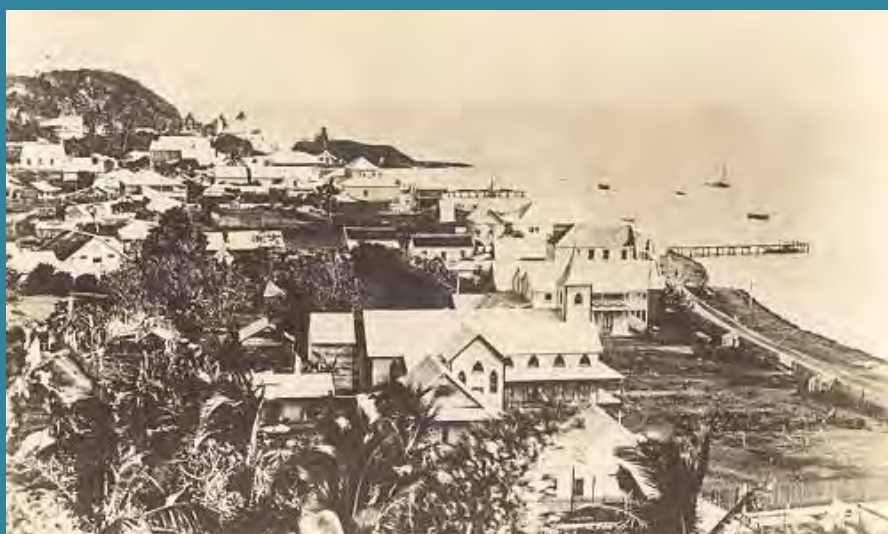# PLANNING FOR
THE CONSERVATION AND DEVELOPMENT
OF HISTORIC TOWNS AND URBAN AREAS

READER

Training Workshop held in Suva, Fiji
27 July – 7 August 2015

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PLANNING FOR THE CONSERVATION AND DEVELOPMENT OF HISTORIC TOWNS AND URBAN AREAS

READER

Purpose of the Reader

This reader is meant to be a complementary pedagogical tool to the 2-week training program held in Suva, Fiji Islands, 27 July - 7 August 2015. It summarizes the content of modules and gathers a selection of useful key-texts as well as a bibliography closely related to the topics discussed during the training workshop, with a view to providing more in-depth knowledge. Together with the ppt presentations in digital form attached to this publication, the reader provides additional information and knowledge that helps consolidating the concepts, methods and tools learned during the workshop and allow trainees to transmit further this knowledge to their colleagues and communities.

The document focuses on issues specific to the conservation and management of historic towns and urban centers in the Pacific Region and could be used in other training programs on the same topic, or can be used by site managers and other professionals involved in urban conservation. Finally, administrators and decision-makers can make use of it, for getting a general insight in urban conservation and management, and specific guidance in the evaluation of development proposals.

The *Reader*, likewise the Training Workshop organized in Suva, Fiji, is conceived in the spirit of the UNESCO Recommendation on the Historic Urban Landscape Historic (HUL), an updated, holistic approach to the management of heritage resources in dynamic, constantly changing 21st century urban areas. This new UNESCO Recommendation provides a set of general principles in support of sustainable urban heritage management that integrates environmental, social and cultural concerns into the planning, design and implementation of urban management programs. The urban area under consideration is extending beyond the notion of "historic center" or "district" to include the broader urban context and topographical setting, as well as social and cultural practices and values, economic processes and the intangible dimensions of heritage. It is based on the recognition and identification of a layering and interconnection of values which shapes local identity that should be taken as a point of departure in the overall management and further development of the city.

The Historic Urban Landscape approach has been developed in reaction to the threat of demolition for urban renewal and insensitive development, to offer an alternative to the preservation of historic inner cities in isolation, without integrating them into the broader context of their urban surroundings. This has resulted in abandonment by their traditional

population and loss of identity, wherein once vibrant areas either suffer urban decay and blight, or are well-preserved but devoid of everyday life and traditional values.

International research and practice in many parts of the world increasingly shows that heritage conservation is a viable strategy for inner city revitalization and urban regeneration, and that heritage conservation pays. The Historic Urban Landscape approach proposes a simple six-point 'Action Plan' that places local culture and heritage, and the values and meaning they carry, at the heart of the decision-making process.

Briefly stated, the six steps include a thorough inventory of natural, cultural and community assets, of the values these hold and the vulnerability of these assets to socio-economic pressures and climate change. This information should be integrated into a City Development Strategy with a prioritization of policies and programs for conservation and development, and the establishment of partnerships between public, private and civic sectors to coordinate action.

The lectures and the *Reader* focus on topics of particular interest for the Pacific Region, such as living heritage, integration of tangible and intangible heritage, and of cultural and natural heritage, recognition and respect of cultural diversity, community involvement in urban conservation and management planning processes, cultural identity, sustainable tourism and contribution of tourism to sustainable development.

Content[1]

The Reader consists of 3 sections:

1) A Summary of training modules

This section provides:

- A *general introduction* to the field of urban conservation, the definition of the main concepts, and the evolution of ideas, from early approaches to the international doctrine (Module 1).

- The *urban conservation planning processes*, that embrace a broad definition of 'heritage' providing methods for an integrated examination of the historical, socio-economical, legislative and political aspects, next to the thorough assessment of the historic urban environment. The difference between conservation plans and management plans is clarified and *management planning methodology* is further developed (Module 2).

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[1] At the beginning of the training workshop held in Suva, the participants received the key readings (international policy documents and selected texts) in digital format. The international policy documents have been used by the participants for the preparation of class/field exercises and student ppt presentations.

- *New development in historic urban areas.* This section provides methods and tools for the harmonious integration of new development that responds to the local character, and protects and enhances the existing built and natural heritage. The tools to assess development proposals - Heritage Impact Assessment (HIA), as well as strategies for avoiding, reduce or mitigating the harmful impacts of recent existing buildings – are also discussed (Module 3).

2) **Key readings** on Basics of Urban Conservation and Management, a compilation of texts including *international guiding documents and selected texts; and*

3) **Selected Bibliography** on *Conservation and Management Planning for (World) Heritage Sites* which focuses on literature that specifically addresses the topics discussed in the training pogram and, as such, does not include the broad spectrum of general literature on conservation theory and practice. This is not to say that the conservation principles found in these texts do not apply to urban conservation planning and development; rather, in most cases, they constitute the backbone that sustains specific recommendations on this topic. It is recommended that general conservation literature be studied in parallel with the specific titles included here.

1. SUMMARY OF TRAINING MODULES

Introduction and Background

The capacity building project was first discussed in the occasion of the *5th Pacific World Heritage Workshop* organized by UNESCO in cooperation with the Department of National Heritage, Culture and Arts of the Republic of Fiji (27 to 30 November 2013). In this occasion, the possibility of applying the Historic Urban Landscape Approach in the Historical Port Town of Levuka[2] using the Netherlands Funds-in-Trust post-inscriptional support, has been explored. Levuka was inscribed at the 37th Session of the World Heritage Committee, in June 2013 in Cambodia, as Fiji's first World Heritage site.

Based on a needs assessment undertaken by the Department of National Heritage, Culture and Arts, in the context of Levuka's nomination to the World Heritage List, it was agreed that currently the development of a Conservation Plan for Levuka within the overall set-up of the Historic Urban Landscape approach has the highest priority. As a preamble, a Training

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[2] Inscribed on the World Heritage List in 2013 (criteria (ii) and (iv)), the Historical Port Town of Levuka, the first colonial capital of Fiji is a rare example of a late 19th century Pacific colonial port town. The town developed as a centre of commercial activity integrating several villages of the indigenous population of Ovalau Island. The urban typology reflects the integration of a supreme naval power into a specific oceanic environment, which in combination with the local building tradition created a unique type of Pacific port town landscape.

Workshop on the Development of Urban Conservation Plans to improve capacity in this specialized area of expertise, was deemed necessary, WHITRAP being assigned to take the lead in developing this training workshop.

Since being declared a World Heritage Site, many efforts and resources have been mobilized at national level in order to ensure the required level of protection and management of the former capital city, and improve its overall state of conservation, with the view to complying with the five recommendations of the World Heritage Committee (Committee Decisions 37 COM 8B.25)[3]. However, the State Party still needs to provide additional specific tools to control and guide the evolution of the World Heritage site and its buffer zone in particular, and that of the other Fijian settlements of heritage interest.

The initiative is inscribed in the larger framework of UNESCO's core work in education and capacity building, and addresses key capacity building needs identified in a series of regional documents and programmes[4]. These include as a priority concern the education for sustainable development, and the promotion of technical and vocational education in conservation, tailored to the special needs of the Pacific Region.

The two-week (10 days) training program "Planning for the Conservation and Development of Historic Towns and Urban Areas" addresses one of the former and current Pacific World Heritage Action Plan's priority activity – training and capacity building to improve skills and expertise in heritage conservation needed to enable proper protection and management of cultural World Heritage Sites (i.e. preparing and implementing conservation and management plans, evaluating development proposals and their impacts).

The training program follows, in its approach, the UNESCO Recommendation on Historic Urban Landscape (2011) and the ICOMOS Guidelines on Education and Training (1993). Guided by the actual definition of the concept of "cultural heritage" based on pluralism, diversity and respect for context, this training workshop adopts a holistic, integrated and multidisciplinary approach, allowing for exchange of experiences and understanding of different cultures,

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[3] "The World Heritage Committee [...] recommends that the State Party give consideration to the following:
a) Approving, promulgating and implementing the Fiji World Heritage Decree which provides for legal protection of the property and the buffer zone;
b) Developing a medium-term plan for the conservation of structures in poor condition and for the **professional development of expertise in conservation;** (Bold emphasis ours)
c) Including archaeological sites in the inventory and completing it as soon as possible;
d) Keeping the maximum building height and building density specified for hotel development to the prevalent level of existing buildings and integrating the requirement of *Heritage Impact Assessments* for any type of tourism developments in the property, buffer zone and wider setting;
e) Finalizing the Levuka town-planning scheme."

[4] See: the Mauritius Strategy for the Further Implementation of the Programme of Action for the Sustainable Development of Small Island Developing States (MSI), 2005 (Chapter XIV, para 72); the SIDS Accelerated Modalities of Action (SAMOA Pathway), 2014 (paras 108 and 109); and the Pacific Region World Heritage Action Plan 2010-2015.

perspectives and methods. The training workshop consists of 3 modules whose content is summarized below.

Module 1:

Fundamentals of Heritage Conservation

The training program "Planning for the Conservation and Development of Historic Towns and Urban Areas" addresses a specialized area of conservation – planning of historic cities – in relation to sustainable development. However, an introduction discussing the basic concepts of conservation and their historical evolution and a presentation of the core principles of the World Heritage Convention (1972) was considered necessary, in order to built-up the background and theoretical framework for the next two specialty modules.

Module 1 covers a basic introduction to the field of cultural heritage conservation and discusses the concepts, methods, theories and policies developed for describing, analysizing, and explaining the making of heritage, its protection, conservation and management, in a cross-cultural, historico-critical perspective. Module 1 provides core knowledge and therefore it is compulsory.

Lectures define and explain the central concepts of conservation found in literature and their evolution through time. The way concepts have been applied in the course of history is illustrated through a series of emblematic conservation interventions in order to develop skills to identify, exemplify and analyze ethical problems in conservation as practiced in real situations, while the relationship between scientific knowledge and professional decision-making in conservation is emphasized.

A central place in this module is given to the origins, implementation and evolution of the World Heritage Convention adopted by the UNESCO General Conference in 1972. By adopting this convention, UNESCO set a challenging task of (1) establishing an inventory of works considered of outstanding universal value and (2) ensuring their safeguarding for the enjoyment of present and future generations. The major contribution of the 1972 Convention resides in establishing, for the first time, that some values are not just of importance to the country or culture they belong to, but to the humanity as a whole. As such, it could share and benefit of the culture of different peoples while being jointly responsible for safeguarding them. The World Heritage Convention conveyed also the idea that natural heritage is as important as cultural heritage for humanity, nature and culture being indissociable for its memory and future.

The course on the 1972 Convention discusses the legal framework, the criteria for inscription of cultural and natural properties illustrated by emblematic World Heritage properties, the qualifying conditions of authenticity and integrity, as well as the role of the State Parties to the Convention, of the World Heritage Committee and of the Secretariat, the Advisory Bodies

(ICOMOS, IUCN, ICCROM). Moreover, the Global Strategy to establish a well-balanced and fully representative List of the different cultures of the world, of particular relevance for the Pacific Region, is explained in detail.

Module 1 provides participants from diverse backgrounds with the basic concepts, perspectives and approaches associated with architectural and urban heritage and enables them to use conservation concepts in a critical and independent way. Participants get a good understanding of the World Heritage Convention and its implementation, and learn about international charters and recommendations promoting the most updated principles and practices of heritage conservation, in particular the UNESCO Recommendation on Historic Urban Landscape.

Module 2:

Urban Conservation Planning and Management

We are witnessing nowadays the largest human migration in history: from rural areas and small cities to larger cities, but also migration due to climate change or displacement caused by local and regional conflicts. Urban areas are sheltering now more than half of humanity and become thereby, powerful engines of growth and centres of innovation and creativity that provide opportunities for employment and education.

However, rapid and uncontrolled growth usually results in irreversible deterioration of urban quality. Over-densification, historic buildings and areas replaced by monotonous, high-rising and out-of-scale buildings and banal public spaces, inadequate and poor infrastructure, decreased resilience and increased risk of climate related disasters, increased poverty and criminality are just some of the effects of ill-managed change.

Research and practice have demonstrated that urban heritage plays an important role in enhancing the quality of life in cities and sustaining economic growth in a global world. So, the protection, conservation and enhancement of this asset becomes a key strategy to achieve urban sustainability.

In the past half century, urban conservation started to be recognized as an important public policy worldwide. Conservation has gradually broadened up from the architectural scale of single, monumental buildings, to urban and territorial scale, and to the recognition of the built environment as a whole. However, this change in attitude is slow, especially outside the Western world, this fact being reflected in the inertia in updating policies and tools to adopt this advanced, broader definition of heritage.

In order to address the need to better frame heritage conservation strategies within the larger goals of sustainable development, UNESCO developed the Historic Urban Landscape (HUL)

Recommendation (2011), a document aimed at preserving and enhancing the quality of the human environment.

Module 2, "*Urban conservation planning and management"*, is a specialty module designed in the spirit of the Historic Urban Landscape Recommendation[5], the most updated approach to urban heritage management promoted by UNESCO. As such, the urban conservation planning process considers both tangible and intangible components of urban heritage, and embraces a landscape approach for identifying, conserving and managing historic areas within their broader urban contexts, while considering the inter-relationships between their physical components, spatial organization and hierarchy, their natural features and settings, and their social and cultural values. Special emphasis is put on the involvement of communities, among a variety of stakeholders including local, national, international, public and private actors in the urban planning process.

Other relevant policy documents - UNESCO Recommendations, ICOMOS Charters as well as other international policy documents and relevant literature related to heritage preservation - have been used as additional guidance in order to better understand the many dimensions and facets of urban heritage conservation.

Module 2 provides methods for an integrated examination and diagnosis of the historical, socio-economical, legislative and political aspects, next to the thorough assessment of the historic urban environment, allowing the preparation of an effective tool for the preservation and control of transformations in historic cities: the *Urban Conservation Plan*. A particular attention is given to the large-scale projects in sensitive or strategic areas (i.e. *Revitalization of commercial streets/markets; Upgrading of public open space - paving, urban furniture, public lighting, signage, landscaping/streetscape design; Renewal of depressed neighbourhoods; Rehabilitation of infrastructure*). Furthermore, the difference between conservation plans and management plans is clarified and management planning methodology is further developed.

Moreover, this module discusses the concept of sustainable development and its meanings in relation to urban conservation and focuses on the use, application and consequences of sustainable development for the conservation of cultural heritage.

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[5] Definition (from the official policy document):
"The **Historic Urban Landscape** is a sustainable analytical approach for the assessment, conservation and management of urban areas, understood as a historic layering of cultural and natural values, extending beyond the notion of 'historic centre' or 'ensemble' to include the broader urban context and its geographical setting.
This wider context includes the site's topography, geomorphology and natural features; its built environment, both historic and contemporary; its infrastructures above and below ground; its open spaces and gardens; its land use patterns and spatial organization; its visual relationships with its overall setting; and all other elements of the urban structure. It also includes the social and cultural practices and values, human activities as well as economic processes, the unique characteristics of any one place and the intangible dimensions of heritage as related to diversity and identity, all of which establish the basic role of the city as an agent for communal growth and development".

Practical exercises – field and class work – related to the most important steps of the planning process complement the lectures in this module. The participants learn the process of taking decisions about their local built environment in a sustainable way. It is a useful course for those concerned with planning of historic environments and other community planning exercises.

Module 3:

New Development in Historic Urban Areas

The increasing globalization of the economy and new patterns of migration have a direct impact on the identity and visual integrity of historic cities and their broader setting. Accelerated urbanization along with explosive economic growth resulted in uncontrolled, poorly conceived and/or badly implemented urban development. Moreover, the role of contemporary architecture in historic places is not well defined and understood, and the need to respect/restore a continuum has been often disregarded; what seemed to be a common-sense rule in the past is ignored by contemporary architectural design. As a result, in many places, new development has been frozen or restricted to the minimum necessary to avoid the on-going destruction of historic centres. In fact, the current principles and practices are not sufficient and adequate to manage these rapid changes, and therefore the decisions tend to be *ad hoc* and/or subjective.

Taking note of this reality, the new approach put forth by the UNESCO Recommendation on Historic Urban Landscape fully recognizes the cultural value of contemporary architectural creation in historic cities or areas as another layer of significance, while acknowledging the need to respect integrity and the continuity of a place - a requirement that calls for innovative methods and tools.

Since new development in historic areas remains a challenging and debated issue, and in the same time constitutes an important chapter of any *Urban Conservation Plan*, a module on this topic - seen through the lenses of the HUL Recommendation - was considered necessary and timely.

Module 3 is designed to help decision-makers, architects, planners, developers and communities to enhance new development proposals so that they integrate well to the historic area, their close context and wider surroundings. It provides methods and tools for the harmonious integration of new development that respects and is sympathetic to the particular local character or appearance of the existing historic environment.

The approach promotes sustainable development aiming at creating a balance between conservation and renewal and favors the rehabilitation and adaptive re-use of existing historic properties instead of their replacement by low-quality, poorly designed new development.

However, quality new development is encouraged, in specific locations and provided that it respects and enhances the harmony of the existing built-up context.

The aim of this module is to learn how to plan development in existing built-up historic areas in the most sustainable way, and how to increase their attractiveness whilst conserving and reusing their cultural heritage and reinforcing the identity of the place. Lectures, richly illustrated with international examples, provide a wider understanding of how new interventions (buildings, structures and spaces)[6] can be undertaken in historic areas to create successful inclusive and mixed-use environments.

The design/planning process will necessarily start with an assessment of the existing built and natural environment and its values; it will take into account the geography, geology and history of the place, as well as the pattern of existing development and street network, and its historical layering. The new development will respect important views as well as the scale and the siting of the neighboring buildings. In order to contribute to the enhancement of the area, it will create new views and juxtapositions which add to the variety and texture of the setting. Next to criteria that refer to the physical characteristics - form and appearance - new development within heritage-sensitive areas will also consider many components of national, regional and local planning policy, such as: sustainable development, transport, housing, mix of uses, renewable energy, air quality.

Furthermore, the stress put in the HUL Recommendation on the consideration of the wider context, on its built environment and the visual relationships with the overall setting, open spaces and natural components, require a specific tool – the Heritage Impact Assessment. A special course, providing methods for the assessment of development proposals and guidance for performing a Heritage Impact Assessment (HIA), as well as strategies for avoiding, reduce or mitigating the harmful impacts of recent existing buildings is dedicated to this key topic.

Practical exercises in Module 3 – field and class work – are based on relevant local and international case-studies. They relate to heritage impact assessments and include mitigation strategies to avoid, eliminate or minimize harm. Finally, the last exercise refers to the way heritage and culture in general inform sustainable city planning and design which strikes the right balance between conservation and development ("two sides of the same coin") to improve and enhance the quality of historic urban environments.

Participants learn how to identify the constraints and opportunities for new development by consulting, where available, the local conservation plan and its specific regulations and guidelines. If this tool is not available, a set of general principles and criteria are established based on national and international policy guidance documents. Then, based on specialized assessments of the existing built-up environment and its relationships with open and green spaces, a set of specific criteria, proper to each place, are developed to provide a framework

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[6] Extension or remodeling of an existing building is considered new building.

for local authorities, developers and communities to guide the design and planning processes, and to evaluate development proposals and make informed decisions

Module 3 is a useful course for those concerned with proposing or evaluating new design (infill or multiple-lot development) within historic environments.

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This training format combines several different training methods (formal presentations, case studies, simulations, with field and class exercises and guided discussions) which have proven highly effective. However, in order to maximize the overall training program's benefits in this particular topic and sector of activity, it is suggested that the participants apply the acquired skills and knowledge in a real project (i.e. Levuka), under the direct guidance and supervision of the course instructor/consultant in charge with the preparation of the Conservation Plan (**on-the-job training**). During several months, the participants work and learn how to document the site, define significance, assess condition, establish diagnoses, develop specific regulations and guidelines, assess impacts and propose those conservation-related changes that most beneficially address Levuka's development challenges. In a subsequent project's phase, the group of trainees will explore ways in which existing urban planning regulations and policies could be employed, or amended if necessary, to manage change in urban areas more effectively.

2. KEY READINGS:
BASICS OF URBAN CONSERVATION AND MANAGEMENT

2.1 International guiding documents

This section includes the following texts:

1. SECOND INTERNATIONAL CONGRESS OF ARCHITECTS AND SPECIALISTS OF HISTORIC BUILDINGS. *Charter of Venice for the Conservation and Restoration of Monuments and Sites,* 1964. http://www.icomos.org/charters/venice_e.pdf

2. UNESCO. *The World Heritage Convention*, 1972.
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3. UNESCO. *The Convention on Intangible Heritage*, 2003.
http://unesdoc.unesco.org/images//0013/001325/132540e.pdf

4. UNESCO. *The Convention on Cultural Diversity*, 2005.
http://unesdoc.unesco.org/images/0014/001429/142919e.pdf

5. UNESCO. *Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas,* 1976. http://www.icomos.org/publications/93towns7o.pdf

6. ICOMOS. *Charter of Washington*, 1987. http://www.icomos.org/charters/towns_e.pdf

7. *The Nara Document on Authenticity*, 1993. http://*whc.unesco.org/document/9379*

8. ICOMOS. *Xi'an Declaration on the Conservation of the Setting of Heritage Structures, Sites and Areas,* 2005. http://www.icomos.org/charters/xian-declaration.pdf

9. *Québec Declaration on the Preservation of the Spirit of the Place*. Adopted at Québec, Canada, October 4th 2008. http://whc.unesco.org/uploads/activities/documents/activity-646-2.pdf

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12. ICOMOS. *Guidance on Heritage Impact Assessments for Cultural World Heritage Properties*, 2011. http://www.icomos.org/world_heritage/HIA_20110201.pdf

13. ICOMOS. *International Cultural Tourism Charter*, 2002 (approved in 1999).

- ICOMOS. *The World Heritage List: Filling the Gaps - an Action Plan for the Future,* 2004. http://whc.unesco.org/uploads/activities/documents/activity-590-1.pdf

- ICOMOS. *The World Heritage List: What is OUV? Defining the Outstanding Universal Value of Cultural World Heritage Properties*. An ICOMOS study compiled by Jukka Jokilehto, 2008. 111 p. (Monuments and Sites; XVI). http://www.icomos.org/publications/monuments_and_sites/16/pdf/Monuments_and_Sites_16_What_is_OUV.pdf

- UNESCO. Operational Guidelines for the Implementation of the World Heritage Convention, 2015. http://whc.unesco.org/en/guidelines/

- *Hoi An Protocols for Best Conservation Practice in Asia. Professional Guidelines for Assuring and Preserving the Authenticity of Heritage Sites in the Context of the Cultures of Asia.* Adopted by the Asia-Oceania Region at the ICOMOS General Assembly in Xi'an, China in 2005. http://unesdoc.unesco.org/images/0018/001826/182617e.pdf

> The above four publications highlighted in red are not included in the printed format but only in digital format.

> For more cultural heritage policy documents see: *http://www.getty.edu/conservation/publications_resources/research_resources/charters.html*

2.2 Selected Texts

This section includes the following texts:

1. Jokilehto Jukka (2007). "International charters on urban conservation: some thoughts on the principles expressed in current international doctrine". City & Time 3 (3): 2. [online] http://www.ct.ceci-br.org

2. Jokilehto Juka (2006). "Considerations on authenticity and integrity in world heritage context". City & Time 2 (1): 1. [online] http://www.ct.ceci-br.org

3. Stovel, Herb (2007). "Effective use of authenticity and integrity as world heritage qualifying conditions". City & Time 2 (3): 3. [online]. http://www.ct.ceci-br.org

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8. Logan, David and Mackay, Richard (2013). "Inventories and Heritage Management: The Australian Experience". GCI Newsletter, no.28.2, Fall 2013. http://www.getty.edu/conservation/publications_resources/newsletters/28_2/inventories.html

9. Furtado F. (2004). "Monitoring World Heritage". City & Time 1 (2): 6. [online] http://www.ct.ceci-br.org

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▪ The Getty Conservation Institute. *Values and Heritage Conservation*. Research Report directed by Marta de la Torre and edited by Erica Avrami and Randall Mason, 2000. https://www.getty.edu/conservation/publications_resources/pdf_publications/pdf/valuesrpt.pdf

- ▪ The Getty Conservation Institute. *Assessing the Values of Cultural Heritage*. Research Report edited by Marta de la Torre, 2002. http://www.getty.edu/conservation/publications_resources/pdf_publications/pdf/assessing.pdf

- ▪ The Getty Conservation Institute. *Economics and Heritage Conservation*. A Meeting Organized by the Getty Conservation Institute, December 1998. https://www.getty.edu/conservation/publications_resources/pdf_publications/pdf/econrpt.pdf

> ➤ The above three publications highlighted in red are included in the digital (pdf) format only.

3. BIBLIOGRAPHY:
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3.1 General

"Managing Cultural World Heritage" Manual. http://whc.unesco.org/en/managing-cultural-world-heritage/

Manual for the management of World Cultural Heritage sites. Feilden, Bernard M. Rome, ICCROM, 1985.

Management guidelines for World Cultural Heritage sites. Feilden, Bernard M.; Jokilehto, Jukka. Rome, ICCROM, 1993.

Management plans for World Heritage Sites: a practical guide. Ringbeck, Birgitta. Bonn, German Commission for UNESCO, 2008.

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UNESCO, Cultural Heritage, and Outstanding Universal Value: Value-based Analyses of the World Heritage and Intangible Cultural Heritage Conventions. Sophia Labadi, AltaMira Press, 2013.

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ANNEX

2.1 International guiding documents

CONSEIL INTERNATIONAL
DES MONUMENTS ET DES SITES

ICOMOS

INTERNATIONAL COUNCIL
ON MONUMENTS AND SITES

INTERNATIONAL CHARTER FOR THE CONSERVATION AND RESTORATION OF MONUMENTS AND SITES (THE VENICE CHARTER 1964)

IInd International Congress of Architects and Technicians of Historic Monuments, Venice, 1964.

Adopted by ICOMOS in 1965.

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 IInd International Congress of Architects and Technicians of Historic Monuments, which met in Venice from May 25th to 31st 1964, approved the following text:

DEFINITIONS

Article 1.

The concept of a 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 a 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.

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 colour 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
José 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)
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Deoclecio Redig de Campos (Vatican)
Jean Sonnier (France)
Francois Sorlin (France)
Eustathios Stikas (Greece)
Gertrud Tripp (Austria)
Jan Zachwatovicz (Poland)
Mustafa S. Zbiss (Tunisia)

UNITED NATIONS EDUCATIONAL, SCIENTIFIC
AND CULTURAL ORGANISATION

CONVENTION CONCERNING THE
PROTECTION OF THE WORLD CULTURAL
AND NATURAL HERITAGE

Adopted by the General Conference at its seventeenth session
Paris, 16 november 1972

English Text

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,

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 purpose 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:

(a) 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;

(b) 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;

(c) 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;

(d) to take the appropriate legal, scientific, technical, administrative and financial measures necessary for the identification, protection, conservation, presentation and rehabilitation of this heritage; and

(e) 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 NATURAL HERITAGE

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 (Rome Centre), 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:

        (a) compulsory and voluntary contributions made by States Parties to this Convention,

        (b) Contributions, gifts or bequests which may be made by:

                (i) other States;

                (ii) 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;

                (iii) public or private bodies or individuals;

        (c) any interest due on the resources of the Fund;

        (d) funds raised by collections and receipts from events organized for the benefit of the fund; and

        (e) 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.

11

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 Fund may take the following forms:

(a)	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;

(b)	provisions of experts, technicians and skilled labour to ensure that the approved work is correctly carried out;

(c)	training of staff and specialists at all levels in the field of identification, protection, conservation, presentation and rehabilitation of the cultural and natural heritage;

(d)	supply of equipment which the State concerned does not possess or is not in a position to acquire;

(e)	low-interest or interest-free loans which might be repayable on a long-term basis;

(f)	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:
  (a)   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;

  (b)   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.

UNESCO

**CONVENTION FOR THE SAFEGUARDING
OF THE INTANGIBLE CULTURAL HERITAGE**

Paris, 17 October 2003

CONVENTION FOR THE SAFEGUARDING
OF THE INTANGIBLE CULTURAL HERITAGE

The General Conference of the United Nations Educational, Scientific and Cultural Organization hereinafter referred to as UNESCO, meeting in Paris, from 29 September to 17 October 2003, at its 32nd session,

Referring to existing international human rights instruments, in particular to the Universal Declaration on Human Rights of 1948, the International Covenant on Economic, Social and Cultural Rights of 1966, and the International Covenant on Civil and Political Rights of 1966,

Considering the importance of the intangible cultural heritage as a mainspring of cultural diversity and a guarantee of sustainable development, as underscored in the UNESCO Recommendation on the Safeguarding of Traditional Culture and Folklore of 1989, in the UNESCO Universal Declaration on Cultural Diversity of 2001, and in the Istanbul Declaration of 2002 adopted by the Third Round Table of Ministers of Culture,

Considering the deep-seated interdependence between the intangible cultural heritage and the tangible cultural and natural heritage,

Recognizing that the processes of globalization and social transformation, alongside the conditions they create for renewed dialogue among communities, also give rise, as does the phenomenon of intolerance, to grave threats of deterioration, disappearance and destruction of the intangible cultural heritage, in particular owing to a lack of resources for safeguarding such heritage,

Being aware of the universal will and the common concern to safeguard the intangible cultural heritage of humanity,

Recognizing that communities, in particular indigenous communities, groups and, in some cases, individuals, play an important role in the production, safeguarding, maintenance and re-creation of the intangible cultural heritage, thus helping to enrich cultural diversity and human creativity,

Noting the far-reaching impact of the activities of UNESCO in establishing normative instruments for the protection of the cultural heritage, in particular the Convention for the Protection of the World Cultural and Natural Heritage of 1972,

Noting further that no binding multilateral instrument as yet exists for the safeguarding of the intangible cultural heritage,

Considering that existing international agreements, recommendations and resolutions concerning the cultural and natural heritage need to be effectively enriched and supplemented by means of new provisions relating to the intangible cultural heritage,

Considering the need to build greater awareness, especially among the younger generations, of the importance of the intangible cultural heritage and of its safeguarding,

Considering that the international community should contribute, together with the States Parties to this Convention, to the safeguarding of such heritage in a spirit of cooperation and mutual assistance,

Recalling UNESCO's programmes relating to the intangible cultural heritage, in particular the Proclamation of Masterpieces of the Oral and Intangible Heritage of Humanity,

Considering the invaluable role of the intangible cultural heritage as a factor in bringing human beings closer together and ensuring exchange and understanding among them,

Adopts this Convention on this seventeenth day of October 2003.

I. General provisions

Article 1 – Purposes of the Convention

The purposes of this Convention are:

(a) to safeguard the intangible cultural heritage;

(b) to ensure respect for the intangible cultural heritage of the communities, groups and individuals concerned;

(c) to raise awareness at the local, national and international levels of the importance of the intangible cultural heritage, and of ensuring mutual appreciation thereof;

(d) to provide for international cooperation and assistance.

Article 2 – Definitions

For the purposes of this Convention,

1. The "intangible cultural heritage" means the practices, representations, expressions, knowledge, skills – as well as the instruments, objects, artefacts and cultural spaces associated therewith – that communities, groups and, in some cases, individuals recognize as part of their cultural heritage. This intangible cultural heritage, transmitted from generation to generation, is constantly recreated by communities and groups in response to their environment, their interaction with nature and their history, and provides them with a sense of identity and continuity, thus promoting respect for cultural diversity and human creativity. For the purposes of this Convention, consideration will be given solely to such intangible cultural heritage as is compatible with existing international human rights instruments, as well as with the requirements of mutual respect among communities, groups and individuals, and of sustainable development.

2. The "intangible cultural heritage", as defined in paragraph 1 above, is manifested inter alia in the following domains:

(a) oral traditions and expressions, including language as a vehicle of the intangible cultural heritage;

(b) performing arts;

(c) social practices, rituals and festive events;

(d) knowledge and practices concerning nature and the universe;

(e) traditional craftsmanship.

3.   "Safeguarding" means measures aimed at ensuring the viability of the intangible cultural heritage, including the identification, documentation, research, preservation, protection, promotion, enhancement, transmission, particularly through formal and non-formal education, as well as the revitalization of the various aspects of such heritage.

4.   "States Parties" means States which are bound by this Convention and among which this Convention is in force.

5.   This Convention applies mutatis mutandis to the territories referred to in Article 33 which become Parties to this Convention in accordance with the conditions set out in that Article. To that extent the expression "States Parties" also refers to such territories.

Article 3 – Relationship to other international instruments

Nothing in this Convention may be interpreted as:

  (a)   altering the status or diminishing the level of protection under the 1972 Convention concerning the Protection of the World Cultural and Natural Heritage of World Heritage properties with which an item of the intangible cultural heritage is directly associated; or

  (b)   affecting the rights and obligations of States Parties deriving from any international instrument relating to intellectual property rights or to the use of biological and ecological resources to which they are parties.

II. Organs of the Convention

Article 4 – General Assembly of the States Parties

1.   A General Assembly of the States Parties is hereby established, hereinafter referred to as "the General Assembly". The General Assembly is the sovereign body of this Convention.

2.   The General Assembly shall meet in ordinary session every two years. It may meet in extraordinary session if it so decides or at the request either of the Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage or of at least one-third of the States Parties.

3.   The General Assembly shall adopt its own Rules of Procedure.

Article 5 – Intergovernmental Committee for the Safeguarding
of the Intangible Cultural Heritage

1.   An Intergovernmental Committee for the Safeguarding of the Intangible Cultural Heritage, hereinafter referred to as "the Committee", is hereby established within UNESCO. It shall be composed of representatives of 18 States Parties, elected by the States Parties meeting in General Assembly, once this Convention enters into force in accordance with Article 34.

2.   The number of States Members of the Committee shall be increased to 24 once the number of the States Parties to the Convention reaches 50.

Article 6 – Election and terms of office of States Members of the Committee

1.   The election of States Members of the Committee shall obey the principles of equitable geographical representation and rotation.

2.   States Members of the Committee shall be elected for a term of four years by States Parties to the Convention meeting in General Assembly.

3.   However, the term of office of half of the States Members of the Committee elected at the first election is limited to two years. These States shall be chosen by lot at the first election.

4.   Every two years, the General Assembly shall renew half of the States Members of the Committee.

5.   It shall also elect as many States Members of the Committee as required to fill vacancies.

6.   A State Member of the Committee may not be elected for two consecutive terms.

7.   States Members of the Committee shall choose as their representatives persons who are qualified in the various fields of the intangible cultural heritage.

Article 7 – Functions of the Committee

Without prejudice to other prerogatives granted to it by this Convention, the functions of the Committee shall be to:

(a)   promote the objectives of the Convention, and to encourage and monitor the implementation thereof;

(b)   provide guidance on best practices and make recommendations on measures for the safeguarding of the intangible cultural heritage;

(c)   prepare and submit to the General Assembly for approval a draft plan for the use of the resources of the Fund, in accordance with Article 25;

(d)   seek means of increasing its resources, and to take the necessary measures to this end, in accordance with Article 25;

(e)   prepare and submit to the General Assembly for approval operational directives for the implementation of this Convention;

(f)   examine, in accordance with Article 29, the reports submitted by States Parties, and to summarize them for the General Assembly;

(g)   examine requests submitted by States Parties, and to decide thereon, in accordance with objective selection criteria to be established by the Committee and approved by the General Assembly for:

(i)   inscription on the lists and proposals mentioned under Articles 16, 17 and 18;

(ii)   the granting of international assistance in accordance with Article 22.

Article 8 – Working methods of the Committee

1.   The Committee shall be answerable to the General Assembly. It shall report to it on all its activities and decisions.

2.   The Committee shall adopt its own Rules of Procedure by a two-thirds majority of its Members.

3.   The Committee may establish, on a temporary basis, whatever ad hoc consultative bodies it deems necessary to carry out its task.

4.   The Committee may invite to its meetings any public or private bodies, as well as private persons, with recognized competence in the various fields of the intangible cultural heritage, in order to consult them on specific matters.

Article 9 – Accreditation of advisory organizations

1.   The Committee shall propose to the General Assembly the accreditation of non-governmental organizations with recognized competence in the field of the intangible cultural heritage to act in an advisory capacity to the Committee.

2.   The Committee shall also propose to the General Assembly the criteria for and modalities of such accreditation.

Article 10 – The Secretariat

1.   The Committee shall be assisted by the UNESCO Secretariat.

2.   The Secretariat shall prepare the documentation of the General Assembly and of the Committee, as well as the draft agenda of their meetings, and shall ensure the implementation of their decisions.

III. Safeguarding of the intangible cultural heritage at the national level

Article 11 – Role of States Parties

Each State Party shall:

(a)   take the necessary measures to ensure the safeguarding of the intangible cultural heritage present in its territory;

(b)   among the safeguarding measures referred to in Article 2, paragraph 3, identify and define the various elements of the intangible cultural heritage present in its territory, with the participation of communities, groups and relevant non-governmental organizations.

Article 12 – Inventories

1.   To ensure identification with a view to safeguarding, each State Party shall draw up, in a manner geared to its own situation, one or more inventories of the intangible cultural heritage present in its territory. These inventories shall be regularly updated.

2.   When each State Party periodically submits its report to the Committee, in accordance with Article 29, it shall provide relevant information on such inventories.

Article 13 – Other measures for safeguarding

To ensure the safeguarding, development and promotion of the intangible cultural heritage present in its territory, each State Party shall endeavour to:

(a)   adopt a general policy aimed at promoting the function of the intangible cultural heritage in society, and at integrating the safeguarding of such heritage into planning programmes;

(b)   designate or establish one or more competent bodies for the safeguarding of the intangible cultural heritage present in its territory;

(c)   foster scientific, technical and artistic studies, as well as research methodologies, with a view to effective safeguarding of the intangible cultural heritage, in particular the intangible cultural heritage in danger;

(d)   adopt appropriate legal, technical, administrative and financial measures aimed at:

(i)   fostering the creation or strengthening of institutions for training in the management of the intangible cultural heritage and the transmission of such heritage through forums and spaces intended for the performance or expression thereof;

(ii)   ensuring access to the intangible cultural heritage while respecting customary practices governing access to specific aspects of such heritage;

(iii)   establishing documentation institutions for the intangible cultural heritage and facilitating access to them.

Article 14 – Education, awareness-raising and capacity-building

Each State Party shall endeavour, by all appropriate means, to:

(a)   ensure recognition of, respect for, and enhancement of the intangible cultural heritage in society, in particular through:

(i)   educational, awareness-raising and information programmes, aimed at the general public, in particular young people;

(ii)   specific educational and training programmes within the communities and groups concerned;

      (iii)   capacity-building activities for the safeguarding of the intangible cultural heritage, in particular management and scientific research; and

      (iv)   non-formal means of transmitting knowledge;

   (b)   keep the public informed of the dangers threatening such heritage, and of the activities carried out in pursuance of this Convention;

   (c)   promote education for the protection of natural spaces and places of memory whose existence is necessary for expressing the intangible cultural heritage.

Article 15 – Participation of communities, groups and individuals

Within the framework of its safeguarding activities of the intangible cultural heritage, each State Party shall endeavour to ensure the widest possible participation of communities, groups and, where appropriate, individuals that create, maintain and transmit such heritage, and to involve them actively in its management.

IV. Safeguarding of the intangible cultural heritage at the international level

Article 16 – Representative List of the Intangible Cultural Heritage of Humanity

1.   In order to ensure better visibility of the intangible cultural heritage and awareness of its significance, and to encourage dialogue which respects cultural diversity, the Committee, upon the proposal of the States Parties concerned, shall establish, keep up to date and publish a Representative List of the Intangible Cultural Heritage of Humanity.

2.   The Committee shall draw up and submit to the General Assembly for approval the criteria for the establishment, updating and publication of this Representative List.

Article 17 – List of Intangible Cultural Heritage in Need of Urgent Safeguarding

1.   With a view to taking appropriate safeguarding measures, the Committee shall establish, keep up to date and publish a List of Intangible Cultural Heritage in Need of Urgent Safeguarding, and shall inscribe such heritage on the List at the request of the State Party concerned.

2.   The Committee shall draw up and submit to the General Assembly for approval the criteria for the establishment, updating and publication of this List.

3.   In cases of extreme urgency – the objective criteria of which shall be approved by the General Assembly upon the proposal of the Committee – the Committee may inscribe an item of the heritage concerned on the List mentioned in paragraph 1, in consultation with the State Party concerned.

Article 18 – Programmes, projects and activities for the safeguarding
of the intangible cultural heritage

1.   On the basis of proposals submitted by States Parties, and in accordance with criteria to be defined by the Committee and approved by the General Assembly, the Committee shall periodically select and promote national, subregional and regional programmes, projects and

activities for the safeguarding of the heritage which it considers best reflect the principles and objectives of this Convention, taking into account the special needs of developing countries.

2.   To this end, it shall receive, examine and approve requests for international assistance from States Parties for the preparation of such proposals.

3.   The Committee shall accompany the implementation of such projects, programmes and activities by disseminating best practices using means to be determined by it.

V. International cooperation and assistance

Article 19 – Cooperation

1.   For the purposes of this Convention, international cooperation includes, inter alia, the exchange of information and experience, joint initiatives, and the establishment of a mechanism of assistance to States Parties in their efforts to safeguard the intangible cultural heritage.

2.   Without prejudice to the provisions of their national legislation and customary law and practices, the States Parties recognize that the safeguarding of intangible cultural heritage is of general interest to humanity, and to that end undertake to cooperate at the bilateral, subregional, regional and international levels.

Article 20 – Purposes of international assistance

International assistance may be granted for the following purposes:

(a)   the safeguarding of the heritage inscribed on the List of Intangible Cultural Heritage in Need of Urgent Safeguarding;

(b)   the preparation of inventories in the sense of Articles 11 and 12;

(c)   support for programmes, projects and activities carried out at the national, subregional and regional levels aimed at the safeguarding of the intangible cultural heritage;

(d)   any other purpose the Committee may deem necessary.

Article 21 – Forms of international assistance

The assistance granted by the Committee to a State Party shall be governed by the operational directives foreseen in Article 7 and by the agreement referred to in Article 24, and may take the following forms:

(a)   studies concerning various aspects of safeguarding;

(b)   the provision of experts and practitioners;

(c)   the training of all necessary staff;

(d)   the elaboration of standard-setting and other measures;

(e)   the creation and operation of infrastructures;

(f)   the supply of equipment and know-how;

(g)   other forms of financial and technical assistance, including, where appropriate, the granting of low-interest loans and donations.

Article 22 – Conditions governing international assistance

1.   The Committee shall establish the procedure for examining requests for international assistance, and shall specify what information shall be included in the requests, such as the measures envisaged and the interventions required, together with an assessment of their cost.

2.   In emergencies, requests for assistance shall be examined by the Committee as a matter of priority.

3.   In order to reach a decision, the Committee shall undertake such studies and consultations as it deems necessary.

Article 23 – Requests for international assistance

1.   Each State Party may submit to the Committee a request for international assistance for the safeguarding of the intangible cultural heritage present in its territory.

2.   Such a request may also be jointly submitted by two or more States Parties.

3.   The request shall include the information stipulated in Article 22, paragraph 1, together with the necessary documentation.

Article 24 – Role of beneficiary States Parties

1.   In conformity with the provisions of this Convention, the international assistance granted shall be regulated by means of an agreement between the beneficiary State Party and the Committee.

2.   As a general rule, the beneficiary State Party shall, within the limits of its resources, share the cost of the safeguarding measures for which international assistance is provided.

3.   The beneficiary State Party shall submit to the Committee a report on the use made of the assistance provided for the safeguarding of the intangible cultural heritage.

VI. Intangible Cultural Heritage Fund

Article 25 – Nature and resources of the Fund

1.   A "Fund for the Safeguarding of the Intangible Cultural Heritage", hereinafter referred to as "the Fund", is hereby established.

2.   The Fund shall consist of funds-in-trust established in accordance with the Financial Regulations of UNESCO.

3.   The resources of the Fund shall consist of:

    (a)   contributions made by States Parties;

    (b)   funds appropriated for this purpose by the General Conference of UNESCO;

    (c)   contributions, gifts or bequests which may be made by:

        (i)   other States;

        (ii)   organizations and programmes of the United Nations system, particularly the United Nations Development Programme, as well as other international organizations;

        (iii)   public or private bodies or individuals;

    (d)   any interest due on the resources of the Fund;

    (e)   funds raised through collections, and receipts from events organized for the benefit of the Fund;

    (f)   any other resources authorized by the Fund's regulations, to be drawn up by the Committee.

4.   The use of resources by the Committee shall be decided on the basis of guidelines laid down by the General Assembly.

5.   The Committee may accept contributions and other forms of assistance for general and specific purposes relating to specific projects, provided that those projects have been approved by the Committee.

6.   No political, economic or other conditions which are incompatible with the objectives of this Convention may be attached to contributions made to the Fund.

Article 26 – Contributions of States Parties to the Fund

1.   Without prejudice to any supplementary voluntary contribution, the States Parties to this Convention undertake to pay into the Fund, at least every two years, a contribution, the amount of which, in the form of a uniform percentage applicable to all States, shall be determined by the General Assembly. This decision of the General Assembly shall be taken by a 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 contribution of the State Party exceed 1% of its contribution to the regular budget of UNESCO.

2.   However, each State referred to in Article 32 or in Article 33 of this Convention may declare, at the time of the deposit of its instruments of ratification, acceptance, approval or accession, that it shall not be bound by the provisions of paragraph 1 of this Article.

3.   A State Party to this Convention which has made the declaration referred to in paragraph 2 of this Article shall endeavour to withdraw the said declaration by notifying the Director-General of UNESCO. However, the withdrawal of the declaration shall not take

effect in regard to the contribution due by the State until the date on which the subsequent session of the General Assembly opens.

4.   In order to enable the Committee 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 be as close as possible to the contributions they would have owed if they had been bound by the provisions of paragraph 1 of this Article.

5.   Any State Party to this 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 Committee; this provision shall not apply to the first election. The term of office of any such State which is already a Member of the Committee shall come to an end at the time of the elections provided for in Article 6 of this Convention.

Article 27 – Voluntary supplementary contributions to the Fund

States Parties wishing to provide voluntary contributions in addition to those foreseen under Article 26 shall inform the Committee, as soon as possible, so as to enable it to plan its operations accordingly.

Article 28 – International fund-raising campaigns

The States Parties shall, insofar as is possible, lend their support to international fund-raising campaigns organized for the benefit of the Fund under the auspices of UNESCO.

VII. Reports

Article 29 – Reports by the States Parties

The States Parties shall submit to the Committee, observing the forms and periodicity to be defined by the Committee, reports on the legislative, regulatory and other measures taken for the implementation of this Convention.

Article 30 – Reports by the Committee

1.   On the basis of its activities and the reports by States Parties referred to in Article 29, the Committee shall submit a report to the General Assembly at each of its sessions.

2.   The report shall be brought to the attention of the General Conference of UNESCO.

VIII. Transitional clause

Article 31 – Relationship to the Proclamation of Masterpieces of the Oral and Intangible Heritage of Humanity

1.   The Committee shall incorporate in the Representative List of the Intangible Cultural Heritage of Humanity the items proclaimed "Masterpieces of the Oral and Intangible Heritage of Humanity" before the entry into force of this Convention.

2. The incorporation of these items in the Representative List of the Intangible Cultural Heritage of Humanity shall in no way prejudge the criteria for future inscriptions decided upon in accordance with Article 16, paragraph 2.

3. No further Proclamation will be made after the entry into force of this Convention.

IX. Final clauses

Article 32 – Ratification, acceptance or approval

1. This Convention shall be subject to ratification, acceptance or approval by States Members of UNESCO in accordance with their respective constitutional procedures.

2. The instruments of ratification, acceptance or approval shall be deposited with the Director-General of UNESCO.

Article 33 – Accession

1. This Convention shall be open to accession by all States not Members of UNESCO that are invited by the General Conference of UNESCO to accede to it.

2. This Convention shall also be open to accession by territories which enjoy full internal self-government recognized as such by the United Nations, but have not attained full independence in accordance with General Assembly resolution 1514 (XV), and which have competence over the matters governed by this Convention, including the competence to enter into treaties in respect of such matters.

3. The instrument of accession shall be deposited with the Director-General of UNESCO.

Article 34 – Entry into force

This Convention shall enter into force three months after the date of the deposit of the thirtieth instrument of ratification, acceptance, approval or accession, but only with respect to those States that have deposited their respective instruments of ratification, acceptance, approval, or accession on or before that date. It shall enter into force with respect to any other State Party three months after the deposit of its instrument of ratification, acceptance, approval or accession.

Article 35 – Federal or non-unitary constitutional systems

The following provisions shall apply to States Parties which have a federal or non-unitary constitutional system:

(a) 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;

(b) with regard to the provisions of this Convention, the implementation of which comes under the jurisdiction of individual constituent States, countries, provinces or cantons which 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 36 – Denunciation

1.   Each State Party may denounce this Convention.

2.   The denunciation shall be notified by an instrument in writing, deposited with the Director-General of UNESCO.

3.   The denunciation shall take effect twelve months after the receipt of the instrument of denunciation. It shall in no way affect the financial obligations of the denouncing State Party until the date on which the withdrawal takes effect.

Article 37 – Depositary functions

The Director-General of UNESCO, as the Depositary of this Convention, shall inform the States Members of the Organization, the States not Members of the Organization referred to in Article 33, as well as the United Nations, of the deposit of all the instruments of ratification, acceptance, approval or accession provided for in Articles 32 and 33, and of the denunciations provided for in Article 36.

Article 38 – Amendments

1.   A State Party may, by written communication addressed to the Director-General, propose amendments to this Convention. The Director-General shall circulate such communication to all States Parties. If, within six months from the date of the circulation of the communication, not less than one half of the States Parties reply favourably to the request, the Director-General shall present such proposal to the next session of the General Assembly for discussion and possible adoption.

2.   Amendments shall be adopted by a two-thirds majority of States Parties present and voting.

3.   Once adopted, amendments to this Convention shall be submitted for ratification, acceptance, approval or accession to the States Parties.

4.   Amendments shall enter into force, but solely with respect to the States Parties that have ratified, accepted, approved or acceded to them, three months after the deposit of the instruments referred to in paragraph 3 of this Article by two-thirds of the States Parties. Thereafter, for each State Party that ratifies, accepts, approves or accedes to an amendment, the said amendment shall enter into force three months after the date of deposit by that State Party of its instrument of ratification, acceptance, approval or accession.

5.   The procedure set out in paragraphs 3 and 4 shall not apply to amendments to Article 5 concerning the number of States Members of the Committee. These amendments shall enter into force at the time they are adopted.

6.   A State which becomes a Party to this Convention after the entry into force of amendments in conformity with paragraph 4 of this Article shall, failing an expression of different intention, be considered:

(a)   as a Party to this Convention as so amended; and

(b)   as a Party to the unamended Convention in relation to any State Party not bound by the amendments.

Article 39 – Authoritative texts

This Convention has been drawn up in Arabic, Chinese, English, French, Russian and Spanish, the six texts being equally authoritative.

Article 40 – Registration

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 UNESCO.

CONVENTION

CONVENTION

on the Protection and
Promotion of the

Diversity of
Cultural
Expressions

UNESCO

United Nations
Educational, Scientific and
Cultural Organization

CONVENTION

on the Protection and Promotion of the

Diversity of Cultural Expressions

Paris, 20 October 2005

The General Conference of the United Nations Educational, Scientific and Cultural Organization, meeting in Paris from 3 to 21 October 2005 at its 33rd session,

Affirming that cultural diversity is a defining characteristic of humanity,

Conscious that cultural diversity forms a common heritage of humanity and should be cherished and preserved for the benefit of all,

Being aware that cultural diversity creates a rich and varied world, which increases the range of choices and nurtures human capacities and values, and therefore is a mainspring for sustainable development for communities, peoples and nations,

Recalling that cultural diversity, flourishing within a framework of democracy, tolerance, social justice and mutual respect between peoples and cultures, is indispensable for peace and security at the local, national and international levels,

Celebrating the importance of cultural diversity for the full realization of human rights and fundamental freedoms proclaimed in the Universal Declaration of Human Rights and other universally recognized instruments,

Emphasizing the need to incorporate culture as a strategic element in national and international development policies, as well as in international development cooperation, taking into account also the United Nations Millennium Declaration (2000) with its special emphasis on poverty eradication,

Taking into account that culture takes diverse forms across time and space and that this diversity is embodied in the uniqueness and plurality of the identities and cultural expressions of the peoples and societies making up humanity,

Recognizing the importance of traditional knowledge as a source of intangible and material wealth, and in particular the knowledge systems of indigenous peoples, and its positive contribution to sustainable development, as well as the need for its adequate protection and promotion,

Recognizing the need to take measures to protect the diversity of cultural expressions, including their contents, especially in situations where cultural expressions may be threatened by the possibility of extinction or serious impairment,

1

Emphasizing the importance of culture for social cohesion in general, and in particular its potential for the enhancement of the status and role of women in society,

Being aware that cultural diversity is strengthened by the free flow of ideas, and that it is nurtured by constant exchanges and interaction between cultures,

Reaffirming that freedom of thought, expression and information, as well as diversity of the media, enable cultural expressions to flourish within societies,

Recognizing that the diversity of cultural expressions, including traditional cultural expressions, is an important factor that allows individuals and peoples to express and to share with others their ideas and values,

Recalling that linguistic diversity is a fundamental element of cultural diversity, and *reaffirming* the fundamental role that education plays in the protection and promotion of cultural expressions,

Taking into account the importance of the vitality of cultures, including for persons belonging to minorities and indigenous peoples, as manifested in their freedom to create, disseminate and distribute their traditional cultural expressions and to have access thereto, so as to benefit them for their own development,

Emphasizing the vital role of cultural interaction and creativity, which nurture and renew cultural expressions and enhance the role played by those involved in the development of culture for the progress of society at large,

Recognizing the importance of intellectual property rights in sustaining those involved in cultural creativity,

Being convinced that cultural activities, goods and services have both an economic and a cultural nature, because they convey identities, values and meanings, and must therefore not be treated as solely having commercial value,

Noting that while the processes of globalization, which have been facilitated by the rapid development of information and communication technologies, afford unprecedented conditions for enhanced interaction between cultures, they also represent a challenge for cultural diversity, namely in view of risks of imbalances between rich and poor countries,

Being aware of UNESCO's specific mandate to ensure respect for the diversity of cultures and to recommend such international agreements as may be necessary to promote the free flow of ideas by word and image,

Referring to the provisions of the international instruments adopted by UNESCO relating to cultural diversity and the exercise of cultural rights, and in particular the Universal Declaration on Cultural Diversity of 2001,

Adopts this Convention on 20 October 2005.

