glazing Edge}}$ ), graphical representation of all planned installation situations in the external wall
- Information about the glazing to be fitted: manufacturer, type, build-up,  $U_g$  value according to DIN EN 673 (to two decimal places) g-value according to DIN EN 410, type of edge spacer. For products which have been certified by the Passive House Institute, these verifications are available.
  - U-values of windows and doors: PHPP procedure on the basis of EN 10077 with mathematically computed rated values for the frame U-value  $U_f$ , glass edge thermal bridge  $\Psi_g$ , installation thermal bridge  $\Psi_{\text{Einbau}}$ .
  - Glazing: mathematically computed U-value  $U_g$  according to EN 673 (to two decimal places) and g-value according to EN 410.
- Short description of the planned building-technical supply systems, with schematic drawings if applicable.
- Manufacturer, type, technical data sheets of all building-technical components: ventilation system, heat generator for heating and hot water, heat storage, insulation of ductwork and pipes, heater coils, frost protection, pumps, elevator, lighting etc..
- Verification of the heat recovery efficiency and electricity demand for the ventilation system in accordance with the Passive House Institute procedure. Extraction systems without heat recovery (e.g. chemistry cabinets, fume hoods etc.) should be included. Different levels of operation and different operation times should be taken into account.
  - Heat recovery efficiency: Testing method according to the PHI (see [www.passiv.de](http://www.passiv.de)), alternatively, testing according to the DIBt method (or equal) with a deduction of 12 %.
- Information about the length, dimensioning and insulation level of the supply pipelines (hot water and heating) as well as the ventilation ducts between the heat exchanger and thermal building envelope.
- Concept for efficient electricity utilisation (e.g. specified devices, explanation and incentives for the house or apartment owner). If efficient electricity utilisation is not verified, average values of devices available on the market will be set (standard values of PHPP).

### **3 Adjustment protocol of the ventilation unit**

The protocol must at least include the following: description of the property, location address, name and address of the tester, time of adjustment, manufacturer and model of ventilation unit, adjusted volumetric flows per valve for normal operation, mass flow/volumetric flow comparison for outdoor air and exhaust air (maximum disbalance of 10%). Recommendation: Use PHPP Ventilation specification sheet, source PHPP CD or [www.passiv.de](http://www.passiv.de).

→ ***needed for the refurbishment***



## 4 Verification of the airtight building envelope according to DIN EN 13829

In variation from DIN EN 13829, a series of measurements each for overpressure and underpressure is necessary. The pressure test is to be carried out only for the heated building envelope (basement, porches, conservatories etc., which are not integrated into the thermal building envelope, should not be included in the test). It is recommended that the test be carried out when the airtight level is still accessible and eventual improvements can be carried out. The calculation of the indoor air volume should also be documented in the pressure test report.

→ ***This test is necessary both for the existing building and after the refurbishment***

It might be difficult to arrange the blower door test in historic buildings. In DIN EN 13829 are given advices how to measure older buildings.

Basically, an institution or person independent of the contractor or building owner should carry out the pressure test. A pressure test which is carried out by the contractor will only be accepted if a person signs the test report for the accuracy of the information on his own responsibility.

## 5 Photographs

Photographs which document the construction of the building should be provided; digital images are preferable.

**It may be possible that additional test reports or data sheets for the components used in the building are required. If values which are more favourable than those in the standard PHPP procedure are to be set, these should be supported by detailed evidence.**