I. Objectives and guiding principles

Article **1** **– OBJECTIVES**

The objectives of this Convention are:

   (a) to protect and promote the diversity of cultural expressions;

   (b) to create the conditions for cultures to flourish and to freely interact in a mutually beneficial manner;

   (c) to encourage dialogue among cultures with a view to ensuring wider and balanced cultural exchanges in the world in favour of intercultural respect and a culture of peace;

   (d) to foster interculturality in order to develop cultural interaction in the spirit of building bridges among peoples;

   (e) to promote respect for the diversity of cultural expressions and raise awareness of its value at the local, national and international levels;

   (f) to reaffirm the importance of the link between culture and development for all countries, particularly for developing countries, and to support actions undertaken nationally and internationally to secure recognition of the true value of this link;

   (g) to give recognition to the distinctive nature of cultural activities, goods and services as vehicles of identity, values and meaning;

   (h) to reaffirm the sovereign rights of States to maintain, adopt and implement policies and measures that they deem appropriate for the protection and promotion of the diversity of cultural expressions on their territory;

   (i) to strengthen international cooperation and solidarity in a spirit of partnership with a view, in particular, to enhancing the capacities of developing countries in order to protect and promote the diversity of cultural expressions.

Article **2** **– GUIDING PRINCIPLES**

1. Principle of respect for human rights and fundamental freedoms
Cultural diversity can be protected and promoted only if human rights and fundamental freedoms, such as freedom of expression, information and communication, as well as the ability of individuals to choose cultural expressions, are guaranteed. No one may invoke the provisions of this Convention in order to infringe human rights and fundamental freedoms as enshrined in the Universal Declaration of Human Rights or guaranteed by international law, or to limit the scope thereof.

2. Principle of sovereignty
States have, in accordance with the Charter of the United Nations and the principles of international law, the sovereign right to adopt measures and policies to protect and promote the diversity of cultural expressions within their territory.

3. Principle of equal dignity of and respect for all cultures
The protection and promotion of the diversity of cultural expressions presuppose the recognition of equal dignity of and respect for all cultures, including the cultures of persons belonging to minorities and indigenous peoples.

4. Principle of international solidarity and cooperation
International cooperation and solidarity should be aimed at enabling countries, especially developing countries, to create and strengthen their means of cultural expression, including their cultural industries, whether nascent or established, at the local, national and international levels.

5. Principle of the complementarity of economic and cultural aspects of development
Since culture is one of the mainsprings of development, the cultural aspects of development are as important as its economic aspects, which individuals and peoples have the fundamental right to participate in and enjoy.

6. Principle of sustainable development
Cultural diversity is a rich asset for individuals and societies. The protection, promotion and maintenance of cultural diversity are an essential requirement for sustainable development for the benefit of present and future generations.

7. Principle of equitable access
Equitable access to a rich and diversified range of cultural expressions from all over the world and access of cultures to the means of expressions and dissemination constitute important elements for enhancing cultural diversity and encouraging mutual understanding.

8. Principle of openness and balance
When States adopt measures to support the diversity of cultural expressions, they should seek to promote, in an appropriate manner, openness to other cultures of the world and to ensure that these measures are geared to the objectives pursued under the present Convention.

II. Scope of application

Article 3 – SCOPE OF APPLICATION

This Convention shall apply to the policies and measures adopted by the Parties related to the protection and promotion of the diversity of cultural expressions.

III. Definitions

Article 4 – DEFINITIONS

For the purposes of this Convention, it is understood that:

1. Cultural diversity
"Cultural diversity" refers to the manifold ways in which the cultures of groups and societies find expression. These expressions are passed on within and among groups and societies.

Cultural diversity is made manifest not only through the varied ways in which the cultural heritage of humanity is expressed, augmented and transmitted through the variety of cultural expressions, but also through diverse modes of artistic creation, production, dissemination, distribution and enjoyment, whatever the means and technologies used.

2. Cultural content

"Cultural content" refers to the symbolic meaning, artistic dimension and cultural values that originate from or express cultural identities.

3. Cultural expressions

"Cultural expressions" are those expressions that result from the creativity of individuals, groups and societies, and that have cultural content.

4. Cultural activities, goods and services

"Cultural activities, goods and services" refers to those activities, goods and services, which at the time they are considered as a specific attribute, use or purpose, embody or convey cultural expressions, irrespective of the commercial value they may have. Cultural activities may be an end in themselves, or they may contribute to the production of cultural goods and services.

5. Cultural industries

"Cultural industries" refers to industries producing and distributing cultural goods or services as defined in paragraph 4 above.

6. Cultural policies and measures

"Cultural policies and measures" refers to those policies and measures relating to culture, whether at the local, national, regional or international level that are either focused on culture as such or are designed to have a direct effect on cultural expressions of individuals, groups or societies, including on the creation, production, dissemination, distribution of and access to cultural activities, goods and services.

7. Protection

"Protection" means the adoption of measures aimed at the preservation, safeguarding and enhancement of the diversity of cultural expressions.

"Protect" means to adopt such measures.

8. Interculturality

"Interculturality" refers to the existence and equitable interaction of diverse cultures and the possibility of generating shared cultural expressions through dialogue and mutual respect.

IV. Rights and obligations of Parties

Article 5 – GENERAL RULE REGARDING RIGHTS AND OBLIGATIONS

1. The Parties, in conformity with the Charter of the United Nations, the principles of international law and universally recognized human rights instruments, reaffirm their sovereign right to formulate and implement their cultural policies and to adopt measures to protect and promote the diversity of cultural expressions and to strengthen international cooperation to achieve the purposes of this Convention.

2. When a Party implements policies and takes measures to protect and promote the diversity of cultural expressions within its territory, its policies and measures shall be consistent with the provisions of this Convention.

Article 6 – RIGHTS OF PARTIES AT THE NATIONAL LEVEL

1. Within the framework of its cultural policies and measures as defined in Article 4.6 and taking into account its own particular circumstances and needs, each Party may adopt measures aimed at protecting and promoting the diversity of cultural expressions within its territory.

2. Such measures may include the following:

(a) regulatory measures aimed at protecting and promoting diversity of cultural expressions;

(b) measures that, in an appropriate manner, provide opportunities for domestic cultural activities, goods and services among all those available within the national territory for the creation, production, dissemination, distribution and enjoyment of such domestic cultural activities, goods and services, including provisions relating to the language used for such activities, goods and services;

(c) measures aimed at providing domestic independent cultural industries and activities in the informal sector effective access to the means of production, dissemination and distribution of cultural activities, goods and services;

(d) measures aimed at providing public financial assistance;

(e) measures aimed at encouraging non-profit organizations, as well as public and private institutions and artists and other cultural professionals, to develop and promote the free exchange and circulation of ideas, cultural expressions and cultural activities, goods and services, and to stimulate both the creative and entrepreneurial spirit in their activities;

(f) measures aimed at establishing and supporting public institutions, as appropriate;

(g) measures aimed at nurturing and supporting artists and others involved in the creation of cultural expressions;

(h) measures aimed at enhancing diversity of the media, including through public service broadcasting.

Article 7 – MEASURES TO PROMOTE CULTURAL EXPRESSIONS

1. Parties shall endeavour to create in their territory an environment which encourages individuals and social groups:

(a) to create, produce, disseminate, distribute and have access to their own cultural expressions, paying due attention to the special circumstances and needs of women as well as various social groups, including persons belonging to minorities and indigenous peoples;

(b) to have access to diverse cultural expressions from within their territory as well as from other countries of the world.

2. Parties shall also endeavour to recognize the important contribution of artists, others involved in the creative process, cultural communities, and organizations that support their work, and their central role in nurturing the diversity of cultural expressions.

Article 8 – MEASURES TO PROTECT CULTURAL EXPRESSIONS

1. Without prejudice to the provisions of Articles 5 and 6, a Party may determine the existence of special situations

where cultural expressions on its territory are at risk of extinction, under serious threat, or otherwise in need of urgent safeguarding.

2. Parties may take all appropriate measures to protect and preserve cultural expressions in situations referred to in paragraph 1 in a manner consistent with the provisions of this Convention.

3. Parties shall report to the Intergovernmental Committee referred to in Article 23 all measures taken to meet the exigencies of the situation, and the Committee may make appropriate recommendations.

Article 9 – INFORMATION SHARING AND TRANSPARENCY

Parties shall:

(a) provide appropriate information in their reports to UNESCO every four years on measures taken to protect and promote the diversity of cultural expressions within their territory and at the international level;

(b) designate a point of contact responsible for information sharing in relation to this Convention;

(c) share and exchange information relating to the protection and promotion of the diversity of cultural expressions.

Article 10 – EDUCATION AND PUBLIC AWARENESS

Parties shall:

(a) encourage and promote understanding of the importance of the protection and promotion of the diversity of cultural expressions, *inter alia*, through educational and greater public awareness programmes;

(b) cooperate with other Parties and international and regional organizations in achieving the purpose of this article;

(c) endeavour to encourage creativity and strengthen production capacities by setting up educational, training and exchange programmes in the field of cultural industries. These measures should be implemented in a manner which does not have a negative impact on traditional forms of production.

Article 11 – PARTICIPATION OF CIVIL SOCIETY

Parties acknowledge the fundamental role of civil society in protecting and promoting the diversity of cultural expressions. Parties shall encourage the active participation of civil society in their efforts to achieve the objectives of this Convention.

Article 12 – PROMOTION OF INTERNATIONAL COOPERATION

Parties shall endeavour to strengthen their bilateral, regional and international cooperation for the creation of conditions conducive to the promotion of the diversity of cultural expressions, taking particular account of the situations referred to in Articles 8 and 17, notably in order to:

(a) facilitate dialogue among Parties on cultural policy;

(b) enhance public sector strategic and management capacities in cultural public sector institutions, through professional and international cultural exchanges and sharing of best practices;

(c) reinforce partnerships with and among civil society, non-governmental organizations and the private sector in fostering and promoting the diversity of cultural expressions;

(d) promote the use of new technologies, encourage partnerships to enhance information sharing and cultural understanding, and foster the diversity of cultural expressions;

(e) encourage the conclusion of co-production and co-distribution agreements.

Article 13 – INTEGRATION OF CULTURE IN SUSTAINABLE DEVELOPMENT

Parties shall endeavour to integrate culture in their development policies at all levels for the creation of conditions conducive to sustainable development and, within this framework, foster aspects relating to the protection and promotion of the diversity of cultural expressions.

Article 14 – COOPERATION FOR DEVELOPMENT

Parties shall endeavour to support cooperation for sustainable development and poverty reduction, especially in relation to the specific needs of developing countries, in order to foster the emergence of a dynamic cultural sector by, *inter alia*, the following means:

(a) the strengthening of the cultural industries in developing countries through:

   (I) creating and strengthening cultural production and distribution capacities in developing countries;

   (II) facilitating wider access to the global market and international distribution networks for their cultural activities, goods and services;

   (III) enabling the emergence of viable local and regional markets;

   (IV) adopting, where possible, appropriate measures in developed countries with a view to facilitating access to their territory for the cultural activities, goods and services of developing countries;

   (V) providing support for creative work and facilitating the mobility, to the extent possible, of artists from the developing world;

   (VI) encouraging appropriate collaboration between developed and developing countries in the areas, *inter alia*, of music and film;

(b) capacity-building through the exchange of information, experience and expertise, as well as the training of human resources in developing countries, in the public and private sector relating to, *inter alia*, strategic and management capacities, policy development and implementation, promotion and distribution of cultural expressions, small-, medium- and micro-enterprise development, the use of technology, and skills development and transfer;

(c) technology transfer through the introduction of appropriate incentive measures for the transfer of technology and know-how, especially in the areas of cultural industries and enterprises;

(d) financial support through:

   (I) the establishment of an International Fund for Cultural Diversity as provided in Article 18;

(ii) the provision of official development assistance, as appropriate, including technical assistance, to stimulate and support creativity;

(iii) other forms of financial assistance such as low interest loans, grants and other funding mechanisms.

Article 15 – COLLABORATIVE ARRANGEMENTS

Parties shall encourage the development of partnerships, between and within the public and private sectors and non-profit organizations, in order to cooperate with developing countries in the enhancement of their capacities in the protection and promotion of the diversity of cultural expressions. These innovative partnerships shall, according to the practical needs of developing countries, emphasize the further development of infrastructure, human resources and policies, as well as the exchange of cultural activities, goods and services.

Article 16 – PREFERENTIAL TREATMENT FOR DEVELOPING COUNTRIES

Developed countries shall facilitate cultural exchanges with developing countries by granting, through the appropriate institutional and legal frameworks, preferential treatment to artists and other cultural professionals and practitioners, as well as cultural goods and services from developing countries.

Article 17 – INTERNATIONAL COOPERATION IN SITUATIONS OF SERIOUS THREAT TO CULTURAL EXPRESSIONS

Parties shall cooperate in providing assistance to each other, and, in particular to developing countries, in situations referred to under Article 8.

Article 18 – INTERNATIONAL FUND FOR CULTURAL DIVERSITY

1. An International Fund for Cultural Diversity, hereinafter referred to as "the Fund", is hereby established.

2. The Fund shall consist of funds-in-trust established in accordance with the Financial Regulations of UNESCO.

3. The resources of the Fund shall consist of:

(a) voluntary contributions made by Parties;

(b) funds appropriated for this purpose by the General Conference of UNESCO;

(c) contributions, gifts or bequests by other States; organizations and programmes of the United Nations system, other regional or international organizations; and public or private bodies or individuals;

(d) any interest due on resources of the Fund;

(e) funds raised through collections and receipts from events organized for the benefit of the Fund;

(f) any other resources authorized by the Fund's regulations.

4. The use of resources of the Fund shall be decided by the Intergovernmental Committee on the basis of guidelines determined by the Conference of Parties referred to in Article 22.

5. The Intergovernmental Committee may accept contributions and other forms of assistance for general and specific purposes relating to specific projects, provided that those projects have been approved by it.

6. No political, economic or other conditions that are incompatible with the objectives of this Convention may be attached to contributions made to the Fund.

7. Parties shall endeavour to provide voluntary contributions on a regular basis towards the implementation of this Convention.

Article 19 – EXCHANGE, ANALYSIS AND DISSEMINATION OF INFORMATION

1. Parties agree to exchange information and share expertise concerning data collection and statistics on the diversity of cultural expressions as well as on best practices for its protection and promotion.

2. UNESCO shall facilitate, through the use of existing mechanisms within the Secretariat, the collection, analysis and dissemination of all relevant information, statistics and best practices.

3. UNESCO shall also establish and update a data bank on different sectors and governmental, private and non-profit organizations involved in the area of cultural expressions.

4. To facilitate the collection of data, UNESCO shall pay particular attention to capacity-building and the strengthening of expertise for Parties that submit a request for such assistance.

5. The collection of information identified in this Article shall complement the information collected under the provisions of Article 9.

V. Relationship to other instruments

Article 20 – RELATIONSHIP TO OTHER TREATIES: MUTUAL SUPPORTIVENESS, COMPLEMENTARITY AND NON-SUBORDINATION

1. Parties recognize that they shall perform in good faith their obligations under this Convention and all other treaties to which they are parties. Accordingly, without subordinating this Convention to any other treaty,

(a) they shall foster mutual supportiveness between this Convention and the other treaties to which they are parties; and

(b) when interpreting and applying the other treaties to which they are parties or when entering into other international obligations, Parties shall take into account the relevant provisions of this Convention.

2. Nothing in this Convention shall be interpreted as modifying rights and obligations of the Parties under any other treaties to which they are parties.

Article 21 – INTERNATIONAL CONSULTATION AND COORDINATION

Parties undertake to promote the objectives and principles of this Convention in other international forums. For this purpose, Parties shall consult each other, as appropriate, bearing in mind these objectives and principles.

VI. Organs of the Convention

Article 22 – CONFERENCE OF PARTIES

1. A Conference of Parties shall be established. The Conference of Parties shall be the plenary and supreme body of this Convention.

2. The Conference of Parties shall meet in ordinary session every two years, as far as possible, in conjunction with the General Conference of UNESCO. It may meet in extraordinary session if it so decides or if the Intergovernmental Committee receives a request to that effect from at least one-third of the Parties.

3. The Conference of Parties shall adopt its own rules of procedure.

4. The functions of the Conference of Parties shall be, *inter alia*:

(a) to elect the Members of the Intergovernmental Committee;

(b) to receive and examine reports of the Parties to this Convention transmitted by the Intergovernmental Committee;

(c) to approve the operational guidelines prepared upon its request by the Intergovernmental Committee;

(d) to take whatever other measures it may consider necessary to further the objectives of this Convention.

Article 23 – INTERGOVERNMENTAL COMMITTEE

1. An Intergovernmental Committee for the Protection and Promotion of the Diversity of Cultural Expressions, hereinafter referred to as "the Intergovernmental Committee", shall be established within UNESCO. It shall be composed of representatives of 18 States Parties to the Convention, elected for a term of four years by the Conference of Parties upon entry into force of this Convention pursuant to Article 29.

2. The Intergovernmental Committee shall meet annually.

3. The Intergovernmental Committee shall function under the authority and guidance of and be accountable to the Conference of Parties.

4. The Members of the Intergovernmental Committee shall be increased to 24 once the number of Parties to the Convention reaches 50.

5. The election of Members of the Intergovernmental Committee shall be based on the principles of equitable geographical representation as well as rotation.

6. Without prejudice to the other responsibilities conferred upon it by this Convention, the functions of the Intergovernmental Committee shall be:

(a) to promote the objectives of this Convention and to encourage and monitor the implementation thereof;

(b) to prepare and submit for approval by the Conference of Parties, upon its request, the operational guidelines for the implementation and application of the provisions of the Convention;

(c) to transmit to the Conference of Parties reports from Parties to the Convention, together with its comments and a summary of their contents;

(d) to make appropriate recommendations to be taken in situations brought to its attention by Parties to the Convention in accordance with relevant provisions of the Convention, in particular Article 8;

(e) to establish procedures and other mechanisms for consultation aimed at promoting the objectives and principles of this Convention in other international forums;

(f) to perform any other tasks as may be requested by the Conference of Parties.

7. The Intergovernmental Committee, in accordance with its Rules of Procedure, may invite at any time public or private organizations or individuals to participate in its meetings for consultation on specific issues.

8. The Intergovernmental Committee shall prepare and submit to the Conference of Parties, for approval, its own Rules of Procedure.

Article 24 – UNESCO SECRETARIAT

1. The organs of the Convention shall be assisted by the UNESCO Secretariat.

2. The Secretariat shall prepare the documentation of the Conference of Parties and the Intergovernmental Committee as well as the agenda of their meetings and shall assist in and report on the implementation of their decisions.

VII. Final clauses

Article 25 – SETTLEMENT OF DISPUTES

1. In the event of a dispute between Parties to this Convention concerning the interpretation or the application of the Convention, the Parties shall seek a solution by negotiation.

2. If the Parties concerned cannot reach agreement by negotiation, they may jointly seek the good offices of, or request mediation by, a third party.

3. If good offices or mediation are not undertaken or if there is no settlement by negotiation, good offices or mediation, a Party may have recourse to conciliation in accordance with the procedure laid down in the Annex of this Convention. The Parties shall consider in good faith the proposal made by the Conciliation Commission for the resolution of the dispute.

4. Each Party may, at the time of ratification, acceptance, approval or accession, declare that it does not recognize the conciliation procedure provided for above. Any Party having made such a declaration may, at any time, withdraw this declaration by notification to the Director-General of UNESCO.

Article 26 – RATIFICATION, ACCEPTANCE, APPROVAL OR ACCESSION BY MEMBER STATES

1. This Convention shall be subject to ratification, acceptance, approval or accession by Member States of UNESCO in accordance with their respective constitutional procedures.

2. The instruments of ratification, acceptance, approval or accession shall be deposited with the Director-General of UNESCO.

Article 27 – ACCESSION

1. This Convention shall be open to accession by all States not Members of UNESCO but members of the United Nations, or of any of its specialized agencies, that are invited by the General Conference of UNESCO to accede to it.

2. This Convention shall also be open to accession by territories which enjoy full internal self-government recognized as such by the United Nations, but which have not attained full independence in accordance with General Assembly resolution 1514 (XV), and which have competence over the matters governed by this Convention, including the competence to enter into treaties in respect of such matters.

3. The following provisions apply to regional economic integration organizations:

(a) This Convention shall also be open to accession by any regional economic integration organization, which shall, except as provided below, be fully bound by the provisions of the Convention in the same manner as States Parties;

(b) In the event that one or more Member States of such an organization is also Party to this Convention, the organization and such Member State or States shall decide on their responsibility for the performance of their obligations under this Convention. Such distribution of responsibility shall take effect following completion of the notification procedure described in subparagraph (c). The organization and the Member States shall not be entitled to exercise rights under this Convention concurrently. In addition, regional economic integration organizations, in matters within their competence, shall exercise their rights to vote with a number of votes equal to the number of their Member States that are Parties to this Convention. Such an organization shall not exercise its right to vote if any of its Member States exercises its right, and vice-versa;

(c) A regional economic integration organization and its Member State or States which have agreed on a distribution of responsibilities as provided in subparagraph (b) shall inform the Parties of any such proposed distribution of responsibilities in the following manner:

(ı) in their instrument of accession, such organization shall declare with specificity, the distribution of their responsibilities with respect to matters governed by the Convention;

(ıı) in the event of any later modification of their respective responsibilities, the regional economic integration organization shall inform the depositary of any such proposed modification of their respective responsibilities; the depositary shall in turn inform the Parties of such modification;

(d) Member States of a regional economic integration organization which become Parties to this Convention shall be presumed to retain competence over all matters in respect of which transfers of competence to the organization have not been specifically declared or informed to the depositary;

(e) "Regional economic integration organization" means an organization constituted by sovereign States, members of the United Nations or of any of its specialized agencies, to which those States have transferred competence in respect of matters governed by this Convention and which has been duly authorized, in accordance with its internal procedures, to become a Party to it.

4. The instrument of accession shall be deposited with the Director-General of UNESCO.

Article 28 – POINT OF CONTACT

Upon becoming Parties to this Convention, each Party shall designate a point of contact as referred to in Article 9.

Article 29 – ENTRY INTO FORCE

1. This Convention shall enter into force three months after the date of deposit of the thirtieth instrument of ratification, acceptance, approval or accession, but only with respect to those States or regional economic integration organizations that have deposited their respective instruments of ratification, acceptance, approval, or accession on or before that date. It shall enter into force with respect to any other Party three months after the deposit of its instrument of ratification, acceptance, approval or accession.

2. For the purposes of this Article, any instrument deposited by a regional economic integration organization shall not be counted as additional to those deposited by Member States of the organization.

Article 30 – FEDERAL OR NON-UNITARY CONSTITUTIONAL SYSTEMS

Recognizing that international agreements are equally binding on Parties regardless of their constitutional systems, the following provisions shall apply to Parties which have a federal or non-unitary constitutional system:

(a) 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 Parties which are not federal States;

(b) with regard to the provisions of the Convention, the implementation of which comes under the jurisdiction of individual constituent units such as States, counties, provinces, or cantons which are not obliged by the constitutional system of the federation to take legislative measures, the federal government shall inform, as necessary, the competent authorities of constituent units such as States, counties, provinces or cantons of the said provisions, with its recommendation for their adoption.

Article 31 – DENUNCIATION

1. Any Party to this Convention may denounce this Convention.

2. The denunciation shall be notified by an instrument in writing deposited with the Director-General of UNESCO.

3. The denunciation shall take effect 12 months after the receipt of the instrument of denunciation. It shall in no way affect the financial obligations of the Party denouncing the Convention until the date on which the withdrawal takes effect.

Article 32 – DEPOSITARY FUNCTIONS

The Director-General of UNESCO, as the depositary of this Convention, shall inform the Member States of the Organization, the States not members of the Organization and regional economic integration organizations referred to in Article 27, as well as the United Nations, of the deposit of all the instruments of ratification, acceptance, approval or accession provided for in Articles 26 and 27, and of the denunciations provided for in Article 31.

Article 33 – AMENDMENTS

1. A Party to this Convention may, by written communication addressed to the Director-General, propose amendments to this Convention. The Director-General shall circulate such communication to all Parties. If, within six months from the date of dispatch of the communication, no less than one half of the Parties reply favourably to the request, the Director-General shall present such proposal to the next session of the Conference of Parties for discussion and possible adoption.

2. Amendments shall be adopted by a two-thirds majority of Parties present and voting.

3. Once adopted, amendments to this Convention shall be submitted to the Parties for ratification, acceptance, approval or accession.

4. For Parties which have ratified, accepted, approved or acceded to them, amendments to this Convention shall enter into force three months after the deposit of the instruments referred to in paragraph 3 of this Article by two-thirds of the Parties. Thereafter, for each Party that ratifies, accepts, approves or accedes to an amendment, the said amendment shall enter into force three months after the date of deposit by that Party of its instrument of ratification, acceptance, approval or accession.

5. The procedure set out in paragraphs 3 and 4 shall not apply to amendments to Article 23 concerning the number of Members of the Intergovernmental Committee. These amendments shall enter into force at the time they are adopted.

6. A State or a regional economic integration organization referred to in Article 27 which becomes a Party to this Convention after the entry into force of amendments in conformity with paragraph 4 of this Article shall, failing an expression of different intention, be considered to be:

(a) Party to this Convention as so amended; and

(b) a Party to the unamended Convention in relation to any Party not bound by the amendments.

Article 34 – AUTHORITATIVE TEXTS

This Convention has been drawn up in Arabic, Chinese, English, French, Russian and Spanish, all six texts being equally authoritative.

Article 35 – REGISTRATION

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 UNESCO.

Annex
Conciliation Procedure

Article 1 – CONCILIATION COMMISSION

A Conciliation Commission shall be created upon the request of one of the Parties to the dispute. The Commission shall, unless the Parties otherwise agree, be composed of five members, two appointed by each Party concerned and a President chosen jointly by those members.

Article 2 – MEMBERS OF THE COMMISSION

In disputes between more than two Parties, Parties in the same interest shall appoint their members of the Commission jointly by agreement. Where two or more Parties have separate interests or there is a disagreement as to whether they are of the same interest, they shall appoint their members separately.

Article 3 – APPOINTMENTS

If any appointments by the Parties are not made within two months of the date of the request to create a Conciliation Commission, the Director-General of UNESCO shall, if asked to do so by the Party that made the request, make those appointments within a further two-month period.

Article 4 – PRESIDENT OF THE COMMISSION

If a President of the Conciliation Commission has not been chosen within two months of the last of the members of the Commission being appointed, the Director-General of UNESCO shall, if asked to do so by a Party, designate a President within a further two-month period.

Article 5 – DECISIONS

The Conciliation Commission shall take its decisions by majority vote of its members. It shall, unless the Parties to the dispute otherwise agree, determine its own procedure. It shall render a proposal for resolution of the dispute, which the Parties shall consider in good faith.

Article 6 – DISAGREEMENT

A disagreement as to whether the Conciliation Commission has competence shall be decided by the Commission.

Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas

26 November 1976

The General Conference of the United Nations Educational, Scientific and Cultural Organization, meeting in Nairobi at its nineteenth session, from 26 October to 30 November 1976,

Considering that historic areas are part of the daily environment of human beings everywhere, that they represent the living presence of the past which formed them, that they provide the variety in life's background needed to match the diversity of society, and that by so doing they gain in value and acquire an additional human dimension,

Considering that historic areas afford down the ages the most tangible evidence of the wealth and diversity of cultural, religious and social activities and that their safeguarding and their integration into the life of contemporary society is a basic factor in town-planning and land development,

Considering that in face of the dangers of stereotyping and depersonalization, this living evidence of days gone by is of vital importance for humanity and for nations who find in it both the expression of their way of life and one of the corner-stones of their identity,

Noting that throughout the world, under the pretext of expansion or modernization, demolition ignorant of what it is demolishing and irrational and inappropriate reconstruction work is causing serious damage to this historic heritage,

Considering that historic areas are an immovable heritage whose destruction may often lead to social disturbance, even where it does not lead to economic loss,

Considering that this situation entails responsibilities for every citizen and lays on public authorities obligations which they alone are capable of fulfilling,

Considering that in order to save these irreplaceable assets from the dangers of deterioration or even total destruction to which they are thus exposed, it is for each State to adopt, as a matter of urgency, comprehensive and energetic policies for the protection and revitalization of historic areas and their surroundings as part of national, regional or local planning,

Noting the absence in many cases of a legislation effective and flexible enough concerning the architectural heritage and its interconnexion with town-planning, territorial, regional or local planning,

Noting that the General Conference has already adopted international instruments for the protection of the cultural and natural heritage such as the Recommendation on International Principles Applicable to Archaeological Excavations (1956), the Recommendation Concerning the Safeguarding of the Beauty and Character of Landscapes and Sites (1962), the Recommendation Concerning the. Preservation of Cultural Property En-dangered by Public or Private Works (1968), and the Recommendation Concerning the Protection, at National Level, of the Cultural and Natural Heritage (1972),

Desiring to supplement and extend the application of the standards and principles laid down

in these international instruments,

Having before it proposals concerning the safeguarding and contemporary role of historic areas, which question appears on the agenda of the session as item 27,

Having decided at its eighteenth session that this question should take the form of a Recommendation to Member States,

Adopts, this twenty-sixth day of November 1976, the present Recommendation.

The General Conference recommends that Member States apply the above provisions by adopting, as a national law or in some other form, measures with a view to giving effect to the principles and norms set out in this Recommendation in the territories under their jurisdiction.

The General Conference recommends that Member States bring this Recom-mendation to the attention of the national, regional and local authorities and of institutions, services or bodies and associations concerned with the safeguarding of historic areas and their environment.

The General Conference recommends that Member States report to it, at the dates and in the form determined by it, on action taken by them on this Recommendation.

I. Definitions

1. For the purposes of the present recommendation:

(a) `Historic and architectural (including vernacular) areas' shall be taken to mean any groups of buildings, structures and open spaces including ar-chaeological and palaeontological sites, constituting human settlements in an urban or rural environment, the cohesion and value of which, from the archaeological, architectural, prehistoric, historic, aesthetic or sociocultural point of view are recognized. Among these `areas', which are very varied in nature, it is possible to distinguish the following 'in particular : prehistoric sites, historic towns, old urban quarters, villages and hamlets as well as homogeneous monumental groups, it being understood that the latter should as a rule be carefully preserved unchanged.

(b) The `environment' shall be taken to mean the natural or man-made setting which influences the static or dynamic way these areas are perceived or which is directly linked to them in space or by social, economic or cultural ties.

(c) `Safeguarding' shall be taken to mean the identification, protection, con-servation, restoration, renovation, maintenance and revitalization of historic or traditional areas and their environment.

II. General principles

2. Historic areas and their surroundings should be regarded as forming an irreplaceable universal heritage. The governments and the citizens of the States in whose territory they are situated should deem it their duty to safeguard this heritage and integrate it into the social life of our. times. The national, regional or local authorities should be answerable for their performance of this duty in the interests of all citizens and of the international community, in accordance with the conditions of each Member State as regards the allocation of powers.

3. Every historic area and its surroundings should be considered in their totality as a

coherent whole whose balance and specific nature depend on the fusion of the parts of which it is composed and which include human activities as much as the buildings, the spatial organization and the surroundings. All valid elements, including human activities, however modest, thus have a significance in relation to the whole which must not be disregarded.

4. Historic areas and their surroundings should be actively protected, against damage of all kinds, particularly that resulting from unsuitable use, unnecessary additions and misguided or insensitive changes such as will impair their authenticity, and from damage due to any form of pollution. Any restoration work undertaken should be based on scientific principles. Similarly, great at tention should be paid to the harmony and aesthetic feeling produced by the linking or the contrasting of the various parts which make up the groups of buildings and which give to each group its particular character.

5. In the conditions of modern urbanization, which leads to a considerable increase in the scale and density of buildings, apart from the danger of direct destruction of historic areas, there is a real danger that newly developed areas can ruin the environment and character of adjoining historic areas. Architects and town-planners should be careful to ensure that views from and to monuments and historic areas are not spoilt and that historic areas are integrated harmoniously into contemporary life.

6. At a time when there is a danger that a growing universality of building techniques and architectural forms may create a uniform environment throughout the world, the preservation of historic areas can make an outstanding contribution to maintaining and developing the cultural and social values of each nation. This can contribute to the architectural enrichment of the cultural heritage of the world.

III. National, regional and local policy

7. In each Member State a national, regional and local policy should be drawn up, in conformity with the conditions of each State as regards the allocation of powers, so that legal, technical, economic and social measures may be taken by the national, regional or local authorities with a view to safeguarding historic areas and their surroundings and adapting them to the requirements of modern life. The policy thus laid down should influence planning at national, regional or local level and provide guidelines for town-planning and regional and rural development planning at all levels, the activities stemming from it forming an essential component in the formulation of aims and programmes, the assignment of responsibilities and the conduct of operations. The co-operation of individuals and private associations should be sought in implementing the safeguarding policy.

IV. Safeguarding measures

8. Historic areas and their surroundings should be safeguarded in conformity with the principles stated above and with the methods set out below, the specific measures being determined according to the legislative and constitutional competence and the organizational and economic structure of each State.

Legal and administrative measures

9. The application of an overall policy for safeguarding historic areas and their surroundings should be based on principles which are valid for the whole of each country. Member States should adapt the existing provisions, or, where necessary, enact new laws and regulations, so as to secure the protection of historic areas and their surroundings taking into account the provisions contained in this chapter and in the following chapters. They should encourage the adaptation or the adoption of regional or local measures to ensure such protection. Laws

concerning town and regional planning and housing policy should also be reviewed so as to co-ordinate and bring them into line with the laws concerning the safeguarding of the architectural heritage.

10. The provisions establishing a system for safeguarding historic areas should set out the general principles relating to the establishment of the necessary plans and documents and, in particular: the general conditions and restrictions applicable to the protected areas and their surroundings ;a statement as to the programmes and operations to be planned for the purpose of conservation and provision of public services; maintenance to be carried out and the designation of those to be responsible for it; the fields to which town-planning, redevelopment and rural land management are applicable; the designation of the body responsible for authorizing any restoration, modification, new construction or demolition within the protected perimeter; the means by which the safeguarding programmes are to be financed and carried out.

11. Safeguarding plans and documents should define: the areas and items to be protected; the specific conditions and restrictions applicable to them; the standards to be observed in the work of maintenance, restoration and improvements ; the general conditions governing the establishment of the supply systems and services needed in urban or rural life; the conditions governing new constructions.

12. These laws should also in principle include provisions designed to prevent any infringement of the preservation laws, as well as any speculative rise in property values within the protected areas which could compromise protection and restoration planned in the interests of the community as a whole. These provisions could involve town-planning measures affording a means of influencing the price of building land, such as the establishment of neighborhood or smaller development plans, granting the right of pre-emption to a public body, compulsory purchase in the interests of safeguarding or rehabilitation or automatic intervention in the case of failure to act on the part of the owners, and could provide for effective penalties such as the suspension of operations, compulsory restoration and/or a suitable fine.

13. Public authorities as well as individuals must be obliged to comply with the measures for safeguarding. However, machinery for appeal against arbitrary or unjust decisions should be provided.

14. The provisions concerning the setting up of public and private bodies and concerning public and private work projects should be adapted to the regulations governing the safeguarding of historic areas and their surroundings.

15. In particular, provisions concerning slum property and blocks and the construction of subsidized housing should be planned or amended both to fit in with the safeguarding policy and to contribute to it. The schedule of any subsidies paid should be drawn up and adjusted accordingly, in particular in order to facilitate the development of subsidized housing and public construction by rehabilitating old buildings. All demolition should in any case only concern buildings with no historic or architectural value and the subsidies involved should be carefully controlled. Further, a proportion of the funds earmarked for the construction of subsidized housing should be allocated to the rehabilitation of old buildings.

16. The legal consequences of the protection measures as far as buildings and land are concerned should be made public and should be recorded by a competent official body.

17. Making due allowance for the conditions specific to each country and the allocation of responsibilities within the various national, regional and local authorities, the following principles should underlie the operation of the safeguarding machinery:

(a) there should be an authority responsible for ensuring the permanent co-ordination of all those concerned, e.g. national, regional and local public services or groups of individuals;

(b) safeguarding plans and documents should be drawn up, once all the necessary advance scientific studies have been carried out, by multidisciplinary teams composed, in particular, of:
specialists in conservation and restoration, including art historians; architects and town-planners;
sociologists and economists;
ecologists and landscape architects ;
specialists in public health and social welfare;
and, more generally, all specialists in disciplines involved in the protection and enhancement of historic areas ;

(c) the authorities should take the lead in sounding the opinions and organizing the participation of the public concerned;

(d) the safeguarding plans and documents should be approved by the body designated by law;

(e) the public authorities reponsible for giving effect to the .safeguarding pro-visions and regulations at all levels, national, regional and local, should be provided with the necessary staff and given adequate technical, administrative and financial resources.

Technical, economic and social measures

18. A list of historic areas and their surroundings to be protected should be drawn up' at national, regional or local level. It should indicate priorities so that the limited resources available for protection may be allocated judiciously. Any protection measures, of whatever nature, that need to be taken as a matter of urgency should be taken without waiting for the safeguarding plans and documents to be prepared.

19. A survey of the area as a whole, including an analysis of its spatial evolution, should be made. It should cover archaeological, historical, architectural, technical and economic data. An analytical document should be drawn up so as to determine which buildings or groups of buildings are to be protected with great care, conserved under certain conditions, or, in quite exceptional and thoroughly documented circumstances, destroyed. This would enable the authorities to call a halt to any work incompatible with this recommendation. Additionally, an inventory of public and private open spaces and their vegetation should be drawn up for the same purposes.

20. In addition to this architectural survey, thorough surveys of social, economic, cultural and technical data and structures and of the wider urban or regional context are necessary. Studies should include, if possible, demographic data and an analysis of economic, social and cultural activities, ways of life and social relationships, land-tenure problems, the urban infrastructure, the state of the road system, communication networks and the reciprocal links between protected areas and surrounding zones. The authorities concerned should attach the greatest importance to these studies and should bear in mind that valid safeguarding plans cannot be prepared without them.

21. After the survey described above has been completed and before the safeguarding plans and specifications are drawn up, there should in principle be a programming operation in which due account is taken both of town-planning, architectural, economic and social considerations and of the ability of the urban and rural fabric to assimilate functions that are

compatible with its specific character. The programming operation should aim at bringing the density of settlement to the desired level and should provide for the work to be carried out in stages as well as for the temporary accommodation needed while it is proceeding, and premises for the permanent rehousing of those inhabitants who cannot return to their previous dwellings. This programming operation should be undertaken with the closest possible participation of the communities and groups of people concerned. Because the social, economic and physical context of historic areas and their surroundings may be expected to change over time, survey and analysis should be a continuing process. It is accordingly essential that the preparation of safeguarding plans and their execution be undertaken on the basis of studies available, rather than being postponed while the planning process is refined.

22. Once the safeguarding plans and specifications have been drawn up and approved by the competent public authority, it would be desirable for them to be executed either by their authors or under their authority.

23. In historic areas containing features from several different periods, preservation should be carried out taking into account the manifestations of all such periods.

24. Where safeguarding plans exist urban development or slum clearance programmes consisting of the demolition of buildings of no architectural or historic interest and which are structurally too unsound to be kept, the removal of extensions and additional storeys of no value, and sometimes even the demolition of recent buildings which break the unity of the area, may only be authorized in conformity with the plan.

25. Urban development or slum clearance programmes for areas not covered by safeguarding plans should respect buildings and other elements of architectural or historic value as well as accompanying buildings. If such elements are likely to be adversely affected by the programme, safeguarding plans as indicated above should be drawn up in advance of demolition. -

26. Constant supervision is necessary to ensure that these operations are not conducive to excessive profits nor serve other purposes contrary to the objectives of the plan.

27. The usual security standards applicable to fire and natural catastrophes should be observed in any urban development or slum clearance programme affecting a historic area, provided that this be compatible with the criteria applicable to the preservation of the cultural heritage. If conflict does occur, special solutions should be sought, with the collaboration of all the services concerned, so as to provide the maximum security, while not impairing the cultural heritage.

28. Particular care should be devoted to regulations for and control over new buildings so as to ensure that their architecture adapts harmoniously to the spatial organization and setting of the groups of historic buildings. To this end, an analysis of the urban context should precede any new construction not only so as to define the general character of the group of buildings but also to analyse its dominant features, e.g. the harmony of heights, colours, materials and forms, constants in the way the facades and roofs are built, the relationship between the volume of buildings and the spatial volume, as well as their average proportions and their position. Particular attention should be given to the size of the lots since there is a danger that any reorganization of the lots may cause a change of mass which could be deleterious to the harmony of the whole.

29. The isolation of a monument through the demolition of its surroundings should not generally be authorized, neither should a monument be moved unless in exceptional circumstances and for unavoidable reasons.

30. Historic areas and their surroundings should be protected from the disfigurement caused by the erection of poles, pylons and electricity or telephone cables and the placing of television aerials and large-scale advertising signs. Where these already exist appropriate measures should be taken for their removal. Bill-posting, neon signs and other kinds of advertisement, commercial signs, street pavements and furniture, should be planned with the greatest care and controlled so that they fit harmoniously into the whole. Special efforts should be made to prevent all forms of vandalism.

31. Member States and groups concerned should protect historic areas and their surroundings against the increasingly serious environmental damage caused by certain technological developments-in particular the various forms of pollution-by banning harmful industries in the proximity of these areas and by taking preventive measures to counter the destructive effects of noise, shocks and vibrations caused by machines and vehicles. Provision should further be made for measures to counter the harm resulting from overexploitation by tourism.

32. Member States should encourage and assist local authorities to seek solutions to the conflict existing in most historic groupings between motor traffic on the one hand and the scale of the buildings and their architectural qualities on the other. To solve the conflict and to encourage pedestrian traffic, careful attention should be paid to the placing of, and access to, peripheral and even central car parks and routing systems established which will facilitate pedestrian traffic, service access and public transport alike. Many rehabilitation operations such as putting electricity and other cables underground, too expensive if carried out singly, could then be co-ordinated easily and economically with the development of the road system.

33. Protection and restoration should be accompanied by revitalization activities. It would thus be essential to maintain appropriate existing functions, in particular trades and crafts, and establish new ones, which, if they are to be viable, in the long term, should be compatible with. the economic and social context of the town, region or country where they are introduced. The cost of safeguarding operations should be evaluated not only in terms of the cultural value of the buildings but also in relation to the value they acquire through the use made of them. The social problems of safeguarding cannot be seen correctly unless reference is made to both these value scales. These functions should answer the social, cultural and economic needs of the inhabitants without harming the specific nature of the area concerned. A cultural revitalization policy should make historic areas centers of cultural activities and give them a central role to play in the cultural development of the communities around them.

34. In rural areas all works which cause disturbances and all changes of economic and social structure should be carefully controlled so as to preserve the integrity of historic rural communities within their natural setting.

35. Safeguarding activities should couple the public authorities' contribution with the contribution made by the individual or collective owners and the inhabitants and users, separately or together, who should be encouraged to put forward suggestions and generally play an active part. Constant co-operation between the community and the individual should thus be established at all levels particularly through methods such as :"information adapted to the types of persons concerned; surveys adapted to the persons questioned; establishment of advisory groups attached to planning teams; representation of owners, inhabitants and users in an advisory function on bodies responsible for decision-making, management and. the organization of operations connected with plans for safeguarding, or the creation of public corporations to play a part in the plan's implementation.

36. The formation of voluntary conservation groups and non-profit-making associations and

the establishment of honorary or financial rewards should be encouraged so that specially meritorious work in all aspects of safeguarding may be recognized.

37. Availability of the necessary funds for the level of public investment provided for in the plans for the safeguarding of historic areas and their surroundings should be ensured by including adequate appropriations in the budgets of the central, regional and local authorities. All these funds should be centrally managed by public, private or semi-public bodies entrusted with the co-ordination of all forms of financial aid at national, regional or local level and with the channelling of them according to an overall plan of action.

38. Public assistance in the forms described below should be based on the principle that, wherever this is appropriate and necessary, the measures taken by the authorities concerned should take into account the `extra cost' of restoration, i.e. the additional cost imposed on the owner as compared with the new market or rental value of the building.

39. In general, such public funds should be used primarily to conserve existing buildings including especially buildings for low rental housing and should not be allocated to the construction of new buildings unless the latter do not prejudice the use and functions of existing buildings.

40. Grants, subsidies, loans at favourable rates, or tax concessions should be made available to private owners and to users carrying out work provided for by the safeguarding plans and in conformity with the standards laid down in those plans. These tax concessions, grants-and loans could be made first and foremost to groups of owners or users of living accommodation and commercial property, since joint operations are more economical than individual action. The financial concessions granted to private owners and users should, where appropriate, be dependent on covenants requiring the observance of certain conditions laid down in the public interest, and ensuring the integrity of the buildings such as allowing the buildings to be visited and allowing access to parks, gardens or sites, the taking of photographs, etc.

41. Special funds should be set aside in the budgets of public and private bodies for the protection of groups of historic buildings endangered by large scale public works and pollution. Public authorities should also set aside special funds for the repair of damage caused by natural disasters.

42. In addition, all government departments and agencies active in the field of public works should arrange their programmes and budgets so as to contribute to the rehabilitation of groups of historic buildings by financing work, which is both in conformity with their own aims and the aims of the safeguarding plan.

43. To increase the financial resources -available to them, Member States should encourage the setting up of public and/or private financing agencies for the safeguarding of historic areas and their surroundings. These agencies should have corporate status and be empowered to receive gifts from individuals, foundations and industrial and commercial concerns. Special tax concessions may be granted to donors.

44. The financing of work of any description carried out for the safeguarding of historic areas and their surroundings by setting up a loans corporation, could be facilitated by public institutions and private credit establishments, which would be responsible for making loans to owners at reduced rates of interest with repayment spread out over a long period.

45. Member States and other levels of government concerned could facilitate the creation of non-profit-making associations responsible for buying and, where appropriate after restoration, selling buildings by using revolving funds established for the special purpose of

enabling owners of historic buildings who wish to safeguard them and preserve their character to continue to reside there.

46. It is most important that safeguarding measures should not lead to a break in the social fabric. To avoid hardship to the poorest inhabitants consequent on their having to move from buildings or groups of buildings due for renovation, compensation for rises in rent could enable them to keep their homes, commercial premises and workshops and their traditional living patterns and occupations, especially rural crafts, small-scale agriculture, fishing, etc. This compensation, which would be income-related, would help those concerned to pay the increased rentals resulting from the work carried out.

V. Research education and information

47. In order to raise the standard of work of the skilled workers and craftsmen required and to encourage the whole population to realize the need for safeguarding and to take part in it, the following measures should be taken by Member States, in accordance with their legal and constitutional competence.

48. Member States and groups concerned should encourage the systematic study of, and research on: town-planning aspects of historic areas and their environment; the interconnexions between safeguarding and planning at all levels; methods of conservation applicable to historic areas; the alteration of materials ; the application of modern techniques to conservation work; the crafts techniques indispensable for safeguarding.

49. Specific education concerning the above questions and including practical training periods should be introduced and developed. In addition, it is essential to encourage the training of skilled workers and craftsmen specializing in the safeguarding of historic areas, including any open spaces surrounding them. Furthermore, it is necessary to encourage the crafts themselves, which are jeopardized by the processes of industrialization. It is desirable that the institutions concerned co-operate in this matter with specialized international agencies such as the Center for the Study of the Preservation and Restoration of Cultural Property, in Rome, the International Council of Monuments and Sites (ICOMOS) and the International Council of Museums (ICOM).

50. The education of administrative staff for the needs of local development in the field of safeguarding of historic areas should be financed where applicable and needed and directed by the appropriate authorities according to a long-term programme.

51. Awareness of the need for safeguarding work should be encouraged by education in school, out of school and at university and by using information media such as books, the press, television, radio, cinema and travelling exhibitions. Clear, comprehensive information should be provided as to the advantages-not only aesthetic, but also social and economic-to be reaped from a well-conducted policy for the safeguarding of historic areas and their surroundings. Such information should be widely circulated among specialized private and government bodies and the general public so that they may-know why and how their surroundings can be improved in this way.

52. The study of historic areas should be included in education at all levels, especially in history teaching, so as to inculcate in young minds an understanding of and respect for the works of the past and to demonstrate the role of this heritage in modern life. Education of this kind should make wide use of audio-visual media and of visits to groups of historic buildings.

53. Refresher courses for teachers and guides and the training of instructors should be facilitated so as to aid, groups of young people and adults wishing to learn about historic areas.

VI. International co-operation

54. Member States should co-operate with regard to the safeguarding of historic areas and their surroundings, seeking aid, if it seems desirable, from international organizations, both intergovernmental and non-governmental, in particular that of the UNESCO-ICOM-ICOMOS Documentation Centre. Such multilateral or bilateral cooperation should be carefully co-ordinated and should take the form of measures such as the following:

(a) exchange of information in all forms and of scientific and technical publications;

(b) organization of seminars and working parties on particular subjects;

(c) provision of study and travel fellowships, and the dispatch of scientific,technical and administrative staff, and equipment;

(d) joint action to combat pollution of all kinds;

(e) implementation of large-scale conservation, restoration and rehabilitation projects for historic areas and publication of the experience acquired. In frontier areas where the task of developing and safeguarding historic areas and their surroundings gives rise to problems jointly affecting Member States on either side of the frontier, they should co-ordinate their policies and activities to ensure that the,-cultural heritage is used and protected in the best possible way;

(f) mutual assistance between neighboring countries for the preservation of areas of common interest characteristic of the historic and cultural development of the region.

55. In conformity with the spirit and the principles of this recommendation, a Member State should not take any action to demolish or 'change the character of the historic quarters, towns and sites, situated in territories occupied by that State. The foregoing is the authentic text of the Recommendation duly adopted by the General Conference of the United Nations Educational, Scientific and Cultural Organization during its nineteenth session, which was held in Nairobi and declared closed the thirtieth day of November 1976.

IN FAITH WHEREOF we have appended our signatures.

The President of the General Conference
The Director-General

CHARTER FOR THE CONSERVATION OF HISTORIC TOWNS AND URBAN AREAS

(*Washington Charter - 1987*)

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

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.

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THE NARA DOCUMENT ON AUTHENTICITY (1994)

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 H. 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 utilization 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 includes 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 one 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.

The Nara Document on Authenticity was drafted by the 45 participants at the Nara Conference on Authenticity in Relation to the World Heritage Convention, held at Nara, Japan, from 1-6 November 1994, at the invitation of the Agency for Cultural Affairs (Government of Japan) and the Nara Prefecture. The Agency organized the Nara Conference in cooperation with UNESCO, ICCROM and ICOMOS.

This final version of the Nara Document has been edited by the general rapporteurs of the Nara Conference, Mr. Raymond Lemaire and Mr. Herb Stovel.

CONSEIL INTERNATIONAL DES MONUMENTS ET DES SITES   IC◆MOS   **INTERNATIONAL COUNCIL ON MONUMENTS AND SITES**

XI'AN DECLARATION

ON THE CONSERVATION OF THE SETTING

OF HERITAGE STRUCTURES, SITES AND AREAS

Adopted in Xi'an, China
by the 15th General Assembly of ICOMOS
on 21 October 2005
Final version - 22.10.2005

Preamble

Meeting in the ancient city of Xi'an (China) on 17-21st October 2005, at the invitation of ICOMOS China on the occasion of 15th General Assembly of ICOMOS and the celebrations marking the 40th anniversary of its longstanding endeavour to ensure the safeguard and conservation of the World's cultural heritage as part of its sustainable and human development;

Benefiting from the broad range of cases and reflections shared during the General Assembly's International Symposium on *Monuments and Sites in their Settings – Conserving Cultural Heritage in Changing Townscapes and Landscapes* and learning from a broad range of experiences from China and world-wide authorities, institutions and specialists in providing adequate care and management of heritage structures, sites and areas such as historic cities, landscapes, seascapes, cultural routes and archaeological sites in the context of accelerated change and development;

Taking note of the international and professional interest for the conservation of the settings of monuments and sites as expressed in the *International Charter for the Conservation and Restoration of Monuments and Sites – the Venice Charter* (1964) – and in the many texts it has inspired, particularly through ICOMOS National and International Committees, as well as the *Nara Document on Authenticity* (1994) and conclusions and recommendations of international meetings like the *Hoi An Declaration on the Conservation of Historic Districts in Asia* (2003), the *Declaration on the Recovery of Bam's Cultural Heritage* (2004), and the *Seoul Declaration on Tourism in Asia's Historic Towns and Areas* (2005);

Noting the references to the concept of setting in UNESCO conventions and recommendations like the *Recommendation concerning the Safeguarding of Beauty and Character of Landscapes and Sites* (1962)*,* the *Recommendation concerning the Preservation of Cultural Property Endangered by Public or Private Works* (1968), the *Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas* (1976), the *Convention for the Safeguarding of the Intangible Cultural Heritage*, (2003) and more specifically the *World Heritage Convention* (1972) and its Operational Guidelines, where setting is listed as an attribute of authenticity and as needing protection through the establishment of buffer zones, and the ongoing opportunity this brings for international and interdisciplinary co-operation between ICOMOS, UNESCO and other partners and for developments on topics like authenticity or the conservation of historic urban landscapes expressed in the *Vienna Memorandum* (2005).

Stressing the need to address adequately the rapid or incremental transformation of cities, landscapes and heritage routes which result from changes in lifestyles, agriculture, development, tourism or large-scale disasters of natural or human origin, and to recognise, protect and sustain adequately the meaningful presence of heritage structures, sites and areas in their settings as a way to reduce the threat these transformation processes constitute against the cultural heritage in the full richness of its authenticity, meaning, values, integrity and diversity,

Participants of the 15th General Assembly of ICOMOS adopt the following Declaration of principles and recommendations, addressing it to intergovernmental and non-governmental organisations, national and local authorities and all institutions and specialists able to contribute through legislation, policies, planning processes and management to better protect and conserve the world's heritage structures, sites and areas in their settings.

Acknowledge the contribution of setting to the significance of heritage monuments, sites and areas

1. **The setting of a heritage structure, site or area is defined as the immediate and extended environment that is part of, or contributes to, its significance and distinctive character.**

   Beyond the physical and visual aspects, the setting includes interaction with the natural environment; past or present social or spiritual practices, customs, traditional knowledge, use or activities and other forms of intangible cultural heritage aspects that created and form the space as well as the current and dynamic cultural, social and economic context.

2. **Heritage structures, sites or areas of various scales, including individual buildings or designed spaces, historic cities or urban landscapes, landscapes, seascapes, cultural routes and archaeological sites, derive their significance and distinctive character from their perceived social and spiritual, historic, artistic, aesthetic, natural, scientific, or other cultural values. They also derive their significance and distinctive character from their meaningful relationships with their physical, visual, spiritual and other cultural context and settings.**

   These relationships can be the result of a conscious and planned creative act, spiritual belief, historical events, use or a cumulative and organic process over time through cultural traditions.

Understand, document and interpret the settings in diverse contexts

3. **Understanding, documenting and interpreting the setting is essential to defining and appreciating the heritage significance of any structure, site or area.**

   The definition of setting requires an understanding of the history, evolution and character of the surrounds of the heritage resource. Defining the setting is a process of considering multiple factors to include the character of the arrival experience and the heritage resource itself.

4. **Understanding the setting in an inclusive way requires a multi-disciplinary approach and the use of diverse information sources.**

   Sources include formal records and archives, artistic and scientific descriptions, oral history and traditional knowledge, the perspectives of local and associated communities as well as the analysis of views and vistas.

Cultural traditions, rituals, spiritual practices and concepts as well as history, topography, natural environment values, use and other factors contribute to create the full range of a setting's tangible and intangible values and dimensions. The definition of settings should carefully articulate the character and values of the setting and its relationship to the heritage resource.

Develop planning tools and practices to conserve and manage settings

5. **The implementation of effective planning and legislative tools, policies, strategies and practices to sustainably manage settings requires consistency and continuity in application, whilst reflecting the local or cultural contexts in which they function.**

   Tools to manage settings include specific legislative measures, professional training, development of comprehensive conservation and management plans or systems, and use of adequate heritage impact assessment methods.

6. **Legislation, regulation and guidelines for the protection, conservation and management of heritage structures, sites and areas should provide for the establishment of a protection or buffer zone around them that reflects and conserves the significance and distinctive character of their setting.**

7. **Planning instruments should include provisions to effectively control the impact of incremental or rapid change on settings.**

   Significant skylines, sight lines and adequate distance between any new public or private development and heritage structures, sites and areas are key aspects to assess in the prevention of inappropriate visual and spatial encroachments or land use in significant settings.

8. **Heritage impact assessments should be required for all new development impacting on the significance of heritage structures, sites and areas and on their settings.**

   Development within the setting of heritage structures, sites and areas should positively interpret and contribute to its significance and distinctive character.

Monitor and manage change affecting settings

9. **The rate of change and the individual and cumulative impacts of change and transformation on the settings of heritage structures, sites and areas is an ongoing process which must be monitored and managed.**

   Incremental as well as rapid transformation of the urban or rural landscapes, the ways of life, the economies or the natural environment can substantially or irretrievably affect the authentic contribution that the setting makes to the significance of a heritage structure, site or area.

10. **Change to the setting of heritage structures, sites and areas should be managed to retain cultural significance and distinctive character.**

    Managing change to the setting of heritage structures, sites and areas need not necessarily prevent or obstruct change.

11. **Monitoring should define approaches and actions to appreciate and measure as well as prevent or remedy decay, loss of significance or trivialisation and propose improvement in conservation, management and interpretation practices.**

   Qualitative and quantifiable indicators should be developed to assess the contribution of the setting to the significance of a heritage structure, site or area.

   Indicators for monitoring should cover physical aspects such as intrusion on views, skylines or open spaces, air pollution, sound pollution, as well as economic, social and cultural dimensions.

Work with local, interdisciplinary and international communities for co-operation and awareness in conserving and managing settings

12. **Co-operation and engagement with associated and local communities is essential as part of developing sustainable strategies for the conservation and management of settings.**

   Inter-disciplinary engagement should be encouraged as standard practice in conserving and managing settings. Relevant cultural heritage fields include architecture, urban and regional planning, landscape planning, engineering, anthropology, history, archaeology, ethnology, curation and archives.

   Co-operation with institutions and specialists in the field of natural heritage should also be encouraged as an integral part of good practice for the identification, protection, presentation and interpretation of heritage structures, sites or areas in their setting.

13. **Professional training, interpretation, community education and public awareness should be encouraged to support such co-operation and sharing of knowledge as well as to promote conservation goals, improve the efficiency of the protection tools, management plans and other instruments.**

   The experience, knowledge and tools developed through the conservation of individual heritage structures, sites and areas should be extended to complement the management of their setting.

   Economic resources should be allocated to the research, assessment and strategic planning of the conservation and management of setting of heritage structures, sites and areas.

   Awareness of the significance of the setting in its various dimensions is the shared responsibility of professionals, institutions, associated and local communities, who should take into account the tangible and intangible dimensions of settings when making decisions.

Adopted in Xi'an (China) on the 21st October, 2005.

QUÉBEC DECLARATION
ON THE PRESERVATION OF THE SPIRIT OF PLACE

Adopted at Québec, Canada, October 4th 2008

Preamble

Meeting in the historic city of Québec (Canada), from 29 September to 4 October 2008, at the invitation of ICOMOS Canada, on the occasion of the 16th General Assembly of ICOMOS and the celebrations marking the 400th anniversary of the founding of Québec, the participants adopt the following Declaration of principles and recommendations to preserve the spirit of place through the safeguarding of tangible and intangible heritage, which is regarded as an innovative and efficient manner of ensuring sustainable and social development throughout the world.

This Declaration is part of a series of measures and actions undertaken by ICOMOS over the course of the past five years to safeguard and promote the spirit of places, namely their living, social and spiritual nature. In 2003, ICOMOS focused the scientific symposium of its 14th General Assembly on the theme of the preservation of social intangible values of monuments and sites. In the ensuing Kimberly Declaration, ICOMOS committed itself to taking into account the intangible values (memory, beliefs, traditional knowledge, attachment to place) and the local communities that are the custodians of these values in the management and preservation of monuments and sites under the World Heritage Convention of 1972. The ICOMOS Xi'an Declaration of 2005 draws attention to the conservation of context, defined as the physical, visual and natural aspects as well as social and spiritual practices, customs, traditional knowledge and other intangible forms and expressions, in the protection and promotion of world heritage monuments and sites. It also calls upon a multidisciplinary approach and diversified sources of information in order to better understand, manage and conserve context. The Declaration of Foz Do Iguaçu, drawn up in 2008 by ICOMOS Americas, specifies that the tangible and intangible components of heritage are essential in the preservation of the identity of communities that have created and transmitted spaces of cultural and historical

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significance. The new ICOMOS charters on Cultural Routes and on Interpretation and Presentation, formulated after extensive consultations and presented for ratification at the present 16th ICOMOS General Assembly, also recognize the importance of intangible dimensions of heritage and the spiritual value of place. Because of the indivisible nature of tangible and intangible heritage and the meanings, values and context intangible heritage gives to objects and places, ICOMOS is currently considering the adoption of a new charter dedicated specifically to the intangible heritage of monuments and sites. In this regard, we encourage discussion and debates in order to develop a new conceptual vocabulary that takes into account the ontological changes of the spirit of place.

The 16th General Assembly, and more specifically the Youth Forum, the Aboriginal Forum and the Scientific Symposium, have provided an opportunity to further explore the relationship between tangible and intangible heritage, and the internal social and cultural mechanisms of the spirit of place. Spirit of place is defined as the tangible (buildings, sites, landscapes, routes, objects) and the intangible elements (memories, narratives, written documents, rituals, festivals, traditional knowledge, values, textures, colors, odors, etc.), that is to say the physical and the spiritual elements that give meaning, value, emotion and mystery to place. Rather than separate spirit from place, the intangible from the tangible, and consider them as opposed to each other, we have investigated the many ways in which the two interact and mutually construct one another. The spirit of place is constructed by various social actors, its architects and managers as well as its users, who all contribute actively and concurrently to giving it meaning. Considered as a relational concept, spirit of place takes on a plural and dynamic character, capable of possessing multiple meanings and singularities, of changing through time, and of belonging to different groups. This more dynamic approach is also better adapted to today's globalized world, which is characterized by transnational population movements, relocated populations, increased intercultural contacts, pluralistic societies, and multiple attachments to place.

The spirit of place offers a more comprehensive understanding of the living and, at the same time, permanent character of monuments, sites and cultural landscapes. It provides a richer, more dynamic, and inclusive vision of cultural heritage. Spirit of place exists, in one form or another, in practically all the cultures of the world, and is constructed by human beings in response to their social needs. The communities that inhabit place, especially when they are traditional societies, should be intimately associated in the safeguarding of its memory, vitality, continuity and spirituality.

The participants of the 16th General Assembly of ICOMOS therefore address the following Declaration of principles and recommendations to intergovernmental and non-governmental organizations, national and local authorities and all institutions and specialists in a position to contribute through legislation, policies, planning processes and management to better protecting and promoting the spirit of place.

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Rethinking the Spirit of Place

1. Recognizing that the spirit of place is made up of tangible (sites, buildings, landscapes, routes, objects) as well as intangible elements (memories, narratives, written documents, festivals, commemorations, rituals, traditional knowledge, values, textures, colors, odors, etc.), which all significantly contribute to making place and to giving it spirit, we declare that intangible cultural heritage gives a richer and more complete meaning to heritage as a whole and it must be taken into account in all legislation concerning cultural heritage, and in all conservation and restoration projects for monuments, sites, landscapes, routes and collections of objects.

2. Because the spirit of place is complex and multiform, we demand that governments and other stakeholders call upon the expertise of multidisciplinary research teams and traditional practitioners in order to better understand, preserve and transmit the spirit of place.

3. Since the spirit of place is a continuously reconstructed process, which responds to the needs for change and continuity of communities, we uphold that it can vary in time and from one culture to another according to their practices of memory, and that a place can have several spirits and be shared by different groups.

Identifying the Threats to the Spirit of Place

4. Since climatic change, mass tourism, armed conflict and urban development lead to the transformation and disruption of societies, we need to better understand these threats in order to establish preventive measures and sustainable solutions. We recommend that governmental and non-governmental agencies, and local and national heritage organizations develop long term strategic plans to prevent the degradation of the spirit of place and its environment. The inhabitants and local authorities should also be made aware of the safeguarding of the spirit of place so that they are better prepared to deal with the threats of a changing world.

5. As the sharing of places invested with different spirits by several groups increases the risk of competition and conflict, we recognize that these sites require specific management plans and strategies, adapted to the pluralistic context of modern multicultural societies. Because the threats to the spirit of place are especially high amongst minority groups, be they natives or newcomers, we recommend that these groups benefit first and foremost from specific policies and practices.

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Safeguarding the Spirit of Place

6.   Because in most countries of the world today the spirit of place, in particular its intangible components, do not currently benefit from formal educational programs or legal protection, we recommend the setting up of forums and consultations with experts from different backgrounds and resource persons from local communities, and the development of training programs and legal policies in order to better safeguard and promote the spirit of place.

7. Considering that modern digital technologies (digital databases, websites) can be used efficiently and effectively at a low cost to develop multimedia inventories that integrate tangible and intangible elements of heritage, we strongly recommend their widespread use in order to better preserve, disseminate and promote heritage places and their spirit. These technologies facilitate the diversity and constant renewal of the documentation on the spirit of place.

Transmitting the Spirit of Place

8.   Recognizing that spirit of place is transmitted essentially by people, and that transmission is an important part of its conservation, we declare that it is through interactive communication and the participation of the concerned communities that the spirit of place is most efficiently safeguarded, used and enhanced. Communication is the best tool for keeping the spirit of place alive.

9.   Given that local communities are generally in the best position to comprehend the spirit of place, especially in the case of traditional cultural groups, we maintain that they are also best equipped to safeguard it and should be intimately associated in all endeavors to preserve and transmit the spirit of place. Non-formal (narratives, rituals, performances, traditional experience and practices, etc.) and formal (educational programs, digital databases, websites, pedagogical tools, multimedia presentations, etc.) means of transmission should be encouraged because they ensure not only the safeguarding of the spirit of place but, more importantly, the sustainable and social development of the community.

10. Recognizing that intergenerational and transcultural transmission plays an important role in the sustained dissemination and the preservation of the spirit of place, we recommend the association and involvement of younger generations, as well as different cultural groups associated with the site, in policy-making and the management of the spirit of place.

International Council on
Monuments and Sites
Conseil International
des Monuments et des Sites

UNESCO Recommendation on the Historic Urban Landscape

On 10 November 2011 UNESCO's General Conference adopted the new Recommendation on the Historic Urban Landscape by acclamation, the first such instrument on the historic environment issued by UNESCO in 35 years. The Recommendation on the Historic Urban Landscape will not replace existing doctrines or conservation approaches; rather, it is an additional tool to integrate policies and practices of conservation of the built environment into the wider goals of urban development in respect of the inherited values and traditions of different cultural contexts. This tool, which is a **"soft-law"** to be implemented by Member States on a voluntary basis.

In order to facilitate implementation, the UNESCO General Conference recommended that Member States take the appropriate steps to:

- Adapt this new instrument to their specific contexts;
- Disseminate it widely across their national territories;
- Facilitate implementation through formulation and adoption of supporting policies; and to
- Monitor its impact on the conservation and management of historic cities.

It further recommended that Member States and relevant local authorities identify within their specific contexts the critical steps to implement the Historic Urban Landscape approach, which may include the following:

- To undertake comprehensive surveys and mapping of the city's natural, cultural and human resources;
- To reach consensus using participatory planning and stakeholder consultations on what values to protect for transmission to future generations and to determine the attributes that carry these values;
- To assess vulnerability of these attributes to socio-economic stresses and impacts of climate change;
- To integrate urban heritage values and their vulnerability status into a wider framework of city development, which shall provide indications of areas of heritage sensitivity that require careful attention to planning, design and implementation of development projects;
- To prioritize actions for conservation and development;
- To establish the appropriate partnerships and local management frameworks for each of the identified projects for conservation and development, as well as to develop mechanisms for the coordination of the various activities between different actors, both public and private.

RECOMMENDATION TEXT:
Recommendation on the Historic Urban Landscape, including a glossary of definitions

10 November 2011

Preamble

The General Conference,

Considering that historic urban areas are among the most abundant and diverse manifestations of our common cultural heritage, shaped by generations and constituting a key testimony to humankind's endeavours and aspirations through space and time,

Also considering that urban heritage is for humanity a social, cultural and economic asset, defined by an historic layering of values that have been produced by successive and existing cultures and an accumulation of traditions and experiences, recognized as such in their diversity,

Further considering that urbanization is proceeding on an unprecedented scale in the history of humankind, and that throughout the world this is driving socio-economic change and growth, which should be harnessed at the local, national, regional and international levels,

Recognizing, the dynamic nature of living cities,

Noting, however, that rapid and frequently uncontrolled development is transforming urban areas and their settings, which may cause fragmentation and deterioration to urban heritage with deep impacts on community values, throughout the world,

Considering, therefore, that in order to support the protection of natural and cultural heritage, emphasis needs to be put on the integration of historic urban area conservation, management and planning strategies into local development processes and urban planning, such as, contemporary architecture and infrastructure development, for which the application of a landscape approach would help maintain urban identity,

Also considering that the principle of sustainable development provides for the preservation of existing resources, the active protection of urban heritage and its sustainable management is a condition sine qua non of development,

Recalling that a corpus of UNESCO standard-setting documents, including conventions, recommendations and charters (1) exists on the subject of the conservation of historic areas, all of which remain valid,

Also noting, however, that under processes of demographic shifts, global market liberalization and decentralization, as well as mass tourism, market exploitation of heritage, and climate change, conditions have changed and cities are subject to development pressures and challenges not present at the time of adoption of the most recent UNESCO recommendation on historic areas in 1976 (Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas),

Further noting the evolution of the concepts of culture and heritage and of the approaches to their management, through the combined action of local initiatives and international meetings

(2), which have been useful in guiding policies and practices worldwide,

Desiring to supplement and extend the application of the standards and principles laid down in existing international instruments,

Having before it proposals concerning the historic urban landscape as an approach to urban heritage conservation, which appear on the agenda of the 36th session of the General Conference as item 8.1,

Having decided at its 35th session that this issue should be addressed by means of a recommendation to Member States,

1. *Adopts*, this 10th day of November 2011, the present Recommendation on the Historic Urban Landscape;

2. *Recommends* that Member States adopt the appropriate legislative institutional framework and measures, with a view to applying the principles and norms set out in this Recommendation in the territories under their jurisdiction;

3. *Also recommends* that Member States bring this Recommendation to the attention of the local, national and regional authorities, and of institutions, services or bodies and associations concerned with the safeguarding, conservation and management of historic urban areas and their wider geographical settings.

Introduction

1. Our time is witness to the largest human migration in history. More than half of the world's population now lives in urban areas. Urban areas are increasingly important as engines of growth and as centres of innovation and creativity; they provide opportunities for employment and education and respond to people's evolving needs and aspirations.

2. Rapid and uncontrolled urbanization, however, may frequently result in social and spatial fragmentation and in a drastic deterioration of the quality of the urban environment and of the surrounding rural areas. Notably, this may be due to excessive building density, standardized and monotonous buildings, loss of public space and amenities, inadequate infrastructure, debilitating poverty, social isolation, and an increasing risk of climate-related disasters.

3. Urban heritage, including its tangible and intangible components, constitutes a key resource in enhancing the liveability of urban areas, and fosters economic development and social cohesion in a changing global environment. As the future of humanity hinges on the effective planning and management of resources, conservation has become a strategy to achieve a balance between urban growth and quality of life on a sustainable basis.

4. In the course of the past half century, urban heritage conservation has emerged as an important sector of public policy worldwide. It is a response to the need to preserve shared values and to benefit from the legacy of history. However, the shift from an emphasis on architectural monuments primarily towards a broader recognition of the importance of the social, cultural and economic processes in the conservation of urban values, should be matched by a drive to adapt the existing policies and to create new tools to address this vision.

5. This Recommendation addresses the need to better integrate and frame urban heritage conservation strategies within the larger goals of overall sustainable development, in order to support public and private actions aimed at preserving and enhancing the quality of the human environment. It suggests a landscape approach for identifying, conserving and managing historic areas within their broader urban contexts, by considering the interrelationships of their physical forms, their spatial organization and connection, their natural features and settings, and

their social, cultural and economic values.

6. This approach addresses the policy, governance and management concerns involving a variety of stakeholders, including local, national, regional, international, public and private actors in the urban development process.

7. This Recommendation builds upon the four previous UNESCO recommendations concerning heritage preservation, and recognizes the importance and the validity of their concepts and principles in the history and practice of conservation. In addition, modern conservation conventions and charters address the many dimensions of cultural and natural heritage, and constitute the foundations of this Recommendation.

I. Definition

8. The historic urban landscape is the urban area understood as the result of a historic layering of cultural and natural values and attributes, extending beyond the notion of "historic centre" or "ensemble" to include the broader urban context and its geographical setting.

9. This wider context includes notably the site's topography, geomorphology, hydrology and natural features, its built environment, both historic and contemporary, its infrastructures above and below ground, its open spaces and gardens, its land use patterns and spatial organization, perceptions and visual relationships, as well as all other elements of the urban structure. It also includes social and cultural practices and values, economic processes and the intangible dimensions of heritage as related to diversity and identity.

10. This definition provides the basis for a comprehensive and integrated approach for the identification, assessment, conservation and management of historic urban landscapes within an overall sustainable development framework.

11. The historic urban landscape approach is aimed at preserving the quality of the human environment, enhancing the productive and sustainable use of urban spaces, while recognizing their dynamic character, and promoting social and functional diversity. It integrates the goals of urban heritage conservation and those of social and economic development. It is rooted in a balanced and sustainable relationship between the urban and natural environment, between the needs of present and future generations and the legacy from the past.

12. The historic urban landscape approach considers cultural diversity and creativity as key assets for human, social and economic development, and provides tools to manage physical and social transformations and to ensure that contemporary interventions are harmoniously integrated with heritage in a historic setting and take into account regional contexts.

13. The historic urban landscape approach learns from the traditions and perceptions of local communities, while respecting the values of the national and international communities.

II. Challenges and opportunities for the historic urban landscape

14. The existing UNESCO recommendations recognize the important role of historic areas in modern societies. These recommendations also identify a number of specific threats to the conservation of historic urban areas, and provide general principles, policies and guidelines to meet such challenges.

15. The historic urban landscape approach reflects the fact that both the discipline and practice of urban heritage conservation have evolved significantly in recent decades, enabling policy-makers and managers to deal more effectively with new challenges and opportunities. The historic urban landscape approach supports communities in their quest for development and adaptation, while retaining the characteristics and values linked to their history and collective

memory, and to the environment.

16. In the past decades, owing to the sharp increase in the world's urban population, the scale and speed of development, and the changing economy, urban settlements and their historic areas have become centres and drivers of economic growth in many regions of the world, and have taken on a new role in cultural and social life. As a result, they have also come under a large array of new pressures, including:

Urbanization and globalization

17. Urban growth is transforming the essence of many historic urban areas. Global processes have a deep impact on the values attributed by communities to urban areas and their settings, and on the perceptions and realities of their inhabitants and users. On the one hand, urbanization provides economic, social and cultural opportunities that can enhance the quality of life and traditional character of urban areas; on the other hand, the unmanaged changes in urban density and growth can undermine the sense of place, the integrity of the urban fabric, and the identity of communities. Some historic urban areas are losing their functionality, traditional role and populations. The historic urban landscape approach may assist in managing and mitigating such impacts.

Development

18. Many economic processes offer ways and means to alleviate urban poverty and to promote social and human development. The greater availability of innovations, such as information technology and sustainable planning, design and building practices, can improve urban areas, thus enhancing the quality of life. When properly managed through the historic urban landscape approach, new functions, such as services and tourism, are important economic initiatives that can contribute to the well-being of the communities and to the conservation of historic urban areas and their cultural heritage while ensuring economic and social diversity and the residential function. Failing to capture these opportunities leads to unsustainable and unviable cities, just as implementing them in an inadequate and inappropriate manner results in the destruction of heritage assets and irreplaceable losses for future generations.

Environment

19. Human settlements have constantly adapted to climatic and environmental changes, including those resulting from disasters. However, the intensity and speed of present changes are challenging our complex urban environments. Concern for the environment, in particular for water and energy consumption, calls for approaches and new models for urban living, based on ecologically sensitive policies and practices aimed at strengthening sustainability and the quality of urban life. Many of these initiatives, however, should integrate natural and cultural heritage as resources for sustainable development.

20. Changes to historic urban areas can also result from sudden disasters and armed conflicts. These may be short lived but can have lasting effects. The historic urban landscape approach may assist in managing and mitigating such impacts.

III. Policies

21. Modern urban conservation policies, as reflected in existing international recommendations and charters, have set the stage for the preservation of historic urban areas. However, present and future challenges require the definition and implementation of a new generation of public policies identifying and protecting the historic layering and balance of cultural and natural values in urban environments.

22. Conservation of the urban heritage should be integrated into general policy planning and

practices and those related to the broader urban context. Policies should provide mechanisms for balancing conservation and sustainability in the short and long terms. Special emphasis should be placed on the harmonious, integration of contemporary interventions into the historic urban fabric. In particular, the responsibilities of the different stakeholders are the following:

(a) Member States should integrate urban heritage conservation strategies into national development policies and agendas according to the historic urban landscape approach. Within this framework, local authorities should prepare urban development plans taking into account the area's values, including the landscape and other heritage values, and features associated therewith;

(b) Public and private stakeholders should cooperate, inter alia, through partnerships to ensure the successful application of the historic urban landscape approach;

(c) International organizations dealing with sustainable development processes should integrate the historic urban landscape approach into their strategies, plans and operations;

(d) National and international non-governmental organizations should participate in developing and disseminating tools and best practices for the implementation of the historic urban landscape approach.

23. All levels of government – local, regional, national/federal, – aware of their responsibility – should contribute to the definition, elaboration, implementation and assessment of urban heritage conservation policies. These policies should be based on a participatory approach by all stakeholders and coordinated from both the institutional and sectorial viewpoints.

IV. Tools

24. The approach based on the historic urban landscape implies the application of a range of traditional and innovative tools adapted to local contexts. Some of these tools, which need to be developed as part of the process involving the different stakeholders, might include:

(a) **Civic engagement tools** should involve a diverse cross-section of stakeholders, and empower them to identify key values in their urban areas, develop visions that reflect their diversity, set goals, and agree on actions to safeguard their heritage and promote sustainable development. These tools, which constitute an integral part of urban governance dynamics, should facilitate intercultural dialogue by learning from communities about their histories, traditions, values, needs and aspirations, and by facilitating mediation and negotiation between groups with conflicting interests.

(b) **Knowledge and planning tools** should help protect the integrity and authenticity of the attributes of urban heritage. They should also allow for the recognition of cultural significance and diversity, and provide for the monitoring and management of change to improve the quality of life and of urban space. These tools would include documentation and mapping of cultural and natural characteristics. Heritage, social and environmental impact assessments should be used to support and facilitate decision-making processes within a framework of sustainable development.

(c) **Regulatory systems** should reflect local conditions, and may include legislative and regulatory measures aimed at the conservation and management of the tangible and intangible attributes of the urban heritage, including their social, environmental and cultural values. Traditional and customary systems should be recognized and reinforced as necessary.

(d) **Financial tools** should be aimed at building capacities and supporting innovative income-generating development, rooted in tradition. In addition to government and global funds from international agencies, financial tools should be effectively employed to foster private

investment at the local level. Micro-credit and other flexible financing to support local enterprise, as well as a variety of models of partnerships, are also central to making the historic urban landscape approach financially sustainable.

V. Capacity-building, research, information and communication

25. Capacity-building should involve the main stakeholders: communities, decision-makers, and professionals and managers, in order to foster understanding of the historic urban landscape approach and its implementation. Effective capacity-building hinges on an active collaboration of these main stakeholders, aimed at adapting the implementation of this Recommendation to regional contexts in order to define and refine the local strategies and objectives, action frameworks and resource mobilization schemes.

26. Research should target the complex layering of urban settlements, in order to identify values, understand their meaning for the communities, and present them to visitors in a comprehensive manner. Academic and university institutions and other centres of research should be encouraged to develop scientific research on aspects of the historic urban landscape approach, and cooperate at the local, national, regional and international level. It is essential to document the state of urban areas and their evolution, to facilitate the evaluation of proposals for change, and to improve protective and managerial skills and procedures.

27. Encourage the use of information and communication technology to document, understand and present the complex layering of urban areas and their constituent components. The collection and analysis of this data is an essential part of the knowledge of urban areas. To communicate with all sectors of society, it is particularly important to reach out to youth and all under-represented groups in order to encourage their participation.

VI. International cooperation

28. Member States and international governmental and non-governmental organizations should facilitate public understanding and involvement in the implementation of the historic urban landscape approach, by disseminating best practices and lessons learned from different parts of the world, in order to strengthen the network of knowledge-sharing and capacity-building.

29. Member States should promote multinational cooperation between local authorities.

30. International development and cooperation agencies of Member States, non-governmental organizations and foundations should be encouraged to develop methodologies which take into account the historic urban landscape approach and to harmonize them with their assistance programmes and projects pertaining to urban areas.

APPENDIX

Glossary of definitions

Historic area/city (from the 1976 Recommendation)

"Historic and architectural (including vernacular) areas" shall be taken to mean any groups of buildings, structures and open spaces including archaeological and palaeontological sites, constituting human settlements in an urban or rural environment, the cohesion and value of which, from the archaeological, architectural, prehistoric, historic, aesthetic or sociocultural point of view are recognized. Among these "areas", which are very varied in nature, it is possible to distinguish the following "in particular: prehistoric sites, historic towns, old urban quarters,

villages and hamlets as well as homogeneous monumental groups, it being understood that the latter should as a rule be carefully preserved unchanged.

Historic urban area (from the ICOMOS Washington Charter)

Historic urban areas, large and small, include 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.

Urban heritage (from European Union research report Nº 16 (2004), Sustainable development of Urban historical areas through and active Integration within Towns – SUIT)

Urban heritage comprises three main categories:
• Monumental heritage of exceptional cultural value;
• Non-exceptional heritage elements but present in a coherent way with a relative abundance;
• New urban elements to be considered (for instance):
    - The urban built form;
    - The open space: streets, public open spaces;
    - Urban infrastructures: material networks and equipments.

Urban conservation

Urban conservation is not limited to the preservation of single buildings. It views architecture as but one element of the overall urban setting, making it a complex and multifaceted discipline. By definition, then, urban conservation lies at the very heart of urban planning.

Built environment

The built environment refers to human-made (versus natural) resources and infrastructure designed to support human activity, such as buildings, roads, parks, and other amenities.

Landscape approach (from the International Union for Conservation of Nature – IUCN, and the World Wildlife Fund – WWF)

The landscape approach is a framework for making landscape-level conservation decisions. The landscape approach helps to reach decisions about the advisability of particular interventions (such as a new road or plantation), and to facilitate the planning, negotiation and implementation of activities across a whole landscape.

Historic urban landscape

(see definition in paragraph 9 of the Recommendation)

Setting (from the ICOMOS Xi'an Declaration)

The setting of a heritage structure, site or area is defined as the immediate and extended environment that is part of, or contributes to, its significance and distinctive character.

Cultural significance (from the ICOMOS Australia Burra Charter)

Cultural significance means aesthetic, historic, scientific, social or spiritual value for past, present or future generations. Cultural significance is embodied in the place itself, its fabric, setting, use, associations, meanings, records, related places and related objects. Places may have a range of values for different individuals or groups.

Notes :

(1) In particular, the 1972 Convention concerning the Protection of the World Cultural and Natural Heritage, the 2005 Convention on the Protection and Promotion of the Diversity of Cultural Expressions, the 1962 Recommendation concerning the Safeguarding of the Beauty and Character of Landscapes and Sites, the 1968 Recommendation concerning the Preservation of Cultural Property Endangered by Public or Private Works, the 1972 Recommendation concerning the Protection, at National Level, of the Cultural and Natural Heritage, the 1976 Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas, the 1964 ICOMOS International Charter for the Conservation and Restoration of Monuments and Sites (Venice Charter), the 1982 ICOMOS Historic Gardens (Florence Charter), and the 1987 ICOMOS Charter for the Conservation of Historic Towns and Urban Areas (Washington Charter), the 2005 ICOMOS Xi'an Declaration on the Conservation of the Setting of Heritage Structures, Sites and Areas, as well as the 2005 Vienna Memorandum on World Heritage and Contemporary Architecture – Managing the Historic Urban Landscape.

(2) In particular the 1982 World Conference on Cultural Policies in Mexico City, the 1994 Nara Meeting on Authenticity, the 1995 summit of the World Commission on Culture and Development, the 1996 HABITAT II Conference in Istanbul with ratification of Agenda 21, the 1998 UNESCO Intergovernmental Conference on Cultural Policies for Development in Stockholm, the 1998 joint World Bank-UNESCO Conference on Culture in Sustainable Development–Investing in Cultural and Natural Endowments, the 2005 International Conference on World Heritage and Contemporary Architecture in Vienna, the 2005 ICOMOS General Assembly on the Setting of Monuments and Sites in Xi'an, and the 2008 ICOMOS General Assembly on the Spirit of Place in Québec.

ICOMOS
XVIIÈME ASSEMBLÉE GÉNÉRALE
PARIS 2011

The Valletta Principles for the Safeguarding and Management of Historic Cities, Towns and Urban Areas

Adopted by the 17th ICOMOS General Assembly on 28 November 2011

Preamble

Humanity today must confront a number of changes. These changes concern human settlements, in general, and historic towns and urban areas in particular. The globalization of markets and methods of production cause shifts in population between regions and towards towns, especially large cities. Changes in political governance and in business practices require new structures and new conditions in towns and urban areas. These are also necessary to counteract segregation and social rootlessness as part of attempts to reinforce identity.

Within what is now an international framework of reflection on urban conservation, there is an ever-increasing awareness of these new demands. The organizations charged with the conservation of heritage and the enhancement of its value need to develop their skills, their tools, their attitudes and, in many cases, their role in the planning process.

CIVVIH (ICOMOS - International Committee on Historic Towns and Villages) has therefore updated the approaches and considerations contained in the Washington Charter (1987) and the Nairobi Recommendation (1976), based on the existing set of reference documents. CIVVIH has redefined the objectives, attitudes and tools needed. It has taken into consideration the significant evolution in definitions and methodologies concerning the safeguarding and management of historic towns and urban areas.

Principes de la Valette pour la sauvegarde et la gestion des villes et ensembles urbains historiques

Adoptées par la 17e Assemblée générale de l'ICOMOS le 28 novembre 2011

Préambule

L'humanité se trouve aujourd'hui confrontée à une série de changements. Ces changements concernent les habitats humains, en général, les villes et ensembles urbains, en particulier. La globalisation des marchés et des modes de production provoque des mouvements de populations entre les régions et vers les villes, principalement les grandes villes. Ces changements dans la gouvernance politique et les pratiques entrepreneuriales entrainent de nouvelles constructions et conditions de travail dans les zones urbaines. Ceux-ci sont aussi indispensables pour lutter contre la ségrégation et le déracinement social, et contribuent aux efforts renforçant cette lutte.

Dans le contexte, aujourd'hui international, de la réflexion sur la conservation urbaine, on note une prise de conscience croissante de ces nouvelles exigences. Les organisations chargées de la conservation et la valorisation du patrimoine ont besoin de développer leurs compétences, leurs outils, leurs attitudes et, dans de nombreux cas, leur rôle dans le processus de planification.

Le CIVVIH (ICOMOS - Comité International des Villes et Villages Historiques), a donc mis à jour les approches et les considérations contenues dans la Charte de Washington (1987) et la Recommandation de Nairobi (1976), fondées sur le corpus des documents de référence. Le CIVVIH a redéfini les objectifs, attitudes et outils nécessaires. Il a pris en considération les évolutions significatives des définitions et méthodologies en matière de sauvegarde et gestion des villes et ensembles urbains historiques.

The modifications reflect a greater awareness of the issue of historic heritage on a regional scale rather than just confined to urban areas; of intangible values such as continuity and identity; of traditional land use, the role of public space in communal interactions, and of other socioeconomic factors such as integration and environmental factors. Questions around the role of landscape as common ground, or conceptualizing the townscape, including its topography and skyline, as a whole, seem more important than before. Another important modification, particularly in fast-growing cities, takes into account the problems of large-scale developments, which alter the traditional lot sizes that help to define historic urban morphology.

Ces modifications reflètent une meilleure prise en compte de la question du patrimoine historique au niveau territorial, et non plus seulement à l'échelle de l'ensemble urbain; des valeurs immatérielles, comme la continuité et l'identité; des usages du territoire urbain traditionnel et du rôle de l'espace public dans les échanges collectifs et d'autres facteurs socio-économiques comme l'intégration; des facteurs environnementaux. Des questions telles que le paysage considéré comme un socle commun ou conceptualisant le paysage urbain comme un tout, avec sa topographie historique et sa silhouette physique, semblent plus importantes qu'avant. Autre modification importante, dans le cas particulier des villes à croissance rapide où les aménagements urbains sont susceptibles de détruire le parcellaire traditionnel : on prendra en compte la question du développement à l'échelle large en s'aidant de la définition historique de la morphologie urbaine.

In this sense, it is fundamental to consider heritage as an essential resource, as part of the urban ecosystem. This concept must be strictly respected in order to ensure harmonious development of historic towns and their settings.

En ce sens, il est fondamental de considérer le patrimoine comme une ressource constitutive de l'écosystème urbain. Ce concept doit être strictement respecté pour assurer un développement harmonieux aux villes historiques et à leur environnement.

The notion of sustainable development has gained such importance that many directives on architectural planning and interventions are now based on policies designed to limit urban expansion and to preserve urban heritage.

La notion de développement durable a pris une importance telle que les directives d'urbanisme réglementaire se fondent sur une politique orientée vers la limitation de l'expansion urbaine plutôt que vers la préservation du patrimoine urbain.

The main objective of this document is to propose principles and strategies applicable to every intervention in historic towns and urban areas. These principles and strategies are meant to safeguard the values of historic towns and their settings, as well as their integration into the social, cultural and economic life of our times.

L'objectif principal de ce document est de proposer des principes et des stratégies applicables à chaque intervention dans les villes et ensembles historiques. Ces principes et stratégies devront sauvegarder les valeurs des villes historiques et de leurs abords ainsi que leur intégration dans la vie sociale, culturelle et économique de notre temps.

These interventions must ensure respect for tangible and intangible heritage values, as well as for the quality of life of inhabitants.

Les interventions devront garantir le respect du patrimoine historique matériel et immatériel ainsi que la qualité de vie des habitants.

This present document for the safeguarding of historic towns and urban areas and their settings, is divided into four parts:

Le présent document pour la sauvegarde des villes et ensembles historiques et de leurs abords est divisé en quatre parties:

1 - Definitions
2 - Aspects of change (Challenges)
3 - Intervention criteria
4 - Proposals and strategies

1- -Définitions
2 - Aspects du changement (Défis)
3 - Critères d'intervention
4 - Propositions et stratégies

1 - Definitions

a - Historic towns and urban areas

Historic towns and urban areas are made up of tangible and intangible elements. The tangible elements include, in addition to the urban structure, architectural elements, the landscapes within and around the town, archaeological remains, panoramas, skylines, view-lines and landmark sites. Intangible elements include activities, symbolic and historic functions, cultural practices, traditions, memories, and cultural references that constitute the substance of their historic value.

Historic towns and urban areas are spatial structures that express the evolution of a society and of its cultural identity. They are an integral part of a broader natural or man-made context and the two must be considered inseparable.

Historic towns and urban areas are living evidence of the past that formed them.

Historical or traditional areas form part of daily human life. Their protection and integration into contemporary society are the basis for town-planning and land development.

b - Setting

Setting means the natural and/or man-made contexts (in which the historic urban heritage is located) that influence the static or dynamic way these areas are perceived, experienced and/or enjoyed, or which are directly linked to them socially, economically or culturally.

c - Safeguarding

The safeguarding of historic towns and urban areas, and their surroundings, includes the necessary procedures for their protection, conservation, enhancement and management as well as for their coherent development and their harmonious adaptation to contemporary life.

1 - Définitions

a - Villes et ensembles historiques

Les villes et ensembles historiques sont constitués d'éléments matériels et immatériels. Les éléments matériels comprennent, en plus de la structure urbaine, des éléments architecturaux, des paysages dans et hors la ville, des vestiges archéologiques, des panoramas, profils, échappées visuelles et des sites remarquables. Les éléments immatériels comprennent des activités, des fonctions symboliques et historiques, des pratiques culturelles, des traditions, des souvenirs et des références culturelles qui constituent la substance de leur valeur historique.

Les villes et ensembles historiques sont des structures spatiales qui expriment l'évolution d'une société et de son identité culturelle. Ils sont parties intégrantes d'un contexte naturel ou anthropisé plus vaste et doivent être considérés comme indissociables de celui-ci.

Les villes et ensembles urbains historiques sont une preuve vivante du passé qui les a modelés.

Ces territoires historiques ou traditionnels font partie de la vie quotidienne des hommes. Leur protection et leur intégration au sein de la société contemporaine sont le fondement de la planification urbaine et de l'aménagement du territoire.

b - Milieu

Le milieu désigne les contextes naturels ou/et façonnés par l'homme (où se trouve le patrimoine urbain historique), qui influencent la manière statique ou dynamique dont ces ensembles sont perçus, expérimentés et/ou appréciés, ou qui leur sont directement lié sur le plan social, économique ou culturel.

c - Sauvegarde

La sauvegarde des villes et ensembles historiques et de leurs abords comprend les procédures nécessaires à leur protection, conservation, mise en valeur et à leur gestion, ainsi qu'à leurs développement cohérent et adaptation harmonieuse à la vie contemporaine.

d - Protected urban area

A protected urban area is any part of a town that represents a historical period or stage of development of the town. It includes monuments and authentic urban fabric, in which buildings express the cultural values for which the place is protected.

The protection may also include the historical development of the town and support its characteristic civic, religious and social functions.

e - Buffer zone

A buffer zone is a well-defined zone outside the protected area whose role is to shield the cultural values of the protected zone from the impact of activities in its surroundings. This impact can be physical, visual or social.

f - Management Plan

A Management Plan is a document specifying in detail all the strategies and tools to be used for heritage protection and which at the same time responds to the needs of contemporary life. It contains legislative, financial, administrative and conservation documents, as well as Conservation and Monitoring Plans.

g - Spirit of place

Spirit of place is defined as the tangible and intangible, the physical and the spiritual elements that give
the area its specific identity, meaning, emotion and mystery. The spirit creates the space and at the same time the space constructs and structures this spirit (Quebec Declaration, 2008).

2   Aspects of Change

Historic towns and urban areas, as living organisms, are subject to continual change. These changes affect all the elements of the town (natural, human, tangible and intangible).

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d - Zone urbaine protégée

Une zone urbaine protégée est toute partie de ville qui représente une période historique ou une phase du développement de la ville. Elle comprend les monuments et le tissu urbain authentique, dans lequel les bâtiments expriment la valeur culturelle pour laquelle le lieu est protégé.

Cette protection doit inclure le développement historique de la ville et maintenir les principales fonctions civiles, religieuses et sociales.

e - Zone tampon

La zone tampon est une zone précise située hors de la zone protégée dont le rôle est de défendre les valeurs culturelles de la zone protégée contre l'impact des activités produites dans son environnement. Cet impact peut être physique, visuel ou social.

f - Plan de gestion

Un plan de gestion est un document   spécifiant point par point les stratégies et instruments nécessaires à la protection du patrimoine et qui, en même temps, répond aux nécessités de la vie contemporaine. Il contient des documents législatifs, économiques, administratifs et de conservation, ainsi que d'autres plans comme ceux de Conservation et de Suivi.

g - L'esprit du lieu

L'esprit du lieu peut être défini comme l'ensemble des éléments matériels et immatériels, physiques et spirituels qui donnent à la zone concernée son identité spécifique, son sens, son émotion et son mystère. L'esprit crée l'espace et, dans le même temps, l'espace investit et structure cet esprit. (Déclaration de Québec 2008)

2   Aspects du changement

Les villes et ensembles urbains historiques, en tant qu'organismes vivants, sont soumis à des changements continus. Ces changements concernent tous les éléments constitutifs de la ville, (naturels et humains, matériels et immatériels).

Change, when appropriately managed, can be an opportunity to improve the quality of historic towns and urban areas on the basis of their historical characteristics.

a - Change and the natural environment

The Washington Charter has already focused on the problems linked to changes in the natural environment: "Historic towns (and their settings) 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". (Washington Charter).

In historic towns and urban areas, change should be based on respect for natural balance, avoiding the destruction of natural resources, waste of energy and disruption in the balance of natural cycles.

Change must be used to: improve the environmental context in historic towns and urban areas; improve the quality of air, water and soil; foster the spread and accessibility of green spaces; and to avoid undue pressure on natural resources.

Historic towns and their settings must be protected from the effects of climate change and from increasingly frequent natural disasters.

Climate change can have devastating consequences for historic towns and urban areas because, in addition to the fragility of the urban fabric, many buildings are becoming obsolete, requiring high levels of expenditure to tackle problems arising from climate change.

The aim should be to take advantage of strategies arising from growing global awareness of climate change and to apply them appropriately to the challenges of safeguarding historic towns.

b - Change and the built environment

On the subject of modern architecture, the

Le changement, dirigé avec à-propos, peut être une opportunité pour améliorer la qualité des villes et ensembles urbains historiques sur la base de leurs caractéristiques historiques.

a - Changement et environnement naturel

La Charte de Washington s'était déjà concentrée sur les problèmes liés aux modifications de l'environnement naturel: « Des mesures préventives contre les catastrophes naturelles et contre toutes les nuisances (notamment les pollutions et les vibrations) doivent être prises en faveur des villes historiques et de leur mileu, tant pour assurer la sauvegarde de leur patrimoine que pour la sécurité et le bien-être de leurs habitants ».

Dans les villes et ensembles urbains historiques, le changement devrait être fondé sur le respect des équilibres naturels, en empêchant la destruction des ressources naturelles, la dissipation d'énergie et la rupture de l'équilibre des cycles naturels.

Le changement doit être utilisé pour améliorer le contexte écologique des villes et ensembles historiques; élever la qualité de l'air, de l'eau et du sol; favoriser la diffusion et l'accessibilité aux espaces verts; empêcher une pression trop importante sur les ressources naturelles.

Les villes historiques et leur milieu doivent être protégés des effets du changement climatique et des catastrophes naturelles de plus en plus fréquentes.

Le changement climatique peut avoir des conséquences dévastatrices pour les villes et ensembles urbains historiques car, à la fragilité de son tissu urbain, il faut ajouter l'obsolescence de nombreux bâtiments qui nécessiteraient des investissements lourds pour faire face aux problèmes résultant de ce changement.

Le but pourrait être de profiter de ces stratégies résultant de la prise de conscience mondiale croissante du changement climatique pour les appliquer aux défis de la sauvegarde des villes historiques.

b - Changement et contexte bâti

Au sujet de l'architecture moderne, la Charte de

Washington Charter states: "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".

The introduction of contemporary architectural elements must respect the values of the site and its setting. It can contribute to the enrichment of the town, bringing alive the value of urban continuity.

The basis of appropriate architectural interventions in spatial, visual, intangible and functional terms should be respect for historical values, patterns and layers.

New architecture must be consistent with the spatial organisation of the historic area and respectful of its traditional morphology while at the same time being a valid expression of the architectural trends of its time and place. Regardless of style and expression, all new architecture should avoid the negative effects of drastic or excessive contrasts and of fragmentation and interruptions in the continuity of the urban fabric and space.

Priority must be given to a continuity of composition that does not adversely affect the existing architecture but at the same time allows a discerning creativity that embraces the spirit of the place.

Architects and urban planners must be encouraged to acquire a deep understanding of the historic urban context.

c - Change in use and social environment

The loss and/or substitution of traditional uses and functions, such as the specific way of life of a local community, can have major negative impacts on historic towns and urban areas. If the nature of these changes is not recognised, it can lead to the displacement of communities and the disappearance of cultural practices, and subsequent loss of identity and character for these abandoned places. It can result in the transformation of historic towns and urban areas into areas with a single function devoted to tourism and leisure and not suitable for day-to-day living.

Conserving a historic town requires efforts to

Washington énonçait : « L'introduction d'éléments contemporains, en harmonie avec leur environnement ne doit pas être découragée, car chaque détail peut contribuer à l'enrichissement de l'ensemble ».

L'introduction d'éléments d'architecture contemporaine doit respecter les valeurs du site et de ses abords. Elle contribue à enrichir la ville, en maintenant vivante la continuité de son histoire esthétique.

Le respect des valeurs, modèles et strates historiques doit inspirer des interventions architecturales appropriées à leurs conditions spatiales, visuelles, immatérielles, fonctionnelles.

L'architecture nouvelle doit être cohérente avec l'organisation spatiale de l'ensemble historique et respecteuse de sa morphologie traditionelle, tout en exprimant les modes architecturales de son temps. Indépendamment de ses style et moyens d'expression, toute nouvelle architecture devra éviter les effets négatifs de contrastes drastiques ou excessifs, les fragmentations et interruptions de la continuité du tissu urbain.

La priorité doit être donnée à une continuité de composition qui ne doit pas nuire à l'architecture existante et doit permettre en même temps une créativité mesurée à l'aune de l'esprit du lieu.

On encouragera une forte implication des architectes et urbanistes dans la compréhension du contexte urbain historique.

c - Changement d'usages et environnement

La perte et/ou la substitution de fonctions et usages traditionnels, de façons de vivre spécifiques à certaines communautés locales, peut aussi avoir un impact négatif majeur sur les villes et ensembles urbains historiques. Si la nature de ces changements n'est pas reconnue, on risque d'aboutir au déplacement des populations et à la disparition de leurs pratiques culturelles, ce qui aurait pour conséquence la perte de l'identité et du caractère des lieux abandonnés. Il peut en résulter une transformation des villes historiques en zones monofonctionnelles consacrées au tourisme et aux loisirs, inadaptées à la vie quotidienne.

La sauvegarde d'une ville historique implique des

maintain traditional practices and to protect the indigenous population.

It is also important to control the gentrification process arising from rent increases and the deterioration of the town or area's housing and public space.

It is important to recognise that the process of gentrification can affect communities and lead to the loss of a place's liveability and, ultimately, its character.

Retention of the traditional cultural and economic diversity of each place is essential, especially when it is characteristic of the place.

Historic towns and urban areas run the risk of becoming a consumer product for mass tourism, which may result in the loss of their authenticity and heritage value.

New activities must therefore be carefully managed to avoid secondary negative effects such as transport conflicts or traffic congestion.

d - Change and intangible heritage

The preservation of intangible heritage is as important as the conservation and protection of the built environment.

The intangible elements that contribute to the identity and spirit of places need to be established and preserved, since they help in determining the character of an area and its spirit.

3 - Intervention Criteria

a - Values

All interventions in historic towns and urban areas must respect and refer to their tangible and intangible cultural values.

b - Quality

Every intervention in historic towns and urban areas

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efforts pour garder les usages traditionnels et protéger les résidents et utilisateurs traditionnels.

Il est aussi essentiel de contrôler le processus de gentrification causé par l'augmentation des loyers et la dégradation des habitats et espaces publics des villes historiques.

Il faut reconnaitre que ce processus de gentrification peut affecter les populations et conduire à la perte d'habitabilité d'un lieu et, à terme, de son caractère.

Le maintien de la diversité traditionnelle culturelle et économique de chaque lieu est essentiel, spécialement s'il est caractéristique de ce lieu.

Les villes et ensembles urbains historiques courent le risque de devenir un produit de consommation de tourisme de masse, ce qui peut conduire à la perte de leur authenticité et valeur patrimoniale.

Les activités nouvelles doivent être gérées prudemment, afin d'éviter les effets négatifs des conflits de transport ou embouteillages.

d - Changement et patrimoine immatériel

La préservation du patrimoine immatériel est aussi importante que la conservation et la protection du contexte bâti.

Les valeurs immatérielles qui contribuent à l'identité et à l'esprit des lieux doivent être préservées et enseignées dès lors qu'elles aident à la détermination du caractère d'un territoire et de son esprit.

3 - Critères d'intervention

a - Valeurs

Toute intervention dans les villes et ensembles urbains historiques se doit de respecter et faire référence aux valeurs culturelles matérielles et immatérielles.

b - Qualité

Chaque intervention dans les villes et ensembles historiques doit avoir pour objectif d'améliorer la

must aim to improve the quality of life of the local residents and the quality of the environment.

c - Quantity

An accumulation of changes could have a negative effect on a historic town and its values.

Major quantitative and qualitative changes should be avoided, unless they will clearly result in the improvement of the urban environment and its cultural values.

Changes that are inherent to urban growth must be controlled and carefully managed to minimise physical and visual effects on the townscape and architectural fabric.

d - Coherence

On 'coherence' article 3 of the Nairobi Recommendation states:
"Every historic area and its surroundings should be considered in their totality as a coherent whole whose balance and specific nature depend on the fusion of the parts of which it is composed and which include human activities as much as the buildings, the spatial organization and the surroundings. All valid elements, including human activities, however modest, thus have significance in relation to the whole which must not be disregarded".

Historic towns and urban areas as well as their settings must be considered in their totality.

Their balance and nature depend on their constituent parts.

However, the safeguarding of historic towns and urban areas must be an integral part of a general understanding of the urban structure and its surroundings. This requires coherent economic and social development policies that take historic towns into account at all planning levels, whilst always respecting their social fabric and cultural diversity.

e - Balance and compatibility

The safeguarding of historic towns must include, as a

qualité de vie des habitants et la qualité de l'environnement.

c - Quantité

Une accumulation de changements peut avoir un effet négatif sur la ville historique et ses valeurs.

Les changements majeurs, quantitatifs et qualitatifs doivent être évités, à moins que leur objectif ne soit clairement l'amélioration de l'environnement urbain et de ses valeurs culturelles.

Les changements inhérents à la croissance urbaine doivent être maîtrisés et soigneusement gérés, de façon à ce que leurs effets visuels et physiques sur le tissu urbain et architectural soient minimisés.

d - Cohérence

Sur la cohérence nous nous réfèrerons à l'article 3 de la Recommandation de Nairobi :
« Chaque ensemble historique et ses abords devraient être considéré dans sa globalité, comme un tout cohérent, dont l'équilibre et la nature spécifique dépendent de la synthèse des éléments qui le composent, et qui comprennent autant les activités humaines que les bâtiments, l'organisation de l'espace et les environs. Tous les éléments inventoriés, incluant des activités humaines, même modestes, ont, par rapport à l'ensemble, une signification qu'il importe de ne pas négliger ».

Les villes et ensembles urbains historiques, comme leur milieu, doivent être considérés dans leur totalité.

Leurs équilibre et nature dépendent des parties qui les composent.

Quoiqu'il en soit, la sauvegarde des villes et ensembles historiques doit être partie intégrante d'une compréhension globale de la structure urbaine et de son territoire. Ceci plaide pour des politiques de développement économique et social cohérentes, qui prennent en compte les villes historiques à tous les niveaux de planification, tout en respectant leur tissu social et leur diversité culturelle.

e - Équilibre et compatibilité

La sauvegarde des villes historiques doit, condition

mandatory condition, the preservation of fundamental spatial, environmental, social, cultural and economic balances. This requires actions that allow the urban structure to retain the original residents and to welcome new arrivals (either as residents or as users of the historic town), as well as to aid development, without causing congestion.

f - Time

The speed of change is a parameter to be controlled. Excessive speed of change can adversely affect the integrity of all the values of a historic town.

The extent and frequency of intervention must be embedded in and compatible with feasibility and planning documents and studies, as well as adhering to transparent and regulated intervention procedures.

g - Method and scientific discipline

"Knowledge of the history of a historic town or urban area should be expanded through archaeological investigation and appropriate preservation of archaeological findings". (Washington Charter)

The safeguarding and management of a historic town or urban area must be guided by prudence, a systematic approach and discipline, in accordance with the principles of sustainable development.

Safeguarding and management must be based on preliminary multidisciplinary studies, in order to determine the urban heritage elements and values to be conserved. It is imperative to to have a profound knowledge of the site and its setting to inform any safeguarding action.

Continuous monitoring and maintenance is essential to safeguard a historic town or urban area effectively

Proper planning requires up-to-date precise documentation and recording (context analysis, study at different scales, inventory of component parts and of impact, history of the town and its phases of evolution, etc.).

incontournable, préserver les grands équilibres (spatiaux, environnementaux, sociaux, culturels et économiques). Cela implique des actions permettant au système urbain de maintenir ses habitants d'origine et d'accueillir ceux qui arrivent (comme résidents ou comme utilisateurs de la ville historique), ainsi que de développer les activités sans en causer la congestion.

f - Temps

La rapidité du changement est un paramètre à contrôler. La vitesse excessive du changement peut nuire à l'intégrité de l'ensemble des valeurs d'une ville historique.

Les échelles et les temps d'intervention doivent être encadrés et compatibles avec les documents et études préalables ainsi qu'avec des procédures d'intervention transparentes et réglementées

g - Méthode et rigueur scientifique

« Il importe de concourir à une meilleure connaissance du passé des villes historiques en favorisant les recherches de l'archéologie urbaine et la présentation appropriée de ses découvertes sans nuire à l'organisation générale du tissu urbain ». (Charte de Washington).

La sauvegarde et la gestion d'une ville ou ensemble historique doivent être menées avec prudence, méthode et rigueur, selon les principes du développement durable.

Sauvegarde et gestion doivent s'appuyer sur des études préliminaires pluridisciplinaires afin de déterminer les composantes et les valeurs du patrimoine urbain à conserver. Il est indispensable d'avoir une connaissance approfondie du site et de son milieu pour toute action de sauvegarde.

L'entretien continu est essentiel à la sauvegarde effective d'une ville ou ensemble historique.

Une planification appropriée nécessite de renseigner en temps réel une documentation précise (analyse du contexte, étude à différentes échelles, inventaire des parties constituantes et de l'impact, histoire de la ville et de ses phases d'évolution, etc.).

Direct consultation and continuous dialogue with the residents and other stakeholders is indispensable because the safeguarding of their historic town or area concerns them first and foremost.

Un accès direct à la documentation ainsi qu'un dialogue continu avec la population et les autres parties prenantes sont indispensables car la sauvegarde des villes historiques concerne en premier leurs habitants.

h - Governance

h – Gouvernance

Good governance makes provision for organizing broad orchestration amongst all stakeholders: elected authorities, municipal services, public administrations, experts, professional organizations, voluntary bodies, universities, residents, etc. This is essential for the successful safeguarding, rehabilitation and sustainable development of historic towns and urban areas.

Une bonne gouvernance permet l'organisation d'une large concertation entre toutes les parties prenantes: autorités élues, services municipaux, administrations publiques, experts, organisations professionnelles, associations locales, universités, habitants, etc. Ceci est essentiel au succès de la sauvegarde, de la réhabilitation et du développement durable des villes et ensembles historiques.

Participation by the residents can be facilitated through distributing information, awareness raising and training. The traditional systems of urban governance should examine all aspects of cultural and social diversity, so as to establish new democratic institutions to suit the new reality.

La participation des habitants peut être facilitée par des actions d'information, de sensibilisation et de formation. Les systèmes de gouvernance urbaine devront examiner tous les aspects liés à la diversité sociale et culturelle allant jusqu'à établir de nouvelles institutions démocratiques pour s'adapter aux réalités nouvelles.

Procedures for urban planning and safeguarding historic cities must provide sufficient information and time for residents to give fully informed responses.

Les procédures de planification et de sauvegarde des villes historiques doivent mettre en place des informations et délais suffisants pour que leurs habitants puissent réagir en toute connaissance de cause.

Safeguarding needs to be encouraged and financial measures put in place, in order to facilitate partnerships with players from the private sector in the conservation and restoration of the built environment.

Les actions de sauvegarde doivent être favorisées et des mesures financières prises pour faciliter des partenariats avec le secteur privé, dans le domaine de la conservation et la restauration du bâti.

i - Multidisciplinarity and cooperation

i - Pluridisciplinarité et Coopération

"Planning for the conservation of historic towns and urban areas should be preceded by multidisciplinary studies." (Washington Charter)

« La planification de la sauvegarde des villes et quartiers historiques doit être précédée d'études pluridisciplinaires ». (Charte de Washington).

From the beginning of preliminary studies, the safeguarding of historic towns should be based on an effective collaboration between specialists of many different disciplines, and undertaken with the cooperation of researchers, public services, private enterprises and the broader public.

La sauvegarde des villes historiques doit être fondée sur une collaboration effective entre des spécialistes de nombreuses disciplines différentes, toujours à partir d'études préalables et avec la coopération des chercheurs, des services publics, des entreprises privées et du grand public.

These studies should lead to concrete proposals that

Ces études doivent aboutir à des propositions

can be taken up by political decision-makers, social and economic agents and residents.

j - Cultural diversity

Within the context of urban conservation planning, the cultural diversity of the different communities that have inhabited historic towns over the course of time must be respected and valued.

It is essential to establish a sensitive and shared balance in order to maintain their historical heritage in the fullness of its cultural diversity.

4 - Proposals and Strategies

a - Elements to be preserved

1 - The authenticity and integrity of historic towns, whose essential character is expressed by the nature and coherence of all their tangible and intangible elements, notably:

a - Urban patterns as defined by the street grid, the lots, the green spaces and the relationships between buildings and green and open spaces;

"b - The form and appearance, interior and exterior, of buildings as defined by their structure, volume, style, scale, materials, colour and decoration;

c - The relationship between the town or urban area and its surrounding setting, both natural and man-made;" (Washington Charter)

d - The various functions that the town or urban area has acquired over time;

e - Cultural traditions, traditional techniques, spirit of place and everything that contributes to the identity of a place;

2 - The relationships between the site in its totality, its constituent parts, the context of the site, and the parts that make up this context;

3 - Social fabric, cultural diversity;

4 - Non-renewable resources, minimising their consumption and encouraging their reuse and

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concrètes qui puissent être assumées par les responsables politiques, les agents économiques et sociaux et les habitants.

j - Diversité culturelle

Dans un contexte de planification urbaine en conservation, il faut respecter et mettre en valeur la diversité culturelle des différentes communautés qui ont habité au fil du temps les villes historiques avec leurs traditions.

Il est essentiel d'établir un délicat équilibre consensuel permettant de maintenir le patrimoine historique dans la plénitude de sa diversité culturelle.

4 - Propositions et Stratégies

a - Les éléments à préserver

1 - L'authenticité et l'intégrité des villes historiques, dont le caractère et la cohérence entre les éléments matériels et immatériels expriment la spécificité, et notamment:

a - la forme urbaine définie par la trame, le parcellaire, les espaces verts et les relations entre les divers espaces urbains: espaces bâtis, espaces libres, espaces plantés ;

«b - La forme et l'aspect des édifices (intérieur et extérieur), tels qu'ils sont définis par leur structure, volume, style, échelle, matériaux, couleurs et décorations ;

c - Les relations de la ville avec son environnement naturel ou créé par l'homme, (Charte de Washington) ;

d - Les différentes fonctions que la ville a acquises au fil du temps.

e - Les traditions culturelles, techniques traditionnelles, l'esprit des lieux et tout ce qui contribue à l'identité d'un lieu.

2 - Les relations qui existent entre le site dans sa totalité, ses parties constituantes, son contexte et les parties qui forment ce contexte.

3 - Le tissu social, la diversité culturelle.

4 - Les matériaux non renouvelables, minimisant leur consommation et stimulant leur réutilisation et

recycling.

recyclage.

b - New functions

b - Nouvelles fonctions

"New functions and activities should be compatible with the character of the historic towns or urban area." (Washington Charter)

« Les fonctions et activités nouvelles doivent être compatibles avec le caractère des villes historiques. » (Charte de Washington).

The introduction of new activities must not compromise the survival of traditional activities or anything that supports the daily life of the local inhabitants. This could help to preserve the historical cultural diversity and plurality, some of the most valuable elements in this context.

L'introduction de nouvelles fonctions ne doit pas compromettre le maintien des activités traditionnelles et de tout ce qui est utile pour la vie quotidienne des habitants. Cela permet de préserver la diversité et pluralité culturelle historique, facteurs constituants primordiaux dans un tel contexte.

Before introducing a new activity, it is necessary to consider the number of users involved, the length of utilization, compatibility with other existing activities and the impact on traditional local practices.

Avant d'introduire une nouvelle activité, il faut considérer le nombre d'utilisateurs concernés, la durée d'utilisation, la compatibilité avec les autres activités existantes et l'impact sur les pratiques traditionnelles locales.

Such new functions must also satisfy the need for sustainable development, in line with the concept of the historic town as a unique and irreplaceable ecosystem.

Ces nouvelles fonctions doivent aussi satisfaire les besoins du développement durable, dans une conception de la ville historique en tant qu'écosystème unique et irremplaçable.

c - Contemporary architecture

c - Architecture contemporaine

When it is necessary to construct new buildings or to adapt existing ones, contemporary architecture must be coherent with the existing spatial layout in historic towns as in the rest of the urban environment. Contemporary architecture should find its expression while respecting the scale of the site, and have a clear rapport with existing architecture and the development patterns of its context.

Quand il est nécessaire de construire de nouveaux bâtiments ou d'adapter ceux qui existent déjà, l'architecture contemporaine doit être cohérente avec la configuration spatiale existante, dans la ville historique comme dans le reste de l'environnement urbain. L'architecture contemporaine doit s'exprimer à travers des projets respectant l'échelle des sites où ils sont implantés, et qui gardent un rapport avec les architectures préexistantes et le modèle de développement de leur contexte.

"Analysis of the urban context should precede any new construction not only so as to define the general character of the group of buildings but also to analyse its dominant features, e.g. the harmony of heights, colours, materials and forms, constants in the way the façades and roofs are built, the relationship between the volume of buildings and the spatial volume, as well as their average proportions and their position. Particular attention should be given to the size of the lots since there is a danger that any reorganization of the lots may cause a change of mass which could be deleterious to the harmony of the whole " (Nairobi Recommendation art. 28).

« Une analyse du contexte urbain devrait précéder toute construction nouvelle non seulement pour définir le caractère général de l'ensemble, mais aussi pour en analyser les dominantes: harmonie des hauteurs, couleurs, matériaux et formes, constantes dans l'agencement des façades et des toitures, rapports des volumes bâtis et des espaces ainsi que leurs proportions moyennes et l'implantation des édifices. Une attention particulière devrait être accordée à la dimension des parcelles, tout remaniement risquant d'avoir un effet de masse nuisible à l'ordonnance de l'ensemble. » (Recommandation de Nairobi art 28).

Perspectives, views, focal points and visual corridors are integral parts of the perception of historic spaces. They must be respected in the event of new interventions. Before any intervention, the existing context should be carefully analysed and documented. View cones, both to and from new constructions, should be identified, studied and maintained.

The introduction of a new building into a historical context or landscape must be evaluated from a formal and functional point of view, especially when it is designated for new activities.

d - Public space

Public space in historic towns is not just an essential resource for circulation, but is also a place for contemplation, learning and enjoyment of the town. Its design and layout, including the choice of street furniture, as well as its management, must protect its character and beauty, and promote its use as a public place dedicated to social communication.

The balance between public open space and the dense built environment must be carefully analyzed and controlled in the event of new interventions and new uses.

e - Facilities and modifications

Urban planning to safeguard historic towns must take into consideration the residents' need for facilities.

The integration of new facilities into historic buildings is a challenge that local authorities must not ignore.

f - Mobility

"Traffic inside a historic town or urban area must be strictly controlled by regulations." (Washington Charter)

"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." (Washington

Perspectives, vues, points focaux, couloirs visuels font partie intégrante de la perception des espaces historiques. Ils doivent être respectés en cas d'interventions nouvelles. Avant toute intervention, le contexte existant doit être soigneusement analysé et documenté. Des cônes de vue, depuis et vers les nouvelles constructions, doivent être étudiés et mis en place.

L'introduction d'un nouveau bâtiment dans un contexte ou paysage historique doit être évaluée aussi d'un point de vue formel et fonctionnel, surtout quand il est affecté à de nouvelles activités.

d - Espace public

L'espace public n'est pas seulement un espace réservé à la circulation dans les villes historiques, mais aussi un lieu d'où l'on peut contempler, découvrir et jouir de la ville. Son tracé, son aménagement, y compris le mobilier urbain, ainsi que sa gestion, doivent protéger son caractère et sa beauté et promouvoir son usage comme lieu consacré aux relations sociales.

L'équilibre entre espaces publics et tissu compact bâti doit être soigneusement analysé et maitrisé en cas de nouvelles interventions ou utilisations.

e - Équipements et aménagements

L'urbanisme de sauvegarde des villes historiques doit prendre en considération les besoins d'équipement des habitants.

L'installation de nouveaux équipements dans les bâtiments historiques est un défi que les responsables de la ville ne peuvent laisser de coté.

f - Mobilité

« La circulation des véhicules doit être strictement réglementée à l'intérieur des villes ou des quartiers historiques. » (Charte de Washington).

« Les grands réseaux routiers, prévus dans le cadre de l'aménagement du territoire, ne doivent pas pénétrer dans les villes historiques mais seulement faciliter le trafic à l'approche de ces villes et en permettre un

Charter)

accès facile. » (Charte de Washington).

Most historic towns and urban areas were designed for pedestrians and slow forms of transport. Gradually these places were invaded by the car, causing their degradation. At the same time, quality of life has reduced.

La plupart des villes et ensembles urbains historiques ont été conçus pour des piétons et un transport à petite vitesse. Progressivement ces espaces ont été envahis par l'automobile, provocant leur dégradation. Dans le même temps, la qualité de vie y a baissé.

Traffic infrastructure (car parks, subway stations, etc) must be planned in ways that will not damage the historic fabric or its environment. A historic town should encourage the creation of transport with a light footprint.

Les infrastructures de mobilité (parking, stations de métro, etc.) doivent être planifiées de manière à ne pas endommager le tissu historique et son environnement. La ville historique doit promouvoir la création de voies de circulation légère.

It is important to encourage pedestrian circulation. To achieve this, traffic should be drastically limited and parking facilities reduced. At the same time, sustainable, non-polluting public transport systems need to be introduced, and soft mobility promoted.

Il est important de toujours favoriser les piétons. Pour cela il faut drastiquement limiter la circulation et réduire le stationnement. Dans le même temps des systèmes de transport public adaptés, durables et non polluants seront mis en place et les circulations douces seront développées.

Roadways should be studied and planned to give priority to pedestrians. Parking facilities should preferably be located outside protected zones and, if possible, outside buffer zones.

La voirie devrait être étudiée et planifiée en donnant priorité aux piétons. Les aires de stationnement seront implantées de préférence en dehors des zones protégées et si possible hors des zones tampon.

Underground infrastructure, such as subways, must be planned so as not to damage historic or archaeological fabric or its environment.

Les infrastructures souterraines, telles que le métro, doivent être planifiées de manière à ne pas endommager le tissu historique et archéologique ni son environnement.

Major highway networks must avoid protected areas and buffer zones.

Les grands réseaux routiers doivent éviter les zones protégées et les zones tampon.

g - Tourism

g - Tourisme

Tourism can play a positive role in the development and revitalisation of historic towns and urban areas. The development of tourism in historic towns should be based on the enhancement of monuments and open spaces; on respect and support for local community identity and its culture and traditional activities; and on the safeguarding of regional and environmental character. Tourism activity must respect and not interfere with the daily life of residents.

Le tourisme peut jouer un rôle positif dans le développement et la revitalisation des villes historiques. Le développement du tourisme doit y être fondé sur la mise en valeur des monuments et espaces libres, sur le respect et le soutien de l'identité des populations locales, de leurs cultures et activités traditionnelles, et sur la sauvegarde des caractéristiques du territoire et de l'environnement. L'activité touristique doit respecter et non interférer avec la vie quotidienne des habitants.

Too great an influx of tourists is a danger for the preservation of monuments and historic areas.

Une affluence trop importante de touristes est dangereuse pour la préservation des monuments et ensembles historiques.

Conservation and management plans must take into account the expected impact of tourism, and regulate the process, for the benefit of the heritage and of

Les plans de sauvegarde et de gestion doivent prendre en compte l'impact attendu du tourisme et en réguler le processus au bénéfice du patrimoine

local residents.

h - Risks

"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." (Washington Charter)

Conservation plans offer an opportunity to improve risk preparedness and to promote environmental management and the principles of sustainability.

i - Energy saving

All interventions in historic towns and urban areas, while respecting historic heritage characteristics, should aim to improve energy efficiency and to reduce pollutants.

The use of renewable energy resources should be enhanced.

Any new construction in historic areas must be energy efficient. Urban green spaces, green corridors and other measures should be adopted to avoid urban heat islands.

j - Participation

"The participation and the involvement of the residents - and all local interest groups - 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." (Washington Charter, art 3).

Planning in historic urban areas must be a participatory process, involving all stakeholders.

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. The actions of conservation associations must be encouraged, and financial measures put in place, to facilitate the conservation

urbain et des habitants.

h - Risques

« Les moyens mis en œuvre pour prévenir ou réparer les effets de toutes calamités doivent être adaptés au caractère spécifique des biens à sauvegarder. » (Charte de Washington).

Les plans de sauvegarde offrent l'opportunité de renforcer les capacités de prévention du risque et de promouvoir la gestion environnementale et les principes du développement durable.

i - Economies d'énergie

Toute intervention dans les villes et ensembles historiques doit être orientée vers l'amélioration de l'efficacité énergétique et la réduction des pollutions, tout en respectant le patrimoine historique.

L'utilisation de sources d'énergie renouvelables doit être renforcée.

Toute nouvelle construction dans les quartiers historiques doit être économe sur le plan énergétique. La planification d'espaces verts urbains, trames verte et autres mesures devrait être adoptée, afin d'éviter les ilots de chaleur urbaine.

j - Participation

« La participation et l'implication des habitants de toute la ville - ainsi que des groupes d'intérêts locaux - sont indispensables au succès des programmes de sauvegarde. Elles doivent donc être recherchées en toutes circonstances et favorisées par la nécessaire prise de conscience de toutes les générations. Il ne faut jamais oublier que la sauvegarde des villes et quartiers historiques concerne en premier lieu leurs habitants.» (Charte de Washington art 3).

La planification dans les zones urbaines historiques doit être un processus participatif, impliquant toutes les parties prenantes.

En vue d'assurer la participation et l'implication des habitants, un programme d'information générale commençant dès l'âge scolaire doit être mis en œuvre. L'action des associations de sauvegarde doit être favorisée et des mesures financières destinées à faciliter la conservation et la restauration du bâti

and restoration of the built environment.

Mutual understanding, based on public awareness, and the search for common objectives between local communities and professional groups, is the basis of the successful conservation, revitalization and development of historic towns.

Information technology enables direct and immediate communication. This allows for active and responsible participation by local groups.

Authorities must be encouraged to take an interest in the safeguarding of historic towns and urban areas, in order to establish financial measures which will enable management and improvement plans to succeed.

k - Conservation Plan

"The conservation plan should aim at ensuring a harmonious relationship between historic urban areas ..." (Washington Charter art. 5).

It covers both tangible and intangible elements, in order to protect a place's identity without impeding its evolution.

The principal objectives of the conservation plan "should be clearly stated as should the legal, administrative and financial measures necessary to attain them." (Washington Charter art. 5)

A conservation plan must be based on urban planning for the whole town, including analysis of archaeological, historical, architectural, technical, sociological and economical values. It should define a conservation project, and be combined with a management plan and followed by permanent monitoring.

The conservation plan must determine the terms, rules, objectives and outcomes of any changes. It "should determine which buildings - and spaces - must be preserved, which should be preserved under certain circumstances and which, "under quite exceptional circumstances, might be expendable." (Washington Charter).

Before any intervention, existing conditions should be

mises en place.

Une compréhension mutuelle, fondée sur la sensibilisation du public et la recherche d'objectifs communs entre habitants et professionnels, est un gage de réussite de la conservation, revitalisation et développement des villes historiques.

Les technologies d'information permettent une communication directe et immédiate. Cela facilite la participation active et responsable des groupes locaux.

L'intérêt des autorités pour la sauvegarde des villes et des ensembles historiques doit être encouragé afin d'établir les mesures financières adéquates à la réussite des plans de mise en valeur et de gestion.

k - Plan de sauvegarde

« Le plan de sauvegarde devra s'attacher à définir une articulation harmonieuse des quartiers historiques… » (Charte de Washington art. 5).

Il concerne à la fois des éléments matériels et immatériels, afin de protéger l'identité des lieux, sans entraver leur évolution.

Les principaux objectifs du Plan de Sauvegarde doivent être de « …définir les orientations et modalités des actions à entreprendre au plan juridique, administratif et financier. » (Charte de Washington art. 5).

Un plan de sauvegarde doit être un document d'urbanisme comprenant une analyse des facteurs archéologiques, historiques, architecturaux, techniques, sociologiques et économiques. Il doit définir un projet de conservation et le combiner avec un plan de gestion et un dispositif de suivi permanent.

Le plan de sauvegarde doit déterminer les règles, les objectifs et la performance du changement. « Il doit encore déterminer les bâtiments ou groupes de bâtiments et les espaces à protéger particulièrement, à conserver dans certaines conditions et dans des circonstances exceptionnelles, à détruire. » (Charte de Washington art. 5).

L'état des lieux avant toute intervention sera

rigourously documented.

rigoureusement documenté.

The conservation plan must identify and protect the elements contributing to the values and character of the town, as well as the components that enrich and/or demonstrate the character of the historic town and urban area.

Le plan de sauvegarde doit identifier et protéger les éléments constitutifs des valeurs culturelles de la ville ainsi que les composantes qui enrichissent et/ou montrent le caractère de la ville et de l'ensemble urbain historique.

The proposals in the conservation plan must be articulated in a realistic fashion, from the legislative, financial and economic point of view, as well as with regard to the required standards and restrictions.

Les propositions du plan de sauvegarde doivent être formulées de façon réaliste, tant du point de vue législatif, financier et économique que par rapport aux   normes et restrictions imposées.

"The Conservation Plan should be supported by the residents of the historic area." (Washington Charter art.5).

« Le plan de sauvegarde doit bénéficier de l'adhésion des habitants. » (Charte de Washington art. 5).

When there is no conservation plan, all necessary conservation and development activities in a historic town must be carried out in accordance with the principles and objectives of conservation and enhancement.

En l'absence d'un plan de sauvegarde, toutes les opérations de conservation et de transformation de la ville historique doivent être effectuées conformément aux principes et objectifs de sauvegarde et de mise en valeur.

I - Management Plan

I - Plan de gestion

An effective management system should be devised according to the type and characteristics of each historic town and urban area, and their cultural and natural context. It should integrate traditional practices, and be co-ordinated with other urban and regional planning tools in force.

Un système de gestion efficace doit être conçu selon le type et les caractéristiques des villes et ensembles historiques et selon leur contexte culturel et naturel. Il doit intégrer les activités traditionnelles et être coordonné avec les autres instruments de planification urbaine et territoriale en vigueur.

A management plan is based on the knowledge, conservation and enhancement of tangible and intangible resources.

Un plan de gestion s'appuie sur la connaissance, la sauvegarde et la mise en valeur des ressources matérielles et immatérielles.

Therefore it must:
- determine the cultural values;
- identify stakeholders and their values;
- identify potential conflicts;
- determine conservation targets;
- determine legal, financial, administrative and technical methods and tools;
- understand strengths, weaknesses, opportunities and threats;
- define suitable strategies, deadlines for the work, and specific actions.

Par conséquent, il doit:
- déterminer les valeurs culturelles,
- identifier les parties prenantes et leurs valeurs,
- identifier les conflits   potentiels,
- définir des objectifs de sauvegarde,
- définir les méthodes et instruments légaux, financiers, administratifs et techniques,
- comprendre les opportunités, forces, faiblesses et menaces,
- définir des stratégies adaptées, les échéances du programme ainsi que les actions spécifiques.

The production of such a management plan should be a participatory process.

La mise en place d'un tel plan de gestion doit suivre une procédure participative.

In addition to the information provided by local

En plus des données provenant de l'administration

17

authorities, officials, field survey and detailed documentation, the Plan should include, as an appendix, the conclusions from stakeholder discussions and an analysis of the conflicts arising in these inherently contradictory debates.

locale, d'enquêtes de terrain et d'une documentation détaillée, le plan doit faire état, en annexe, des conclusions des débats entre les parties, avec une analyse des conflits survenus au cours des séances de questions-réponses.

Follow Up

These recommendations are the outcome of collaborative work by CIVVIH, which intends them as a contribution to the wider discussions being led by ICOMOS.

This is an open source document that can be updated in the light of the evolution of the issues discussed.

Suivi

Ces recommandations sont le résultat d'une démarche collaborative conçue par le CIVVIH qui contribue ainsi à la réflexion universelle menée par l'ICOMOS.

Il s'agit d'un document ouvert qui pourra être actualisé à la lumière de l'évolution des questions débattues.

ICOMOS

Guidance on
Heritage Impact Assessments
for Cultural World Heritage Properties

A publication of the International Council on Monuments and Sites

January 2011

Guidance on Heritage Impact Assessments for Cultural World Heritage Properties

Purpose

To offer guidance on the process of commissioning HERITAGE IMPACT ASSESSMENTS (HIAs) for World Heritage (WH) properties in order to evaluate effectively the impact of potential development on the Outstanding Universal Value (OUV) of properties.

The guidance is addressed at managers, developers, consultants and decision-makers and is also intended to be relevant to the World Heritage Committee and States Parties.

The concept of OUV underpins the whole World Heritage Convention and all activities associated with properties inscribed on the List.

The World Heritage Convention, for the protection of World's Cultural & Natural Heritage, which came into being in 1972, recognises properties of **'Outstanding Universal Value'** which are part of the "world heritage of mankind as a whole" and deserve "protection and transmission to future generations". Such properties are recognised through inscription on the World Heritage list by the World Heritage Committee, which consists of representatives from 21 States Parties.

Their OUV is fixed by the World Heritage Committee at the time of inscription and since 2007 has been encapsulated in a Statement of OUV. **OUV thus defines the thinking at the time of inscription and is non-negotiable.**

The World Heritage Convention is ratified by States Parties, who agree to conserve properties on their territories that are seen to be of OUV, and thus contribute towards protecting the shared heritage of humanity. This means that OUV needs to be sustained over time through the protection of attributes that are seen to convey OUV.

World Heritage sites are thus single heritage assets with an international value that has been clearly articulated. Not everything within them contributes to OUV, but those attributes that do must be appropriately protected.

This guidance sets out a methodology to allow HIAs to respond to the needs of World Heritage sites, through considering them as discrete entities and evaluating impact on the attributes of OUV in a systematic and coherent way.

The Guidance was developed following an international workshop organised by ICOMOS in Paris in September 2009.

Contents

1 Background

In recent years the UNESCO World Heritage Committee has addressed considerable numbers of State of Conservation Reports related to threats to World Heritage properties from various forms of large-scale development. These developments include roads, bridges, tall buildings, "box" buildings (e.g. malls), inappropriate, acontextual or insensitive developments, renewals, demolitions and new infrastructure typologies like wind farms, as well as land-use policy changes and large scale urban frameworks. The Committee has also examined threats from excessive or inappropriate tourism. Many of these projects have had the potential to impact adversely on the appearance, skyline, key views and other different attributes that contribute to Outstanding Universal Value (OUV).

In order for the ICOMOS and the Committee to evaluate satisfactorily these potential threats, there is a need to be specific about the impacts of proposed changes on OUV. While heritage impact assessment exists in many countries, these seem less reliably used in the World Heritage context.

Where formal evaluations are undertaken, many of these make use of procedures for environmental impact assessment (EIA). Whilst there is merit at looking at the experience of EIA, this is not likely to be immediately useful without some adaptation. EIA frequently disaggregates all the possible cultural heritage attributes and assesses impact on them separately, through discrete receptors such as protected buildings, archaeological sites, and specified view-points with their view cones, without applying the lens of OUV to the overall ensemble of attributes. A more global approach to the site is required, one directly linked to the expression of the site's OUV.

EIA therefore often produces disappointing results when applied to cultural World Heritage properties as the assessment of impacts is not clearly and directly tied to the attributes of OUV. Cumulative impacts and incremental changes (adverse) may also more easily pass undetected. The recent work done to assess the impacts of the proposed bridge on the World Heritage site of the Middle Rhine Valley is an example of this problem.

Currently, there are limited formal tools for identifying receptors and for assessing impact and few examples of excellence for Heritage Impact Assessment (HIA) undertaken for cultural WH properties. However, progress in 3D virtual representations and digital tools open new means to operate HIA.

a) World Heritage context within which HIA are undertaken

World Heritage properties need to be seen as single entities that manifest OUV. Their OUV is reflected in a range of attributes, and in order to sustain OUV it is those attributes that need to be protected. Thus the HIA process needs to consider the impact of any proposed project or change on those attributes, both individually and collectively, rather than on a standard range of receptors.

The development of Statements of OUV (SoOUV) for all World Heritage properties, a requirement set out in the *Operational Guidelines for the implementation of the World Heritage Convention* (UNESC0, 2008) paragraph 154-5, should assist through setting out clearly the attributes that reflect OUV and the links between them. The examination of integrity and authenticity is also a useful starting point.

In terms of assessing the effect of any impact on OUV, concepts such as 'limits of acceptable change' and 'absorption capacity' are being discussed, although there is no consensus yet on the usefulness of these concepts, or on how to operationalise them. There is also no consensus on how to revive heritage value that has been eroded.

Numerous visual assessment tools have been adapted to the assessment of impacts of proposed developments on the OUV of various World Heritage properties, especially those located within dynamic urban contexts, but so far these have rarely been linked to a more in-depth assessment of impact on all the attributes of OUV. There are also new tools on recording and mapping intangible heritage and multiple layers of attributes that have not been exploited for use in WH properties.

World Heritage properties are very diverse, as are the potential impacts. Although development of new tools is potentially useful, for the foreseeable future, impact assessment processes need to be able to access a variety of existing tools, without relying entirely on any one of them.

The 2nd cycle of the World Heritage Periodic Reporting should provide ICOMOS with a new data set relevant to this issue. The goal to have SoOUVs for all World Heritage properties by 2012 will also be an important underpinning of the guidance provided by ICOMOS.

b) The diverse regulatory, planning and management contexts

Neither EIA nor HIA are mandated in many countries and there is often no national regulatory framework within which they can operate.

The capacity of heritage authorities varies globally and some are not strong within the national government structures. In some countries there are strong environmental systems that provide a basis for EIA, but the heritage elements (including World Heritage) are underdeveloped or non-existent. In others, HIA are undertaken but the identified "triggers" for their use are often basic (usually in the form of lists of activities) or age.

This guidance aims to support the use and influence of HIAs, even where there are few legal structures that support the EIA/HIA processes.

Industry codes of practice should be influential in ensuring that HIA processes occur, and that the methods employed meet internationally-recognised standards of practice.

However, in many countries specific sectors considered to be of national interest are permitted to override EIA or HIA requirements.

Management plans for WH properties are potentially very important. They should be well anchored in planning arrangements at national, regional and local levels, and although embedded in national systems of protection in different ways, could be utilised more to define how change will be assessed. The sustainable development of WH properties is extremely important, including the protection of OUV elements. If the management plan is sufficiently robust and has undergone a thorough consultation process in its development, it should be possible to implement cooperative approaches to potential problems within the framework of the plan.

Potential threats should be anticipated in the management system in a property-specific way – not "one size fits all". Conservation policies embedded in the management system may also be used as a measure to assess potential adverse impacts.

A large number of World Heritage properties do not have a well-functioning management system (for some even where there is a management plan). This is an underlying issue for many properties selected for State of Conservation reporting.

c) Tools, resources and capacities needed to undertake a HIA

State of the art techniques are possible in many countries, but in many others, the levels of skills, knowledge and resources are quite basic. This guidance attempts to be applicable to all situations.

The skills required to do a HIA, using modern IT based and highly technical tools are only held by a limited number of people. These can be very helpful, particularly in complex situations, but HIA should not depend on them. On the other hand, diffusion of new HIA tools should be encouraged when their efficiency is proven.

In some cases, the level of analysis undertaken is very deep and expensive to produce but the outcome is difficult to understand and to operationalise. A key issue is identifying the optimum resources to get the job done, and not requiring more than is necessary.

Training of managers and staff at World Heritage properties and in the approvals agencies of all levels of government within a country will be important in order to ensure that the commissioning process for HIA is appropriate and that full and effective use is made of the output.

The backgrounds and professional skills of those who conduct HIA are diverse, but training and capacity-building will often be needed. Single professionals cannot always do a total HIA – there is most often a need to bring together an HIA team with the specific analytical skills needed for a particular project or site. A number of professional environmental management institutions provide archiving and other tools. In some circumstance opportunities for partnerships could be explored.

Although proposals for WH nominations should make sure adequate data and documentation are in place, and that realistic and relevant monitoring arrangements are in use, there is often a lack of baseline documentation.

Good documentation does not require a Geographic Information System (GIS), although this has been a powerful and useful tool where it is available. All approaches need to be systematic and follow rational guidelines.

2 Suggested procedures for Heritage Impact Assessment

2-1 Introduction

2-1-1 This section is intended to help to States Parties, heritage managers and decision-makers or others in managing their WH properties in circumstances where some form of change may affect the Outstanding Universal Value (OUV) of those sites. Change may be adverse or beneficial, but both need to be assessed as objectively as possible, against the stated OUV as reference point.

2-1-2 The guidance is a tool to encourage managers and decision-makers to think about key aspects of heritage management and to make decisions based on evidence within the framework of the 1972 World Heritage Convention. It is also designed to encourage potential developers or other agents of change to consider key factors at an appropriate time and at an appropriate level of detail. Heritage Impact Assessments (HIAs) may also be useful in the general management of cultural WH properties by collating information at a given point in time.

2-1-3 There are many ways of assessing impact on heritage assets, some formalised in law, some very technical and sophisticated, others less so. This guidance sets down some principles and options. But whatever route is chosen, the assessment must be "fit-for-purpose" – suitable for the WH property and for the changes proposed, and suitable to the local environment. It must provide the evidence on which decisions can be made in a clear, transparent and practicable way.

2-1-4 In any proposal for change there will be many factors to be considered. Balanced and justifiable decisions about change depend upon understanding who values a place and why they do so. This leads to a clear statement of a place's significance and with it the ability to understand the impact of the proposed change on that significance.

2-1-5 In the case of WH properties, their international significance is established at the time of inscription and defined as their Outstanding Universal Value (OUV). States Parties undertake to retain and guard this OUV through protecting and conserving the attributes that convey OUV. The Statement of Outstanding Universal Value (SoOUV) which sets out why a property is deemed to have OUV and what the attributes are that convey OUV will be central to the HIA. Every reasonable effort should be made to eliminate or minimise adverse impacts on significant places. Ultimately, however, it may be necessary to balance the public benefit of the proposed change against the harm to the place. It is therefore also important to know who benefits from the proposed change and for what reasons. In such cases the weight given to heritage values should be proportionate to the significance of the place and the impact of the change upon it. WH properties *de facto* are seen to have global value and thus logically have a higher significance that national or local heritage value.

2-1-6 Where change may affect the OUV of a WH property, consideration of the cultural [and/or natural] heritage attributes should be central to planning any proposal and should be presented early on in any general assessment (such as an Environmental Impact Assessment - EIA). Managers and decision-makers should consider whether the heritage conservation needs should be given greater weight than competing uses and developments.   A key consideration is the threat or risk to the WH status and this should be clearly addressed in the HIA report.

2-1-7 Where statutory environmental impact assessments apply, the cultural heritage sections must take account of this ICOMOS guidance where the EIA relates to a WH property. An HIA undertaken as part of an EIA in these circumstances is not additional to normal EIA requirements, but uses a different methodology which clearly focuses on OUV and attributes that convey that OUV. The HIA should be summarised early on in the Environmental Statement, and the full technical HIA report should be included as a technical appendix. The requirements should be made clear at the planning or scoping stage. ICOMOS and the World Heritage Centre will encourage States Parties to ensure that HIAs in line with this guidance are undertaken in line with best practice. Where cultural heritage sections of EIAs clearly do not focus on the attributes of OUV, they would not meet desired standards in managing change at WH properties.

2-2   Understanding what needs to be undertaken before starting an HIA

2-2-1   The assessment process is in essence very simple:
- What is the heritage at risk and why is it important – how does it contribute to OUV?
- How will change or a development proposal impact on OUV?

- How can these effects be avoided, reduced, rehabilitated or compensated?

2-2-2   The overall process is summarised in Appendix 1, but key elements include early and continued consultation with all relevant parties and agreement on the scope and expectations of the HIA before work commences. It is also important to identify possible negative impacts very early on in the process, in order to inform both the development design and the planning process in a pro-active rather than reactive manner.

2-2-3   The basis for management and decision making is a good understanding of the WH property, its significance and OUV, its attributes and its context. The Management Plan will often be the important first step in building an ability to have clear and effective impact assessments. Establishment of baseline data about the WH property and its condition is critical.

2-2-4   The starting point for any heritage assessment, once an initial development proposal or change of use is identified, should be to set out the scope of work necessary for an HIA which will provide the evidence for decision-making. Early consultation with relevant parties, including any affected community, is important. The HIA may also be useful in collating information about WH properties not otherwise easily accessible. HIA is a useful cooperative tool for all stakeholders.

2-2-5   A Scoping Report (or HIA brief) should be agreed with all relevant parties – the State Party, regional or local government, heritage advisors or managers, local communities or others as necessary. The scoping report should make it clear what is to be done, why and how, when and what are the expected outputs. It is important to include an agreed calendar between all stakeholders and the development programme (Appendix 2)

2-2-6   The Scoping Report should provide an outline description of the WH property and set out its OUV. It should have an outline of the proposed change or development including the need for change or development, a summary of the conditions present on the site and its environs, details of any alternative development being considered, an outline methodology and terms of reference for the HIA. The methodology should include organisations or people to be consulted, determining, for example, who are stakeholders and who is part of a heritage community related to the site, details of the baseline information to be collected including methods and appropriate study areas, likely sensitive heritage receptors and proposed survey and assessment methodology. It is also important at this stage to identify whether the proposed development is within a WH property or within a buffer zone or within the setting of the property but outside both. A Scoping Report should be used to flag large or critical impacts – the full HIA Report can then assess any positive reaction in terms of the altered development.

2-2-7   The Scoping Report should also give (as far as is practicable) a clear indication of what knowledge exists about the site and where lacunae exist – how good is the information base and what level of confidence may be placed on the assessment. This should be followed through in the actual assessment itself.

2-2-8   It is not only big developments that need an assessment of impact. WH properties may also be vulnerable to changes of policy which could have significant consequences – for example changes in land use and urban planning policies. Tourism infrastructure and increased visits may have unintended consequences. Major archaeological excavations could also

adversely affect the OUV of properties, though possibly compensating by the gaining of knowledge.

2-2-9   It is also important at this stage to ensure that organisations or individuals undertaking the HIA are suitably qualified and experienced, and that their expertise matches the demands of the site, its material and intangible content, its OUV and the nature and extent of the proposed changes. Single professionals can rarely do a total HIA, and the composition of the HIA team - heritage professionals and all other necessary competences - is crucial: the team will need specific analytical skills for a particular project or site. Opportunities for partnerships could be explored. This may also bring benefits in terms of developing capacity for HIA, and in developing and sharing best practice.

3   Data and documentation

3-1   There are no agreed minimum standards for inventories, data review or condition surveys, though it may in due course be useful to define these. Such matters need to be proportionate to the property and its management needs.   It is desirable that the HIA documentation stage is as comprehensive as possible, including developing an archive.

3-2   For WH properties the core documentation is the Statement of OUV and the identification of attributes that convey OUV. Hence this guidance concentrates on identifying impact on attributes that convey that OUV. However, the HIA should collect and collate information on all aspects and attributes of the cultural heritage within the agreed study area, so that the historical development of the property, its context, setting and where appropriate other values (for example national and local) can be fully understood.

3-3   It is useful, if not essential, to document and manage the collection of data. Assessment processes can be very lengthy and data sources may require periodic "refreshment". When data sources are in a state of flux or the timetable for assessment is lengthy, it may be necessary to agree a "data freeze" so that the HIA team can compare like with like information.

3-4   Inventories should be included in the HIA reports, as tables or gazetteers in appendices to the main text. Underpinning archives of material and information collected should be retained for future use and properly referenced, including location and accessibility. Good documentation does not require sophisticated techniques such as GIS or complex databases; it needs a common sense, systematic and consistent approach which is suitable to the needs of the property.

3-5   In more complex cases, more sophisticated approaches could be considered. However, the use of databases and GIS, or 3D-modelling, changes the way in which HIAs are undertaken. The systems allow assessment to be a far more iterative process, and as a result HIA can be more effectively fed back into the design processes. But this also allows for more "what if" scenarios to be requested of the HIA team. The scoping report would need to set down the principles for this iteration so that the HIA team can work effectively.

4 Methods and approaches appropriate to the property - optimising available tools, techniques and resources

4-1 The collection of information during HIA should consider all potential sources of data. Techniques will include desk study or historical research, and site visits to check condition, authenticity and integrity, sensitive viewpoints and so on. They may include terrain modelling, or inter-visibility modelling to predict impacts on heritage assets. It is necessary to capture and explain in clear text evidence of both tangible and intangible heritage attributes, and wherever possible to relate the latter to the physical features which embody them.

4-2 Field studies are also generally essential to ensure that the HIA is robust. Techniques should be linked to the development proposal and could include non-intrusive evaluation or field testing by topographic survey, geophysical survey, virtual 3D scale models or more intrusive methods such as artefact collection, scientific survey, test pitting or trial trenching. In some circumstances the collection of oral histories or evidence may also be valid and useful.

4-3 The data collection must enable the heritage attributes to be quantified and characterised, and allow their vulnerability to proposed changes to be established. It is also necessary to look at the interrelationship/s between discrete heritage resources, in order to understand the whole. There is often a relationship between a material aspect and an intangible aspect which must be brought to the fore.

4-4 Collection of information during the HIA is an iterative process which can often lead to the emergence of alternatives and options for the development proposal.

4-5 Understanding the full meaning of the OUV of a WH property (and other values of heritage) is a crucial part of the HIA process. The evaluation of the overall significance of the effect (overall impact) is a function of the heritage value and assessment of scale of changes and impact.

4-6 When describing WH properties, it is essential to start by describing the attributes of OUV. This is the "baseline data" against which impacts must be measured, and includes both tangible and intangible aspects. A statement of condition may be useful for each key attribute of OUV.

4-7 However, while the SoOUV is an essential starting point, sometimes they are not detailed enough in terms of attributes to be directly useful to impact assessment work. Each property will need to be assessed and where necessary, the attributes may need to be more specifically defined during the HIA process.

4-8 Such definition of attributes should not seek to re-define the SoOUV, but to describe the attributes in a way which assists decision-making on the proposed change. It should be noted that OUV is defined at the time a WH property is inscribed on the WH List and cannot be changed without a re-nomination which goes through a full evaluation process.

4-9 The production of location or themed maps or plan views is almost always needed to demonstrate the findings and issues raised. Spatial rendering is useful to show the disposition of attributes, the relationships between the attributes (which may be processes), and the associations attributes have such as visual, historical, religious, communal, aesthetic or evidential. It is necessary to link the attributes back to the components of the SoOUV in a clear and readable manner, which does not oversimplify but retains cultural or other complexities in synoptic statements or diagrams. HIA teams should, however, be wary of too much reliance on maps, as our human experience of places is in 3D – ground-truthing is always required to check spatial relationships.

4-10   One option for assessing value is set out in Appendix 3A. In this system the value of heritage attributes is assessed in relation to statutory designations, international or national, and priorities or recommendations set out in national research agendas, and ascribed values. Professional judgement is then used to determine the importance of the resource. Whilst this method should be used as objectively as possible, qualitative assessment using professional judgement is inevitably involved. The value of the asset may be defined using the following grading scale:
- Very High
- High
- Medium
- Low
- Negligible
- Unknown

4-11   In the HIA Report there should be a clear and comprehensive text description of individual and/or groups of heritage attributes, which sets out their individual and/or collective condition, importance, inter-relationships and sensitivity, and possibly also an indication of capacity for change. This should be accompanied by appropriate mapping to aid the reader. All heritage elements should be included, but the components contributing to the WH property's OUV will be particularly relevant and may merit a further detailed section. A detailed inventory should be included in supporting appendices or reports so that the reader may check the assessment of each element. An example is included in Appendix 3C.

5   A defendable system for assessing/evaluating impact

5-1   Effects on cultural heritage attributes from development or other changes may be adverse or beneficial. It is necessary to identify all changes on all attributes, especially those attributes which give the property its OUV, on which this guidance concentrates. It is also important to identify the scale or severity of a specific change or impact on a specific attribute – as this combination is what defines the significance of the impact, otherwise called "significance of effect".

5-2   There is sometimes a tendency to see impacts as primarily visual. While visual impacts are often very sensitive, a broad approach is needed as outlined in the ICOMOS Xi'an Declaration. Impacts take many forms – they may be direct and indirect; cumulative, temporary and permanent, reversible or irreversible, visual, physical, social and cultural, even economic. Impacts may arise as a consequence of construction or operation of the proposed development. Each needs to be considered for its relevance to the HIA.

5-3   Direct impacts are those that arise as a primary consequence of the proposed development or change of use. Direct impacts can result in the physical loss of part or all of an attribute, and/or changes to its setting - the surroundings in which a place is experienced, its local context, embracing present and past relationships to the adjacent landscape. In the process of identifying direct impacts care must be taken of the development technique of gaining approvals by just avoiding direct impact - impacts which just "miss" physical resources can be just as negative to a single resource, a pattern, ensemble, setting, spirit of place etc.

5-4   Direct impacts resulting in physical loss are usually permanent and irreversible; they normally occur as a consequence of construction and are usually confined within the development footprint. The scale or magnitude of these impacts will depend on the proportion of the attribute affected, and whether its key characteristics or relation to OUV would be affected.

5-5   Direct impacts that affect the setting of an attribute may occur as a consequence of construction or operation of the development scheme and may have an effect

some distance from the development. Assessment of impacts on setting refers to perceptible visual and aural (noise) effects that can be appreciated at a given time. Such impacts may be temporary or permanent, reversible or irreversible depending on the extent to which the cause of the impact can be removed. Impacts may also be transient where occurrence is sporadic or of limited duration, for example, related to hours of operation or the frequency of passage of vehicles.

5-6   Indirect impacts occur as a secondary consequence of construction or operation of the development, and can result in physical loss or changes to the setting of an asset beyond the development footprint. For example, construction of related infrastructure such as roads or powerlines that are required to support the development. Facilitated impacts should also be considered which may be further actions (including by third parties) which are made possible or facilitated by the development.

5-7   Scale or severity of impacts or changes can be judged taking into account their direct and indirect effects and whether they are temporary or permanent, reversible or irreversible. The cumulative effect of separate impacts should also be considered. The scale or severity of impact can be ranked without regard to the value of the asset as:
- No change
- Negligible change
- Minor change
- Moderate change
- Major change

5-8   The significance of the effect of change – i.e. the overall impact - on an attribute is a function of the importance of the attribute and the scale of change. This can be summarized for each attribute described using the following descriptors. As change or impacts may be adverse or beneficial, there is a nine-point scale with "neutral" as its centre point:
- Major beneficial
- Moderate beneficial
- Minor beneficial
- Negligible beneficial
- Neutral
- Negligible adverse
- Minor adverse
- Moderate adverse
- Major adverse

VALUE OF HERITAGE ASSET	SCALE & SEVERITY OF CHANGE/IMPACT				
	No Change	Negligible change	Minor change	Moderate change	Major change
For WH properties Very High – attributes which convey OUV	SIGNIFICANCE OF EFFECT OR OVERALL IMPACT (EITHER ADVERSE OR BENEFICIAL)				
	Neutral	Slight	Moderate/ Large	Large/very Large	Very Large

For other heritage assets or attributes	SIGNIFICANCE OF IMPACT (EITHER ADVERSE OR BENEFICIAL)				
Very High	Neutral	Slight	Moderate/ Large	Large/very Large	Very Large
High	Neutral	Slight	Moderate/ Slight	Moderate/ Large	Large/Very Large
Medium	Neutral	Neutral/Slight	Slight	Moderate	Moderate/ Large
Low	Neutral	Neutral/Slight	Neutral/Slight	Slight	Slight/ Moderate
Negligible	Neutral	Neutral	Neutral/Slight	Neutral/Slight	Slight

5-9 For example:
- Total demolition of a key building which is the main conveyance of OUV for a WH property to make way for a new road would be a major adverse effect or overall major adverse impact.
- Removal of a later road from the immediate vicinity of a key building which conveys OUV and which is not directly related to its OUV attributes would be a major beneficial effect or overall impact.

5-10 The table above is a summary to aid assessment of impact. The HIA Report will need to show the assessment for each OUV attribute – for example in a simple table - and demonstrate how the results for each individual or collective heritage attribute have been obtained. This should include qualitative as well as quantitative evaluation.

5-11 Proposals should be tested against existing policy frameworks and the management plan for the property and surrounding area. The compatibility of the scale, pattern, use, etc should be tested according to the attributes of the property that convey OUV and other assets. Issues such as sight lines, architectural type, volumes and surface appearances, settlement form, functional uses and persistence through time etc might be relevant. In all this, it is necessary to match the attributes of the development to the attributes of the site, so that development is complementary and even enhancing to the property.

5-12 Changes arising from developments must also be assessed for their impact on integrity and authenticity. The property should have baseline statements regarding integrity and authenticity at the time of inscription, or at the time the retrospective SoOUV was undertaken [paragraphs 79-88 in *Operational Guidelines*]. The relationship between attributes of OUV, authenticity and integrity needs to be understood and needs to be shown to be understood in the HIA report. Authenticity relates to the way attributes convey OUV and integrity relates to whether all the attributes that convey OUV are extant within the property and not eroded or under threat.

5-13 Benefits and dis-benefits – or adverse effects - must be very carefully considered. There are a range of benefits and dis-benefits, and the question of who receives the benefits (or misses out through the benefits) is important. Often the property itself and the associated communities do not receive the benefits flowing from development. Financial consequences of the assessment are also important and often directly influence decisions. The analysis must reveal rather than disguise these complexities. The conservation of the property should be counted within the benefits of a project, so that projects that are supportive of conservation can be weighted more than those that do not.

6 Can impacts be avoided, reduced, rehabilitated or compensated – mitigation?

6-1 Impact assessment is an iterative process. Results of data collection and evaluation should be fed back into the design process for the development, or proposals for change or for archaeological investigation.

6-2 Conservation is about managing sustainable change. Every reasonable effort should be made to avoid, eliminate or minimise adverse impacts on attributes that convey OUV and other significant places. Ultimately, however, it may be necessary to balance the public benefit of the proposed change against the harm to the place. In the case of WH properties this balance is crucial.

6-3 HIA should include proposed principles and where possible proposed methods to mitigate or offset the effects of a development proposal or other agent of change. This should include consideration of other options for the development including site selection/location, timing, duration and design. The HIA should indicate fully how the mitigation is acceptable in the context of sustaining OUV, including the authenticity and integrity of the WH property. Available guidance in the *Operational Guidelines* on periodic reporting should be consulted to help this process.

6-4 It may be appropriate to undertake further consultation at this stage before finalising the HIA.

7 Deliver an evaluation that is helpful to States Parties, the Advisory Bodies and the World Heritage Committee, and relevant to the World Heritage context in general and specific properties in particular

7-1 Appendix 4 sets out a guide to the contents of an HIA report. It is a matter of expert judgement, following suitable consultation and scoping to define exact requirements.

7-2 The HIA report should provide the evidence on which decisions can be made in a clear, transparent and practicable way. The level of detail needed will depend on the site and proposed changes. The Statement of OUV will be central to the evaluation of the impacts and risk to the property.

7-3 The HIA report will need to show
- A comprehensive understanding of the WH property and its OUV, authenticity and integrity, condition, context (including other heritage attributes) and inter-relationships;
- An understanding of the range of impacts arising from the development or other proposal for change;

- An objective evaluation of those impacts (beneficial and adverse) on the heritage elements and in particular on the site's OUV, integrity and authenticity;
- An assessment of the risk posed to the retention of OUV and the likelihood that the property may be in potential or actual danger;
- A statement of heritage benefits which may arise from proposals including better knowledge and understanding and awareness-raising;
- Clear guidelines as to how impact can be mitigated or avoided;
- Supporting evidence in the form of a suitably detailed inventory of attributes of OUV and other heritage assets, impacts, survey or scientific studies, illustrations and photographs.

7-4   The HIA Report will need to have a non-technical summary clearly setting out all relevant matters, a detailed text description and analysis and a text summary of the results of the evaluation of impact accompanied by tables to assist the reader.

Appendix 1: Heritage Impact Assessment Process

Stages of HIA
Initial development and design
Early consultation
Identify and recruit suitable organisations to undertake works
Establish study area
Establish scope of work
Collect data
Collate data
Characterise the heritage resource, especially in identifying attributes that convey OUV
Model and assess impacts, direct and indirect
Draft mitigation – avoid, reduce, rehabilitate or compensate
Draft report
Consultation
Moderate the assessment results and mitigation
Final reporting and illustration – to inform decisions
Mitigation
Dissemination of results and knowledge gained

Appendix 2: Scoping Report Contents

At the outset of any proposed impact assessment it is desirable to agree the scope of the work needed so that the work is 'fit-for-purpose' and will enable decision to be made. Early consultation is essential.

The scope should be agreed with all relevant parties, including the State Party, regional or local government or its agencies, any statutory consultees and local community representatives and the public. In some cases it may be also desirable to consult with the WHC or its advisors, ICOMOS or IUCN.

The "developer" is responsible for producing the scoping report. Its contents should include

- An outline description of the proposed change or development, providing as much detail as is available at the time of writing;
- A summary of the conditions present on the site and its environs, based on information collated to that point in time;
- The Statement of Outstanding Universal Value
- Details of how alternatives to changes are being considered;
- Outline methodology and terms of reference for the HIA as a whole;
- The organisations/people consulted and to be consulted further;
- A topic by topic assessment of the key impacts of the development; this should include:
  - details (as known) of the baseline conditions;
  - consideration of the potential effects of the development where overall impacts or effects are not considered to be significant, a justification of why they should be "scoped out" of the HIA;
  - where overall impacts are considered to be potentially significant, details of the baseline information to be collected (including methods and appropriate study areas), likely sensitive heritage receptors in particular those related to attributes of OUV and proposed survey and assessment methodology.
- A negotiated calendar covering the whole process, including deadlines for reporting and consultation.

Appendix 3A: Example Guide for Assessing Value of Heritage Assets

HIAs for WH properties will need to consider their international heritage value and also other local or national values, and priorities or recommendations set out in national research agendas. They may also need to consider other international values which are reflected in, for example, international natural heritage designations.

Professional judgement is used to determine the importance of the resource. The value of the asset may be defined using the following grading scale:
- Very High
- High
- Medium
- Low
- Negligible
- Unknown potential.

The following table is not intended to be exhaustive.

Grading	Archaeology	Built heritage or Historic Urban Landscape	Historic landscape	Intangible Cultural Heritage or Associations
Very High	Sites of acknowledged international importance inscribed as WH property. Individual attributes that convey OUV of the WH property. Assets that can contribute significantly to acknowledged international research objectives.	Sites or structures of acknowledged international importance inscribed as of universal importance as WH property. Individual attributes that convey OUV of the WH property. Other buildings or urban landscapes of recognised international importance.	Landscapes of acknowledged international importance inscribed as WH property. Individual attributes that convey OUV of the WH property. Historic landscapes of international value, whether designated or not. Extremely well-preserved historic landscapes with exceptional coherence, time-depth, or other critical factors.	Areas associated with Intangible Cultural heritage activities as evidenced by the national register. Associations with particular innovations, technical or scientific developments or movements of global significance. Associations with particular individuals of global importance

High	Nationally-designated Archaeological Monuments protected by the State Party's laws Undesignated sites of the quality and importance to be designated. Assets that can contribute significantly to acknowledged national research objectives.	Nationally-designated structures with standing remains. Other buildings that can be shown to have exceptional qualities in their fabric or historical associations not adequately reflected in the listing grade. Conservation Areas containing very Important buildings. Undesignated structures of clear national importance.	Nationally-designated historic landscape of outstanding interest. Undesignated landscapes of outstanding interest. Undesignated landscapes of high quality and importance, and of demonstrable national value. Well preserved historic landscapes, exhibiting considerable coherence, time-depth or other critical factors.	Nationally-designated areas or activities associated with globally-important Intangible Cultural Heritage activities . Associations with particular innovations, technical or scientific developments or movements of national significance Associations with particular individuals of national importance
Medium	Designated or undesignated assets that can contribute significantly to regional research objectives.	Designated buildings. Historic (unlisted) buildings that can be shown to have exceptional qualities or historical associations. Conservation Areas containing buildings that contribute significantly to its historic character. Historic townscapes or built-up areas with important historic integrity in their buildings, or built settings.	Designated special historic landscapes. Undesignated historic landscapes that would justify special historic landscape designation. Landscapes of regional value. Averagely well preserved historic landscapes with reasonable coherence, time-depth or other critical factors.	Areas associated with Intangible Cultural heritage activities as evidenced by local registers. Associations with particular innovations or developments of regional or local significance. Associations with particular individuals of regional importance

Low	Designated or undesignated assets of local importance. Assets compromised by poor preservation and/or poor survival of contextual associations. Assets of limited value, but with potential to contribute to local research objectives.	"Locally Listed" buildings. Historic (unlisted) buildings of modest quality in their fabric or historical associations. Historic Townscape or built-up areas of limited historic integrity in their buildings, or built settings.	Robust undesignated historic landscapes. Historic landscapes with importance to local interest groups. Historic landscapes whose value is limited by poor preservation and/or poor survival of contextual associations.	Intangible Cultural heritage activities of local significance Associations with particular individuals of local importance Poor survival of physical areas in which activities occur or are associated
Negligible	Assets with little or no surviving archaeological interest.	Buildings or urban landscapes of no architectural or historical merit; buildings of an intrusive character.	Landscapes little or no significant historical interest.	Few associations or ICH vestiges surviving
Unknown potential	The importance of the asset has not been ascertained.	Buildings with some hidden (i.e. inaccessible) potential for historic significance.	n/a	Little is known or recorded about ICH of the area

Appendix 3B: Example Guide for assessing magnitude of impact

Impact Grading	Archaeological attributes	Built heritage or Historic Urban Landscape attributes	Historic landscape attributes	Intangible Cultural Heritage attributes or Associations
Major	Changes to attributes that convey OUV of WH properties Most or all key archaeological materials, including those that contribute to OUV such that the resource is totally altered. Comprehensive changes to setting.	Change to key historic building elements that contribute to OUV,, such that the resource is totally altered. Comprehensive changes to the setting.	Change to most or all key historic landscape elements, parcels or components; extreme visual effects; gross change of noise or change to sound quality; fundamental changes to use or access; resulting in total change to historic landscape character unit and loss of OUV.	Major changes to area that affect the ICH activities or associations or visual links and cultural appreciation.

Moderate	Changes to many key archaeological materials, such that the resource is clearly modified. Considerable changes to setting that affect the character of the asset.	Changes to many key historic building elements, such that the resource is significantly modified. Changes to the setting of an historic building, such that it is significantly modified.	Change to many key historic landscape elements, parcels or components; visual change to many key aspects of the historic landscape; noticeable differences in noise or sound quality; considerable changes to use or access; resulting in moderate changes to historic landscape character.	Considerable changes to area that affect the ICH activities or associations or visual links and cultural appreciation.
Minor	Changes to key archaeological materials, such that the resource is slightly altered. Slight changes to setting.	Change to key historic building elements, such that the asset is slightly different. Change to setting of an historic building, such that it is noticeably changed.	Change to few key historic landscape elements, parcels or components; slight visual changes to few key aspects of historic landscape; limited changes to noise levels or sound quality; slight changes to use or access; resulting in limited change to historic landscape character.	Changes to area that affect the ICH activities or associations or visual links and cultural appreciation.
Negligible	Very minor changes to key archaeological materials, or setting.	Slight changes to historic building elements or setting that hardly affect it.	Very minor changes to key historic landscape elements, parcels or components; virtually unchanged visual effects; very slight changes in noise levels or sound quality; very slight changes to use or access; resulting in a very small change to historic landscape character.	Very minor changes to area that affect the ICH activities or associations or visual links and cultural appreciation.
No change	No change.	No change to fabric or setting.	No change to elements, parcels or components; no visual or audible changes; no changes in amenity or community factors.	No change

Appendix 3C: Example Inventory Entry

The following list gives a suggested set of data fields which could be used in supporting tables or inventories which collate information on an individual or group of heritage assets.

Unique Identity number
Asset name
Location (map reference)
Type of asset (burial mound, church, fort, landscape, ICH etc)
Date
Statutory designation (e.g. on national or local register, WHS)
Brief description
Condition
Authenticity
Integrity
Inter-relationships (list)
Sensitivity
Importance (Very high, high,
Development magnitude of impact – construction (Major, Moderate, Minor, Negligible, No change)
Development significance of effect – construction (Major beneficial, Moderate beneficial, Minor beneficial, Negligible beneficial; No Change, Negligible adverse, Minor adverse, Moderate adverse, Major adverse)
Operational magnitude of impact (as above)
Operational significance of effect

Appendix 4: Heritage Impact Report Contents

The HIA Report should provide the evidence on which decisions can be made in a clear, transparent and practicable way. The level of detail needed will depend on the site and proposed changes. The Statement of OUV will be central to the evaluation of the impacts and risk to the site.

The report should include:
- the proper name of the WH property,
- its geographical coordinates,
- the date of inscription,
- the date of the HIA report,
- the name of the organization or entities responsible for preparing the HIA report,
- for whom it was prepared, and
- a statement on whether the report has been externally assessed or peer-reviewed.

Outline report contents

1   Non-technical summary – must contain all key points and be useable alone.

2   Contents

3   Introduction

4   Methodology
- Data sources
- Published works
- Unpublished reports
- Databases
- Field Surveys
- Impact Assessment Methodology
- Scope of Assessment
- Evaluation of Heritage Resource

- Assessment of Scale of Specific Impact and Change
- Evaluation of Overall Impact
- Definition of the Assessment Area

5   Site history and description –
Key in this section will be the Statement of OUV, and a description of the attributes which convey OUV and which contribute to the Statements of authenticity and integrity.

This section should also include any nationally or locally designated sites, monuments or structures as well as non-designated sites. t should set out the historical development of the study area, and describe its character, such as the historic landscape, including field patterns, boundaries and extant historic elements of the landscape and cultural heritage. It should describe the condition of the whole and of individual attributes and components, physical characteristics, sensitive viewpoints and intangible associations which may relate to attributes. This should focus on areas affected in particular but must include a description of the whole.

6   Description of changes or developments proposed

7   Assessment and evaluation of overall impact of the proposed changes

This part should set out an assessment of specific changes and impacts on the attributes of OUV and other heritage assets. It should include a description and assessment of the direct or indirect impacts, including physical impacts, visual, or noise, on individual heritage attributes, assets or elements and associations, and on the whole. Impact on OUV should be evaluated through assessment of impact on the attributes which convey the OUV of the site. It should consider all impacts on all attributes; professional judgement is required in presenting the information in an appropriate form to assist decision-making.

It should also include an evaluation of the overall significance of effect – overall impact - of the proposals for development or change on individual attributes and the whole WH property. This may also need to include an assessment of how the changes may impact on the perception of the site locally, nationally and internationally. I

8   Measures to avoid, to reduce or to compensate for impacts - Mitigation Measures
Such measures include both general and site or asset-specific measures and cover
- those needed before the development or change proceeds (such as archaeological excavation),
- those needed during construction or change (such as a watching brief or physical protection of assets) and
- any post-construction measures during the operation of any proposed change or development (such as interpretation or access measures, awareness-building, education, reconstruction proposals),
- proposals to disseminate information, knowledge or understanding gained by the HIA and any detailed desk, field or scientific studies.

9   Summary and Conclusions, including
- A clear statement on effects on the Outstanding Universal Value of the WHS, its integrity and authenticity,
- The risk to the Inscription of the site as a WH property,
- Any beneficial effects, including better knowledge and understanding and awareness-raising.

10   Bibliography

11   Glossary of terms used

12   Acknowledgements and authorship

13   Illustrations and photographs showing for example
- Location and extent of sites, including buffer zones
- Any study area defined
- Development or proposals for change
- Visual or inter-visibility analyses
- Mitigation measures
- Key sites and views

14   Appendices with detailed data, for example
- Tables of individual sites or elements, summary description and summary of impacts
- Desk studies
- Field study reports (such as geophysical survey, trial evaluation, excavation)
- Scientific studies
- List of consultees and consultation responses
- The scoping statement or project brief.

ICOMOS
International
Cultural Tourism Charter

**Principles And Guidelines For Managing Tourism
At Places Of Cultural And Heritage Significance**

Contents

Introduction

BACKGROUND

The ***ICOMOS International Cultural Tourism Charter*** was approved by the ICOMOS General Assembly in Mexico in October 1999. The *Charter* was prepared by the ICOMOS International Scientific Committee on Cultural Tourism. It replaces the 1976 *ICOMOS Cultural Tourism Charter*.

ICOMOS is the international representative body for those who work in the field of cultural heritage conservation.

PURPOSE OF THE CHARTER

The new *Charter* provides an umbrella statement of Principles that guide the dynamic relationships between tourism and places or collections of heritage significance. It can provide the basis of a dialogue and a common set of principles to manage these relationships.

Given that it has been prepared within the international conservation framework established by ICOMOS, the *Charter* addresses the primary relationships between the cultural identity and cultural heritage of the host community and the interests, expectations and behaviour of visitors, both domestic and international. It promotes the engagement of the host community, including indigenous and traditional custodians in all aspects of planning and managing for tourism, particularly at heritage sites, within cultural landscapes and in historic towns.

In addition to recognising the need to safeguard the enormous breadth, diversity and universal importance of cultural heritage, both tangible and intangible, the new *Charter* promotes two major concepts:

- That one of the major reasons for undertaking any form of conservation is to make the significance of the place accessible to visitors and the host community, in a well managed manner.

- That both the conservation community and the tourism industry must work cooperatively together to protect and present the world's cultural and natural heritage, given their mutual respect for it and their concern for the fragility of the resource.

The revised *Charter* has adopted a co-operative approach to the relationship of the conservation community with tourism issues and the tourism industry, avoiding the traditional tensions while protecting those issues of concern. It recognises that greater progress will be made by establishing a positive dialogue than for conservationists to simply regard tourism primarily as something to be tolerated under duress.

The *Charter* is designed as a document for use by a wide variety of conservation and tourism industry bodies to assist manage the relationships with both domestic and international tourism. Accordingly the language and the coverage is deliberately broad and inclusive, rather than specific to any one country or situation. It encourages the further development of specific applications by interested parties.

THE KEY CHARTER CONCEPTS

- A major reason for undertaking the protection, conservation and management of heritage places, the intangible heritage and collections is to make their significance physically and/or intellectually accessible to the host community and to visitors. Unless there is public awareness and public support for cultural heritage places, the whole conservation process will be marginalised and not gain the critical levels of funding or public and political support so necessary for its survival.

- Reasonable and well managed access to cultural development and cultural heritage is both a human right and a privilege. It brings with it a duty of respect on the part of the visitor. Interpretation or presentation, play an important role in making the cultural heritage accessible to people.

- Cultural heritage is seen as a dynamic reference point for daily life, social growth and change. It is a major source of social capital and is an expression of diversity and community identity.

- Domestic and international tourism is one of the foremost vehicles of cultural exchange, providing personal experience of that which has survived from the past as well as the contemporary life and society of others. It can capture the economic benefits of cultural resources and is an important generator of economic development, when managed successfully.

Tourism should bring benefits to the host community and be planned to avoid adverse impacts on the authenticity and physical expression of the cultural heritage. Poorly managed or excessive tourism can have negative effects on the local community and their places of cultural significance.

- The *Charter* is not limited to considering tourism at the traditional ICOMOS concept of Monuments, or to World Heritage listed places, but has been expanded to include the interaction between tourism and all forms of the cultural heritage places, collections and the living aspects of the host communities.

- The *Charter* can be applied to a broad range of places and situations. It deliberately avoids describing the specific heritage characteristics of a limited number of places but uses the broad concept of "Heritage Significance". The individual heritage characteristics of the particular place or community should be identified as part of the application of the *Charter* to any given situation.

RESPONSES TO THE CHARTER

Responses to the Charter are welcomed, and should addressed to

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The Charter Ethos

At the broadest level, the natural and cultural heritage belongs to all people. We each have a right and responsibility to understand, appreciate and conserve its universal values.

Heritage is a broad concept and includes the natural as well as the cultural environment. It encompasses landscapes, historic places, sites and built environments, as well as biodiversity, collections, past and continuing cultural practices, knowledge and living experiences. It records and expresses the long processes of historic development, forming the essence of diverse national, regional, indigenous and local identities and is an integral part of modern life. It is a dynamic social reference point and positive instrument for growth and change. The particular heritage and collective memory of each locality or community is irreplaceable and an important foundation for development, both now and into the future.

At a time of **increasing globalisation**, the protection, conservation, interpretation and presentation of the heritage and cultural diversity of any particular place or region is an important challenge for people everywhere. However, management of that heritage, within a framework of internationally recognised and appropriately applied standards, is usually the responsibility of the particular community or custodian group.

A primary objective for managing heritage is to **communicate its significance** and need for its conservation to its host community and to visitors. Reasonable and well managed physical, intellectual and/or emotive access to heritage and cultural development is both a right and a privilege. It brings with it a duty of respect for the heritage values, interests and equity of the present-day host community, indigenous custodians or owners of historic property and for the landscapes and cultures from which that heritage evolved.

Tourism and Cultural Heritage

THE DYNAMIC INTERACTION BETWEEN TOURISM AND CULTURAL HERITAGE

Domestic and international tourism continues to be among the foremost vehicles for cultural exchange, providing a personal experience, not only of that which has survived from the past, but of the contemporary life and society of others. It is increasingly appreciated as a positive force for natural and cultural conservation. Tourism can capture the economic characteristics of the heritage and harness these for conservation by generating funding, educating the community and influencing policy. It is an essential part of many national and regional economies and can be an important factor in development, when managed successfully.

Tourism itself has become an increasingly complex phenomenon, with political, economic, social, cultural, educational, bio-physical, ecological and aesthetic dimensions. The achievement of a beneficial inter-action between the potentially conflicting expectations and aspirations of visitors and host or local communities, presents many challenges and opportunities.

The natural and cultural heritage, diversities and living cultures are major tourism attractions. Excessive or poorly-managed tourism and tourism related development can threaten their physical nature, integrity and significant characteristics. The ecological setting, culture and lifestyles of host communities may also be degraded, along with the visitor's experience of the place.

Tourism should bring benefits to host communities and provide an important means and motivation for them to care for and maintain their heritage and cultural practices. The involvement and co-operation of local and/or indigenous community representatives, conservationists, tourism operators, property owners, policy makers, those preparing national development plans and site managers is necessary to achieve a sustainable tourism industry and enhance the protection of heritage resources for future generations.

ICOMOS, the International Council on Monuments and Sites, as the author of this Charter, other international organisations and the tourism industry, are dedicated to this challenge.

Objectives of the Charter

The Objectives of the *International Cultural Tourism Charter* are:

- To facilitate and encourage those involved with heritage conservation and management to make the significance of that heritage accessible to the host community and visitors.

- To facilitate and encourage the tourism industry to promote and manage tourism in ways that respect and enhance the heritage and living cultures of host communities.

- To facilitate and encourage a dialogue between conservation interests and the tourism industry about the importance and fragile nature of heritage places, collections and living cultures including the need to achieve a sustainable future for them.

- To encourage those formulating plans and policies to develop detailed, measurable goals and strategies relating to the presentation and interpretation of heritage places and cultural activities, in the context of their preservation and conservation.

In addition,

- The Charter supports wider initiatives by ICOMOS, other international bodies and the tourism industry in maintaining the integrity of heritage management and conservation.

- The Charter encourages the involvement of all those with relevant or at times conflicting interests, responsibilities and obligations to join in achieving its objectives.

- The Charter encourages the formulation of detailed guidelines by interested parties, facilitating the implementation of the Principles to their specific circumstances or the requirements of particular organisations and communities.

Charter Principles

Principle 1
Encourage Public Awareness of Heritage

Since domestic and international tourism is among the foremost vehicles for cultural exchange, conservation should provide responsible and well managed opportunities for members of the host community and visitors to experience and understand that community's heritage and culture at first hand.

1.1
The natural and cultural heritage is a material and spiritual resource, providing a narrative of historical development. It has an important role in modern life and should be made physically, intellectually and/or emotively accessible to the general public. Programmes for the protection and conservation of the physical attributes, intangible aspects, contemporary cultural expressions and broad context, should facilitate an understanding and appreciation of the heritage significance by the host community and the visitor, in an equitable and affordable manner.

1.2
Individual aspects of natural and cultural heritage have differing levels of significance, some with universal values, others of national, regional or local importance. Interpretation programmes should present that significance in a relevant and accessible manner to the host community and the visitor, with appropriate, stimulating and contemporary forms of education, media, technology and personal explanation of historical, environmental and cultural information.

1.3
Interpretation and presentation programmes should facilitate and encourage the high level of public awareness and support necessary for the long term survival of the natural and cultural heritage.

1.4
Interpretation programmes should present the significance of heritage places, traditions and cultural practices within the past experience and present diversities of the area and the host community, including that of minority cultural or linguistic groups. The visitor should always be informed of the differing cultural values that may be ascribed to a particular heritage resource.

Principle 2
Manage the Dynamic Relationship

The relationship between Heritage Places and Tourism is dynamic and may involve conflicting values. It should be managed in a sustainable way for present and future generations.

2.1

Places of heritage significance have an intrinsic value for all people as an important basis for cultural diversity and social development. The long term protection and conservation of living cultures, heritage places, collections, their physical and ecological integrity and their environmental context, should be an essential component of social, economic, political, legislative, cultural and tourism development policies.

2.2

The interaction between heritage resources or values and tourism is dynamic and ever changing, generating both opportunities and challenges, as well as potential conflicts. Tourism projects, activities and developments should achieve positive outcomes and minimise adverse impacts on the heritage and lifestyles of the host community, while responding to the needs and aspirations of the visitor.

2.3

Conservation, interpretation and tourism development programmes should be based on a comprehensive understanding of the specific, but often complex or conflicting aspects of heritage significance of the particular place. Continuing research and consultation are important to furthering the evolving understanding and appreciation of that significance.

2.4

The retention of the authenticity of heritage places and collections is important. It is an essential element of their cultural significance, as expressed in the physical material, collected memory and intangible traditions that remain from the past. Programmes should present and interpret the authenticity of places and cultural experiences to enhance the appreciation and understanding of that cultural heritage.

2.5

Tourism development and infrastructure projects should take account of the aesthetic, social and cultural dimensions, natural and cultural landscapes, bio-diversity characteristics and the broader visual context of heritage places. Preference should be given to using local materials and take account of local architectural styles or vernacular traditions.

2.6

Before heritage places are promoted or developed for increased tourism, management plans should assess the natural and cultural values of the resource. They should then establish appropriate limits of acceptable change, particularly in relation to the impact of visitor numbers on the physical characteristics, integrity, ecology and biodiversity of the place, local access and transportation systems and the social, economic and cultural well being of the host community. If the likely level of change is unacceptable the development proposal should be modified.

2.7

There should be on-going programmes of evaluation to assess the progressive impacts of tourism activities and development on the particular place or community.

Principle 3
Ensure a Worthwhile Visitor Experience

Conservation and Tourism Planning for Heritage Places should ensure that the Visitor Experience will be worthwhile, satisfying and enjoyable.

3.1
Conservation and tourism programmes should present high quality information to optimise the visitor's understanding of the significant heritage characteristics and of the need for their protection, enabling the visitor to enjoy the place in an appropriate manner.

3.2
Visitors should be able to experience the heritage place at their own pace, if they so choose. Specific circulation routes may be necessary to minimise impacts on the integrity and physical fabric of a place, its natural and cultural characteristics.

3.3
Respect for the sanctity of spiritual places, practices and traditions is an important consideration for site managers, visitors, policy makers, planners and tourism operators. Visitors should be encouraged to behave as welcomed guests, respecting the values and lifestyles of the host community, rejecting possible theft or illicit trade in cultural property and conducting themselves in a responsible manner which would generate a renewed welcome, should they return.

3.4
Planning for tourism activities should provide appropriate facilities for the comfort, safety and well being of the visitor, that enhance the enjoyment of the visit but do not adversely impact on the significant features or ecological characteristics.

Principle 4
Involve Host And Indigenous Communities

Host communities and indigenous peoples should be involved in planning for conservation and tourism.

4.1
The rights and interests of the host community, at regional and local levels, property owners and relevant indigenous peoples who may exercise traditional rights or responsibilities over their own land and its significant sites, should be respected. They should be involved in establishing goals, strategies, policies and protocols for the identification, conservation, management, presentation and interpretation of their heritage resources, cultural practices and contemporary cultural expressions, in the tourism context.

4.2
While the heritage of any specific place or region may have a universal dimension, the needs and wishes of some communities or indigenous peoples to restrict or manage physical, spiritual or intellectual access to certain cultural practices, knowledge, beliefs, activities, artefacts or sites should be respected.

Principle 5
Provide Benefit for the Local community

Tourism and conservation activities should benefit the host community.

5.1
Policy makers should promote measures for the equitable distribution of the benefits of tourism to be shared across countries or regions, improving the levels of socio-economic development and contributing where necessary to poverty alleviation.

5.2
Conservation management and tourism activities should provide equitable economic, social and cultural benefits to the men and women of the host or local community, at all levels, through education, training and the creation of full time employment opportunities.

5.3
A significant proportion of the revenue specifically derived from tourism programmes to heritage places should be allotted to the protection, conservation and presentation of those places, including their natural and cultural contexts. Where possible, visitors should be advised of this revenue allocation.

5.4
Tourism programmes should encourage the training and employment of guides and site interpreters from the host community to enhance the skills of local people in the presentation and interpretation of their cultural values.

5.5
Heritage interpretation and education programmes among the people of the host community should encourage the involvement of local site interpreters. The programmes should promote a knowledge and respect for their heritage, encouraging the local people to take a direct interest in its care and conservation.

5.6
Conservation management and tourism programmes should include education and training opportunities for policy makers, planners, researchers, designers, architects, interpreters, conservators and tourism operators. Participants should be encouraged to understand and help resolve the at times conflicting issues, opportunities and problems encountered by their colleagues.

Principle 6
Responsible Promotion Programmes

Tourism promotion programmes should protect and enhance Natural and Cultural Heritage characteristics.

6.1
Tourism promotion programmes should create realistic expectations and responsibly inform potential visitors of the specific heritage characteristics of a place or host community, thereby encouraging them to behave appropriately.

6.2
Places and collections of heritage significance should be promoted and managed in ways which protect their authenticity and enhance the visitor experience by minimising fluctuations in arrivals and avoiding excessive numbers of visitors at any one time.

6.3
Tourism promotion programmes should provide a wider distribution of benefits and relieve the pressures on more popular places by encouraging visitors to experience the wider cultural and natural heritage characteristics of the region or locality.

6.4
The promotion, distribution and sale of local crafts and other products should provide a reasonable social and economic return to the host community, while ensuring that their cultural integrity is not degraded.

Implementing the Charter

A CONSISTENT EVALUATION METHODOLOGY

There are a number of ways that the *ICOMOS International Cultural Tourism Charter* can be implemented to improve the relationship between tourism activities and the conservation of heritage places.

The *Charter* Principles and Guidelines may be used to undertake the evaluation of tourism at heritage places in a consistent and comparable manner. Irrespective of the scale, physical and heritage characteristics of the destination, and the scale and nature of the tourism experience, a consistent evaluation methodology will enable different sites to be compared in a useful and beneficial manner.

Site managers and those who design or implement tourism programs and projects at heritage places will be able to learn more efficiently from the experiences of other sites. They will also have a soundly based methodology for evaluating and monitoring the performance of their site or place over time, leading to improved conservation and visitor management policies and programs.

Researchers will be able to use a consistent methodology when assessing the dynamic nature of tourism at heritage sites and the impact on heritage significance that may arise from tourism activities.

Conservationists will be able to confidently present their work to the public, knowing there is a strong basis for visitor management.

Consent authorities will be able to evaluate tourism development proposals at heritage sites against a widely recognised and consistent set of Principles and Guidelines. Consent for development will thus be more soundly based on well-established criteria.

Providers of funding for tourism projects at heritage sites, whether by way of grant or investment, will have a set of criteria against which to evaluate applications for funding, investment or grant support. The long-term sustainability of heritage sites that is promoted by the Charter will give added security for those who invest or support such programs.

National, Regional and site based tourism promotion programs will be able to include programs which communicate the heritage significance of historic places in their programs. Promoting the unique or distinctive features of a destination is an essential component of successful tourism promotion.

Evaluation Questionnaire

GATHER INFORMATION ABOUT THE PLACE

Before any comparative evaluation can be made about a heritage site or historic place, it is essential that basic descriptive information is established. This information needs to be clearly and concisely recorded.

Nature of the Place

- Location, Physical nature, size, components, property definition
- Geographical and ecological description of the place and context
- Ownership and management structures
- Legislative background
- Nature of the host or custodial community
- Relation to nearby population centres
- Access and transport, site infrastructure
- Physical condition of the place and its locality
- Economic context of the place and the host community
- Stakeholders

Significance of the Place

- The historical, ecological and cultural significance of the place or collection and its authenticity
- Tangible and intangible characteristics
- Comparative values and unique features
- Differing views on significance

Conservation Context

- Responsibility for conservation activities
- Resources and management structure for conservation
- Objectives and standards for conservation
- Nature of current and past physical conservation activities
- Operational and conservation expenditure
- Ecological, political, and economic pressures and threats
- Security and protective measures

Tourism Context

- The broad tourism context of the place in relation to the region
- Local, domestic and/or international tourists
- How did they travel to the place?
- Tourism infrastructure such as airports, road, rail, sea access, accommodation
- Tourism operators transportation, accommodation, information and presentation
- Package tours v individual travel
- Revenue generated by tourism at the place

Relationships Between Tourism and Conservation

- Is the place a new or established tourism venue or attraction?
- The historical tourism experience over time, Is tourism growing or declining
- The broad dynamics between tourism and conservation in the region
- Impacts already experienced from tourism on the place and the community
- How do visitors move around the place, with or without guides and interpretation?

APPLICATION OF THE CHARTER

Principle 1
Encourage Public Awareness

Since domestic and international tourism is among the foremost vehicles for cultural exchange, conservation should provide responsible and well managed opportunities for members of the host community and visitors to experience and understand that community's heritage and culture at first hand.

1. What forms of physical, intellectual and emotive access, to the significance of the site, are available and how is the significance presented to the visitor?

2. Is access equitable and affordable for both the host community and the visitor?

3. What are the forms and techniques used for interpretation of that significance? Do they encourage a high level of public awareness of the significance of the place in the host community?

4. Is the visitor informed of any differing cultural values that may be ascribed to the place?

Principle 2
Managing the Dynamic Relationship

The relationship between Heritage Places and Tourism is dynamic and may involve conflicting values. It should be managed in a sustainable way for present and future generations.

1. How have tourism projects and activities impacted on the natural and cultural heritage and lifestyles of the host community?

2. Are existing or planned programmes based on a comprehensive understanding of the particular significance of the place?

3. Have programmes and projects taken into account their relationship with the aesthetic, social, cultural dimensions, natural and cultural landscapes, bio-diversity characteristics and broader visual context of the heritage place.

4. Have tourism projects given a preference for using local materials and architectural styles or vernacular traditions?

5. Are there on-going programmes of evaluation to assess the progressive impacts of tourism activities and development on the particular place or community?

Principle 3
Ensure a Worthwhile Visitor Experience

Conservation and Tourism Planning for Heritage Places should ensure that the Visitor Experience will be worthwhile, satisfying and enjoyable.

1. Does the information presented optimise the visitor's understanding of the place and encourage them to respect it?

2. Are specific circulation routes for visitors? Can the visitors experience the place at their own pace, if they so chose?

3. Is the visitor encouraged to respect the values and lifestyles of the host community?

4. Is the visitor encouraged to reject possible theft or illicit trade of cultural property?

5. Are there appropriate facilities for the safety, comfort, well being of the visitor, including reasonable access for the physically impaired?

6. Are there adequate and appropriate food, beverage and retail opportunities for visitor enjoyment, without adversely impacting on the significant features or ecological characteristics of the place.

7. Is the visitor directly involved in an activity or personal response which contributes, even in a small manner, to the conservation of the site.

Principle 4
Involve Host and Indigenous Communities

Host communities and indigenous peoples should be involved in planning for conservation and tourism.

1. Are the host community, property owners and/or relevant indigenous people involved in planning for conservation and tourism at the place?

2. Do planning, conservation and tourism activities show appropriate respect for the rights and interests of the host community, property owners and relevant indigenous people?

3. Have relevant people been involved in establishing goals, strategies, policies and protocols for identification, management and conservation programs?

4. If appropriate, has there been respect shown to the wishes of the host community or relevant indigenous people to restrict or manage access to certain cultural practices, knowledge, beliefs, activities, artefacts or sites?

Principle 5
Provide Benefit for the Local Community

Tourism and conservation activities should benefit the host communities

1. Do the economic and other benefits of tourism flow into the host community in an equitable manner?

2. Is a significant proportion of the revenue specifically derived from tourism allotted to protection, conservation and presentation of the cultural heritage?

3. Are there programmes for the training and employment of guides and site interpreters from the host community?

4. Are the local people encouraged to take a direct interest in the care and conservation of their heritage.

Principle 6

Responsible Promotion Programmes

Tourism promotion programmes should protect and enhance Natural and Cultural Heritage characteristics.

1. Do the tourism promotion programmes create realistic expectations and responsibly inform potential visitors?

2. Do the promotion and management programmes seek to minimise fluctuations in visitor numbers?

3. Do tourism promotion programmes encourage visitors to experience the wider cultural and natural heritage characteristics of the region or locality?

4. Does the promotion, distribution and sale of local crafts and other products provide reasonable social and economic returns to the host community.

5. Does the promotion, distribution and sale of local crafts ensure that their cultural integrity is not degraded.

Glossary

This Glossary has been prepared to provide those who use and implement the ICOMOS International Cultural Tourism Charter with a consistent terminology.

Access to significant features, values and characteristics, includes all form of access, including **physical access**, where the visitor experiences the place in person, **intellectual access**, where the visitor or others learn about the place, without possibly ever actually visiting it and **emotive access** where the sense of being there is felt, again even if a visit is never undertaken.

Authenticity describes the relative integrity of a place, an object or an activity in relation to its original creation. In the context of living cultural practices, the context of authenticity responds to the evolution of the traditional practice. In the context of an *Historic Place* or object, authenticity can encompass the accuracy or extent of its reconstruction to a known earlier state.

Biodiversity describes the variety of life forms, the different plants, animals and micro-organisms, the genes they contain and the *ecosystems* they form.

Conservation describes all of the processes of looking after a *Heritage Place*, *Cultural Landscape*, *Heritage Collection* or aspect of *Intangible Heritage* so as to retain its cultural, indigenous or natural heritage significance. In some English speaking countries, the term Preservation is used as an alternative to Conservation for this general activity.

Conservation Community includes all those who work towards the protection, conservation, management and presentation of the world's cultural and natural heritage.

Culture can be defined as the whole complex of distinctive spiritual, material, intellectual and emotional features that characterise a community, society or social group. It includes not only arts and literature, but also modes of life, the fundamental rights of the human being, value systems, traditions and beliefs. Culture encompasses the living or contemporary characteristics and values of a community as well as those that have survived from the past.

Cultural Exchange describes the process or processes whereby a person or group of people experience the respective *Culture*, lifestyle and *Heritage* of another person or group.

Cultural Heritage is an expression of the ways of living developed by a community and passed on from generation to generation, including customs, practices, places, objects, artistic expression and values. Cultural Heritage is often expressed as either *Intangible* or *Tangible Cultural Heritage.*

Cultural Heritage Significance means the aesthetic, historic, research, social, spiritual or other special characteristics and values a place, an object or a custom may have for present and future generations.

Cultural Landscapes describe those places and landscapes that have been shaped or influenced by human occupation. They include agricultural systems, modified landscapes, patterns of settlement and human activity, and the infrastructure of production, transportation and communication. The concepts of cultural landscapes can be useful in understanding the patterns of activity as diverse as industrial systems, defensive sites and the nature of towns or villages.

Cultural Resources encompass all of the *Tangible* and *Intangible Heritage* and living Cultural elements of a community.

Cultural Tourism is essentially that form of tourism that focuses on the culture, and cultural environments including landscapes of the destination, the values and lifestyles, heritage, visual and performing arts, industries, traditions and leisure pursuits of the local population or *host community*. It can include attendance at cultural events, visits to museums and heritage places and mixing with local people. It should not be regarded as a definable niche within the broad range of tourism activities, but encompasses all experiences absorbed by the visitor to a place that is beyond their own living environment.

Domestic Tourism generally refers to those who travel within their own country or region for pleasure, business, learning, holiday, recreation or to visit friends and relatives. It includes those who visit another part of their larger living environment, beyond the sphere of their daily lives.

Ecosystems means a dynamic complex of organisms their non-living environment , interacting as a functional unit.

Geodiversity is the range of earth features including geological, geomorphological, palaentological, soil, hydrological and atmospheric features, systems and earth processes.

Heritage is a broad concept that encompasses our Natural, Indigenous and Historic or Cultural inheritance.

Heritage Collections include all of the moveable articles that may be associated with a place, an activity, a process or a specific historical event. They also include collections of related or unrelated items that have been gathered into museums, art galleries, scientific repositories, archives and libraries, both public and private.

Heritage Place describes a site or area of heritage significance that contains a number of buildings and structures, cultural landscape, monument, building or other structure, historic human settlement, together with the associated contents and surroundings or curtilage. Heritage places include those, which may be buried or underwater.

Heritage Significance recognizes both the *Natural* and *Cultural Significance* or important values and characteristics of places and people.

Host Community is a general concept that encompasses all of the people who inhabit a defined geographical entity, ranging from a continent, a country, a region, a town, village or historic site. Members of the host community have responsibilities that include governing the place and can be regarded as those who have or continue to define its particular cultural identity, lifestyle and diversity. They contribute to the conservation of its heritage and interact with visitors.

Indigenous Cultural Heritage is dynamic. It includes both *Tangible* and *Intangible* expressions of culture that link generations of Indigenous people over time. Indigenous people often express their cultural heritage through "the person", their relationships with country, people, beliefs, knowledge, law, language, symbols, ways of living, sea, land and objects all of which arise from Indigenous spirituality. Indigenous Cultural Heritage is essentially defined and expressed by the *Traditional Custodians* of that heritage.

Intangible Cultural Heritage can be defined as embracing all forms of traditional and popular or folk culture, the collective works originating in a given community and based on tradition. These creations are transmitted orally or by gesture, and are modified over a period of time, through a process of collective re-creation. They include oral traditions, customs, languages, music, dance, rituals, festivals, traditional medicine and pharmacopeia, popular sports, food and the culinary arts and all kinds of special skill connected with the material aspects of culture, such as tools and the habitat.

International Tourism generally refers to those who travel to another country for pleasure, business, learning, holiday, recreation or to visit friends and relatives.

Interpretation means all of the activities, including research, involved in the explanation and presentation of the *Tangible* and *Intangible* values and characteristics of an *Historic Place*, object, collection, or activity to the visitor or member of the *Host Community*.

Limits of Acceptable Change refers to a process of establishing the key values and characteristics of a place and the maximum extent to which they may change before the core of their importance is degraded to an unacceptable extent. Tourism and other activities can then be monitored or evaluated to determine the rate at which these values are threatened.

Natural Heritage consists of *ecosystems*, *biodiversity*, and *geodiversity* considered significant for the existence value for present and future generations in terms of their scientific, social, aesthetic and life support values.

Natural Heritage Significance means the importance of *ecosystems*, *biodiversity* and *geodiversity* for their existence value or for present and future generations, in terms of their scientific, social, aesthetic and life support value.

Sustainable Future refers to the ability of an action to be carried out without diminishing the continuation of natural processes of change or damaging the long term integrity of natural or cultural environments, while providing for present and future economic and social well-being.

Sustainable Tourism refers to a level of tourism activity that can be maintained over the long term because it results in a net benefit for the social, economic, natural and cultural environments of the area in which it takes place.

Tangible Cultural Heritage encompasses the vast created works of humankind, including places of human habitation, villages, towns and cities, buildings, structures, art works, documents, handicrafts, musical instruments, furniture, clothing and items of personal decoration, religious, ritual and funerary objects, tools, machinery and equipment, and industrial systems.

Tourism Industry encompasses all those who work in, support, facilitate or provide goods and services to *Domestic* and *International Tourism* activities.

Tourism Projects include all of the activities that enable, facilitate, or enhance a visit to a destination, including the provision or upgrading of related infrastructure and facilities.

Traditional Custodians are those people who have by tradition or custom been responsible for the protection, conservation and continuity of the established significance of the place or cultural value. They include indigenous people and those from religious sects or other defined groups who have a strong and established relationship with a particular aspect of the cultural or natural heritage.

2.2   Selected Texts

INTERNATIONAL CHARTERS ON URBAN CONSERVATION: SOME THOUGHTS ON THE PRINCIPLES EXPRESSED IN CURRENT INTERNATIONAL DOCTRINE

Prof.Dr. Jukka Jokilehto[*]

Abstract

Conservation concepts and policies are subject to continuous evolution over time. In relation to urban conservation, the period of 1970s seems to be of crucial importance, considering that it marks the adoption of the World Heritage Convention (1972) and the International Recommendation concerning Historic Areas (1976) of UNESCO, as well as the Council of Europe's Amsterdam Declaration (1975). In 1972, there was also the United Nations International Conference concerning environment. Combined with the practical examples in various countries, these policy documents have all contributed to broadening the concepts of what is the urban heritage and its integrated conservation. Since then there have been other developments, which have caused the earlier centralized planning to become increasingly decentralized. As a result, it is necessary to verify and update the formerly established policies and their efficacy in relation to the current trends and challenges.

Keywords: Conservation charters, World Heritage Convention, historic areas, universal value

1. Globalization and universal value

The past fifty years have been characterized by an increasing globalization in the world with its positive and negative consequences. The impact of globalization can be felt particularly in the economic field, where we tend to become increasingly dependent on some supra-national forces and trends. In practice, we can identify two types of globalization, one from above, the other from below. The globalization from above comes in the form of multinational firms, international capital flows and world markets. In many cases, production is decentralized, and marketing relies on an international system of diffusion. As a result, there is increasing interdependence of standardized technologies, and especially there is dependence of a global system of economy. There are several international organizations which act in the global context; these include the World Trade Organization (WTO), founded in 1994, as well as the World Bank and the International Monetary Fund, which are all facing serious criticism at the moment. In fact, the World Bank has taken various initiatives that could help to reorient its policies. Another form of

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globalization can come from below, involving human rights, environmental questions as well as the whole issue of the conservation of cultural heritage. While the globalization from above relies on external resources and influences, the globalization from below relies on methods and processes that raise awareness of local cultural and economic resources and contexts.

Universal value

The question of values is closely related to globalization. Generally speaking, we tend to see values as relative to the cultural context, and therefore specific. Nevertheless, at the same time, there should be some common reference in order to justify internationally shared assessments of issues. In his speech regarding globalization, in 2003, Kofi Annan asked: "Do we still have universal values?" (*The Globalist*, online magazine) He referred to the *Universal Declaration of Human Rights*, according to which "everyone has the right to a standard of living adequate for the health and well being of himself and of his family, including food, clothing, housing, medical care — and necessary social services". He further took note of the *United Nations Millennium Declaration* (A/55/L.2, September 2000), where the fundamental values of humanity are referred to freedom, equality, solidarity, tolerance, respect for nature, and shared responsibility. Annan states: "Values are not there to serve philosophers or theologians — but to help people live their lives and organize their societies." Globalization has brought people closer to each other in the sense that the actions of each will impact others. At the same time, the people do not have a balanced share of the benefits and burdens of globalization.

The UNESCO 1972 *World Heritage Convention* is based on the firm conviction that culture is a vital condition of the wellbeing of all human society. As a result, the heritage of humanity, being a cultural product, is fundamentally associated with the notion of universality, and thus of the universal value. At the same time, it is also characterized by creative diversity as recognized by the *Universal Declaration on Cultural Diversity* by UNESCO in 2001, and the subsequent *Convention on the Protection and Promotion of Cultural Expressions* (2005). In the aftermath of the Second World War, the recognition of the commonality of the heritage of humankind was seen to play a role in maintaining peace by contributing to solidarity and tolerance of humankind as well as calling for shared responsibility.

Resulting from the maturing debate, the universal value of cultural and natural heritage has gradually found its modern recognition in the international doctrine. This question has been discussed particularly in the context of the World Heritage Convention, and the definition was given an expert meeting in Amsterdam in 1998: "The requirement of outstanding universal value characterizing cultural and natural heritage should be interpreted as an outstanding response to issues of universal nature common to or addressed by all human cultures". In relation to culture this is reflected in human creativity and resulting cultural diversity. Even though, the definition was here referred especially to an "outstanding" expression of such values, it can be seen to have more general application as well. The ICOMOS study on the *World Heritage List: Filling the Gaps – an Action Plan for the Future* (2005), generally called the "Gap Report", proposes three frameworks for the identification of issues of universal nature that are common to humanity, and therefore potential references for the verification of the requirement of universal value as defined in the Convention. These references include issues that characterize society, its spiritual and social-cultural aspects, its relationship with the natural environment, and its creative capacity to respond to specific demands and requirements over time.

2. International Doctrine regarding Historic Areas

After the destruction of the habitat during the Second World War, the primary objective in the 1940s and 1950s was reconstruction. The problems caused by armed conflicts were also reflected in the initiatives taken by newly founded UNESCO in the same period. The first convention, in 1954, regarding cultural heritage was the revision and adoption of the so-called *Hague Convention* concerning the protection of cultural property in the case of armed conflict. This convention identified in the notion of cultural property monuments of architecture, art or history, archaeological sites, groups of buildings, works of art and collections. The notion of "groups of buildings" was later taken into the 1972 World Heritage Convention, where it indicates historic urban areas.

In the 1950s, there are various initiatives at the national level for the protection of historic urban areas. These are recognized particularly in Italy, where a group of professionals, in 1960, form a national association for the safeguarding of urban centers recognized for their historic and urban values (*L'associazione Nazionale Centri Storico-Artistici*, ANCSA). The scope of the association is to promote research and the involvement of the private sector as well of public authorities in the valorization and rehabilitation of historic urban areas. Some of the first examples of this new approach are seen in the urban master plans of Assisi as well as in Bologna.

The 2nd International Congress of Architects and Technicians of Historic Monuments, meeting in Venice in 1964 adopted the famous Venice Charter. This charter recognizes the importance of the surroundings of monuments, but does not refer to historic urban areas. Nevertheless, the meeting also passed a "motion concerning protection and rehabilitation of historic centers" (document 8). Here, there is a call "rapidly to promote legislation for safeguarding historic centers, which should keep in view the necessity both of safeguarding and improving these historic centers and integrating them with contemporary life". In the following years, ICOMOS, founded in 1965, took this motion at heart, and numerous national, regional and international seminars and conferences discussed the issues. For example, the 1967 *Norms of Quito* (Ecuador) notes that "Since the idea of space is inseparable from the concept of monument, the stewardship of the state can and should be extended to the surrounding urban context or natural environment."

Conservation areas

The real breakthrough for urban conservation coincides with the increasing awareness and concern for ecology and the natural environment. In 1975, on the initiative of the Council of Europe, the *European Charter of the Architectural Heritage* draws attention to problems faced by "the groups of lesser buildings in our old towns and characteristic villages in their natural or manmade settings". In order to meet the challenges, the document introduces the concept of "integrated conservation". This policy depends on legal, administrative, financial and technical support and it should be based on the cooperation of the stakeholders, public and private. The conclusive conference of the Architectural Heritage Year 1975, in the Amsterdam Declaration, further contributes to launching the policies of integrated conservation, stressing the responsibility of local authorities and citizens' participation in such initiatives.

In the following year, Nairobi 1976, UNESCO adopts the *International Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas.* This recommendation gives the following definition:

Historic and architectural (including vernacular) areas' shall be taken to mean any groups of buildings, structures and open spaces including archaeological and palaeontological sites, constituting human settlements in an urban or rural environment, the cohesion and value of which, from the archaeological, architectural, prehistoric, historic, aesthetic or socio-cultural point of view are recognized. (art. 1)

This is followed by the principles, including:

Every historic area and its surroundings should be considered in their totality as a coherent whole whose balance and specific nature depend on the fusion of the parts of which it is composed and which include human activities as much as the buildings, the spatial organization and the surroundings. All valid elements, including human activities, however modest, thus have a significance in relation to the whole which must not be disregarded. (art. 3)

The Recommendation draws particular attention to "modern urbanization", which often leads to considerable increase in the scale and density of buildings and the loss of the traditionally established visual integrity of the built environment. It would be necessary to "ensure that views from and to monuments and historic areas are not spoilt and that historic areas are integrated harmoniously into contemporary life". (art. 5) Another problem concerns the "growing universality of building techniques and architectural forms", which tend to create a uniform environment in all parts of the world. It is interesting to note that, wherever one goes, the periphery looks more or less the same, while the old historic centre really reflects the cultural diversity and therefore the universal value that has been stressed by UNESCO. In fact, from the cultural point of view, the universal value is not in the technical globalization of building forms and techniques, but rather in the culturally varied expressions that have been safeguarded in older historic areas. "This can contribute to the architectural enrichment of the cultural heritage of the world." (art. 6)

In terms of the proposed legal and administrative measures, the 1976 recommendation declares: "The application of an overall policy for safeguarding historic areas and their surroundings should be based on principles, which are <u>valid for the whole</u> of each country." (art. 9) Furthermore, it is stated that: "Public authorities as well as individuals <u>must be obliged</u> to comply with the measures for safeguarding. However, machinery for appeal against arbitrary or unjust decisions should be provided." (art. 13) As part of the practical measures, the 1976 recommendation proposes that "a list of historic areas and their surroundings to be protected should be drawn up at national, regional or local level". (art. 18) This has, in fact, become a standard procedure in many countries, starting from England (e.g. Bath), Germany (e.g. Romantische Strasse) and France (e.g. Strasbourg), each with somewhat different legal implications. The idea of "historic areas" has since been adopted in many other countries outside Europe. One version of this policy is to be seen in the "Main Road" projects in North America, which was based on the invitation of building owners and particularly the commerce to invest in the historicizing renovation of the house fronts along principal streets in urban centers. The idea of conservation areas is clearly visible in the policies adopted in the case of many World Heritage cities, including Olinda.

Historicized urban fabric

On the other hand, the Italian practice, developing from the 1950s, has favored a different approach. While staring from a debate on the notion of "*centro storico*" (historic

centre), the policies have since developed so that the entire territory has been perceived as historical. Therefore, the notion of "historic centre" has tended to loose its meaning within this overall context. The results of the Italian policies can be seen in the conservation of historic towns such as Bologna, Ferrara, Rome, and Venice. An interesting precedent can be seen in the urban master plan of Assisi, prepared by architect Astengo in the 1950s. Here, in addition to making a systematic analysis of the qualities of the historic centre, he also addresses the protection of the surrounding landscape as an essential part of the urban planning norms.

Since the 1970s, the political and socio-economic situations in the different parts of the world have been subject to drastic changes. Until thirty years ago, in many countries, planning continued being the responsibility of a central authority and the urban master plan could be legally adopted as a norm. Since then, however, the growing market-oriented strategies have favored the private sector at the expense of a central public authority. Gradually, there has been tendency to abandon urban master plans that used to regulate land-use, and prefer strategic planning often leading to decentralized urban growth. At the same time the various attraction points, such as airports, railway stations, or odd commercial or industrial complexes, have been new hubs for urbanized development. The existing legislation is often based on the earlier "modern movement principles", which favored central control. Unfortunately, this is no more effective as a basis for planning control in the current decentralized situation.

In the case of Rome, which has a long tradition in preparing master-plans, the earlier centralized plan (1964) has been consciously decentralized in the new plan of 2000, strengthening the functions and services that were made available in local centers. The new master plan provides the general framework, making the decentralization possible without too many disadvantages. In practice, this has meant that the eventual protective measures (in terms of planning regulations) would be applied to the entire municipal area rather than only to the "historic centre" as it had been in the past. In many other cases, instead, the legal and administrative framework does not necessarily guarantee a proper control mechanism. This is the case, for example, in several historic Central-European cities, such as Prague, Vilnius, Vienna, Cologne, and Budapest, where high-rise office buildings have been mushrooming within close range of protected areas or even inside. What happens is that the mayor or governor of the city can interpret the strategies in favor of ad-hoc economic and planning development, ignoring the historic qualities of the city. In fact, it is from this social, economic and political context that is born the current attempt to establish a new UNESCO recommendation concerning the "historic urban landscape".

Over these past fifty years of international doctrine, some documents, such as the Venice Charter have been much discussed and have certainly exercised a certain impact on the various national legislations and also on local conservation policies. One of the results of the Venice Charter in particular is represented by the numerous other charters that have taken it as a principle reference. These include the *Operational Guidelines for the Implementation of the World Heritage Convention*, the Australian *Burra Charter* (last edition of 1999) and the *Nara Document on Authenticity* (1994). Obviously, the interpretation of the charters is not always consistent with the intentions of the authors. In fact, rather than using them as a conscious guideline, charters are often utilized as a justification – "post mortem"! This is the case also with the Nara Document, which has often been taken as an excuse for even drastic changes to the historic fabric, justified by the continuity of the intangible aspects of the site, its "*spiritus loci*".

Generally speaking, and taking a look at the examples given above, we can observe that the international doctrine is more often the result rather than the incentive in terms of urban conservation. In some way, the 1970s has become a turning point in the development of conservation/development attitudes. Since then the political situation in various countries has changed from centrally controlled management towards market-oriented economy. This has had an impact on the protection of properties, which have been gradually taken over by the private sector. In this new situation, rather than being guided by a master plan, municipalities tend to develop following the logic of market economy. At the most, there is a strategic plan to orient development. Historic urban areas remain thus a testimony of earlier planning policies and as such obviously also a fundamental part of the cultural heritage. In the new situation, such areas have become vulnerable under the impact of irreversible change, and the existing conservation legislation and norms have not necessarily been adapted to face the new challenges.

3. Historic Urban Landscape

The notion of "historic urban landscape", in itself, is not necessarily new. The sight of an "urban landscape" has often been used "informally" as part of the description of a settlement, which has been built following the forms of the territory and thus becoming itself a landscape. Nevertheless, if and when such a notion will be formally adopted in an international recommendation, it is necessary to support it with clear definitions and policies required for its implementation.

One of the limitations in the existing international doctrine tends to be that it is mainly focused on architecture, even when related to historic urban areas. For example, the Council of Europe document of 1975, which introduced the concept of integrated conservation, is called the *European Charter of Architectural Heritage*. Similarly, even with a due emphasis on integrity including human functions, the 1976 UNESCO Recommendation still defines the notion in relation to "historic and architectural areas", which is taken to mean "any *groups of buildings*, structures and open spaces". Similarly, the World Heritage Convention places historic urban areas under the category of *groups of buildings*. What we are missing here are the notions that would make an urban area *urban* beyond architecture (if possible). It could be the same as taking a landscape beyond the trees, rocks and waterways, and trying to understand its dynamics as a *landscape*.

Urban dynamics

In this regard, it is interesting to take note of the principles expressed in the document drafted by the first ICOMOS Brazilian seminar about the preservation and revitalization of historic centers, Itaipava 1987.

> I.   *Urban historical sites may be considered as those spaces where manifold evidences of the city's cultural production concentrate. They are to be circumscribed rather in terms of their operational value as "critical areas" than in opposition to the city's non-historical places, since <u>the city in its totality is a historical entity</u>.*
>
> II.   *Urban historical sites are part of a wider totality, comprising the natural and the built environment and the everyday living experience of their dwellers as well. Within this wider space, enriched with values of remote or recent origin and permanently undergoing a <u>dynamic process of successive transformations</u>, new urban spaces may be considered as environmental evidences in their formative stages.*

> *III.   As a socially produced cultural expression the city adds rather than subtracts. <u>Built space, thus, is the physical result of a social productive process</u>. Its replacement is not justified unless its socio-cultural potentialities are proven exhausted. Evaluation standards for replacement convenience should take into account the socio-cultural costs of the new environment.*

Here, the city is defined in its totality as a historical entity, but it is also the result of social productive processes. Urban areas are seen as part of a wider space, which is permanently undergoing a dynamic process of successive transformations. The 1976 Recommendation declared that "Every historic area and its surroundings should be considered in their totality as a *coherent whole* whose balance and specific nature depend on the fusion of the parts of which it is composed and which include human activities as much as the buildings, the spatial organization and the surroundings." While one can appreciate the intention of the authors of this text, it is however necessary to stress that one of the characteristics of historic urban areas is their *intrinsic heterogeneity*. In this aspect, we also have the support of the ICOMOS Charter for the Conservation of Historic Towns and Urban Areas (1987), which declares: "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*." (art. 1)

Intrinsic diversity of historic areas

Considering that urban areas are the result of long processes, often responding to changing situations over time, historic urban areas reflect cultural specificities and diversities of the people who have built them and who have lived in them. This does not mean that there could not be homogenous areas within the diversity. This can be the case of relatively limited townships or urban areas that correspond to the continuity of the same policies or have been built to the same plan. The older and larger urban areas would, however, generally be better characterized in their diversity and heterogeneity rather than harmony. The typological and morphological analyses that were introduced in the 1970s also had the scope to define the specificity of each area in order to adopt the proper policies and strategies. This is certainly intended in the 1976 Recommendation, when it proposes to undertake "a survey of the area as a whole, including an analysis of its spatial evolution", as well as noting that "surveys of social, economic, cultural and technical data and structures and of the wider urban or regional context are necessary". (art. 19-20) In cases where an urban master plan and relevant planning norms do exist, the analysis is relatively straightforward. Where no plans have survived, it is necessary to undertake a systematic architectural survey of the built areas and open spaces in order to identify the underlying regulations (often unwritten) and in order to have a proper reference for the development of planning tools that take into account the specific character and requirements of each area.

Etymology of the notion of "urban"

When attempting to define the notion of "historic urban landscape", we should be able to clearly delimit such as a territory. Does such an urban landscape cover all the administrative area of a town or city? Is it limited to what could be defined and eventually protected as *historic*? Does it encompass the surroundings? These are some of the questions that can be posed.

Ildefonso Cerdá y Suñer, known for his urban plan for Barcelona, is generally given as the originator of the term *urbanism*. In fact, Cerdá claims this himself in his search for a

proper term for the type work that he was doing when planning a town or city. He opted for the Latin term *urbs*, referred to the word *urbum* (plough), and thus for the legendary operation by the Romans to use a plough to trace the limits of a settlement (using sacred bulls). Tracing this boundary, one *urbanized* an area in the sense that it was delimited from a previously open and free field (furrow) into an area to be constructed. Urbanism would thus mean planning related to the urban area, excluding the open field. On the other hand, an urban area will obviously contain open spaces, which are in a certain way *urbanized*, i.e. have become part of the urban settlement (Cerdá, 1999).

Cerdá also discusses other terms such as *city* and *town*, which are often given as synonyms. It can be noted however that the word "town" (Old English: *tun*) used to mean a built enclosure. Later it was generally distinguished from a *village*, which instead derives from *villa* (Italian for country house) and indicates an inhabited place smaller than a town. City is referred to Latin *civis*, meaning townsman, the inhabitant of an urban settlement. In medieval usage, a city (deriving from *civitas*) was a cathedral town thus distinguished from an "ordinary" town. The bishop (archbishop) who ruled over other bishops was metropolitan. The seat of the metropolitan was thus called *metropolis*. Obviously, in recent times, this word has taken a more generic meaning of very extensive urban areas or areas that enclose the neighboring municipalities in the surroundings of large cities.

Over the centuries, there has always been a clear distinction between the enclosed urban area, *urbs* (in Greece, *polis*), and the surrounding rural area, the open territory. This relationship started changing as a result of the industrialization and the population increase in the late 19th century. The areas that were built mainly for residential purposes at the outskirts of existing urban areas were called *suburban*. These were a sort of go-between, not being rural but without the services that characterized urban centers. The construction of suburban areas has continued until the present. Over time, however, the suburban areas have been provided with a number of services and have become much appreciated for their residential qualities.

Settings of urban areas

One of the critical problems now faced especially around large metropolitan areas is exactly the fate of their "setting". Such areas used to be agricultural, contributing to the sustenance of the urban population. They were characterized by small rural settlements, often even of historic value, and in any case forming a cultural landscape that reflected the local history and cultural identity. Particularly in the second half of the 20th century, the increasingly rapid expansion of metropolitan areas has increased the land value. Thus the areas outside urbanized land have become subject to development pressures often without proper planning. As a result, farming land has been transformed into industrial or storage use or similar, and the traditional settlements have been transformed loosing their rural nature and taking a more suburban character. Such informal *eating* into the open land could also result in *favelas*, built to low quality and not providing the necessary services. (Even so, voices are heard defending the human qualities that merit due attention in such settlements.)

The transition areas were taken as a major theme for the 2005 ICOMOS General Assembly in China, where these problems have become urgent due to the rapid economic development now taking place especially in metropolitan areas, such as Shanghai. The conference adopted the *Xi'an Declaration on the Conservation of the Setting of Heritage Structures, Sites and Areas,* where the setting of a heritage area is defined as "the immediate and extended environment that is part of, or contributes to, its significance and

distinctive character". The Declaration notes that historic areas "also derive their significance and distinctive character from their meaningful relationships with their physical, visual, spiritual and other cultural context and settings". Therefore, it is necessary to develop proper planning tools and strategies for the conservation and management of areas forming the setting.

What is historic?

The term "history", in English, has been defined in two senses: a) the temporal progression of large-scale human events and actions; b) the discipline or inquiry in which knowledge of the human past is acquired or sought. Philosophy of history can be placed under either of these, and would thus be called *speculative* when examining the progression, or *critical*, i.e. the epistemology of historical knowledge, when searching for knowledge of the human past. "Historic" would thus be understood not just as something being old, but rather as something that is significant as a source for the discipline of history, i.e. something that can be associated with a particular meaning and eventually value. When dealing with cultural heritage, the term "historic" would thus become a qualifier as heritage.

Urban areas in their great variety are the product of on-going processes. As such, they necessarily reflect the intentions and needs emerging in the different periods as well as taking into account the existing situations, environmental, economic and socio-cultural. While the resulting fabric would reflect the diversity of human creative spirit, it would also enclose a form of continuity that gives a particular identity to each area. Being considered *historic* would not be automatic, but rather the result of continuity in appreciation over time. Historic urban areas are thus areas of which the historicity has been recognized by the community concerned. This means that they are areas that would merit special care and even protection in order monitor and control any changes that would undermine the recognized qualities.

Landscape and Urban Landscape

Modern representation of landscape goes back to Dutch painting in the sixteenth and seventeenth centuries (*landskip, landschap, landscap*, from Dutch), meaning "picture representing inland scenery" (distinguished from "seascape"). In the seventeenth and eighteenth centuries, the English landscape garden was then designed as a symbolic representation of ancient myths, referring to painted classical landscapes and poetry. In 1962, UNESCO adopted the *Recommendation Concerning the Safeguarding of the Beauty and Character of Landscapes and Sites* (1962), which provided broad indications for the definition of protected landscapes and sites, emphasizing that:

> *Protection should not be limited to natural landscapes and sites, but should also extend to landscapes and sites whose formation is due wholly or in part to the work of man. Thus, special provisions should be made to ensure the safeguarding of certain urban landscapes and sites which are, in general, the most threatened, especially by building operations and land speculation. Special protection should be accorded to the approaches to monuments. (art. 5)*

This Recommendation noted that measures taken for the safeguard of landscapes and sites should be both 'preventive and corrective'. 'Corrective measures should be aimed at repairing the damage caused to landscapes and sites and, as far as possible, restoring them to their original condition.' (art. 10) Considering the formulation of the policies at a distance of some 40 years, it seems that, in the 1960s, landscape was still

strongly associated with the idea of identifying it with a 'picture'. It was a static object, and consequently, it was expected to be treated and restored as if it were a 'monument'.

These concepts have been subject to a further evolution over the subsequent decades and particularly from the 1970s, when the ecological concern for the environment became more pressing. As a result, the 1995 Council of Europe *Recommendation on the Integrated Conservation of Cultural Landscape Areas as Part of Landscape Policies* differed from the 1962 UNESCO Recommendation in some essential aspects. Landscape was defined as a 'formal expression of the numerous relationships existing in a given period between the individual or a society and a topographically defined territory, the appearance of which is the result of the action, over time, of natural and human factors and of a combination of both'. (art. 1) Rather than being a static object, the environment was seen as a "dynamic system comprising natural and cultural elements interacting at a given time and place which is liable to have a direct or indirect, immediate or long-term effect on living beings, human communities and heritage in general". As a result, there was need for a comprehensive policy of protection and management of the whole landscape, taking into account 'the cultural, aesthetic, ecological, economic and social interests of the territory concerned'.

In 1992, the World Heritage Committee decided to introduce the notion of cultural landscape in the Operational Guidelines (1994 edition). Here, cultural landscapes are defined as "combined works of nature and of man", and they are seen as *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"*. (2005: art. 47) Cultural landscapes can be designed, organically evolved or associative, and can include urban areas and settlements. According to the proposed categories, urban areas could be understood either as designed or as organically evolved. The latter category could be further referred to an area that has stopped developing sometime in the past ("relict landscape"), or an area that is still living and subject to changes. It is noted that a cultural landscape is not only a "picture". It is based on a complex set of criteria, cultural, economic, social, etc. Therefore, the aesthetics are only one dimension, and often not the most important. Instead, it is a territory that has archaeological and historical stratigraphy, and consists of the contributions of the different generations as well as of the impact of environmental changes (climate, vegetation, etc.).

How to meet the condition of integrity?

Another key issue in the identification and definition of historic urban landscapes should certainly be its integrity. Integrity must necessarily be related to the qualities that are valued in a particular property. The social-functional integrity of a place is referred to the identification of the functions and processes on which its development over time has been based, such as those associated with interaction in society, spiritual responses, utilisation of natural resources, and movements of peoples. The spatial identification of the elements that document such functions and processes helps to define the structural integrity of the place, referring to what has survived from its evolution over time. These elements provide testimony to the creative response and continuity in building the structures and give sense to the spatial-environmental whole of the area. Visual integrity, instead, helps to define the aesthetic aspects represented by the area. It is on such dimensions of integrity that one can base the development of a system of management so as to guarantee that the associated values would not be undermined. In many cases, it is not enough to focus on the limited World Heritage area, but rather take into account a vaster territorial context. This was the case, for example, in the Valley of Noto, in Sicily,

where the eight historic urban areas were integrated into a territorial management master plan. The purpose here was to place emphasis on the economic and functional aspects of the regional economy and relevant land use, which could not be suitably managed if only limited to the nominated World Heritage sites.

What are the limits of an historic urban landscape?

Taking into account the different factors discussed above, we can try to identify issues that should be included in the definition of an historic urban landscape. While recognizing that each area has its own characteristic components, i.e. the structures, open spaces, functions, etc., we should be looking at what characterizes an historic urban landscape as an "urban landscape". This means taking into account the ways in which the built and open spaces have evolved over time, i.e. what have been and are the dynamics of evolution and the resulting patterns or marks left in the area? What in an urban landscape can be considered to have been historicized based on shared recognition. Generally, an urban landscape is also a "living" entity, responding to the needs of the population and the forces of the market. Furthermore, an urban area has a functional and visual relationship with its setting, which contributes to its meaning, significance and values. This notion should be further elaborated in the requirement of "buffer zones".

Considering that, in general language, words may have many different meanings, which can change over time, it is useful to agree on selected terms that are associated each with a precise meaning thus forming the terminology for the field concerned. Thus, we could consider "environment" as a generic term for our living territory. Instead, "landscape" could be defined as a visual perception of specific qualities in a particular land area, including especially aesthetics (seen in views and approaches) as well as the geomorphology of the territory. Taking into account the definitions already given for the notion of "Cultural landscape" this could be defined differently from an "ordinary" landscape, as a living territory characterized by evolution over time. The essence in the definition of cultural landscape is to pay attention to its layers of history and evolution over time, the traces left by the different generations in response to the challenges offered by the natural environment. "Urban landscape" can be seen as the built-antropic territory, which is characterized by on-going processes. Its management needs understanding of the causes of dynamics of development. Passing then to the "historic urban landscape", this can be seen as recognition of specified qualities in historically perceived urban territories or sites, where the change can range from static to dynamic. In the management it is essential to maintain the specificity and "historicized" qualities of such areas, which should be recognized for their social and cultural as well as physical characteristics.

One can say that history builds the town. The different periods and cultures have established diverse criteria that are reflected in the present day reality. From very early on, urban areas were planned using often a regular grid. Khorsabad had such a grid, and so had various other urban settlements in the Ancient Middle East, in Egypt or in ancient Persia (e.g. Persepolis), as well as those associated with the Hippocrates of Chios (e.g. Miletus), the Roman world, or Teotihuacan in Mexico. Another form of urban development was based on "organic" growth, resulting in an apparently irregular pattern, such as those of European medieval or many Islamic towns. In the antiquity and through the Middle Ages, urban settlements were generally circumscribed and surrounded with fortifications, thus making a clear distinction from the rural open territory. Planning grids could however be taken into the territory even outside the core area, giving a structure to an entire region. This was the case for example of the Roman *centuriation*, a technique for large-scale land partition, where one side of the square was 710m.

From the fifteenth century onwards, urban planning gradually enters into the modern era, where urban areas start extending into the territory without strict limits. In the seventeenth and eighteenth centuries, many cities were designed as the focal points of large-scale vistas and axial planning. In many cases, European cities could be integrated with designed landscape layouts, such as Hannover or Aranjuez cultural landscape. In the nineteenth century, the American model of grid plans, such as those of Washington DC in USA (L'Enfant, 1791), Cienfuegos in Cuba (1819), or Barcelona (Cerdá, 1859), provided a structure for endless development. With the continuation of urban growth, large cities have in certain cases grown into megalopolises involving populations that reach tens of millions. Examples could be found in South-east China, such as Shanghai, in Mexico the Mexico City, or even in Europe, the urban ring of the Netherlands. There are obviously many theories and hypotheses for urban growth in the future, which we do not want to enter here.

What this brief survey gives us is a canvas with lots of variables. In the modern world, urban landscape can extend to tens or even hundreds of kilometers, including several administrative areas. Whether we should consider all this built landscape "historic" is an issue for reflection. Until now, the international conservation charters and recommendations have had an impact in relatively limited areas. Even the European 1995 recommendation regarding the protection of cultural landscape areas tends to put fairly strict limits to the implementation. Nevertheless, due to the expansion of the notion of historicized territory and the appreciation of even recently built areas, it is worth having another look at this issue. At the same time, the larger areas are being handled the more generic or "flexible" the proposed guidelines would necessarily be. We can note that, for example, in the 2000 master plan of Rome, protective measures can be extended to practically all built areas of whatever date, mainly subject to their quality and characteristics.

Another question concerns the implementation of international guidelines and recommendations. So far, the charters have been mainly known to conservation professionals, who however are rarely involved in the decision-making process regarding planning and development of larger areas. To who is the international doctrine addressed? Who are the stakeholders interested in taking note of such proposals and able to implement them? In principle, the answer should be: the public authority. However, the systems and tools of planning control would seem to vary greatly from country to country. In some, control is in the hands of a centralized authority, in others it is the responsibility of local councils. At the same time, the private sector, including multinational companies and local land owners, is having an increasing role in what actually happens on the ground. Furthermore, the physical condition of vast built areas makes it economically difficult if not impossible to intervene by a public authority. Thus, in today's global society the initiative tends to remain in the private sector, who often have the financial means and can justify any intervention on economic grounds without much attention on the overall impact of the projects.

Learning from the experience of the World Heritage Convention, one can note that much advance has been possible due to the interest raised by the World Heritage List. As a result, many governments have taken measures to establish protective measures and management systems and plans for areas that earlier were not even thought about. The identification of areas that could be defined as "historic" within the urbanized landscape (even in cases of vast metropolitan areas or megalopolises) could give a useful support for the management regime of areas with recognized qualities. In order obtain concrete results, international charters should be sustained by clear education and training

incentives to be integrated into the career structure of those involved in the decision making.

It is useful to take a look at the doctrine defined in international principles and how this relates to the theory of restoration. We can say that the principles are the outcome of a reflection based on practice, and therefore they become documentary evidence for the cultural evolution that has taken place over the years. Theory, instead, provides a description of the methodology that is required in the decision-making process aiming at the conservation and restoration of heritage resources. In fact, the principles and the theory should be seen as complementary. Within the process of conservation, there are many issues that need to be taken into account, and the decisions may vary according to the diverse situations and the character of the resource concerned and its cultural, social, economic and physical context. The questions can range from keeping the historical material, and eventually replacing like with like, to recognizing the essential meaning of architecture and urban ensembles as based on the recognition of the functional schemes and dynamic processes that reflect perceptions and changing uses. In the latter case, obviously, the challenge lies in the monitoring and control mechanisms that can be implemented. Another fundamental requirement will be the involvement of all stakeholders in the decision-making process, which should be based on a learning process and building of attitudes. "Restoration" can be seen as a historical-critical approach to existing territory, based on the recognition and valorization of its qualities. "Conservation", instead, can be understood as the methodology based on communication and learning processes aiming to prolong the life and clarify the messages associated with heritage resources.

Taking into account the evolution of conservation philosophy and policy and the changes in the physical reality of which our heritage is part, we believe that the notion of historic urban landscape can become another paradigm on the cultural route. It has already been recognized that conservation is a fundamental part of modern life and the management of our living space. Historic urban landscape is a new challenge that can provide us fresh guidance and that may well lead to the revision of the legal and administrative frameworks. In any case, the conservation of our heritage, material and immaterial, is necessarily based on communication and building up of attitudes. It requires a learning process and informed involvement of all stakeholders, public and private.

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Appendix

Statement of Significance

The ICOMOS study on the *World Heritage List: Filling the Gaps – an Action Plan for the Future* (2005), generally called the "Gap Report", proposes three frameworks for the identification of issues of universal nature that are common to humanity, and therefore potential references for the verification of the outstanding universal value. The study was initiated with the typological framework analysis based on the properties so far inscribed or proposed to be inscribed on the World Heritage List. Secondly, an outline was prepared on the chronological and regional framework, which can help in identifying the time and place of each property, i.e. verifying the relevant cultural periods and the cultural region, within which the nominated property should be understood. The third

framework refers to the themes or issues of universal nature in the sense intended in the conclusions of the World Heritage Global Strategy Meeting in Amsterdam in 1998: "*The requirement of outstanding universal value characterizing cultural and natural heritage should be interpreted as an outstanding response to issues of universal nature common to or addressed by all human cultures*". In relation to culture this is reflected in *human creativity* and *resulting cultural diversity*. The notion of cultural diversity has been expressed in the *Nara Document on Authenticity* as one of the fundamental issues for the understanding of the true significance of a place. The Amsterdam meeting however also stresses that "identification of the outstanding universal value of heritage sites can only be made through systematic thematic studies, based on scientific research according to themes common to different regions or areas".

Having in mind the definition of the Amsterdam conference we should first identify what are the possible universal themes that could relate to a particular site. As a consequence, it is necessary to respond to specific questions, such as:

- Why was this place developed in the first place? E.g. a place at the mouth of a river could have been established because it was a convenient trading place.

- What functions developed on this site over time? E.g. a site may have become a trading place, but it also required a system of defence, a system of providing food, and possibly a system of developing some handicrafts or industry.

- What spiritual or other cultural functions were associated with the place over time? E.g. the historic town of Assisi has been associated with the significant events that led to the creation of the Franciscan Order by St. Francis.

- What is the principal story or the principal stories of the place? E.g. in the cases of Assisi, the Vatican, or Mecca, the spiritual meaning could be taken as central.

The above questions should give the possibility to identify the appropriate themes that indicate the meaning or function of the place in its history. One can thus identify the principal reasons that have prompted the establishment and the development of a place. The main purpose here is to identify what the place has signified over time, and/or what it now signifies. The question is: What is it a sign about? What is its meaning? As guidance to the definition of the themes, it will be useful to take note of the themes that ICOMOS identified in the 2005 analysis. This thematic framework includes the following principal headings, but obviously the question is about an open framework, and further subheadings could be added to the list:

THEMATIC FRAMEWORK

1) Expressions of society

      Interacting and communicating

      Cultural and political associations

      Developing knowledge

2) Creative Responses and Continuity

      Domestic habitat

      Religious and commemorative architecture

      Pyramids, obelisks, minarets, belfries

      Castles, palaces, residences

      Governmental and public buildings

Educational and public buildings

Recreational architecture

Agricultural architecture

Commercial architecture

Industrial architecture

Military architecture

Transport structures

Cave dwellings

Rock art and monumental painting

Monumental sculpture, dolmens

Equipping historic buildings

Rural settlements

Urban settlements

Sacred sites

Cultural landscape

3) Spiritual responses (religions)

Ancient and indigenous belief systems

Hinduism and related religions

Buddhism

Confucianism, Taoism, Shintoism

Judaism

Christianity

Islam

4) Utilising Natural Resources

Agriculture and food production

Mining and quarrying

Manufacturing

5) Movement of Peoples

Migration

Colonisation

Nomadism and Transhumance

Cultural routes

Systems of transportation

6) Developing Technologies

Converting and utilizing energy

Processing information and communicating

Technology in urban community

Authenticity: Modern thinkers, from Nietzsche to Heidegger have referred to the idea of a *creative process*, which gives specificity to each object. In the words of Prof. Paul Philippot, Director Emeritus of ICCROM, *the authenticity of a work of art is a measure of truthfulness of the internal unity of the creative process and the physical realization of the work, and the effects of its passage through historic time*. A work produced through such a creative process differs from a work produced as a replica. The artistic or creative value of particular works can be assessed higher than of others. As Heidegger has said, the truth of such a work is more 'luminous'. Documentary evidence and authentication of sources of information refer to the second aspect of being authentic. This is most relevant in the historical and archaeological verification of a particular heritage resource. The test of authenticity should not be limited to one aspect ignoring another. Rather, it should be based on a critical examination of all the relevant aspects aiming at a balanced judgment as a synthesis. The social context and living traditions form the third aspect of authenticity, and have been given increasing attention particularly in multicultural communities, such as Canada (e.g., see writings by the Canadian philosopher Charles Taylor). In traditional social-cultural context, particular consideration is given to the immaterial dimension of heritage, the know-how and skills, as stressed in the UNESCO convention on intangible heritage and some national laws.

The condition of "integrity": In relation to natural heritage sites, the concept of a biotope is defined in an environmentally uniform region referring to the conditions and the flora and fauna which live there. Within a particular habitat, the different organisms living together interact forming an ecosystem with its functional integrity. In reference to the built environment, the issue of integrity is relevant especially in relation to urban and regional areas, but also to historic buildings and even archaeological sites (Venice Charter, articles 6 to 14). The issue of integrity is important as a reference to defining the limits of restoration and re-integration of artistic or historic objects. Functional integrity is particularly obvious in the case of an industrial site, such as factory, but it is equally relevant in urban fabric. It provides a reference for understanding the functional relationship of the elements forming the built environment. Structural integrity instead identifies the elements that survive in today's historical condition. Even a relict cultural landscape can be defined in terms of its historical integrity. The issue of functional integrity is most relevant to living urban or rural areas, the planning and management of their present-day use. Visual integrity is the result of processes change and growth. In order to properly appreciate the existing reality, it is useful to relate to the functions and the historical-structural integrity of the place.

The concept of value, in the cultural context, can be seen as the social-cultural association of qualities to things or places. From this results that values can be interpreted as constructs. Traditionally, values were generated in a community over generations and learnt by newborn members from the elders. In modern society, the references have been broadened due to wider information and communication networks and due to increasing globalization. However, values still result from learning processes. In order to understand whether genuine and true, value perceptions need to be referred to the relative cultural-historical context. It is in this sense that we can speak of relativity of values. It does not mean arbitrary relativity dependent on the wishes and different view points of individuals. Rather, in the context of defining the significance of cultural heritage, relativity of values should be interpreted as the relative importance or relative worth associated with a particular site as compared with other sites elsewhere having comparable characteristics. This would generally mean reference to the relevant cultural region, and in certain cases, such as the case of modern architecture, reference should be seen in the global context.

After having identified the meaning of the site and the relevant themes of universal nature associated with it, one can thus enquire about the *relative value* of the related expressions seen within the cultural region and period that is represented by the selected place:

- What have been the creative-innovative responses to the above functions and where are these expressed? E.g. description of the architectural or artistic design, including relevant typology and morphology. In Assisi, considering the principal story related to the life and work of St. Francis and the Franciscan Order, the question is about 13th and 14th centuries. Here, we can find the paintings by Giotto and Cimabue, as well as the development of the Franciscan basilica building type.

- What are the cultures or cultural regions and the timeframes that are represented by the creative responses? E.g. the issues related to the artistic and spiritual significance of Assisi should here be compared within the relative culture and cultural region.

- What are the elements in the place that together form its social-functional and historical-structural integrity? E.g. in the case of Assisi, the nomination came to enclose the entire cultural landscape which not only included the principal elements related to St. Francis and his Order, but also the historic land-use of the place with the medieval structures and the connecting road network.

- Are these elements true and historically verified responses to the identified functions? i.e. what is the authenticity of the place?

- What are the boundaries of the proposed site? Is it a monument, group of buildings or site? Is it a historic town centre? Is it a cultural landscape? Is it a serial nomination?

To recapitulate, in order to prepare the *Statement of Significance* (SOS) for a World Heritage nomination, it is necessary to follow a clear methodology. The above questions can help to clarify the process. It is noted that the word 'significance' can have various meanings. It stems from the word 'sign', which can be interpreted as "a mark or device having some special meaning or import attached to it". (Oxford English Dictionary) In philosophy, a 'sign' is associated with semiotics and the study of the relations between signs and their meanings. It can also be defined as any information carrying entity. Significance should first of all be referred to the meaning of a property. As indicated in the above questions, the purpose is to initiate the enquiry by identifying the meaning of the place, i.e. what it signifies, what is it a sign for; what information does it carry? We can identify the most relevant out of the various themes exemplified in the ICOMOS Gap Report (listed above). The purpose is to understand what story a place can tell us.

A '*Thematic Study*" is useful for the identification of sites that represent a particular theme. ICOMOS has so far prepared several thematic studies, such as those on historic canals, bridges, railways, antique theatres, fossil hominid sites, rock art, and vineyards. These are available on the Internet. Thematic studies are generally made when a need emerges regarding problematic nominations.

When a nomination is prepared, it is necessary to undertake a "*Comparative Study*" in order to compare the property concerned with others that have been identified through the Thematic Study and to verify its representivity. Based on a critical examination of all relevant information, a monument or site can thus be justified, for example, to be the first or the most advanced example of its kind.

The Statement of Significance justifying the outstanding universal value of a property can thus be defined as a proposition, resulting from an evaluation process, which should comprise the following steps:

1. *Meaning of the site:* Identifying the themes of universal nature, in reference to which the place was established and has developed, i.e. what is the meaning of the site, what does it signify, what is its story? (e.g.: trading, farming, defence, symbol, spirituality) (See: thematic framework in ICOMOS Gap Report)

2. *Integrity:* Identifying the tangible/material elements and the intangible/cultural issues that express or represent the relevant themes in the property, i.e. verify the social-functional, historical-structural as well as visual-aesthetic integrity of the place.

3. *Authenticity:* Verifying (testing) the historical and social-cultural authenticity (truthfulness) of the elements that define the integrity of the property.

4. *Thematic study:* Identifying and describing the relevant cultural-historical or functional-historical contexts in thematic studies, which should aim at defining the relevant cultural region(s), where comparable properties are found. In the case of modern movement in architecture, such thematic studies would need to be sufficiently holistic considering the wide diffusion of modernity.

5. *Comparative study:* Preparing a comparative study on the basis of the above analyses, i.e. verifying the **relative value(s)** of a place as compared to other places that have similar or comparable characteristics or features. (see: chronological-regional framework in ICOMOS Gap Report)

6. *Category of property:* Deciding about the category of the property (monument, group of buildings or site), and whether it should be a single or a serial nomination. (See typological framework in ICOMOS Gap Report)

7. *Statement of Significance:* A synthetic statement concerning the meaning of the site, i.e. the story (stories) it is associated with, and its relative importance or value in the appropriate context.

8. *World Heritage criteria:* Applying the World Heritage criteria to the themes and features represented by the property; i.e. how the nominated property meets one or more of these criteria.

9. *Protection and Management*

10. *Statement of World Heritage significance*

From the above, one can conclude that the statement of significance should not only refer to values, but should clearly indicate the meaning and truthfulness of the site. The significance should also take into account the definition of the boundaries and the category of the site nominated. Taking note of the definitions given in the 2005 edition of the Operational Guidelines, we can appreciate that the outstanding universal value (OUV) is not a value in the strict sense. First of all, it cannot be simply decided on the basis of national or local values. It is only by comparing similar qualities or characteristics that one can provide the necessary elements to justify the OUV of a property. The outstanding universal value is the primary condition for a nominated property to satisfy in order to be eligible to the World Heritage List. It is a construct based on research and one that should also meet specific administrative requirements. In fact, according to the 2005 edition of the Operational Guidelines for the Implementation of the World Heritage Convention, "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." (par. 78) Following from this statement, to satisfy the requirement of outstanding universal value also means that a property must comply with the other administrative requirements, which were taken as additional conditions in the previous editions of these guidelines.

CONSIDERATIONS ON AUTHENTICITY AND INTEGRITY IN WORLD HERITAGE CONTEXT

Dr. Jukka Jokilehto

Abstract

The scope of this paper is to examine the relationship of universality and relativity in the concept of truth and in value judgements in different cultural contexts. Reference is made to traditional and modern philosophies, as well as the international conservation doctrine. It is observed that while the sources of information may vary from one culture to another and over time, the notion of truth appears to have universal relativity. This is important in the notion of authenticity considering that it is fundamentally understood as being true to oneself. The paper further explores the verification of authenticity and the definition of integrity in different types of cultural heritage sites, exemplified in selected properties nominated for inclusion to the World Heritage List.

Key words: authenticity, integrity, World Heritage List, heritage values

1.0 Universality vs. Diversity

The World Heritage List is based on the definition of the **outstanding universal value** (OUV). In defining cultural heritage, the World Heritage Convention notes that "monuments" and "groups of buildings" should have outstanding universal value (OUV) from the point of view of **history, art**, or **science**, while the "sites" are also seen from the **ethnological** or **anthropological** points of view. The *Operational Guidelines for the Implementation of the World Heritage Convention* (2005) indicate that:

> *"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." (art. 49)*

Furthermore, there are ten criteria defining OUV in the Operational Guidelines (art. 77). The first six refer to cultural heritage that can represent: i) a masterpiece, ii) important interchange of values, iii) exceptional testimony to a civilisation, iv) a type of construction or site, v) traditional land-use, and/or vi) association with traditions or beliefs. The criteria from vii to x refer to natural heritage.

The above definition of OUV may require some further clarification especially in what is or what should be intended with the notions: '**exceptional'**, '**national boundaries'**, and '**common importance for all humanity'**. These notions should obviously not be taken literally considering that national boundaries can enclose extremely variable territories, they are subject to political changes over time, and they rarely coincide with the boundaries of culturally coherent regions. Furthermore, the exceptionality of a property does not mean that it should, for this reason alone, have outstanding universal value. Even the notion of 'common importance to humanity' may require fundamental thinking

and understanding what is seen as universally shared values. In fact, a clearer definition is provided in the report of the World Heritage strategy meeting in Amsterdam in 1998:

> *"The requirement of outstanding universal value characterising cultural and natural heritage should be interpreted as an outstanding response to issues of universal nature common to or addressed by all human cultures. In relation to natural heritage, such issues are seen in bio-geographical diversity; in relation to culture in human creativity and resulting cultural diversity." (v. Droste, et al. 1998, p. 221)*

So, it is more the issues or themes that are of universal nature and common to all humanity, while the heritage itself is defined as a response characterised by its creative diversity. This is clearly also indicated in the *UNESCO Declaration of the cultural diversity* where heritage is again seen as a result of the human **creative process**:

> *'Culture takes diverse forms across time and space. This diversity is embodied in the **uniqueness and plurality of the identities** of the groups and societies making up humankind.' (art. 1) … 'Creation draws on the roots of cultural tradition, but flourishes in contact with other cultures. For this reason, heritage in all its forms must be preserved, enhanced and handed on to future generations as a record of human experience and aspirations, so as to **foster creativity in all its diversity and to inspire genuine dialogue among cultures**.' (art. 7)*

The ICOMOS report on the representation of the World Heritage List (The "Gap Report" presented to the World Heritage Committee in 2004) is built on the recognition of cultural diversity and the attempt to identify issues of universal nature, related to anthropological, historical, aesthetic and scientific views. The critical judgement for the identification of the outstanding universal value of a particular property should be seen in relation to two distinct issues, i.e. that:

- the adequacy (or extent) of the relevant "cultural region" or "area of human knowledge" fully justify representation on the World Heritage List;

- the "intrinsic quality" and cultural-historical genuineness of the nominated property meet the expected level of excellence.

The fundamental conditions for the qualification of cultural sites to the World Heritage List include the requirement to satisfy the notions of **authenticity** and **integrity**. The List is also subject to **heritage diversity**, and the trend in the past several years has been towards larger areas of nominated properties, particularly cultural landscapes or historic towns. This increasing attention to a more **holistic approach** in the definition of the sites thus necessarily emphasises the importance of the identification of the integrity of a site.

2.0 Philosophical issues

Over the centuries, **philosophers** have been discussing concepts such as **continuity and change**, and the notion of **truth**, all of them relevant also when touching the **notion of authenticity**. A well-known case is the debate about the ship of Theseus, as told by Plutarch (*Vita Thesei*, 22-23). The ship was kept by the Athenians as a memorial for a long time. Due to gradual replacement of rotten planks, the ship retained its original form but its material was entirely renewed. The question was then raised: was it still the ship of Theseus? In modern times, the issue has been posed as two alternative problems. In the example just given, we can think that the gradual renovation over time still provided a *spatio-temporal continuity* for the ship, thus retaining a certain identity. In another alternative, one could imagine that the materials that were removed would have been re-assembled elsewhere in another ship. What would then be the significance of this other

ship? Concerning historic structures, one can also propose an additional question on the difference between gradual renovation of an ancient monument (which is often the case with old buildings) compared with the reconstruction of a building or part of a building in a particular moment in time (e.g. Frauenkirche in Dresden).

In ancient Greece, the concept of *mimesis* played a central role in the perceptions of Plato and Aristotle regarding poetry, drama, painting, sculpture or music. Even architecture and town planning were referred to the same concept. *Mimesis* can be translated as: 'imitation' as well as 'representation'. Plato proposed the concept of *forms* or *ideas*, which were eternal, changeless and incorporeal. The purpose of the artist was to imitate or in fact represent these forms in our reality. Vitruvius, on the other hand, even speaks of architecture representing forms that could be found in nature. Through the philosophy of Plotinus, who lived in the 3rd century AD, these concepts were taken over by Renaissance artists, such as Raphael. In the 17th century, Bellori interpreted the artistic 'idea' leading the way towards the 'ideal'. He wrote: "*originata dalla natura supera l'origine e fassi originale dell'arte'* (originating from nature, overcomes its origin and becomes the origin of art). (Bellori, 1976: 14; see also Panofsky, 1968: 105) When discussing the issue of mimesis, even if often interpreted as imitation, it has not meant merely copying but rather a learning process imitating the ancients. It was a form of representation or re-representation of ideas and themes, a response that could guarantee continuity as well as elaborating and creating new of forms.

In a recent article, Dr. Seung-Jim Chung from Korea has claimed that the Venice Charter is too strongly based on European cultural values, and "thus not sufficiently universal to be unequivocally deployed in societies outside Europe and European based cultures". He argues that the European values emphasise mainly visual beauty, while East Asian societies determine their values in relation to the spiritual and naturalistic sensibilities. (2005: 68-69) It may well be true that Europeans have often given serious attention to aesthetics, but this is by no means their monopoly. We can take note, for example, that the Japanese aesthetics have been subject to much research (e.g. Marra, 1999), and in fact the Japanese and Chinese art philosophies have long had an important influence in the world, including European art. A western scholar having studied Japanese aesthetics, Bruno Deschênes, has concluded:

> "My understanding is that for Japanese, a good artist is one who knows how to structure the flow of time, which is expressed through his or her artistic and aesthetic grasp of ma [space, time], using jo-ha-kyû [the division and development of a play, or a musical piece, each segment progressively and dynamically flowing into each other]. The role of art lovers is to perceive, grasp and make sense of these aesthetic principles embedded in artistic expression." (Aesthetics in Japanese Arts, Internet)

On the other hand, due to the global information flow of today, evaluating cultural heritage in relation to its spiritual and environmental values has become a widely diffused policy sustained by international doctrine, relevant to eastern as well as western world. At the same time, each culture has its own ways of obtaining information and of representing its values. This is part of the cultural diversity as declared by UNESCO: "Culture takes diverse forms across time and space. This diversity is embodied in the uniqueness and plurality of the identities of the groups and societies making up humankind." (UNESCO, 2001, art. 1) At the same time, this does not mean that there would be nothing in common. On the contrary. Yet, it is necessary to accept that the different cultures may have different ways of expressing themselves about issues such as truth and authenticity.

In his doctoral dissertation, Dr. Mehdi Hodjat from Iran has analysed the approach to heritage and history as proposed in the Qur'an and in the Islamic societies. He mentions that while the concept of 'history' is generally translated as '*Tarikh*', it not only refers to an epoch but also to fixed habits. (Hodjat, 1995: 25) However, this word is not used in the Qur'an, which instead explains the meaning of history with words: *Qasas, Hadith*, and *Nabaa*. *Qasas* means to follow up, to be in search of reality and to find it. *Hadith* refers to making a new statement, being creative and innovative. *Nabaa* means news that is free of lies, is sequential and has Divine as its reference. (idem, 26) These different meanings associated with the idea of history tend to refer to concepts that are generally related to the idea of authenticity in cultural heritage, i.e. truth free of deviation, as well as something new and creative. In fact, Hodjat concludes about these concepts:

> *"To use words which give different meanings to history, proves that the interpretation of history by the Qur'an is not only to state past events for the sake of increasing our historical information. The Holy Qur'an describes an idea, which has hidden meanings, as well as an immediately apparent reality. In this way, the revealed history in the Qur'an is a truth free from deviation (Nabaa), not only in stating events but in their hidden substance; forming a new statement (Hadith) which does not look at subjects because they are new, but its interest is how to face and apply them; and is to be researched and perceived (Qasas), which leads mankind from a physical reality to a spiritual one." (idem, 26)*

Most histories of philosophy start with ancient Greece and end up with the European contemporary thought. What happened outside this region has been generally ignored apart from some references to ancient Orient. Yet, when we speak of the so-called Western philosophy, we might more correctly refer to it as our contemporary philosophy, considering that many of the ideas are now shared across the world. There is an increasing number of publications, where the specificity of various regions is discussed. For example, this is the case of African contemporary philosophy. While developing their own thinking, African philosophers have been faced with the particular problem of defining their cultural identity without losing the rationality and truth that characterise modern philosophy in general. At the same time, it has been recognised that African thinking merits being dealt with like any other views. (Teffo, L.J. et al. in Coetzee, 2002:164) It is also noted that Africa is a vast continent with many traditions that are still part of the local contemporary cultures. It is therefore natural to explore the commonalities and specificities in the various reflections.

It has been observed that African thought differs from the general European approach in its emphasis of the strong relationship with community and environment. Typical European dualisms such as those between the natural and the supernatural, or between matter and mind/spirit/soul, do not seem to appear in African metaphysics. (idem:165) "The essence of African metaphysics, then, is the search for meaning and ultimate reality in the complex relationships between the human person and his/her total environment." (idem: 165) For example, in a study of the concept of truth in the Akan language (a language group in Western Africa, including Ashanti), Kwasi Wiredu (in Coetzee, 2002:239ff) has emphasised the strong community involvement in the definition of what is truthful. Similar questions are emerging also in relation to the concept of rationality and memory, which would need to be viewed taking into account the multicultural context in modern world. Such issues are obviously relevant in trying to clarify policies in the context of the World Heritage Convention, which addresses the concept of universal value, as well as recognising cultural diversity as an essence of the heritage of humanity.

To make briefly a reference to 'modern' philosophy, we can recall that Martin Heidegger (1993: 143ff) speaks about two fundamental components in a work of art, i.e. the earth

(matter) and the world of significances (idea). He gives the example of a Greek temple enclosing the figure of the god, and states: "By means of the temple, the god is present in the temple. This presence of the god is in itself the extension and delimitation of the precinct as a holy precinct." (p. 167) The physical presence of the temple and the god's image in themselves do not yet assign the significance to the site, but it is the god's presence, the spiritual or the intangible dimension, when evoked, that gives the real meaning. The physical aspect of the temple Heidegger calls the earth, and he states: "In the things that arise, earth occurs essentially as the sheltering agent." The stone material represents the 'earth' aspect of the work, but it is not the 'world'. However, the temple sets up a 'world' that gives the meaning to the work. Heidegger further states that truth happens in the temple's standing where it is in its environment; standing there the temple shines in its beauty. (p. 181) "Beauty is one way in which truth essentially occurs as unconcealment." (p. 181) And, furthermore, Heidegger states: "The more essentially the work opens itself, the more luminous becomes the uniqueness of the fact that it is rather than is not. The more essentially this thrust comes into the open region, the more strange and solitary the work becomes." (p. 190-1) In other words, we could say that the more a work represents a creative and innovative contribution, the more truthful and the more authentic it is. The preservation of the work happens through knowing its truth, and it can occur at different degrees of scope, constancy and lucidity. (p. 193) Even when the work has lost its original functioning, it can still offer a remembrance of this, which contributes to establishing its meaning in the present. Conservation of a work therefore is a process requiring understanding and appreciation of the world of significances, not just limiting to the material.

We can take these ideas into the context of Cesare Brandi's *Theory of Restoration* (English translation in 2005). Brandi refers to the work of art as a whole or as 'oneness'. A work of art is the result of a creative process, where the artist 'creates' the physical reality of the work on the basis of the form given by the 'pure reality' in the artist's mind. The art aspect of the work remains 'intangible' but is there to be experienced in the physical reality of the work. Once created, such a work has an independent existence; however, its appreciation and therefore also its conservation depend on the recognition of its art significance every time the work is contemplated. The restoration of a work must be based on such recognition, taking note of its historic and aesthetic instances (understood almost as legal cases put forth on behalf of the work). Brandi's definition of restoration of a work of art states: "Restoration consists of the methodological moment in which the work of art is recognised, in its physical being, and in its dual aesthetic and historical nature, in view of its transmission to the future." (2005: 48) For Brandi, as well as for Heidegger - and for Alois Riegl for that matter, the art aspect of a work of art is in the present, i.e. in the mind of the person recognising it. This art aspect of the work of art is fundamentally intangible, and it can be experienced through critical observation and understanding of the spatial-material reality that it puts forth.

3.0 International framework

All heritage of humanity has its intangible dimension, whether a work of art, a historic building, a historic town, or a cultural landscape. Japan is noted for being maybe the first country to have passed legal protection for intangible cultural heritage. Such protection is referred to: "art and skill employed in drama, music and applied arts, and other intangible cultural products, which possess a high historical and/or artistic value in and for this country". The same law also defines the concept of 'folk-cultural properties', consisting of: "manners and customs related to food, clothing and housing, to

occupations, religious faiths, festivals, etc., to folk-entertainments and clothes, implements, houses and other objects used therefor, which are indispensable for the understanding of changes in our people's modes of life". (Japanese *Law for Protection of Cultural Properties*, 1998, Chapter 1)

In 1998, UNESCO adopted the *Proclamation of Masterpieces of the Oral and Intangible Heritage of Humanity,* which established a List of such heritage. Referring to the Japanese law, we can note that the UNESCO list can include both intangible and folk cultural properties. The inscription should be based on the notion of outstanding value "from a historical, artistic, ethnological, sociological, anthropological, linguistic or literary point of view" (1998, Regulations, Criteria). Properties can qualify for inscription if they:

> *have outstanding value as a masterpiece of the human creative genius;*
>
> *have roots in the cultural tradition or cultural history of the community concerned;*
>
> *have a role in affirming the cultural identity of the communities concerned;*
>
> *have excellence in skills and technical qualities;*
>
> *be a unique testimony of a living cultural tradition; or*
>
> *risk disappearance due processes of change.*

The question of the relationship of tangible and intangible heritage has been recently taken as a topic of discussion so as to clarify the relationship of the two UNESCO conventions, the *World Heritage Convention*, 1972, which speaks about **monuments, groups of buildings** and **sites** (in terms of cultural heritage), and the *Convention for Safeguarding the Intangible Cultural Heritage*, 2003. This latter Convention emphasises the 'intangible' processes and functions, but includes also their physical attributes to the notion of the 'intangible cultural heritage':

> *The "intangible cultural heritage" means the **practices, representations, expressions, knowledge, skills** – as well as the **instruments, objects, artefacts** and **cultural spaces** associated therewith – that communities, groups and, in some cases, individuals recognize as part of their cultural heritage. This intangible cultural heritage, transmitted from generation to generation, is constantly recreated by communities and groups in response to their environment, their interaction with nature and their history, and provides them with a sense of identity and continuity, thus promoting respect for cultural diversity and human creativity.*

Taking note of the way the concept of cultural heritage has evolved in recent decades it is obvious that there are issues in these two conventions that overlap. While the World Heritage List would focus on a living historic town, such as Marrakech, it would certainly recognise that life goes on in the town and that this life and the social functions are essential elements in the definition of the universal value of the place. In such a case, the list of oral and intangible heritage instead focuses on the activities and processes that have traditionally been and continue taking place in a specified cultural space of the town, the principal market place of Marrakech. On the other hand, many of the practices recognised in the 1998 List are not necessarily associated with a particular space but can take place anywhere.

In 1994, in the context of the World Heritage Convention, Japan hosted in Nara an expert meeting on the **issue of authenticity**. Understanding truthfulness of information sources as a fundamental prerequisite for the definition of authenticity, the *Nara Document on Authenticity* (1994) makes special reference to cultural diversity as an irreplaceable source

of spiritual and intellectual richness and the need to judge cultural heritage within the cultural contexts to which it belongs:

> *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. (par. 9)*

In 2004, another UNESCO expert meeting in Nara concerned the **integration of the approaches for safeguarding tangible and intangible cultural heritage**. The declaration resulting from this second meeting recognised the importance of the 1994 Nara document in emphasising the specific cultural context of a heritage resource when interpreting its authenticity. Nevertheless the declaration also stated that this term could not be applied in the same way when assessing intangible cultural heritage even though the tangible and intangible heritages were often interdependent. In fact, in the debate, some people defending the intangible heritage openly refused to consider the idea of authenticity as it had been defined in the 1994 *Nara Document*: "as the essential qualifying factor concerning values". The claims related to 'intangible cultural heritage' were justified on the basis that this was **constantly being recreated** and could therefore not be seen in the light of historical authenticity, which was understood as 'static'. It looks evident that there should be some difference in judging authenticity of a physical structure compared with a traditional practice. However, this does not mean that the notion of authenticity in itself should be changed.

It may be worth taking a look at the etymology of the concept of 'tradition', which derives from Latin (*traditio; tradere, trado*), giving up, giving over, delivery, surrender, handing down, such as religious doctrine. The *Oxford English Dictionary* gives to 'tradition' the following definition: "The action of transmitting or 'handing down', or fact of being handed down, from one to another, or from generation to generation; transmission of statements, beliefs, rules, customs, or the like, esp. by word of mouth or by practice without writing." Another word of the same origin is 'to betray', referred to giving up important documents in the hands of an enemy by treachery or disloyalty'. While not claiming that 'living tradition' should be necessarily related to 'betrayal', one can still note that to be alive also means change. Each generation should re-generate the values inherited from the past, and re-interpret them reflecting the notion of cultural diversity. Sometimes such re-interpretation took place in new situations, therefore calling for change.

The notion of 'culture' itself derives from the concept of cultivation, i.e. raising of plants and animals, training of human mind and body. It is also associated with the concept of 'cult', i.e. worship. The notion of 'culture' has been given many definitions but we can understand it to mean: "the whole way of life, material, intellectual, emotional and spiritual, of a given people". (Frances Berenson, in Brown, 1984: 43) Cultural inheritance therefore would concern all these different aspects of culture, traditionally handed over from generation to generation. Culture in itself involves both continuity and change, and due to the intrinsic human nature expressed in creativity, traditional handing down of know-how and skills would often mean some change while at the same time building up and keeping its cultural identity. In extreme cases, such change could lead to the falsification or even extinction of cultural traditions. It may thus not be by chance that tradition and betrayal have the same origin. The question is whether a tradition has kept the essence established through continuity in time, and what is the rate of change and the

limits tolerable without losing its values. Such concepts would necessarily need to be taken into account when discussing the issue of authenticity and truthfulness in relation to the intangible aspects of heritage.

4.0 Authenticity

Since 1994, much has been written about authenticity. This notion has also become fashionable as a qualifying aspect of all types of commercial and tourist products, not necessarily reflecting genuine traditions. This may in fact be one of the reasons for the reluctance re authenticity by the people dealing with the 2003 UNESCO Convention on Intangible Heritage. Another reason may be the definition given for authenticity in the earlier version of the World Heritage *Operational Guidelines*. Before the recent revision, published in 2005, the '**test of authenticity'** was referred to four parameters: **design, material, workmanship and setting**. In fact, it was seen basically in reference to the tangible material of the heritage. As a result of the 1994 expert meetings on authenticity, first in Bergen and then in Nara, the revised *Operational Guidelines* have given a new definition for the '**conditions of authenticity'**: "Depending on the type of cultural heritage, and its cultural context, properties may thus 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 …" There follows a list which, in addition to the previous parameters, now also includes: **traditions, techniques, language** and other forms of **intangible** heritage, as well as **spirit and feeling** or other issues (par. 82), showing a much broader recognition of the different aspects of culture and heritage.

Reflecting on the above discussion on philosophies, we can recall that etymologically the concept of 'being authentic' refers to being truthful, both in terms of standing alone as an autonomous human creation as well as being a true evidence of something. The concept of truth, of course, is one of the principal issues discussed in philosophy. We can find it in the various sacred texts, such as the Bible and the Qur'an; it is discussed in the ancient Asian philosophies, such as Taoism and Buddhism; it was an essential criterion for the ancient Achemenid kings in their policies in the Persian Empire; it is present in African thought; it is still fundamental in modern philosophical thought. In terms of human creation, over the past three centuries, the Western thinking has proposed that the truth represented by human creation, i.e. cultural heritage, should be verified in the cultural context where it has been generated. The questions related to the verification of historical and cultural truth in the cultural context had already been discussed, for example, by Ibn Khaldun in the 14th century, and by G.B. Vico and J.G. Herder in the 18th century. The theory of *mimesis* can also be seen to imply, not a simple copy, but the representation and creative interpretation of a particular idea or theme. In the late 19th century, Friedrich Nietzsche saw that the only way for humans to generate truth and values was through a creative process, guided by the 'will to power'. This idea would not only be referred to works of art but to all human activity, where one takes his/her full responsibility in setting forth a creative contribution. Alois Riegl coined the concept of *Kunstwollen* to indicate the relationship of human creative activity with the relevant cultural context. *Kunstwollen* also referred to the regeneration of representational forms that contributed to what could then become a 'style'.

The first of the World Heritage criteria for the definition of the outstanding universal value (OUV) refers to a "masterpiece of human creative genius". To exemplify such **human creativity**, we can select some properties from the World Heritage List, in the history of architecture in the Middle East. In their royal ensembles, the Achaemenid kings

chose sacred symbols, such as the form of 'square' already present in ancient Egypt, on which to base the design of their representative buildings. An outstanding case is the Royal Terrace of Persepolis with the palaces built in the 6th and 5th centuries BC. A thousand years later, the Sassanians designed Takht-e Soleyman in northern Iran as the principal Zoroastrian sanctuary implementing similar elements. The design of this ensemble reflects a conscious re-representation (*mimesis*) of some of the forms already used by Achaemenids, such as the fire temple with its perfectly square plan. Other elements include the *aiwan* with its vast round arch, and the rectangular court built around the artesian lake. With the emergence of Islam, these forms became constituent elements in the design of mosque ensembles. Particular attention was then given to the ingenious design of the dome, and the connection of the square plan of the room with the circular dome. An example of this is the mausoleum of Oljaytu, built in 1302-12 in the city of Soltaniyeh, the capital of the Ilkhanid dynasty. Its particular structural feature was the innovative design of the double dome that later became characteristic in Islamic architecture. The next phase of development includes the Timurid architecture, where an important masterpiece is the Mausoleum of Khoja Ahmed Yasawi, built at the end of the 14th century in the city of Turkestan in Kazakhstan. This multipurpose ensemble was built by Persian masters and it became a prototype for design in the capital city of Samarqand. Yet another example in the same region is the Meidan ensemble in the Safavid capital of Isfahan, created in the 17th century as a highlight of the development of this type of architecture with a wealth of refined details and colours sustaining its spiritual, spatial, and environmental qualities. Here the emphasis in the test of authenticity should be on the creative aspect, but it obviously also requires verification of the relevant historical and cultural context. Referring to this concept of authenticity, in this sense, it seems useful to refer to the definition by Paul Philippot (art historian and the former Director of ICCROM): "*the authenticity of a work of art is in the internal unity of the mental process and of the material realization of the work*". The notion of "**authenticity by creation**" emerges as the creative and innovative quality in each of these examples.

The fourth criterion for OUV refers to: "a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history". This is the most frequently used criterion and it can have different functions. It can represent a type of construction that has become a prototype, or anyway a construction that is recognized as the most representative example of a particular typology. The examples mentioned above can also be referred to this criterion, and it can also be used for "groups of buildings", such as historic towns, and sites, such as designed gardens and cultural landscapes. However, here, the emphasis in the definition of authenticity is especially in the excellence of design, and the further development and perfection of a particular typology. When dealing with a vernacular type of site, authenticity would need to be verified not only in the constructions but also in the continuity of tradition, spirit and feeling, i.e. the more intangible qualities of the place.

The third criterion for OUV refers to: "testimony to a cultural tradition or to a civilization", and the criterion five to: "a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment". Both these criteria denote **material evidence of the history** of a place. The test of authenticity should thus be made in reference to this evidence and what it signifies, i.e. verification of the truthfulness of the sources of information. For example, Bamiyan Valley, where the two large Buddha figures were destroyed by the Taleban regime, was a crossroads of civilizations over many centuries. This site extends several kilometres along the valley with hundreds of caves and other evidence of its rich history. Even though the spectacular, standing Buddha statues were destroyed, the valley can still be considered to

have retained its archaeological significance as a place of outstanding and exceptional testimony to cultural activities taking place for centuries as a result of inter-cultural communication. Another question is how much it is possible or even desirable to put the fallen fragments of the Buddha statues back to their place. Yet another question is whether or not it is desirable to build another Buddha, a modern one in a suitable place in this valley! It is obviously not possible to allow re-carving a new figure going 2-3 meters deeper in the same niche, where we still have the authentic testimony of the original statue. These questions require a critical examination of all the factors in order to reach a balanced judgement both in terms of the authenticity and integrity of the place.

In the case of Mostar, the 16th-century Old Bridge was destroyed as a political act. Now it has been rebuilt with the support of UNESCO on the original site. The importance of the bridge is seen even in the name of the locality, referring to 'most' that means bridge. After the destruction of the bridge, the original parts that remained in situ were kept, but the arch of the bridge was entirely rebuilt new. The historic town centre also suffered substantial destruction and has now been rebuilt. The World Heritage Committee inscribed the site on the basis of criterion six, emphasising the significance of the site as: "a symbol of reconciliation, international cooperation and of the coexistence of diverse cultural, ethnic and religious communities". Considering that much of the original bridge and of the buildings were destroyed, the site has certainly lost part of its authenticity. On the other hand, it still retains its significance as an archaeological testimony to its history, associated with a strong symbolic value. Therefore, the most appropriate criteria would be six for the symbolic value and three for the value as exceptional testimony to the interaction of different cultures in a frontier place. In fact, both these criteria can be confirmed to meet the test of authenticity.

Writing about the relationship of the tangible and intangible aspects of cultural heritage, Prof. Nobuo Ito has stated:

> *"Intangible culture is the mother of all cultures. As etymology shows, culture is the human product moulded and matured in an inspired or cultivated brain. In this sense, all kinds of culture are, in the earliest stage, intangible, and, therefore, extremely private in nature. So, many intangible cultures are apt to disappear or change to another one."*

Man has sometimes been called 'language-animal', which refers to the importance of language not only as an instrument of communication, but also to its power to assign meanings to places and things. In African traditions, man has the power by giving name to an object to assign it particular force and qualities; man can also take away that quality by de-naming it and thus removing the meaning. In traditional belief, in Finland, knowing the name of a thing implied knowing its origin and therefore also having a power over it. It is symptomatic that many cultures have given anthropomorphic names to natural features, such as the nose of the peninsula, the arms of the river, thus implying the effort to take control. God's word is understood to have created the world and everything in it. Human creativity is obviously less powerful, but the recognition of the human creative diversity by UNESCO implies that we see this to have been characteristic in all cultures and in all times. We can see that such creativity cannot simply be a question of meeting certain practical purposes, but that there is human creative spirit that inspires one to be innovative in re-interpreting and re-representing certain universal themes while responding to specific needs. In his book on *Real Presences* (1991), George Steiner has analysed language and its significance to human society. It is obvious that language is fundamental in preserving our traditions and our knowledge making it available for successive generations. Steiner states (p. 56) that:

"Language creates: by virtue of nomination, as in Adam's naming of all forms and presences; by virtue of adjectival qualification, without which there can be no conceptualization of good or evil; it creates by means of predication, of chosen remembrance (all 'history' is lodged in the grammar of the past tense). Above all else, language is the generator and messenger of and out of tomorrow. … I believe that this capability to say and unsay all, to construct and deconstruct space and time, to beget and speak counter-factuals … makes man of man."

Steiner further notes that the traditional relationship that had always existed between the word and the world had been broken by the emergence of modernity, which "constitutes one of the very few genuine revolutions of spirit in Western history and which defines modernity itself". (p. 93) This statement is also in line with what Nietzsche intended about the "death of God" and the risk of elimination of the higher values. For Steiner, the presence of 'Logos', i.e. the Word, also means the presence of God, the Sacred. "All *mimesis*, thematic variation, quotation, ascription of intended sense, derives from a postulate of creative presence." (p. 101) In ancient time, language was seen to represent the intangible or invisible, a gift of gods. Writing made language visible, and it was thus a vehicle, a ritual act allowing access to the intangible. (Herrenschmidt, 1996) The Achaemenid king, Darius The Great, reworked the Mesopotamian cuneiform writing so as to meet his wish to use Old Persian language in monumental and public declarations. The difference from the earlier cuneiform writings was in its being based on alphabetic signs and diphthongs so as to eliminate the possibility of mistakes in reading the text. Such sacred texts were intended to be read out in public. The first important example in ancient Persia is the Bisotun monument, of which the text of great political significance was copied to various parts of the empire. In fact, Iran has nominated it for inclusion to the World Heritage List in 2006.

The Canadian philosopher Charles Taylor has treated the problems faced in modern world and particularly in present-day multicultural society in relation to cultural identity and the risk of losing the capacity to generate shared values. The problems are related to: a) over-emphasis of individualism, b) the disenchantment of the world due to instrumentalisation and excessive priority given to the most economical application of means to a given end, and c) the restriction of choices by the institutions and structures of the industrial-technological society. (1991: 1-12) In his thesis, Taylor refers to the **ethics of authenticity**, deriving from Descartes and the late 18th century thought and based especially on Romanticism emphasising individuality. "Being true to myself means being true to my own originality, and that is something only I can articulate and discover. In articulating it, I am also defining myself." (p. 29) Taylor further claims that the general feature of human life is fundamentally dialogical in character. Therefore, language in a broad sense is vital for society. In modern society one feels the need for recognition of individuality probably because of fear of losing one's identity. The worst enemy of authenticity is its association with social conformity (p. 63). So, while modernity on the one hand involves creation and originality, on the other hand it also requires openness to horizons of significance and a self-definition through dialogue. (p. 66)

Values and significances can only be built up in communication and dialogue with the others in society, thus forming cultural identity for a community. This was the case in traditional society and can be considered an important part of heritage particularly concerning traditional settlements and many types of cultural landscapes. We can here speak of traditional **social-cultural authenticity**, which when it exists will justify the continuation of traditional forms of life and traditional treatment of the built structures. Such characteristic is particularly relevant in cases, where the traditional form of society has survived intact to our days. For example, in the case of the historic town of Harar

Jugol, in Ethiopia, where the social organisation of this Muslim community has been traditionally based on neighbourhood associations and a strong, practical and spiritual relationship with the surrounding land, forming a social-environmental whole. In modern society, the tendency has rather been towards fragmentation and a decrease in dialogue. Recognising that the regeneration of values and meanings require dialogue, the problems can clearly be seen in the loss of common horizons for shared values, which should go beyond the over-emphasis of one's personal individuality and stress common responsibilities.

5.0 Integrity

Another key issue in the identification and definition of a heritage resource is certainly its **integrity**. The World Heritage *Operational Guidelines* (2005) require that a property nominated to the World Heritage List meets the conditions of integrity (par. 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.*

Integrity must necessarily be related to the qualities that are valued in a particular property. We can take **the example of Bam in Iran**, inscribed on the World Heritage List in 2004 after having been seriously damaged by the earthquake at the end of December 2003. This emergency nomination was first focused on the ancient citadel, perhaps the most visible and best known feature of the site. Subsequently, after contact with the authorities, it was decided to extend the boundaries of the nominated area and also include the ancient irrigation system, the underground *qanats*, which in themselves were an important archaeological evidence of this traditional technique, as well as a vital element in the development and survival of this settlement at the crossroads of trading routes in the desert environment of central Iran. Part of the *qanats* have been in use for more than two millennia and are the fundamental basis for the existence of this oasis. They need constant maintenance and consequently are also subject to gradual change. However, some areas have been preserved as an archaeological testimony from the earliest phases. The proper functioning of the *qanats* has required and continues to require a system of strict social coordination for regular maintenance and care. The significance and protection of the area should thus be defined on the basis of vital social functions and processes, including those related to management of water resources, farming and agricultural production, trading and production of goods, residential and defence functions.

Regarding the urban areas of Bam, we can recall that, since the 19th century, the citadel had only been used for military purposes and was mostly in ruins, though partly restored over the past three decades. While the earthquake clearly caused much damage, especially in the restored parts of the fortification, it also revealed some historical phases of construction that had been hidden, thus increasing the archaeological interest of the site. One of the issues in discussion after the earthquake obviously will obviously be related to the limits of restoration and reconstruction in view of the presentation of the site without losing its historical authenticity and archaeological interest. Much of the modern town of Bam was destroyed in the earthquake, and that is where over 26,000 persons lost their lives. The modern area is not part of the nominated World Heritage core zone though it is included in the buffer zone. Now it is subject to new planning and

reconstruction. The example of Bam shows how the functional integrity of the place can enhance a better understanding and clearer definition of the outstanding universal value of a place.

Another case is the James Island in The Gambia, where the nominated area consisted of the colonial forts and trading places built to protect the entrance to the river, and to facilitate traffic on this first trading route into the inland of Africa. While the nomination only concerned the extant 'monuments' as relics of the past, the justification of the inscription needed to be based on a broader definition of the site. In fact, the significance of this site is fundamentally associated with The Gambia river as a cultural route, which has motivated all the various built structures so as to facilitate the exchange of commerce and goods. The history of this activity probably started with the Phoenicians and Romans, then continuing with the Arabs, and finally with the European colonists. Today, it is always the river that has been the basic reference for the modern political definition of the country as well as forming the framework of its current economy.

The definition of the integrity was fundamental for the World Heritage nomination of Assisi, the birth place of Saint Francis in central Italy. The original nomination consisted of the Basilica of San Francesco and the walled medieval city. Subsequently, the nomination was revised by adding several monuments outside the town, critical for the spiritual maturity of Saint Francis and for the foundation of the Franciscan order. Furthermore, we can recall that nature as God's creation was of particular significance for Saint Francis. Throughout his whole life, he spent much time in nature, as is well illustrated in Giotto's fresco celebrating his preaching to birds. Assisi was also important from pre-Roman times. In the centre of Assisi, there are remains of an important Umbrian temple, later used by the Romans. The cult processes on the site generated the establishment of a communication network. Later on, as a result of the Franciscan movement, Assisi became a pilgrimage place, and the new functions generated communication routes in the entire territory. At the same time, the farming system has remained practically intact until the 1960s, since when changes in the policies have made it vulnerable for change. Due to the far-sighted urban planning in the 1950s, the municipal area has however retained its overall traditional integrity until today.

Taking an overall look at these examples, we can see that, in each case, the significance of the World Heritage nomination was enhanced by an in-depth examination of the **social-functional integrity** of the site in the light of its values. In the case of Bam, the site was initially proposed as a monument but it was then redefined as a cultural landscape. As a result, its values were consolidated and extended. The core zone was defined so as to cover a large part of the most important *qanat* area, while the rest of the oasis, including the new town of Bam, was enclosed in the buffer zone. In the case of The Gambia, the river was the driving force being a major trade route, and the forts and trading places were a documentary evidence for the past functions and processes. The property was considered of outstanding universal value due to the way it provided exceptional testimony to crucial periods in the evolution of world trading and slave traffic. In this case, the boundaries of the nominated area were limited to the structural elements, but the buffer zone covered a long strip of land along the river, thus symbolically reinforcing the significance of the site as a cultural landscape. In the case of Assisi, the question was again about a cultural landscape, which has several different parameters. It is significant for having preserved traces of the communication network and the buildings as testimony to the social, spiritual and economic functions that defined its system of land use. Most importantly, the landscape represents the spiritual association of the life of Saint Francis and the relationship of the Franciscan movement with nature.

The **social-functional integrity** of a place is referred to the identification of the functions and processes on which its development over time has been based, such as those associated with interaction in society, spiritual responses, utilisation of natural resources, and movements of peoples. The spatial identification of the elements that document such functions and processes helps to define the **structural integrity** of the place, referring to what has survived from its evolution over time. These elements provide testimony to the creative response and continuity in building the structures and give sense to the spatial-environmental whole of the area. **Visual integrity**, instead, helps to define the aesthetic aspects represented by the area. It is on such dimensions of integrity that one can base the development of a system of management so as to guarantee that the associated values would not be undermined. In many cases, it is not enough to focus on the limited World Heritage area, but rather take into account a vaster territorial context. This was the case, for example, in the Valley of Noto, in Sicily, where the eight historic urban areas were integrated into a territorial management master plan. The purpose here was to place emphasis on the economic and functional aspects of the regional economy and relevant land use, which could not be suitably managed if only limited to the nominated World Heritage sites.

6.0 Relativity of values and identity

In a small booklet, Cardinal Joseph Ratzinger, now Pope Benedict XVI, has published a series of speeches dealing with values in contemporary Europe (2005). During his predecessor, John Paul II, Cardinal Ratzinger had the task of defending the doctrine of the Catholic Church. In many ways these speeches are related to doctrinal problems. He discusses the issue of individual freedom vs. shared values in society, and the fashionable question of relativism distinguishing present-day multicultural society. He summarises the evolution that has characterised European qualities and values, particularly those founded on Christianity, the dominating religion in Europe. Three issues emerge as the most essential. The first is the need to recognise human dignity and human right as absolute values that must be respected. In fact, he objects to clonation and genetic manipulation. The second issue deals with marriage and family. He considers the family, formed of a legal union of man and woman, as the core nucleus of society, which needs to be defended. Finally, he is concerned about respect for what is perceived as sacred and holy. Ratzinger maintains that freedom of opinion should not be interpreted so as to destroy other people's faith. In the same line, respecting other people's faith and believes should not lead to total relativism and annihilation of one's own values.

Pope Benedict XVI is an intellectual with deep cultural awareness, and he is seriously concerned about the trends that seem to go towards 'absolute relativism'. This trend was already feared by Nietzsche one century earlier, i.e. the annihilation of higher values and the abolition of human dignity. Historically, this tendency can be taken to the ethnocentrism that emerged with European colonialism, i.e. interpreting the values of other cultures in terms of one's own. Cultural relativism emerged, as a counter act, from the German Enlightenment and the development of anthropology in the 20th century. Simplifying this view, all beliefs would be equally valid; truth itself would be relative to the situation, the context and the individual concerned. He is concerned about the tendency by cultural relativists to refuse that the values associated with Western culture could have universal meaning. In fact, cultural relavism has at times been confused with moral relativism and, taken to an extreme, it would mean that there are no universal moral standards and no values. Instead, while recognising that each culture will have its own dignity and value structure, we can claim that there are issues that can be taken as a

measuring stick against which specific qualities and characteristics of particular cultures are ponderable.

We can also observe that the **identity**, on which the values and the individual 'personality' of a particular culture are based, cannot be defined in isolation. Rather, identity is generally founded on the cross-fertilisation of different cultures and values. Therefore, for example, Western culture has certainly obtained its characteristics as a results of contacts and interactions between different cultures, such as those existing in Europe itself, but also with those in the Middle East and North Africa. European identity is thus the result of pondering and regeneration of the values over time. We can also note that even **science** has not been without cultural linkage. In his *Structure of Scientific Revolutions*, Thomas Kuhn has argued that science is not simply a logical outcome of rationality, not something objective outside value judgements. Rather, the question of understanding natural phenomena is necessarily related to human understanding, experienced in the light of new paradigms resulting from intellectual revolutions. Science therefore is not just rational, but it is also based on cultural parameters. This debate has also relevance in the World Heritage context and particularly in the identification of the outstanding universal value, implying a degree of absolute.

Taking the discussion back to cultural relativism, we may agree with the idea that each culture has its own characteristics and identity. Obviously the meanings of related issues, such as cultural heritage, need to be verified in relation to relevant cultural contexts. On the other hand, this does not mean that all values should be equal. The question is about identifying **universally valid issues** in relation to which the specific qualities can be weighed. It is in this light that we should see the **ICOMOS Gap report**, where the thematic framework is presented as an attempt to identify issues of universal validity for the evaluation of the nominations. Recognising the **creative diversity** of human mind, the question is to identify genuine/authentic examples of such creative and spiritual responses. Considering also the notion of **cultural diversity**, we can observe that different cultures can have generated comparable responses. It is therefore necessary to raise the issue of **representivity**, making sure that the **significant responses** to particular themes in the different cultures are adequately represented on the List. At the same time, it is not enough to select the most representative, but also to agree about the minimum **quality criteria** required for World Heritage properties, as well as making sure about integrity of the nominated areas. Critical judgement is required based on research and documentary evidence to decide about the quality, integrity and values of the cultural responses represented.

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EFFECTIVE USE OF AUTHENTICITY AND INTEGRITY AS WORLD HERITAGE QUALIIFYING CONDITIONS♣

Herb Stovel♦

Abstract

This paper contends that over the life of the World Heritage Convention, the use of authenticity has not been well understood as a qualifying condition for inscription; that introduction of the complementary integrity requirement has simply compounded confusion; that the ideas which lie behind the two concepts are however critically important for managing nominations to the World Heritage List and improving conservation activity on World Heritage properties; and finally that use of the concepts need to be restructured to improve their effective application for the benefit of World Heritage properties. The paper contends that the key to restructuring use of the concepts is first recognizing the critical conceptual distinction between authenticity and integrity in measuring and designing strategies for improving the state of conservation of World Heritage properties, namely that authenticity may be understood as the ability of a property to convey its significance over time, and integrity understood as the ability of a property to secure or sustain its significance over time. The paper shows how the restructuring of the two concepts, defined in this way, can provide tangible indicators for applying the unified concepts in a number of contexts. Finally, the paper extends this approach and proposes an illustrative framework which could be explored for application to a range of heritage typologies found on the World Heritage List (archaeological sites, historic towns, architectural monuments and complexes and cultural landscapes).

Key words: w*orld heritage, authenticity, integrity, qualifying conditions*

Introduction

The recent introduction of the integrity requirement for cultural heritage nominations to the World Heritage List (UNESCO - WHC, 2005) confirms the WH Committee's belief in the value of "qualifying conditions"[1], in assessing suitability of properties for the World Heritage List .The interest in looking at OUV through a filter which permits verification that the physical state of the property and its surrounding conditions are adequate to

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[1] Until the adoption of the new Operational Guidelines of Feb. 2005, both integrity (for natural heritage sites) and authenticity (for cultural heritage sites), were described as "qualifying conditions" in the Operational Guidelines. This phrase disappeared in the Feb. 2005 version of the Guidelines.

meaningfully contain and express the OUV of the property is not new. This concern has been a part of the evaluation process since the beginning. The initial evaluation criteria developed in the early preparatory meetings in Morges, Switzerland (in 1976) and in Paris (in 1977) (Stovel, 1995: 395), prompted at least in part by Ernest Allan Connally, then Secretary-General of ICOMOS, included the "test of authenticity" for cultural heritage sites and the "conditions of integrity" for natural heritage sites as conditions which must be met for inscription.

While interest in authenticity may have been there since the beginning, understanding of what was implied in terms of evaluation requirements has generally lagged far behind. The working document prepared in 1978 for the first session of the World Heritage Committee provoked State Party responses which reflected that difficulty. "The interpretation given of authenticity was challenged by several members who did not consider that it necessarily entailed maintaining the original function of the property which, to ensure its preservation, often had to be adapted to other functions. (Von Droste, Bertilsson, 1995: 3)".

In spite of strong efforts to increase understanding of authenticity on the part of the Committee, the Centre and the Advisory Bodies[2] over time, confusion has persisted. The report of the seventh session of the World Heritage Committee held in 1983, for example, noted that "….a certain number of criteria raise problems of interpretation… this would in particular be the case with regard to ….the notion of authenticity" (Von Droste, Bertilsson, 1995: 5).

This lack of understanding has been evident in many of the nomination documents submitted by States Parties ever since. Many nominations have ignored this requirement entirely;   many more have spoken of authenticity as if it were a value in its own right, (and therefore not evaluated authenticity in relation to the particular outstanding universal value proposed); and equally, many more nominations have not chosen to root their analysis in the four attribute areas defined initially for the test of authenticity: design, material, setting, workmanship, and hence have left their authenticity assessments unattached to anything tangible. This lack of understanding can also be found within many ICOMOS evaluations which offer similarly generalized overviews: "This property is undeniably authentic …" is a favourite ICOMOS statement during the evaluations of the 1990s.

With the addition of a second qualifying concept – namely, integrity – to the formal WH requirements for cultural heritage properties, and the parallel rejection of the concept of authenticity in the new Intangible Heritage Convention (2003) – a Convention which defines the intangible to include very tangible "cultural spaces" – the potential for confusion has increased considerably. In the nominations submitted to ICOMOS for review in 2006, this area of the nomination document is perhaps the most troublesome. Although the requirements for authenticity and integrity are spelled out in great detail in the 2005 Operational Guidelines, many States Parties have not well grasped what is being requested. Many have written about something called "integrity/ authenticity" treating the two concepts as if they were one; and many of those who have realized that the two concepts are different have displayed very little clear understanding of what the

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[2] Here I would single out Chapter 8 of Jokilehto and Feilden's Management Guidelines for World Cultural Heritage Sites (1993) on "Authenticity and Treatment"[2] which demonstrates how each of the four authenticities named in the original Test of Authenticity can used in practical ways to define needed "treatment", and also the discussions preceding and following the writing of the Nara Document, which expanded the domains through which authenticity could be understood beyond the original four.

differences might involve, and virtually none have supplied the requested Statements of Authenticity and Integrity.

Readers could be excused at this stage for wondering, given the ongoing and perhaps even increasing confusion in application of these concepts within the World heritage Convention, why bother? If communication of what is implied in using "qualifying conditions" has continuously failed, why continue to perpetuate these requirements? Why not give up on "qualifying conditions" and get back to the basics?

This paper argues that these qualifying conditions are essential both to ensure the quality of analysis employed for cultural heritage properties during the nomination phase, and equally importantly, to ensure the quality of guidance provided to management and conservation treatment decisions made subsequent to inscription. This paper argues further however that the concepts which lie behind the two qualifying conditions of integrity and authenticity need to be deconstructed and re-assembled in ways which would allow them to be more easily understood and used in conservation analysis for WH properties. The paper finally urges the WH Committee to strengthen efforts to build awareness of the importance of these concerns and to explore means to increase capacity for their practical use in preparing nominations and in post-inscription operations for cultural heritage properties.

1. Definitions, sources of confusion and a proposal

The two concepts of authenticity and integrity as applied to cultural heritage contain two strong and important ideas useful for nomination analysis, and for management/ treatment. These underlying ideas however do not coincide precisely with the definitions of the two concepts, authenticity or integrity, as used in World Heritage activity. Understanding these two underlying ideas requires a return to the intentions of those who brought the words into the World Heritage framework.

1.1 Authenticity

The concept of authenticity enshrined within the first set of WH evaluative criteria in 1978 is derived from an American "qualifying condition" – integrity – applied since 1953 to the process of evaluating nominations to the American National Register of Historic Places. Integrity in the American system is meant to signify "the ability of a property to convey its significance." (Andrus, Rebecca, 2002) This American approach, brought to the World Heritage table by ICOMOS Secretary-General Connally in 1977, as mentioned earlier, was readily accepted by all those involved in the late 70s discussions as an important consideration. It was believed that use of this concept would guarantee inscription of only those places offering genuine material testimony to important historic periods and manifestations, and would limit the placing of bogus or entirely reconstituted historic places on the WH List (Von Droste, Bertilsson, 1995: 4).

The American definition is reflected in the working definition of authenticity used during the Nara Document discussions: authenticity is a "measure of the degree to which the values of a heritage property may be understood to be truthfully, genuinely and credibly, expressed by the attributes carrying the values"(Stovel, 2004: 3). This idea is carried forward in para. 82 of the Operational Guidelines which comments on the relation between the property, its OUV and its defined attributes:

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

- form and design;

- materials and substance;

- use and function;

- traditions, techniques and management systems;

- location and setting;

- language, and other forms of intangible heritage;

- spirit and feeling; and

- other internal and external factors. (UNESCO, 2005: Paragraph 82)[3]

1.2 Integrity

The confusion in contemporary World Heritage use caused by the introduction of integrity as a new qualifying concept for cultural heritage nominations, is evident everywhere. A document recently introduced by the United States of America to guide Americans to analyse "integrity" in preparing a Tentative List application asks: "Do the authentic material and spatial evidence inside the proposed boundaries remain in sufficient quantity to convey the full significance of the site? To tell the full story of why the site is outstanding?"[4] Here the Americans are defining integrity for World Heritage purposes in a way which closely resembles their approach to preparing National Register nominations, and very closely to the World heritage application of authenticity, rather than as requested by the 2005 Operational Guidelines (OP). The Operational Guidelines, Paragraph 88, states that:

> 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. (Unesco- WHC, 2005, Paragraph 88)

OG Para. 89 continues for cultural heritage properties, that is, those "nominated under criteria (i) to (vi)," to note that:

> 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. (Unesco - WHC, 2005, Paragraph 89)

While the phrase "convey the property's significance" is present in OG paragraph 88, it is only so in relation to efforts to ensure that all elements necessary to support the OUV of the property are present, but not in relation to all of the attributes of the property, and the overall ability of the property to express or support significance.

There are two basic ideas in play within the use of the integrity concept for cultural heritage in the 2005 Operational Guidelines:

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[3] The Operational Guidelines for the Implementation of the World Heritage Convention, UNESCO WH Centre, Feb. 2005. Para 82. It is worth noting that in the most recent edition of the Operational Guidelines, the "Test of Authenticity" has disappeared and been replaced by the "Conditions of Authenticity".

[4] Application for inclusion of a property in the U.S. World Heritage Tentative List, National Park Service.

- "Wholeness" (are all the elements necessary to tell fully the story of the site? Is the property of sufficient size to hold all features and processes necessary to convey significance?), and

- "Intactness" (asking about the condition of the property in relation to the threats to its existence, and any risks in the environment surrounding the property).

The former relates to the ability of a defined property to convey significance and can be understood to be linked to concerns present in the authenticity discussion, and the ability of certain attributes (noted in OG para. 82 above) to credibly express or convey significance (Unesco - WHC, 2005: Paragraph 82). The other basic idea, "intactness", is very different. Here the focus is on the state of the "physical fabric of the property and/or its significant features" which "should be in good condition", while "the impact of deterioration processes [should be] controlled" (Unesco, 2005: paragraph 89).

The push to introduce integrity within the evaluation of WH cultural heritage sites derives in particular from the 1998 WH expert meeting in Amsterdam and its efforts to bring treatment of natural and cultural properties together. Hence the use of integrity for cultural heritage is modeled to some extent on its use for natural heritage properties; this approach to use of the concept may also be found in the practices of certain States Parties, most notably those of Canada, developed at the same time. In the early 90s, Parks Canada developed a new Cultural Resource Management Policy for properties of national historic significance. One of the features of the new policy was the use of a concept called "Commemorative Integrity" intended to mirror for properties of cultural heritage worth the management framework offered by the concept of ecological integrity for properties of natural heritage value. "Commemorative integrity describes the health and wholeness of a site and is achieved when:

- Resources directly related to the reasons for the site's designation as a national historic site are not impaired or under threat;

- The reasons for the site's designation as a national historic site are effectively communicated to the public; and

- The site's heritage values are respected in all decisions and actions affecting the site." (Parks Canada: 1)

Here, the latter two points may be understood – as with WH integrity - to be linked to the ability of the property to convey its significance through communication efforts as much as through its physical reality, while the former point can be linked to the WH Committee 2005 Operational Guidelines search for "intactness" under use of the integrity concept. It is also worth noting that while the first of the two words used in the overview definition of Commemorative Integrity – health – can be understood to be linked to efforts to secure significance, the second word – wholeness – can be understood to relate both to conveying significance (are all elements present to convey significance?) and to secure significance (are all elements present to sustain significance?), this latter derived very much from natural heritage practice.

1.3 A proposal

In summary then, we could say that one of the concerns within both authenticity and integrity analysis, irrespective of which word we are using is directed to the ability of a property to convey significance. We could also say that there is a second concern, found within integrity analysis, focused on the ability of the site managers to secure or sustain the significance of the site.

I would contend that these two concepts – ability to convey significance, and ability to secure/sustain significance – could be much more useful during nomination analysis and also during post inscription management/ conservation treatment analysis than the words authenticity and integrity have proven to date for cultural heritage properties.

2. Challenges in improving use of integrity/ authenticity analysis for World Heritage properties

There are many challenges to overcome in strengthening use of integrity/ authenticity analysis for use with World Heritage properties. These include:

- Clarifying the extent to which authenticity and integrity analysis can be of practical utility in treatment/ management and conservation of World Heritage properties, as well as for analyzing the suitability of nominations.

- Recognizing that the discussion of what integrity and authenticity mean is not yet concluded and that there are both new approaches entering the integrity dialogue and unresolved issues concerning authenticity which will need to be addressed in the years ahead.

- Showing that shifting attention to the new framework for understanding authenticity and integrity to concern for conveying significance and securing/ sustaining significance can bring practical improvement to the quality of analysis of nominations and of approaches for site management. the two ideas underlying authenticity and integrity analysis (conveying significance, securing significance).

These three ideas are looked at in more detail in the sections which follow.

2.1 Practical utility for management

In general terms, it is now understood that integrity and authenticity can go both ways. Previously most emphasis on the cultural heritage side had been given to the use of authenticity – and by extension, integrity - as devices which could amplify understanding of what was important about a property during the nomination process. This is in distinction to the use of the conditions of integrity for natural heritage which have been understood since the beginning as both a prerequisite for inscription but also a cue for management – defining the conditions necessary for outstanding universal value to survive and be maintained. The initial difference between the two approaches was evident in the language initially linked to the concepts used; authenticity was limited to a "test" prior to inscription to verify genuineness, whereas the conditions of integrity once ascertained as present have always been used to establish a state which must be maintained within a property – that is, to become management goals and also to guide decision making to full respect for what is important in post-inscription management.

As noted earlier, interest in using authenticity to guide post-inscription decision making could first be found in Jokilehto and Feilden's Management Guidelines for World Cultural Heritage Sites (1993) on the chapter on "Authenticity and Treatment" which demonstrates how each of the four authenticities named in the original Test of Authenticity can used in practical ways to define needed "treatment" for properties. The decision to demand that cultural heritage properties meet both the conditions of authenticity and of integrity bespeaks a new interest in using the presence of these qualifying conditions both as references that outstanding universal value is carried by attributes genuinely and credibly expressing that value, and that as references guiding

management decision making to priority concerns in sustaining outstanding universal value.

At present, this latter preoccupation is becoming even more important as the World Heritage Committee becomes ever more serious about establishing meaningful indicators and benchmarks for measuring the state of conservation of World Heritage properties and the effectiveness of corrective measures adopted to improve conservation of these properties.

2.2 Unfinished explorations for integrity and authenticity analysis

2.2.1 New approaches for integrity analysis

Various issues within the Committee have opened up discussion of integrity in new areas in recent years. Although these discussions – many ongoing – are concerned with critical issues in protecting inscribed WH properties, the issues raised are not yet in the Operational Guidelines – at least not under the rubric of "integrity" - and therefore not codified in ways which States Parties could respond to at present in formulating nominations.

Examination of the use of integrity in these various contexts provides useful insights into some likely future modifications of the Operational Guidelines.

- The Nara Seminar for the Integrity and Development of Historic Cities, an expert meeting organized by the World Heritage Centre in Nara, Japan, in 1999, (Yang et al, 2000) explored how the concept of integrity could be useful in improving management of historic cities. The conclusions of this meeting are not reflected or considered in the current Operational Guidelines.

- Recent discussions within the WH Committee have addressed the negative impacts of proposed high rise developments on the visual integrity of inscribed historic districts and towns. The Committee has been searching for a methodologically sound and consistent way to assess the impact of such proposals to avoid the ambiguous nature of the discussion which has accompanied the apparent threat to OUV accompanying recent high rise proposals in Vienna, London, Liverpool, Cologne, Dresden, Isfahan, Riga, Vilnius, St. Petersburg and in other WH cities. While description of "visual integrity" is not included in the Operational Guidelines as a nomination requirement, Christina Cameron, in searching for references that could guide analysis, has noted (Cameron, 2007) that the Operational Guidelines suggest that the buffer zone "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" (UNESCO, 2005, Paragraph 104). This concern is further reflected in a statement contained within the current Tentative List application document prepared by the National Park Service (and referred to earlier above): "Is the integrity weakened by the intrusion of discordant and/or abundant elements or buildings that are unrelated to the significance and detract from the visual unity of the place?" (National Park Service, 2006).

- Jukka Jokilehto has been developing the possible future scope of integrity inquiry by looking at structural, functional and visual integrity in relation to places of heritage value. In a recent paper, Jokilehto notes:

> Functional integrity is particularly obvious in the case of an industrial site, such as a factory, but it is equally relevant in urban fabric. Functional integrity provides the reference for the understanding of the meaning of the different

elements in built environment. Structural integrity instead defines the present-day reality in the field, i.e. the elements that survive in today's historical condition from the evolving functions of the past. Even a relict cultural landscape can be defined in terms of its historical integrity. At the same time, the question of functional integrity is relevant to living urban or rural areas and the planning and management of their present-day use. Visual integrity is the result of certain processes. Therefore, in order to properly appreciate the existing realities and eventual changes, it is useful to again refer the analysis to the functional and historical structural integrity. (Jokilehto, 2006: 2-3)

While a number of Jokilehto's papers on this subject have been presented in World Heritage forums, these formulations of integrity are also not yet included within the present Operational Guidelines.

All of the above three concerns can be related to the idea of "securing and/ or sustaining significance" and hence if the new framework proposed were adopted, their later introduction would not require scrambling around to find a way to accommodate them once they work their way towards acceptance by the Committee.

2.2.2 Unresolved or unclear issues in authenticity analysis

There are a number of sources of continuing confusion found in the interpretation and application of the authenticity concept by States Parties. The sources of confusion named below all derive from a lack of recognition of the importance of maintaining the critical relationship between authenticity and Outstanding Universal Value.

Let's look at each of these points in turn.

- **Continuing perception that authenticity is related to the "original" state of a place.**

This perception has its origins in the original formulation of the integrity concept within the American National Park Service Administrative Manual of 1953, which noted in speaking of landmarks, that "an essential consideration is that each one should have integrity – that is, there should be no doubt as to whether it is the original site or structure, and in the case of a structure, that it represents original material and workmanship." (Stovel, 1995: 396) This point is reinforced in the current American National Park Service Tentative List application definition of authenticity which maintains the emphasis on the original: "Does the property retain its original design, materials, workmanship and setting?" (National Park Service , 2006).

From the beginning however, most of those involved argued that authenticity analysis was a relative concept and must be used in relation to the historical context of the messages being expressed. Those involved in preparing the original Operational Guidelines noted that: "due recognition should be given to "progressive authenticity", that is to say, to buildings and constructions , in which, although having been modeled throughout time , some of the original intentions were retained." (Von Droste, Bertilsson, 1995: 3).

Although the Committee's interpretation – authenticity not concerned with an original - has been consistently maintained over time, it is clear that this message has not yet been absorbed by many of those involved.

- **Treating authenticity as if it were a value in its own right.**

Many nominations have been prepared in which States Parties discuss authenticity as if it were a concept entirely unrelated to the proposed Outstanding Universal Value of the nominated property. This may be related to the concerns of those who on the one hand feel that loose interpretations of authenticity may encourage "practicing architects ….to

flirtation with history and its values" (Dushkina, 1995: 308) and on the other hand, the preoccupations of those prepared to acknowledge the great complexity of authenticity judgements, relating several simultaneous and interconnected spheres of human understanding and perception: the temporal, the experiential, etc. – and all in the end highly subjective interpretations intended to inform the decisional sphere.

Natalia Dushkina, ICOMOS Russia, argued in her paper for the Nara meeting of 1994, that the material (form, setting, techniques, techniques) and the non-material (function, use, tradition, spirit) "used to be the bearers of authenticity in a monument…" that "they transmitted authenticity to us and thus are relative to it…" and that "authenticity is a value category of culture" (Dushkina, 1995: 310). However Annex 4 of the new version of the Operational Guidelines prepared by the Advisory Bodies in March 2003 stated the following:

> Authenticity is not a value itself. Properties do not merit inscription on the World Heritage List simply because they are greatly authentic; rather, inscribed properties must demonstrate first their claim to "outstanding universal value", and then demonstrate that the attributes carrying related values are "authentic", that is, genuine, real, truthful, credible. (Stovel, 2003: Annex 4).

But again, without full agreement on this point, it is very difficult to expect consistency of treatment from States Parties treating authenticity in the nomination documents they prepare.

- **Attempting to look for authenticity in all attributes identified in the Operational Guidelines.**

Early discussion of the four authenticities (adapted from the American seven integrities) acknowledged that these were to be treated "as a composite" (Stovel, 1995: 395).

While Dr. Connally argued for this interpretation in dealing with WH sites, current practice in nominating sites to the American National Register argues the contrary, namely that, "To retain historic integrity a property will always possess several, and usually most, of the aspects. The retention of specific aspects of integrity is paramount for a property to convey its significance. Determining which of these aspects are most important to a particular property requires knowing why, where, and when the property is significant" (Andrus, Shrimpton, 2002).

Again this point is not well understood by States Parties as there are countless examples of both approaches in nominations forwarded to the Committee: authenticity reviewed in relation to all possible attributes, and authenticity reviewed in relation to a selected set of attributes.

- **Treating authenticity as if it were an absolute concept – either present or not.**

This insistence on the absolute approach is present in the current American National Register practice for evaluating integrity: "Historic properties either retain integrity (that is, convey their significance) or they do not" (Andrus, Shrimpton, 2002). While this approach, as with the idea above that authenticity must be present in all attributes "as a composite", may have been present as an objective in the original American concept grafted on to World Heritage practice, it has long since disappeared in use, and authenticity analysis has been very much concerned with relative measurement, measuring …." the degree to which"… specific defined attributes may credibly , truthfully and genuinely express Outstanding Universal Value.

Natalia Dushkina draws a useful distinction in attacking this problem by trying to link absolute assessments to assessments focused on individual attributes:

> Authenticity can be easily diagnosed, when each if its bearers will be examined independently of each other. It is different, when all the components are studied simultaneously . This patterns provides for partial loss of authenticity in each of them (e.g., material authenticity is intact, but the function has changed, there is a loss of the original form, etc.). The examination has a relative character and can add to the dissonance of the whole. Here it is necessary to find the threshold before which the monument authenticity is not yet lost and can be perceived as it is. (Dushkina, 1995: 310)

The difficulty with Dushkina's sleight of hand is that human beings can not readily perceive this magical absolute threshold – at least not altogether, in the same way, at the same time - and all that pragmatic practitioners can hope to do, is measure the relative authenticity of various attributes defined, one by one. We don't have a computer smart enough to perform the intangible sums.

The March 2003 Advisory Bodies version of Annex 4 of the Operational Guidelines suggests that:

> Authenticity is not an absolute qualifier. It is meaningless to state that such and such a property is "undeniably authentic". Authenticity is a relative concept, and must always be used in relation to the ability of particular attributes to express clearly the nature of key recognized values. (Stovel, 2003: Annex 4)

Again while the Operational Guidelines have been very clear on this point, understanding and interpretation of this point varies greatly among States Parties concerned with preparing nominations.

Having failed to find ways to bring States Parties to understand authenticity in completely consistent fashion among themselves over 30 years of nominations, it may be useful to refocus the debate by re-directing attention to analyzing how the various attributes bearing a site's outstanding universal value convey significance.

2.3 Possible ways forward – applying the proposed new framework

Having established the importance of qualifying conditions for both the evaluation process and also perhaps even more importantly for guiding post inscription management, and having established the open ended nature of dialogues surrounding use and development of the integrity and authenticity concepts, it is now important to turn our attention to ways in which the proposed new framework for authenticity and integrity analysis (concerned with conveying significance and also with securing/ sustaining significance) could strengthen the quality of nomination analysis for the World Heritage List, and also the quality and scope of references in place for improving management of World Heritage properties.

In thinking about ways to improve, it is useful to look at how the application of integrity for natural heritage sites has been developed in the examples contained within paragraphs 92-95 of the Operational Guidelines. Integrity is defined in relation to each of the four natural heritage criteria. The relevant paragraphs of the Operational Guidelines are shown below:

> 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.
>
> 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. (Unesco - WHC, 2005: Paragraphs 92 – 95)

These tangible illustrations have been very useful in assisting States Parties to present integrity within their own nominations. This recognition presents a challenge to those interested in improving use of qualifying conditions for cultural heritage nominations – why not see if parallel explanations could be developed, involving for example, definitions of authenticity and integrity in relation to each of the cultural heritage criteria?

The importance of trying this approach had been recognized in earlier efforts to revise the Operational Guidelines, particularly following the Amsterdam World Heritage expert meeting of 1998 intended to unify treatment of cultural heritage and natural heritage. ICOMOS and ICCROM were challenged by the World Heritage Centre (Sarah Titchen) in 1999 to develop statements on authenticity for the six cultural heritage criteria equivalent to those developed for integrity and natural heritage. These efforts failed[5] to find appropriate form at the time, and the current Operational Guidelines remind readers that it is expected that the Advisory Bodies will develop these soon for integrity. (Unesco - WHC, 2005: Paragraph 89)

Two realizations help shape the renewed response to this challenge presented below:

- The sense that it may be useful to deconstruct the two broad concepts of "conveying significance" and "securing and / or sustaining significance" further into a range of distinct supporting sub-concepts.

- The sense that it may be more useful to suggest interpretations of these cultural heritage "qualifying conditions" in relation to heritage typologies than to criteria.

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[5] During the second international symposium on integrated approaches to integrated urban conservation in Recife, Brazil in October 1999, Jukka Jokilehto and the author spent the better part of two days attempting to draft the missing explanations of authenticity for each of the cultural heritage criteria. A text was provided Sarah Titchen of the World Heritage Centre, but this text failed to provide a satisfactory counterpart to the integrity paragraphs on the Operational Guidelines.

Examination of the use of the integrity examples for various natural heritage criteria confirms that while they may work well, given that natural heritage properties may be inscribed under several criteria, then it can be understood that the examples used are illustrating only one facet of the nominated sites, and that the illustrations are not providing a full picture of integrity for the nominated property.

What follows below is an effort to suggest how the existing authenticity / integrity system could be replaced conceptually (and in the Operational Guidelines) for cultural heritage by a system which looks at six sub-aspects of authenticity/ integrity (wholeness, intactness, material genuineness, organization of space and form, continuity of function, continuity of setting) in relation to four cultural heritage typologies (archaeological sites, historic towns, architectural monuments and complexes, cultural landscapes). This is by no means meant to constitute a definitive framework for revising integrity/ authenticity analysis, but rather a framework meant to stimulate discussion and debate about the nature and scope of possible alternative approaches to the existing system.

2.4 New framework for integrity/ authenticity analysis

2.4.1 Archaeological sites

Wholeness: An archaeological site should include all the underground cultural resources (excavated and unexcavated) which are associated with the reasons advanced for its Outstanding Universal Value. Nominations should not be confined simply to exposed areas, but include all these areas that could contribute to the story being told even if those areas have been built over in modern times.

Intactness: An archaeological site should be well maintained, its constituent fabric and materials protected from risk of decay.

Material genuineness: Nominations should identify surviving material resources strongly associated with the OUV of the property. Maintaining integrity/ authenticity of sites does not generally require reconstruction or restoration of surviving fragments, but rather a primary focus on protection of the legibility and substance of archaeological resources, exposed or otherwise.

Genuineness of organization of space and form: Where efforts to communicate OUV appear to demand restoration or reconstruction of existing elements, then such work should be based on existing evidence and should be the least necessary to effectively communicate a site's significant messages.

Continuity of function: Not normally applicable for archaeological sites.

Continuity of setting: Nominations should demonstrate the extent to which the current setting maintains the quality of the setting associated with the OUV of the property. Development controls in an associated buffer zone should be sufficient to protect the character of the setting defined to be important

2.4.2 Historic Towns

Wholeness: An historic town should include all those districts and neighborhoods which are directly associated with the OUV of the nominated property. The limits of the property nominated should be established to include all those constituent areas which contribute to the OUV of the property.

Intactness: An historic town should generally be in a good physical state of repair. Physical, social and economic conditions should support efforts to maintain OUV.

Material genuineness: Surviving historic fabric which contributes to the OUV of the site should be protected. In some cases this may means efforts to protect original material or material from a particularly important phase of city development; in other cases, this may mean efforts to protect the material testimony of successive phases of use over time

Genuineness of organization of space and form: The particular patterns of spatial organization (urban layout of streets and spaces) which contribute to the OUV of the property should be present and legible. If a city's heritage value lies in its continuity of occupation for over 2000 years, then it should be possible to read the evolution and transformation of built form and patterns of spatial arrangement in the surviving city.

Continuity of function: If the primary historic function(s) of an historic city contribute to its OUV, then every effort should be made to ensure continuity of function over time. Where these functions may now be obsolete, efforts should be in place to encourage compatible functions or at minimum those functions which do not obliterate the evidence of significant earlier functions. Cities which have exchanged historic uses for dependency on touristic use are particularly vulnerable to loss of important attributes.

Continuity of setting: Nominations should demonstrate the extent to which the current setting of the settlement maintains the quality of the setting associated with the OUV of the property. Development controls in an associated buffer zone should be sufficient to protect the character of the existing setting in ways compatible with the OUV of the property.

2.4.3 Architectural monuments and complexes

Wholeness: A monument or complex should include all those elements, features and structures which are directly associated with the OUV of the nominated property. The limits of the property nominated should be established to include all of those constituent features which support the OUV of the property. A monastic complex for example should include all contributing buildings, not just the largest, oldest or more aesthetically significant – but for example, include also the chapter houses, library and archives, cooking and dining features, domestic work shops, gardens, etc. as well as the important churches and chapels.

Intactness: A monument nominated to the WH List should generally be in a good physical state of repair. The physical, social and economic conditions necessary to maintain the monument in good condition should also be present.

Material genuineness: Surviving historic fabric which contributes to the OUV of the monument should be protected. In some cases this may mean efforts to protect original material or material contributing to "unity of style" perceived as important; in other cases, this may mean efforts to protect evidence of successive phases of use over time, if property "evolution" is linked to OUV. Material fabric within a monument which is deemed not to contribute to OUV may be removed if this enhances appreciation of other aspects of the structure which do contribute to OUV. For example, mid 20th century additions which obscure the medieval characteristics of a temple valued for the excellence of its medieval artistic expression could be legitimately removed, if this action does not impair legitimate use or financial viability.

Genuineness of organization of space and form: The particular aspects of a monument's design, formal arrangement or patterns of spatial organization (layout of internal corridors and spaces for example) which contribute to the OUV of the property should be present and legible. If a property's heritage value lies in the classical organization of its Renaissance design for example, then the defining characteristics of that design approach

(for example, symmetry, use of classical orders arranged in defined hierarchies, etc.) should be legible and coherently expressed.

Continuity of function: If the primary historic function(s) of a monument contribute to its OUV, then every effort should be made to ensure continuity of function over time. Where these functions may now be obsolete, efforts should be in place to encourage compatible functions or at minimum those functions which do not obliterate the legibility of significant earlier functions.

Continuity of setting: Nominations should demonstrate the extent to which the current setting of the historic settlement reflects the quality of the setting associated with the OUV of the property. Development controls in an associated buffer zone should be sufficient to protect the character of the existing setting in ways compatible with the OUV of the property.

2.4.4 Cultural Landscapes

Wholeness: A cultural landscape should include all those features, patterns and dynamic use and management processes which are directly associated with the OUV of the nominated property. The limits of the property nominated should be established to include all those constituent areas which support the OUV of the property.

Intactness: As well, a cultural landscape should generally be in a good physical state of repair and functioning. All physical, social and economic conditions necessary to ensure maintaining the quality of the state of conservation of the landscape should be in place.

Material genuineness: Surviving historic fabric which contributes to the OUV of the cultural landscape should be protected. In some cases this may mean efforts to protect original features or patterns perceived as important; in other cases, this may mean efforts to protect evidence of successive phases of use over time, if landscape "evolution" is linked to OUV.

Genuineness of organization of space and form: The particular patterns of spatial organization (landscape layout and organization – movement systems (rail, road, water), infrastructure systems etc.) which contribute to the OUV of the property should be present and legible. If a landscape's heritage value lies in its continuity of occupation for several centuries, then it should be possible to read the evolution and transformation of built form and patterns of spatial arrangement in the surviving layers of the landscape.

Continuity of function: If the primary historic function(s) of a landscape contribute to its OUV, then every effort should be made to ensure continuity of these functions over time. Landscapes valued for their design qualities or their associative qualities are particularly vulnerable to changes of function; landscapes valued as evolving landscapes (for the most part, agricultural landscapes) are best managed where character defining functions are maintained.

Continuity of setting: Nominations should demonstrate the extent to which the current setting of the cultural landscape maintains the quality of the setting directly associated with the OUV of the property. Development controls in an associated buffer zone should be sufficient to protect the character of the existing setting in ways compatible with the OUV of the cultural landscape.

The above is simply a set of hypothetical suggestions which illustrate how this approach could possibly be developed and presented within future Operational Guidelines.

2.5 Building capacity

Finally, if a new approach is adopted, there is a need to build capacity at all levels in use of these revised concepts in preparing nominations and in managing inscribed properties. Efforts to fund capacity building programs for WH properties have always fallen far short of the need for such support in relation to dozens of important themes and areas of understanding in WH. Yet building comfort with use of these new concepts could dramatically strengthen ability to measure effectiveness of conservation treatments, and ultimately to improve conservation work – and to strengthen efforts to maintain the Outstanding Universal Value of World Heritage properties.

Conclusion

This paper has argued that the qualifying conditions of integrity and authenticity are essential both to ensure the quality of analysis employed for cultural heritage properties during the nomination phase, and equally importantly, to ensure the quality of guidance provided to management and conservation treatment decisions made subsequent to inscription. This paper has argued further that the concepts which lie behind the two qualifying conditions of integrity and authenticity need to be deconstructed and re-assembled in ways which would allow them to be more easily understood and used in conservation analysis for WH properties. The paper has also illustrated how a new approach could be developed within use of the two guiding concepts, and which if adopted which could include all the former component ideas – but perhaps now more clearly understood – and spelled out in relation not to inscription criteria but to heritage typologies. Finally the paper has urged the WH Committee to strengthen efforts to build awareness of the importance of these concerns and to explore means to increase capacity for their practical use in preparing nominations and in post-inscription operations for cultural heritage properties.

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NOTES ON THE DEFINITION AND SAFEGUARDING OF HUL

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Abstract

The present paper is a personal reflection on the notion of HUL, Historic Urban Landscape, which originated from an international conference in Vienna in 2005. The concept was then discussed in a series of international and regional meetings under the auspices of UNESCO, aiming at a new international recommendation. The paper attempts to identify some basic references for the recognition of concepts and definitions that could be related to the notion of Historic Urban Landscape. These include international recommendations by UNESCO and charters by ICOMOS, as well as the theory of restoration by Cesare Brandi. It is claimed that the general approach to HUL could be defined in the framework of conservation and restoration. At the same time, it is not proposed to define HUL as another category of heritage. Rather, once recognised certain urban and related rural and natural territory has particular qualities, it would call for a systematic approach, and the use of multiple planning and management tools. A key characteristic of HUL is the definition of the condition of integrity, seen in social-functional, structural-historical, and visual terms. Each of these would be taken as a reference for the definition of appropriate strategies for protection and conservation. Regarding the planning and management system, communication and information management are crucial, including links between the different levels of decision making, from local to national and even supranational. The paper concludes by recalling that the recognition of the Historic Urban Landscape is fundamentally a cultural issue, based on knowledge of our heritage resources, and the critical assessment of associated assets and merits.

Keywords: historic urban landscape, concepts, recognition.

Concerning definitions

The definition of the Historic Urban Landscape, HUL, has its origins in the Vienna Memorandum, resulting from the international conference of Vienna in 2005.[1] Initially, HUL was based on the definition of 'historic areas' in the 1976 UNESCO *Recommendation concerning Safeguarding and Contemporary Role of Historic Areas.* The principal differences compared to the 1976 recommendation, I believe, are in the trends that have taken place over three decades, i.e. from static to dynamic, and from centralised to decentralised. There is also a trend of looking at 'integrated conservation' in a new perspective, which could now perhaps be seen more as 'integrated development'.

It may be interesting even to refer to the Latin concept: *urbum,* aiming to limit the urban settlement. This can help to mark the traditional boundary between urban and rural, which is now becoming less clear. Indeed, the attention now would seem to be on the expansion of the urban influence into a much broader planning/management context. Therefore, we are speaking not only of the 'urban', but also of the urban-rural-natural. I

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[1] Vienna Memorandum on "World Heritage and Contemporary Architecture - Managing the Historic Urban Landscape", UNESCO, World Heritage Centre, 2005 (WHC-05/15.GA/INF.7).

have always liked the principle in the 1976 recommendation: *Every historic area and its surroundings should be considered in their totality as a coherent whole whose balance and specific nature depend on the fusion of the parts of which it is composed and which include human activities as much as the buildings, the spatial organization and the surroundings*. At the same time, historic areas are defined as 'immovable heritage'. And, in the World Heritage context, historic towns and urban areas are normally defined as groups of buildings. The question can be raised, whether we should still continue talking only about 'immovable heritage' and 'groups of buildings' in the case of large urban areas? In fact, a Historic Urban Landscape could logically be defined as 'a site'.

A Historic Urban Landscape can have many elements, if we want to call them thus. Potentially, these elements would include urban and sub-urban areas, as well as the associated rural and natural environment. Rural would refer to land cultivated and built for purposes of rural life and production. Today, such rural environment rarely exists close to large cities, because this is becoming increasingly 'suburbanised'. However it can still be relevant to smaller towns, say Assisi! The elements also include the geomorphology of the region concerned, which not only refers to visually defined areas, but also to a territorial continuum, involving the environmental spatiality, not forgetting that geology and materials are part of the basis of the built landscape. Looking at the landscape in reference to these elements, we can note that vernacular architecture generally takes its character from the geology and materials of the area. These give visual as well as structural impacts on the landscape. The 'pre-existences', i.e. layers of previous settlement forms, form another aspect that contributes to the historical and cultural identity and specificity. The embedded forms of these layers can often be read in the later spatial patterns of the urban layout.

Taking the more visual aspects of landscapes, we can refer for example to the Japanese concepts of 'borrowed landscape', distant vistas, and the 'spiritual bond' with the setting.[2] Cities and towns have settings, which can include distant mountains (e.g. Rome, Tehran), or they can be surrounded by hills (e.g. Vienna, Bologna, Bath), or they can be built on the slopes or the top of hills (Assisi), or they can be integrated into cultivated fields that form their visual identity. The historic urban landscape can include all or some of such elements.

To develop is taken to mean: to unfold, to unveil, to disclose, to bring forth, to cause to grow.[3] Development can thus have various meanings. It does not necessarily mean speculation aiming to change or to replace with new. Development can be understood as the progress improving the quality of the place and aiming at a better quality of life. Indeed, development can be understood as unveiling the potential (cultural, social, economic), and bringing forth something that continues to retain its qualities and significance. We can integrate development with cultural and environmental sustainability. To develop can be understood as the realisation of the cultural and environmental potential of a place or a landscape, HUL. Any development will be based on resource management. This does not necessarily refer to finances (though often necessary), but to all types of resources, including human in general and professional in

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[2] The so-called "Machinami Charter", Charter for the Conservation of Historic Towns and Settlements in Japan, (adopted by Japanese ICOMOS Committee in 2000) gives the following definitions: "Machinami, usually translated as 'Historic Town', is a Japanese word that includes a nuance of the historic core, in both its tangible and intangible factors, its physical and spiritual aspects, that would be created by a 'bond of spirits'. It also contains the tone of making a line, hand-in-hand, that applies both to buildings and to people. Shuuraku, the Japanese word for 'settlement', is often translated as village. In this Charter it also contains an idea of a community's surrounding natural and cultural environment."

[3] Shorter Oxford English Dictionary, Oxford, 1975.

particular. Part of the resource is the existing building stock and the environmental heritage, which must not be undermined or destroyed with the excuse of inconsiderate development.

Certainly, through the analysis of the characteristics and qualities of a particular HUL, one can discover that there have also been negative changes and harmful developments. Planning and management of HUL should thus also include corrective measures that aim to enhance the potential of the qualities of the place. Issues that need to be taken into account include construction of roads, electric power lines, irrigation systems, etc. These should normally be planned in a proper manner but there can be mistakes in their relationship with the environmental setting, which it should be possible to correct. One of the problems can be that such infrastructures are not necessarily decided at the local level, but within the regional or national framework. I have noted that some of the European economic, commercial and industrial policies or strategies may go against the Council of Europe's recommendations and conventions regarding conservation of heritage resources. There does not seem to be any monitoring mechanism in this regard.

The European Landscape Convention defines the following terms, which could be useful also in the case of HUL. This concerns particularly the issues of planning and management. Indeed, once HUL is defined, it may be necessary not only to protect, but also to undertake corrective measures, such as 'restoring' distant vistas or spatial relationships:

> d. "Landscape protection" means actions to conserve and maintain the significant or characteristic features of a landscape, justified by its heritage value derived from its natural configuration and/or from human activity;
>
> e. "Landscape management" means action, from a perspective of sustainable development, to ensure the regular upkeep of a landscape, so as to guide and harmonise changes which are brought about by social, economic and environmental processes;
>
> f. "Landscape planning" means strong forward-looking action to enhance, restore or create landscapes. [4]

Regarding the identification of HUL

We should try to approach HUL not only in two (PLAN) dimensions but in three (SPACE) and even four (TIME) dimensions. HUL can include protected areas, but HUL would normally not have to form one single protected area. Therefore, one would not necessarily start by drawing a boundary. Rather, it would be necessary to first identify the significant characteristics and qualities of the place. Such landscape characteristics could for example be defined in distant vistas. In order to guarantee that such vistas remain open might require limiting the heights of constructions so as not to obstruct them, or alternatively declare such areas '*non-edificabile*'.

The spatial qualities of an urban landscape, or townscape, will not reveal to be perceived all at one time, but rather as a sequence of spaces. Such qualities can be approached at the micro level in terms of the built spatiality (townscape),[5] as experienced by walking or driving slowly through the urban areas, as well as at macro level within the continuum of the landscape. Indeed, at the macro level, we should not think that HUL

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[4] European Landscape Convention, 2000, article 1, d-f.
[5] The notion of 'townscape' was first analysed by Gordon Cullen in the 1950s (see: G. Cullen, Concise Townscape, Reed Educational and Professional Publishing Ltd, Oxford 1961).

ends on this side of the hill, but it can continue behind offering new series of spatial qualities, in surprises and drama that result from driving through the landscape. HUL should not be experienced only from a few view points, but rather it should be defined in relation to multiple panoramas and spatial views within the region concerned, and views into the settings - even distant - in the form of borrowed landscapes.

Regarding the limitations, it is necessary to look at the concept of HISTORIC Urban Landscape. I understand that to be historic an urban landscape should be understood as the result of a gradual process over time. To be 'historic' does not mean that the entire place must be protected as national heritage. It can easily be referred to vernacular local landscapes. In fact, the question has been posed about the role of tourism in the definition / recognition of HUL. In my view, tourism is in the process of change, and there is an increasing number of people who do not want to go with the crowd, but rather contact local populations and learn from normal life. In fact, there are cases, like Kyoto in Japan, where the local population has taken the initiative to start consciously improving their urban environment, improving the design of shop fronts, and getting rid of large ugly building blocks. HUL would serve first of all the local population. Therefore, it will be fundamental to provide mechanisms that allow their empowerment and informed involvement.

Taking a look at the history of settlements, we can observe that until the 17th century and even 18th century, cities and towns used to be fortified. However, starting from here, there is an increasing occupation of lands outside the walled city. With the Industrial Revolution, this occupation becomes a pattern of growth, and in many cases city walls are demolished. In Vienna, the baroque walls are replaced with the 19th -century Ringstrasse, which itself becomes an important architectural achievement (now part of WH).[6] The ancient walled city area, such as Vienna, would be surrounded by suburban developments, which in many cases were not homogeneous but involved growth in nearby rural centres and villages, which gradually became part of the urban area. In fact, contrary to the statements of many international charters, historic urban areas are often heterogenic rather than harmonious and homogenised. Indeed, such embedded social and cultural diversities can become assets in the new development.

As a result, the ancient nuclei, including walled towns and old villages, often retain at least part of their historic (pre-19th century) fabric, which are site-specific. Instead, the surrounding areas tend to reflect the architectural and urban-planning trends of the 19th and 20th centuries, which are increasingly similar in all parts of the world, reflecting the global trends. Today, the international doctrine however has given recognition not only to old buildings and areas but also to more recent architecture and building stock. So, we cannot say that something that is recent does not count. Indeed, the recommendation regarding the notion of HUL is not specifically about World Heritage properties, though World Heritage Committee has by now recognised the significance of recent built heritage. Nonetheless, it is necessary to establish guidelines for the assessment and recognition of areas approached with the scope of defining HUL. Such guidelines should be applicable in any historic urban area, and, in exceptional cases, such areas could even qualify for WH recognition.

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[6] The Historic Centre of Vienna was inscribed on the World Heritage List in 2001 with the specific recommendation not to build high-rise buildings that would obstruct its visual integrity. The on-going project of high-rise development in Wien Mitte area was stopped, and an international conference was hosted by Vienna in 2005 to discuss introduction of modern buildings in historic context.

Doctrinal references?

It would seem that we should go back to the definition of restoration by Cesare Brandi: *Restoration consists of the methodological moment in which the work of art is recognized in its physical being and in its dual aesthetic and historical nature, in view of its transmission to the future.[7]*

Nevertheless, we are not trying to define the historic urban landscape as a 'work of art'. But, it certainly is a product of human (more or less) creative activity. Therefore, we can learn from Brandi's approach to defining a special product of humanity, this time called HUL. We need to establish a historical-critical approach, which should take into account the aesthetic-visual qualities of a place (micro-macro), as well as the process that has gradually produced the result (history). We should take into account the value judgements that may have evolved over time, and therefore base our assessment on the identification and evaluation of the criteria that were used in the construction of the areas concerned. In more recent times, these criteria can normally be found in the urban master plans, while in the previous centuries they would need to be discovered through an analysis of the urban fabric and relevant documentary evidence in the archives. Returning to the restoration theory, Brandi concludes that: *Only the material of the work of art is restored.[8]* In the urban context, this obviously would refer to the physical fabric. On the other hand, it does not exclude efforts to safeguard the intangible cultural heritage, the social-cultural continuity in the community.

Regarding the definition of historic urban areas, we can start by recalling that Bernardo Secchi in his *Prima Lezione di Urbanistica* compares a town to a garden.[9] So, what is a historic garden: the ICOMOS 1982 Florence Charter[10] defines it as follows:

> Art. 4. The architectural composition of the historic garden includes: Its plan and its topography. Its vegetation, including its species, proportions, colour schemes, spacing and respective heights. Its structural and decorative features. Its water, running or still, reflecting the sky. - -

> Art. 9. The preservation of historic gardens depends on their identification and listing. They require several kinds of action, namely maintenance, conservation and restoration. In certain cases, reconstruction may be recommended. The authenticity of an historic garden depends as much on the design and scale of its various parts as on its decorative features and on the choice of plant or inorganic materials adopted for each of its parts.

Regarding the character and recognition of the living historic areas, we can recall the 1987 ICOMOS *Carta de Petrópolis,[11]* which states:

> The main purpose of preservation is the maintenance and enhancement of reference patterns needed for the expression and consolidation of citizenship. It is through the outlook of the citizen's political appropriation of urban space that preservation may contribute to improve life quality.

In the same year, the ICOMOS Historic Towns Charter[12] indicated:

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[7] Brandi, C. 1963. Teoria del restauro. Edizioni di Storia e Letteratura, Roma, p. 34.

[8] Brandi, C., op.cit. p. 35.

[9] Secchi, B. 2004. Prima lezione di urbanistica. Edizioni Laterza.

[10] ICOMOS, The Florence Charter on Historic Gardens, adopted by ICOMOS in December 1982.

[11] Carta de Petropólis was drafted during the 1st Brazilian Seminar for the Preservation and Revitalisation of Historic Centres, at Petrópolis in 1987 .

[12] ICOMOS, Charter for the Conservation of Historic Towns and Urban Areas, "Washington Charter", 1987, adopted by ICOMOS General Assembly in Washington D.C., October 1987.

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 damage to these qualities could compromise the authenticity and/or integrity of the historic town or urban area.

Approaches to HUL?

The above qualities continue to be valid references regarding the recognition and safeguarding of historic urban landscapes. A further step that is now necessary is to explore how to approach the process of safeguarding and conservation of historic urban landscapes. The ICOMOS 1993 Training Guidelines[13] define 'conservation': *The object of conservation is to prolong the life of cultural heritage and, if possible, to clarify the artistic and historical messages therein without the loss of authenticity and meaning. Conservation is a cultural, artistic, technical and craft activity based on humanistic and scientific studies and systematic research. Conservation must respect the cultural context.* In the international English language, conservation is generally taken to indicate the overall approach to safeguarding the qualities and associated values in historic resources, whether individual buildings or larger areas. Obviously, the same word could also be used for specific types of treatments, such as conserving architectural surfaces.

Regarding the concept of 'restoration', the 1964 Venice Charter defines it: *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.* (art. 9) Brandi's Theory of Restoration, which was published just a year earlier, defines restoration: *Restoration should aim to re-establish the potential oneness ('unità potenziale') of the work of art, as long as this is possible without committing artistic or historical forgery, and without erasing every trace of the work of art's passage through time.*[14] Again, restoration can have different connotations; one of these is the specialised operation as indicated above. The other connotation could be associated with the modern conservation culture, i.e. the recognition of historic places as heritage, and undertaking processes for their safeguarding and conservation. The Italian Charter of Restoration of 1972,[15] which was written in collaboration with Brandi, states, regarding historic urban areas:

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[13] ICOMOS Guidelines for Education and Training in the Conservation of Monuments, Ensembles and Sites, adopted by the ICOMOS General Assembly at Colombo, Sri Lanka, 1993.

[14] Brandi,C. op. cit., p. 36: 'Il restauro deve mirare al ristabilimento della unità potenziale dell'opera d'arte, purché ciò sia possibile senza commettere un falso artistico o un falso storico, e senza cancellare ogni traccia del passaggio dell'opera d'arte nel tempo.'

[15] Carta Italiana del Restauro, 1972, Circolare n. 117 del 6 aprile 1972, Ministero della Pubblica Istruzione, allegato d: 'Il carattere storico va riferito all'interesse che detti insediamenti presentano quali testimonianze di civiltà del passato e quali documenti di cultura urbana, anche indipendentemente dall'intrinseco pregio

> The historic character refers to the interest that such settlements represent as testimonies of past civilities and as documents of urban culture, even independently from the intrinsic artistic or formal merit or their particular environmental aspect, which can further enrich or enhance its value, considering that not only architecture, but also the urban fabric, in itself, has significance and value.

Even though, HUL is not necessarily a Work of Art, and there are many differences in the implementation of the approaches, compared to individual buildings or small ensembles, there is something in common. The main issue is about taking care of the results of human creativity. Sometimes the question is of a major masterpiece of creative contribution; in other cases we may be dealing with more modest traditional or vernacular settlements in their rural surroundings. At any rate, in line with the restoration theory, the identification of a Historic Urban Landscape should be understood as the result of a social-cultural recognition of specific qualities and associated values in the built environment in its setting, justifying measures of safeguard. Like restoration theory, the theory of HUL should therefore offer principles that can guide a historical-critical approach to the identification and recognition of specified characteristics in the environment, associated with layers of significance and values, which can be proposed to be safeguarded, restored and/or revealed.

Strategic framework

The theory of restoration refers to the critical process whereby the significance of a work of art is recognised. Once defined, the work of art can be perceived in its *unità potenziale.* This notion is sometimes translated as 'potential oneness', which however does not express the meaning of '*unità'* in its meaning of 'sticking together', 'creating a union'. This means that the artistic quality refers to an artistic whole, which is more than the sum total of its parts. It is the whole that carries the significance that can be potentially associated with the individual parts perceived in their relation to the whole. Considering that the different parts of an Historic Urban Landscape have been built in a specific context, there is necessarily a link with what there was previously. Or, at least, there should be such a link. Unfortunately, recent urban developments have tended to ignore this issue, but it is one of great interest to HUL even in its intrinsic diversity.

The idea of *unità potenziale* can be seen in the identification of the integrity of a Historic Urban Landscape. The condition of integrity of a place can be referred to the identification of the elements and characteristics that are careers of significance of the entire HUL, and where the elements should be seen as parts of the whole. Secondly, integrity is referred to the state of conservation and the visual condition of the area concerned. Consequently, the issue of integrity can be defined in reference to:

a) the functional and symbolic relationships that link the different elements that have been created or that have grown as a result of forces of production, the economic, social and cultural development of the place (social and functional integrity);

b) the state of conservation of the individual elements of the place, which can be referred to the historical-typological-morphological condition of the fabric and its setting (structural and historical integrity);

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artistico o formale o dal loro particolare aspetto ambientale, che ne possono arricchire o esaltare ulteriormente il valore, in quanto non solo l'architettura, ma anche la struttura urbanistica possiede, di per se stessa, significato e valore.'

c) the visual image that results from the building and transformation processes over time (visual integrity, or potential unity, using Brandi's term).

Strategies related to Functional Integrity: It has been said that history builds the town.[16] However, it may be more exact to refer to the economic, social and cultural processes that set up the forces of development. Indeed, in order to understand the significance of an historic urban landscape, it is necessary to understand the reasons for the foundation of a place and the forces that have given the incentives for its further development. The reasons may be related to economics, such as trade and industry, or to cultural, spiritual or other reasons. The way the place develops is generally dependent on the environment that forms its setting, including the geology and available materials, location in plain or in mountain region, as well as its relation to potential routes of communication. The forces of development may change over time resulting in changes in land use and new communication networks. Such changes may build up resulting in a stratigraphy of patterns of land-use that can be recognised as part of the history and archaeology of the place.

On the basis of such analyses, one can identify the extent of influences or impacts that the centres of production have or have had over time, and the mutual relationships of the different elements, whether resulting from purposeful design or gradual growth. The processes are generally accompanied by gradual transformation of the environment in interaction with nature, also contributing to the overall visual integrity of the place. Furthermore, depending on the type and character of the place, there can be different layers of significance associated with it, including symbolic, spiritual or mythological references to individual focal points, the layout or the location (e.g. geomancy).[17]

Strategies related to Structural Integrity: Life is associated with change. A living community creates and/or is subject to continuous processes, which can result in gradual transformation of the urban landscape and its relationship with the setting. There can be different situations:

a) Over time, the community can have reached an equilibrium consolidating the different relationships, and having an optimised use of the available space. As a result, while the production may continue, this does not necessarily result in a physical growth of the areas occupied.

b) In other communities, growth processes may continue resulting in ever larger communities and even metropolises, where several communities come together into an administrative ensemble. The Brazilian Carta de Petropolis has indicated: *Within this wider space, enriched with values of remote or recent origin and permanently undergoing a dynamic process of successive transformations, new urban spaces may be considered as environmental evidences in their formative stages.*

c) A third case can be formed of communities, where the economic situation is declining, and the population may be leaving the place, which is gradually abandoned. Depending of the significance of each case, the strategies may favour safeguarding the existing situation as testimony of past processes, or there may be interests to revive such centres integrating them with new vigour.

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[16] Korn, A. 1955. History Builds the Town, Lund Humphries. London.
[17] The notion of 'geomancy' refers to a Greek word indicating a method of divination that interprets markings on the ground or the patterns formed by tossed handfuls of soil, rocks, or sand. (see: Wikipedia) The concept of geomancy was important in ancient China, when identifying suitable places for building in relation to the environment. This may well be an issue to consider also in defining HUL.

The policies and strategies for the safeguarding and integrated development of a Historic Urban Landscape will depend on the assessment of the situation as indicated above. At any rate, it is necessary to verify the compatibility of use and the correspondence of the existing structures to the historically consolidated patterns, as well as the state of conservation of the significant elements and characteristics. As a result of such assessments, it is possible to identify appropriate policies and strategies aiming at safeguarding existing features, and eventually recovering partly lost elements so as to enhance the qualities of the HUL. At the same time, it is also necessary to establish a system of management and monitoring, in order to anticipate and guide any potential transformations in harmony with the qualities of the place.

Strategies related to Visual Integrity: The 1962 UNESCO Recommendation[18] states that: *the safeguarding of the beauty and character of landscapes and sites is taken to mean the preservation and, where possible, the restoration of the aspect of natural, rural and urban landscapes and sites, whether natural or man-made, which have a cultural or aesthetic interest or form typical natural surroundings.*

The European Landscape Convention (2000)[19] gives the following definition: "*Landscape" means an area, as perceived by people, whose character is the result of the action and interaction of natural and/or human factors.* Consequently, the visual or aesthetic assessment is of fundamental importance to the perception of landscape. In principle, any area could be defined as a landscape if recognised as such by a community.

Concerning Historic Urban Landscape, the question is of an urban landscape within its environmental setting, resulting from gradual growth processes and perceived and recognised for its cultural significance. Therefore, HUL is not to be assessed simply for its aesthetic beauty, which is not easy to assess anyway, but rather more as a result of social, cultural and economic processes that have given it its present form. Therefore, the aesthetics should be based on the critical assessment of the qualities and characteristics that have historically defined HUL and for which it has been recognised by the community.

The approaches to the policies of safeguarding the visual integrity of HUL will depend on the identification and recognition of the significance of the individual elements as part of the whole of the landscape. In reference to the characterisation of the dynamics of the area concerned, we have identified three cases:

a) HUL continues to live and evolve but has reached an equilibrium regarding its relationship with its setting. There may be a potential of minor changes in the existing fabric and land use.

b) HUL continues its growth process, and is potentially expanding. This can also mean structural changes in the existing fabric and land use, including possible occupation of more land in the surrounding areas;

c) HUL is subject to economic decline resulting in less activities and possible loss of population. This can mean that there are less resources available for the maintenance and care of the historic fabric and cultivated lands.

Considering that HUL is necessarily part of a wider social-economic context, the planning and management needs to take this into account. It is particularly important

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[18] UNESCO Recommendation concerning the Safeguarding of the Beauty and Character of Landscapes and Sites, 1962, article 1.
[19] European Landscape Convention, adopted by the 718th meeting of the Committee of Ministers of the Council of Europe, in 2000, article 1, a.

considering the increasing globalisation and the different levels of decision-making, where the local authority and community often need to live with strategies taken elsewhere.

Planning and management tools

Historic Urban Landscape means an approach to the identification and recognition of specified qualities, characteristics and significant relationships in the built and natural territory, resulting from processes over time and being associated with multiple layers of significance. Safeguarding and Integrated Development mean processes of planning and management, while monitoring and controlling the forces and rates of change so as to retain and/or regenerate and enhance the qualities of HUL.

Planning and management of Historic Urban Landscapes will necessarily involve numerous stakeholders and authorities, placed at different levels of hierarchy. Therefore, one of the key issues in the management will be communication. This must be well integrated into the management system and plans in order to be effective. In difference to the situation in the 1970s, when the UNESCO Recommendation concerning historic areas was drafted, there tends to be lack of centralised authority. Indeed, the role of initiatives by the private sector has increased in many countries. At the same time, supranational decisions regarding economic development and the construction of communication systems and infrastructures can have serious impact on individual communities, who may have little to say in the process. Or, they are informed too late. Consequently, information management and an effective monitoring system of the decision-making processes at all levels are crucial.

Historic Urban Landscapes often refer to relatively large territories including associations to even distant features. Consequently, considering the complexity at stake, there will be need for a number of different planning and management instruments. Obviously, the choice will need to be decided case by case taking into account the scope of the work. HUL may contain protected historic buildings, urban or rural conservation areas, as well as protected natural environments. There can also be important vistas and panoramas which refer to areas beyond the administrative competence of a community. For example, in the case of Chandigarh, an important mountain scenery recognised by le Corbusier is outside the jurisdiction of the State that houses the city. Furthermore, there would often exist urban master plans, as well as urban conservation plans, visitor management plans, etc. Essential is that all these plans and related management systems be properly cross-referenced. In particular, it will be necessary to monitor that there are no proposals that would potentially conflict with the principles and strategies expressed in HUL.

The definition and implementation of HUL would be mainly based on the existing and/or newly created planning and management instruments according to case. HUL would not be just another master plan, but rather it should offer a general policy reference for safeguarding and integrated development policies and strategies. There are many analyses that are necessary as part of the process of recognition of HUL. These could be undertaken using the existing planning/management instruments. Similarly, the implementation of the safeguarding measures, land-use planning and management could be carried out within the frameworks of existing instruments. The recognition of HUL will most probably require some additional information and management measures, which should be taken care of and the results integrated into the relevant instruments. Consequently, we can consider that HUL once recognised would become an overall management framework. It would be implemented through the various tools necessary

for the control and development of the built and natural environment, but taking into account and integrate the principles and guidelines developed in reference to HUL.

It is worth still repeating the 1993 ICOMOS Training Guidelines definition of conservation: *now recognised as resting within the general field of environmental and cultural development. Sustainable management strategies for change which respect cultural heritage require the integration of conservation attitudes with contemporary economic and social goals including tourism.* Fundamentally, education and sensitisation for conservation of heritage should begin in schools and continue in universities and beyond, as stated in the ICOMOS Guidelines. There has been tendency in recent years to emphasise the role of the local community, which is important and even essential. Nevertheless, it should not result in the exclusion of professionals. Conservation of heritage requires a multidisciplinary approach involving many professions as well as property owners and decision makers.

Considering that UNESCO is now proposing to integrate culture as one of the pillars of UN policies, it is even more important that similar initiatives be taken at the national and local levels. It is here that the policies are implemented. Such educational and training policies should consider the integration of necessary awareness as a requirement in career structures of professionals and in the appointment of officers responsible for the management and development of the built and natural environment.

The recognition of the Historic Urban Landscape is a cultural issue. The associated values are partly cultural and social, partly economic and political. The key question is to find common ground between these too often conflicting attitudes, and to build up an approach that not only recognises the qualities of the environment where we live, but is also capable of balanced and critical judgements regarding its improvement and development. Personally I have always been critical of defining 'conservation equal to management of change'. It is obvious that change is involved. We are dealing with living entities. We need progress. We need to improve. Therefore, we need knowledge of our heritage resources, and we need critical judgement based on balanced assessment of the assets and merits of decisions regarding the integration of the HUL approach into the decision-making processes.

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Evolution of the application of "outstanding universal value" for cultural and natural heritage

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I have been asked to look at how the concept of outstanding universal value has been applied over time for cultural and natural heritage. The core of this discussion centres on two interpretations of that concept: "the best of best" and "representative of the best". Does outstanding universal value mean the best of the best or does it mean representative of the best? In other words, is outstanding universal value limited to unique sites or does it extend to several sites that represent the same type of property? My role today is to look at that question through the lens of implementing the *World Heritage Convention*. In actual practice – the day-to-day operation of the Convention – how have the Committee and Advisory Bodies interpreted outstanding universal value?

The concept is at the heart of the *World Heritage Convention*. Outstanding universal value occurs ten times in the *Convention* text, including in the preamble and in articles 1and 2 that define cultural and natural heritage. But the term itself is not defined. The closest one gets to a definition is in article 11.2, which establishes the World Heritage List. The List is to be composed of properties that the Committee "considers as having outstanding universal value in terms of such criteria as it shall have established."

This leaves the definition of outstanding universal value to the *Operational Guidelines*. The concept is given meaning through the application of 10 assessment criteria. In earlier versions of the *Operational Guidelines*, outstanding universal value is defined as "a select list of the most outstanding properties … as defined by Articles 1 and 2 of the *Convention* … [and] interpreted by the Committee by using two sets of criteria"[i]. In the new 2005 *Operational Guidelines*, outstanding universal value is defined as "so exceptional as to transcend national boundaries and to be of common importance for present and future generations of all humanity… The Committee defines the criteria…"[ii]. The common elements of these two definitions are the idea of **selection** ("most outstanding" and "so exceptional") and the **application of criteria** created by the Committee.

When I first became involved with World Heritage in the mid-1980s, I encountered a certain mythology. Some said that the Advisory Bodies, ICOMOS and IUCN, applied the criteria differently in their recommendations. Some believed, so the myth ran, that ICOMOS leaned towards "representative of the best" and IUCN stayed with "best of the best". The Committee, so the story goes, followed the advice of the Advisory Bodies and

made designations using different standards for cultural and natural properties. That mythology continues to prevail today.

Reality Check

I would like to challenge that mythology. To do so, I propose to examine the operation of the *Convention* over its first thirty years. When one looks at the track record, are there really different applications of outstanding universal value being applied? To anticipate my conclusion, I hope to illustrate that the definition began at the same place for both cultural and natural sites, and then evolved over time at a different pace for cultural and natural heritage.

In the first five years of the *Convention*, there was a strong tendency to list iconic sites. By iconic, I mean sites that transcend cultural affiliation, sites that are unique and widely known. These properties clearly meet the benchmark of "best of the best". Their evaluation did not require much by way of comparative context and analysis, since they were unique and famous. The recommendations of the Advisory Bodies were for the most part positive, given that the universal values of the proposals were quite evident. The World Heritage Committee was able to reach a comfortable consensus on their outstanding universal value without the need for comparative studies.

In the first five years, between 20% and 30% of listed sites could be considered iconic. While I invite you to examine the List for yourselves, I offer some examples by way of illustration: Ngorongoro (Tanzania), one of the main sites of early hominid footprints; Memphis and the pyramid fields from Giza to Dahshur (Egypt), one of the seven wonders of the ancient world; Kathmandu Valley (Nepal), crossroads of the great civilizations of Asia; Historic Centre of Rome (Italy), centre of the Roman Republic and Roman Empire, then capital of the Christian world; the Fort and Shalamar Gardens in Lahore (Pakistan), masterpieces from the brilliant Mughal civilization; the Medina of Fez (Morocco), home to the world's oldest university; Galapagos Islands (Ecuador), a living museum and showcase of evolution; Grand Canyon (USA), the most spectacular gorge in the world; Great Barrier Reef (Australia), the world's largest collection of coral reefs; and Serengeti (Tanzania), whose great plains thunder with the annual migrations of gazelles, zebras and wildebeests.

These early examples would likely meet the definition from the *Operational Guidelines* of "most outstanding" or "so exceptional"[iii].

If we can agree on that starting point, it is clear that something changed. If outstanding universal value began as the "best of the best", it soon began to shift towards "representative of the best". Perhaps it was the surprising popularity of the *Convention*, witnessed by the speed with which States Parties signed on, or the rapid growth in proposed inscriptions. Whatever the cause, by the mid-1980s the Committee was expressing concerns about the meaning of outstanding universal value.

The Committee began to hesitate over the values of certain properties and deferred them, pending comparative studies to put them in context. I can recall a lengthy discussion in 1987 over the United Kingdom's proposal for New Lanark. What emerged in the discussion were the Committee's lack of knowledge of industrial heritage and its inability to make a decision. The site was deferred.

That same year, the Committee set up a working group to "review the ways and means of ensuring a rigorous application of the criteria established by the Committee". The next year, 1988, the Committee supported the creation of a Global Study, described as a sort of "international tentative list to assist States Parties and the Committee in evaluating nominations". This Global Study was a complex framework of different parameters: chronological, geographical, functional, social, religious and so forth. It was undoubtedly naïve to believe that all cultural phenomena could be squeezed into a static global framework. Pilot studies on three civilizations – Greco-Hellenistic, Roman and Byzantine – revealed significant weaknesses. Not only did the studies identify a high number of potential properties for inscription; but arguments also began about the need to have at least one site per country to represent each period.

It would appear that the shift towards representivity manifested itself earlier in the cultural field, probably due to the large number of sites being proposed under cultural criteria, and to the inherent complexities of cultural diversity. But if the move towards representivity began earlier in the cultural field, it was also occurring – admittedly less frequently – for natural sites in the 1980s. I can recall Committee fatigue and uncertainty at the number of volcanic island sites being recommended by IUCN in this period.

World Heritage Strategic Plan (1992)

The concern with maintaining rigour in the application of outstanding universal value was a key issue for the World Heritage Strategic Plan, approved by the Committee in Sante Fe on the 20th anniversary of the *Convention* in 1992. In the two years of discussion leading up to the final plan, concerns were expressed and debated about "debasing the coinage" of World Heritage. There was a perception that the standards were being lowered and that recent World Heritage Sites fell below the benchmark of outstanding universal value. Goal 2 in the Strategic Plan specifically called for refining and updating the criteria, and maintaining objective and consistent evaluation procedures.

The second issue that is inextricably linked to the first was the deep unhappiness about the imbalance of sites on the World Heritage List. Analysis showed that the List had many examples from the European region and Christian religious architecture, while lacking sites from other regions and other religious architecture. There were also few sites from sectors like modern architecture, industrial sites, rural landscapes and canals, to name but a few.

Global Strategy (1994)

The Global Strategy grew out of the Strategic Plan of 1992. Embedded in thinking around imbalances on the World Heritage List was the belief that the List needed to be representative if it was to be credible. Those experts working on the Global Strategy were directed to develop a dynamic thematic framework that would be free from cultural bias – probably not a realistic goal – in order to encourage nominations from cultures, regions and typologies not well represented on the List.

The Global Strategy, adopted by the Committee in 1994, was initially focused on cultural properties. Unlike the sterile and static Global Study of a few years earlier, the Global Strategy was a dynamic open-ended process, based on broad categories of universal application. These broad categories, under the heading of "human coexistence with the land" and "human beings in society",[iv] were well aligned with the innovative work being done on the concept of cultural landscapes at that period. The Global Strategy was meant to encourage a wide range of nominations from diverse cultures and regions of the world.

One can argue that the Global Strategy had a second element that hard-wired the concept of "representative of the best" into the system. The Global Strategy went beyond the two broad categories and identified some specific theme studies that ICOMOS and other academic communities were encouraged to undertake on a priority basis. These themes included modern architecture and industrial complexes. This thematic approach is, in fact, an acceptance that there will be representative sites. A thematic approach opens the door to "representative selection of the best". The question is, does this still meet the definition of "most outstanding" and "so exceptional"?

An additional consideration is the scope of a theme. On the one hand, a theme may be defined very broadly and few sites would emerge as potential World Heritage Sites. On the other hand, themes may be defined narrowly, paving the way for inferior site proposals.

I can offer a Canadian example. As we worked towards preparing our new Tentative List, proponents of a proposal to include the Warehouse district of Winnipeg chose to narrow the theme to a commercial district representing a railway-based inland gateway city. This meant that only 13 other cities -- 9 of them in the mid-western part of North America -- were considered as comparative examples. Because the theme was defined too narrowly, Canada did not retain this proposal.

Let us take the field of architecture. There is arguably a universal language of architecture with identifiable forms, materials and attributes. Below that, there is a subset of modern architecture, with its own distinct forms, materials and attributes. Below that, there are regional subsets of modern architecture with their own forms, materials and attributes.

If we review two World Heritage Sites that were inscribed for values of modern architecture, we can see a difference. The two sites are the city of Brasilia (1987) in

Brazil, and the Luis Barragan house in Mexico (2004). In the case of Brasilia, it was presented as an outstanding example on a global scale of modern architecture and planning. In the case of the Barragan house, it was discussed as the most influential modernist house in the Latin American region. These are different interpretations of outstanding universal value.

While it is clear that the Global Strategy began by focusing on cultural sites, natural sites soon followed suite. Taking its cue from the Global Strategy, and as a basis for improving global comparative studies, IUCN developed and applied two tools. The first was the Udvardy classification system based on biogeographical realms, biomes and provinces. The second was the initiation of global theme studies on wetlands, mountains, boreal forests, and so on. Like the cultural thematic studies, there is an assumption that natural thematic studies will identify the sites that could round out representation of this category on the World Heritage List.

As an example, the recent experts meeting on boreal forests identified 26 boreal forest sites with potential to be listed as World Heritage, even though several examples of this global phenomenon are already on the List, such as Wood Buffalo National Park (Canada), Virgin Komi Forests (Russia), and the Laponian Area (Sweden). This definitely signals a change in interpreting outstanding universal value. The introduction to the workshop report underscores a bias towards representativity by stating that boreal forests are "one of the biome types with relatively low coverage on the World Heritage List". Does this not point to an evolving understanding of both the notion and the assessment of outstanding universal value?

Incidentally, this issue was at the heart of the tense Committee debate in China, over the proposal to inscribe the Pitons in St. Lucia. IUCN recommended against inscription, arguing that lava domes like the ones at the Pitons could be found in many other areas, including existing World Heritage Sites, and that their scenic qualities were significant at a regional level, but did not meet the benchmark of outstanding universal value. The Committee did not agree with IUCN's recommendation and inscribed the site anyway. By adding the Pitons to the World Heritage List, the Committee was de facto taking the position that outstanding universal value can have regional manifestations.

It is interesting to compare the sampling from the first five years of the List, when many iconic sites were inscribed, with the last five years, where there is a marked tendency to non-iconic sites. Only about 5% of the sites inscribed in the last five years might be considered iconic. I cite as an example the Central Amazon site (Brazil), one of the planet's richest regions in terms of biodiversity.

Infinite number of Themes

The Global Strategy has encouraged and nurtured a thematic approach. When this approach is used, a logical consequence is an infinite number of possible theme studies, depending on how the category is framed. The parameters of the themes are critical. The challenge is the breadth or narrowness of the defined category.

Could it be that the tools used to introduce better science and rigour in comparative assessments introduce by their very nature a bias towards representivity? What is clear is that the thematic approach is here to stay, that the scope of any thematic study can be broad or narrow, and that theme studies will identify more and more potential nominations. What is not clear is where the cut off is or should be to meet the benchmark of outstanding universal value.

Does it matter?

This brings us to a final question: does it matter if there is a threshold for outstanding universal value? Can or should the World Heritage List be capped? Is there a natural cut off? Intellectually, yes. But it depends on the definition of outstanding universal value. The heart of the *Convention* is about protection and international cooperation. How deep does the Committee wish to go in protecting heritage sites? If deeper, then it is inevitable that the definition of outstanding universal value will continue to drift towards sites that are "representative of the best".

But it is important to note that there is another dimension to the *Convention*. One of the pressures for World Heritage listing is the perception that, if a site is not on the World Heritage List, it will not be protected. This is the "World Heritage or nothing" syndrome. Clearly, this is untrue. Article 5 of the *Convention* focuses on State Parties' activities in their own countries. Article 5 calls for strengthening and supporting national efforts to protect heritage sites and encourages national programmes as a complement to international efforts. Perhaps the pressures on World Heritage could be relieved by stronger national activities as well as greater linkages with other international designation processes, like the lists for fossil sites, Ramsar sites and Biosphere reserves. Taken together, these interlocking pieces could in fact create greater momentum for a global culture of conservation.

We know there is a waiting list of over 1,500 sites on existing Tentative Lists. How many of these sites will eventually be listed as World Heritage depends on the States Parties to the *Convention*. The Global Strategy has created a framework that supports ongoing identification and designation for the foreseeable future. Any change in direction, any tightening of the definition of outstanding universal value, can only come from the States Parties themselves. Raising the threshold for World Heritage designation may come, if States Parties believe that the number of sites is unmanageable, or if the economic advantage of being in the exclusive World Heritage club has been compromised by sheer numbers, or if international funding partners complain that they can no longer sort out priorities for investment.

In the meantime, the interpretation of outstanding universal value for both cultural and natural sites will continue to shift towards a definition of "representative of the best". It is too late to limit the List to the "best of the best". This approach brings benefits to countries in areas of economic and sustainable development, as well as in national pride and cultural identity. As long as these benefits remain, States Parties will continue to

nominate sites and the Committee presumably will continue to inscribe them on the World Heritage List. One can only hope that, in the context of "representative of the best", the Advisory Bodies and the Committee manage to keep the bar high enough to retain the World Heritage cachet.

Maybe it does not matter. Maybe what matters is that the objectives of the *World Heritage Convention* – protection and international cooperation – continue to be the catalyst for increased national actions to support a culture of conservation.

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[i] Old Ogs: The Convention provides for the protection of those cultural and natural properties[1] deemed to be of outstanding universal value. It is not intended to provide for 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**. The outstanding universal value of cultural and natural properties is defined by Articles 1 and 2 of the Convention. These definitions are interpreted by the Committee by using two sets of criteria: one set for cultural property and another set for natural property. The criteria and the conditions of authenticity or integrity adopted by the Committee for this purpose are set out in paragraphs 24 and 44 below.

[ii] 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. "

[iii] This analysis does not take into account the likelihood that iconic sites will be among the first nominated after a State Party joins the Convention. For example, China signed in December 1985 and nominated the Great Wall and Imperial Palaces in 1987; Russia signed in October 1988 and nominated the Kremlin and Red Square in 1990.

[iv] Human coexistence with the land included: movement of peoples, settlement, modes of subsistence, and technological evolution; human beings in society included human interaction, cultural coexistence and spiritual/creative expression. Global Strategy, 1994.

Urban planning challenged by historic urban landscape

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Introducing the concept of landscape

This paper looks at the relation between two themes whose contents are in continuous development, and therefore difficult to grasp.

Urban planning, in theory and in practice, is under discussion and the discipline is undergoing a crisis of legitimacy. The historic urban landscape, even before being considered as a theme, is a concept whose definition is absolutely not shared. The relation between two unstable themes makes it necessary to search for moments of temporary balance, which focuses attention on something that has been neglected but represents a relevant aspect of the quality of life in cities.

A theme becomes institutionalized, i.e. it creates disciplinary, administrative and juridical practices, when its terms are sufficiently stable. Here the disciplinary uncertainty has to be strained to follow a goal recognized as socially and culturally relevant, as explained below.

Let us start from the theme of the landscape, as first of all we have to recognize the existence of the historic urban landscape. Landscape is one of the most complex of concepts, as it arises from many different disciplinary contexts that do not communicate with each other, even when the disciplines are very close, such as architecture and urbanism. If one tries to indicate the traces from which the different ways of considering the landscape derive, the difficulties of finding a common ground become obvious. Biologists, geologists, ecologists, environmentalists, agriculturalists: each of them proposes their own idea of landscape, and even within any of these disciplines there are not only nuances but even important differences of approach.

Landscape can be a totally mental concept, abstract, cultural, sociological, or can be called to witness the history of humanity, by recurring continuously to its natural or anthropological components. As we are not examining the landscape in general, but the historic urban landscape, and as we are trying to connect it to urban planning, the field could be restricted to three concepts which, although incomplete, would serve our purpose.

- The first regards the landscape as an 'object of aesthetic experience and subject of aesthetic judgement', a definition taken from Italian scholar Rosario Assunto (1973).
- The second regards the landscape as a 'mirror of civilization and research field for the study of the civilization itself': a synthesis taken from Carl Sauer (1925).
- The third considers landscape as a material/morphological object of observation, of experienced space, of relationships. According to Corajoud (1981), landscape is 'the place of relationships, in which every part is not comprehensible if not in relation to a whole which in turn is part of a wider entity'. This third idea of landscape includes an 'urban' connotation which the discussion is restricted to.

Urban planning and historic urban landscapes

UNESCO has introduced concepts that can be related to historic urban landscape, starting from the 1976 Recommendation concerning the Safeguarding and

Contemporary Role of Historic Areas, which very pragmatically refers to buildings, structures and open spaces that constitute settlements recognized from 'the archaeological, architectural, pre-historical, historical, scientific, esthetical, socio-cultural and ecological points of view'. UNESCO recalled this concept by introducing the terminology 'historic urban landscape' in the 2005 Vienna Memorandum, further developing its contents. Here the historic urban landscape is composed of character-defining elements that include land uses and patterns, spatial organization, visual relationships, topography and soils, vegetation, up to such details as curbs, paving, drain gutters, lights, etc. Furthermore, contemporary architecture refers in this context to 'all significant planned and designed interventions'.

Basically, the Vienna Memorandum does not refer to any disciplinary or philosophical principle, but merely establishes a list of materials to preserve, specific objects from general to detailed, thereby eluding, on the one hand, any complexity in the approach to the problem, and, on the other hand, including all its material components. In this way, any definition of historic urban landscape is avoided.

As regards urban planning, given that this paper is about the relationship between urban planning and historic urban landscape, I do not think it necessary to specify its contents. In fact, today in many countries the theory and practice of urban planning are undergoing a crisis of legitimacy, due to the bureaucratization process confirmed in recent decades. In our reflection, we should not ignore the hypothesis that the confrontation between urban planning and historic urban landscape could determine a new condition, able to take the theory and practice of urban planning back to its design origin, out of the bureaucratic stalemate.

An urban plan that takes landscape into consideration necessarily implies two objectives. First, the conservation and enhancement of historic urban landscapes, determined by analysis of the assessed values. Second, the creation of new, quality urban landscapes, which would become worthy of preservation in the future.

The means used by urban planning do not solely consist of binding action, such as regulations, but also of design activity, and the latter concerns both the above objectives. In this respect, a first reflection is introduced on the role of UNESCO, which must privilege both these aims, because it is not simply a question of preserving the existing urban and territorial heritage, but also of affirming the need to create a new heritage, considering urban planning as a tool and urban design as its means.

These concepts already exist in UNESCO documents, such as the Vienna Memorandum, but conservation and development are conceived as separate, even if their mutual integration is recognized as necessary. In reality, the evolution of historic cities should be conceived as a median way between conservation and development. The two are necessary to preserve, to reveal, revitalize and promote urban quality.

This should be a median position between the following two extreme cases:

- The project is absolutely innovative, but the condition that we are imposing concerns the genius loci mentioned by the Norwegian architect and historian Christian Norberg-Schulz (1980) – that it is conceived in full respect of the morphology of the place where it arises, inheriting the signs and traces impressed on it throughout history;
- The project is conservative, but it should call attention to the heritage resource, and reveal its values; in this way it would also deal with innovation, in that it concerns the techniques and design solutions used for heritage enhancement.

In both these cases, conservation and innovation are equally present in the project – hence my definition of the proposed 'median position'.

'Urban planning regards a significant multiplication of issues and responses in order to propose adequate answers to the increasing ecological/environmental problems' and 'to give back formal quality, social dignity and cultural reference to degraded contexts and scattered territories of the post-modern era' (Gregory, 2000).

We must now return to the theme of the urban landscape. Formulating the aims of urban planning

allowed greater delimitation of the field and a theoretical approach to the three concepts previously exposed. Thus, if the aesthetic component of the landscape is chosen to guide the planning process, this introduces the challenge of 'value judgements' – where they arise from, who is making them – as from these value judgements decisions are made with regard to areas subject to development, and the evaluation of the intervention itself. Of course value judgements change with time and space, while their degree of attribution is relative, depending on what a society is able to express in cultural terms. In principle, we have to consider that value judgements cannot be the object of norms and that they depend on social consensus only.

This theme is of great relevance to UNESCO, which has to mediate the recognition of world values; and it is also important for those who are assigned to take urban planning decisions, as a plan also has to be conceived as a cultural document for the city and its inhabitants, and thus it must put forward value judgements and build awareness of heritage.

Having outlined the thematic horizons proposed by this paper, we now explore the nature of the object that is submitted to planning intervention.

Aspects of historic urban landscape

The historic urban landscape concerns the material city, and means the relationship between past and present. In the past, the city was a circumscribed territory, surrounded or not by walls, therefore it could be perceived as a landscape inside a landscape. No matter its size or shape, the city was well defined: it was a 'filled space' (the city) versus a 'void' (the countryside), the one complementary to the other. Such a reading of the urban form allowed the hypothesis of the city as a work of art. This type of urban condition has almost disappeared, but in the rare instances where the stark city/countryside relation survives, this balance should obviously receive particular preservation attention, given its rarity.

The historic urban landscape also includes the different landscapes that the city offers as an 'urban scene', precisely those that painters from every age recorded, such as Carpaccio, Bellini, Canaletto and Guardi among the innumerable Venetian illustrators. Furthermore, there is no historic city of any importance that cannot boast of, if not an equivalent and equally worthy quantity of artists, at least a great variety of illustrators of urban scenes meant to describe dynamic events of various natures: processions, revolts, fires, jousts, receptions, coronations, etc.

Every pictorial, poetic, literary, cinematographic and photographic image represents a document that ascribes value to the different urban landscapes, a 'memento' for our memory and our care. The different urban typologies, and the infinite urban scenes, are simply too numerous to be mentioned here. It is however interesting to recall the terms used by geographers to classify cities: shore cities, lake cities, mountain cities, etc., and for every typology the possible variations, for example, as far as concerns mountain cities, crest cities, hillside cities, linear and cluster cities. It is therefore difficult to understand why planning interventions do not consider all these variations and all the suggestions resulting from the diverse observations of the historic urban landscape, especially as this phenomenon, despite the unthinking changes of the contemporary age, still exists and resists, and the theme of historic preservation is now emerging very vigorously.

The richness that derives from observing and recognizing the historic urban landscape in relation to urban planning has been merely suggested here, but there is no doubt that it represents an innovative direction in planning – already launched – which could have a major effect on urban planning.

This issue concerns something more than what the legal instruments of many countries have already defined in terms of historic preservation. Italian legislation on this subject (No. 1089 of 1 June 1939 and No. 1497 of 29 June 1939) safeguards remarkable landscapes, visual cones, panoramic viewpoints, etc., all of which are excellent provisions, but not what we are proposing. 'The attention paid to the design of open spaces reflects the need of elaborating new descriptive and planning instruments for the existing reality, able to reinstate formal quality, cultural references and social dignity to degraded contexts and scattered territories of post-modern era'. This

need reveals the gap that exists with regard to former methodological approaches.

The scene is the city, in its most conspicuous or most secretive parts. Analogue scenes are offered by literature: who can see Paris without being influenced by Hugo, Balzac, Zola or Proust? Or Lübeck without Thomas Mann; Saint Petersburg without Dostoyevsky? Even the cinema has influenced city images, just think about Eric Rohmer; while photography has been documenting urban change in its own way for more than a century. We could go on and on, considering the many famous musical themes.

Early approaches to historic urban landscape

Before closing this discussion, I would like to pay homage to those who in the past have been able to anticipate these contemporary themes, by recalling two examples of urban planning which to a great extent shaped Italian urban culture: the plan of Assisi developed by Giovanni Astengo in 1955–58, and the plan of Urbino conceived by Giancarlo De Carlo in 1964.

As part of the analytical phase of the planning process, both the historic centre and the landscape enjoyed the same level of elaboration: the city is treated as a work of art, while the agricultural context assumes the same aesthetic dignity. 'The whole settlement, in all its parts, is a testimony and is not separable from the natural humanized landscape that surrounds it and with whom it integrates' (Astengo, 1958).

The inseparability of this relationship consists in conceiving a mutual necessity to conserve the two factors, considering that modification of one would determine a modification of the other. Derived from this approach is the conservation plan, of both the historic centre and the surrounding landscape. The original scene is enormously evocative: Assisi is built in linear layers on one side of San Rufino hill, a spur of Monte Subasio, with two exceptional landmarks at its extremities: the convent of San Francesco at one end and the convent of Santa Chiara at the other: 'Seen frontally from the plain, the city looks like a whole, a huge stage formed by long walled terraces, converging at west to the massive fortification of Sacro Convento, and imperiously overlapping on the

green sides of the mountain, which disappears under the walls as if it were swallowed, to re-emerge at the top, crowned by the Rocca Fortress, and then melting at east after a short break of the "saddle" of Piazza Nova, with the slopes of Subasio massif ... But the whole scene is not just characterized by the shape of the mountain and the mass of the built city, but also by its colour: that particular amber colour that derives from the pink stone of the mountain, from the ochre brickwork and from the clear and mutable light, in which all the landscape is immersed. Landscape, light, colour, houses and medieval towers, squares and illustrious monuments; an infinity of reciprocal views from the plain and the hill and from inside the city, and in the wide hollows of this built space; a sense of diffuse tranquillity and gentleness – these are the elements which define the character of this exceptional town' (Assisi as described by Astengo, 1958).

If we attempt to analyse this description, many interesting elements emerge which seem to constitute a sort of lexicon of landscape: first, the importance of viewpoints, the different vistas, the concept of landscape as a scene, and the 'appearances' of the landscape (the 'long walled terraces') and then the focus on landmarks: the Convent, the Rocca Fortress; furthermore, the asides ('the short break of the "saddle" of Piazza Nova') and finally the quality of light, colour and the various materials. The vision ends with a synthesis ('Landscape, light, colour ...', etc.), while the conclusion recalls a psychological reflection, 'the diffuse tranquillity and gentleness' of Assisi, half-reality, half-dream.

How does the urban plan operate in this context? It ratifies the inalterability of the relationship between built city and countryside and establishes detailed regulations for both. In particular, it prohibits any building activity within an area of 2 km outside the walls. For the countryside, seriously threatened by the declining agricultural economy, it proposes economic measures to maintain the agricultural pattern. At the same time, the plan enhances the historical heritage through innovative projects. Two parking areas are provided at opposite sides in connection with the two convents. In addition, the extension of the suburb is planned according to the same morphological rules as

the original settlement: new settlements are provided along the level curves following the historical layout. The results of this plan can be evaluated today and there is no doubt that the expansion project has already demonstrated its validity.

The approach chosen by De Carlo for Urbino in 1964 is very different, although the relation between the landscape and the historic centre remains a very important issue: '… a landscape built in harmony with the composition modules that rule the historic centre's architectural design. In this landscape, everything is controlled to establish a balance of characters and images which does not allow for heterogeneous interventions. Nevertheless, heterogeneous interventions occurred and continue to occur …' (De Carlo, 1966).

The plan considers the conservation of both the historic centre and the territory that surrounds it. The project of the university campus, a remarkable example of a 'homogeneous' insertion in a historic context, is an admirable synthesis. Here, the focus shifts to elements other than those used in the Assisi plan, such as the formal harmony between landscape and historic centre; the balancing of characters and the prohibition of heterogeneous development, whose presence is pointed out with indignation rather than regret. This recurrent denouncing attitude of De Carlo is related to the renewed attention to the themes of landscape and of historic centres in recent decades, due to the awareness of the irreversible loss of heritage, paralleled by an incredible expansion of settlements onto the territory. Our analyses and descriptions risk becoming mere inventories of heritage

resources accumulated in the course of centuries, now in danger, which will pass as a souvenir to future generations. This concerns heritage resources made with ancient skills, no longer reproducible, especially because of their long periods of realization (but also for their materials and techniques) that was derived from a concept of 'intelligent slowness', whereas our age tends to increase the pace, becoming ever quicker and quicker. Today, construction is based on a few components only, scarcely assimilated by those who produce them, because the techniques are invented elsewhere, they are homogeneous and thus

standardized. Materials, shapes and colours are not in harmony with the landscape, but constitute an industrial repertoire largely used and accepted in the most diverse places on Earth.

Describing the relationship between historic centre and cultural landscape means learning how to intervene in order to preserve what remains from a disappearing heritage. When De Carlo claims the prohibition of heterogeneous insertions, he is not rejecting the idea of development, but intending to strictly control development in order to make it compatible. This theme of compatibility is implied in the description, because it is from this that we learn how to recognize the valuable elements in a given context.

Conclusion

The objectives of heritage preservation and creation of a new heritage, which takes the past into consideration, could hypothetically be met by any development, through an architectural project. Why then an urban plan? The answer lies in the need to guarantee that the system of relationships between the different parts and the whole is maintained, as previously mentioned when quoting Corajoud. This can only be achieved through an urban plan.

I have also advanced the hypothesis that the introduction of the concept, content and aims of 'historic urban landscape' can renew the urban plan itself, or better, can conduct it back to its real design nature. This means that the decisions taken in the planning process must be explicit, confronted one with another to verify their coherence, and referred to the aims of conservation and development which are the subject of this paper.

Thereby, the urban plan guarantees a holistic vision of transformation processes that an architectural project is unable to control. It also guarantees the conservation of heritage legally and irreversibly, and invites each intervention within the city to reflect on the identity of the heritage. If development was conceived in this way, many disasters would have been avoided.

Finally, it is with a cry of alarm that I conclude, as too many cities risk losing their identity. We need to affirm that London's urban landscape has been altered by too many recently erected skyscrapers; that urban landscapes such as that of Bangkok are now disappearing; and the most important Chinese cities are being destroyed by bulldozers and substituted by random and disorganized settlements deprived of character. We wish the world to change, but we cannot allow more losses to our urban heritage. Ludovico Quaroni, a great Italian architect and urban planner (1911–87), said that what distinguishes man from all other living creatures is the fact that he cannot live without memory.

For this reason, the activity that may result from the encounter between historic urban landscape and urban planning is very salutary. For decades there has been awareness of the main themes of heritage preservation, but until now urban planning, with rare exceptions, has been unable to recognize the different themes that historic urban landscape proposes, whereas this approach guarantees the qualitative planning of our cities.

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The Getty Conservation Institute

Conservation Planning: The Road Less Traveled

By Francesco Siravo

The development of planning ideas applied to historic urban areas extends back to the nineteenth century. Yet despite a long and rich development, many of the most thoughtful concepts regarding planning in historic cities have yet to be fully embraced. A review of nearly a century and a half of ideas from a remarkable group of planners and thinkers demonstrates that conservation planning has relevance beyond its application to historic contexts, and that it can make essential contributions to the general planning of cities for the benefit of those who call those cities home.

Demolition of historic [+ Enlarge] buildings at the centuries-old Parisian marketplace, Les Halles. Photo: © J. Deneux, 1974.

Urban conservation was born out of disorientation and dismay. The irreversible loss of treasured monuments led Victor Hugo (1802–1885), in his *Guerre aux démolisseurs*, to argue passionately against the destruction of France's medieval monuments. He had no doubt that collusion between public officials and speculators was the cause of the destruction, and he lamented the transformation of the traditional, organic medieval city into something shockingly different: the sweeping avenues built a few years later by Baron Haussmann in Paris, which were then framed with rigid regularity by oversize pseudo-Baroque buildings.

Victor Hugo's position was echoed in England, where John Ruskin (1819–1900) spoke of the momentous changes occurring in cities across Europe and anticipated the effects: "The peculiar character of the evil which is being wrought by this age is its utter irreparableness."[1] This sudden, irrevocable damage to cherished cities was decried by many who witnessed unprecedented urban transformations in the mid- to late nineteenth century—not only in Paris but also in London, Vienna, and Rome.

These losses led to a reconsideration of the city of the past, which became for the first time a separate field of inquiry. Camillo Sitte (1843–1903), an Austrian architect and planner, pioneered such studies with a reevaluation of ancient and medieval urban heritage. His arguments go from dismay at the lack of beauty in the new industrial city to a fresh appreciation of the historic city. For Sitte, traditional urban structure is not just the sum of individual monuments but, instead, a coherent ensemble where every element is part of an organic pattern with aesthetic rules that can be observed and analyzed.

Sitte's work is the beginning of an analytical appreciation of the historic city as the repository of a method that can provide continuity in city building. He advocated a living urban environment in which architecture plays an integral role in determining the form and structure of spaces, and he highlighted the complementarity between the practical and the aesthetic found in the historic city. These characteristics are the antithesis of the functional fragmentation, bloated infrastructure, and aesthetic poverty now an inalienable part of our urban experience. Sitte was the first to identify the split in the contemporary city between function and technology, on the one hand, and aesthetics on the other—a divide that persists.

GREATER APPRECIATION OF THE HISTORIC CITY

Analytical appraisal of the city was also the starting point for Scottish planner Patrick Geddes (1854–1932), whose influential book *Evolution in Cities* (1915) expands consideration of the traditional city by exploring its effect on the well-being of its inhabitants. The medieval city is perceived as a positive environment with a balanced integration of nature and man-made artifacts. In critiquing the industrial city, Geddes does not limit himself to the form of the city, as Sitte had, but also examines broader environmental and social aspects. His holistic approach is truly innovative. Restoration of a river basin, improving regional transport, and protecting green areas and open spaces are some of his ideas that were well ahead of his time.

Geddes, a biologist by training, looked at the city like a naturalist exploring a particular environment. This explains his emphasis on observation and analysis and his recommendation that any plan be preceded by a careful and detailed survey. Surveying and analyzing together constitute an ongoing process that generates the essence of a plan. In addition, Geddes called for the participation of as many actors as possible and championed the Know Your City movement as the best means for people to learn about their city and to improve it.

He was also the first to understand the danger of urban renewal and to foresee the damage it would inflict. In his plan for the city of Madurai in India, he advised against demolitions and against reconfiguring and sanitizing neighborhoods, advocating instead for "conservative surgery" to improve housing conditions with minimal interventions and expense. Good planning for Geddes is soft planning: creating fewer constraints, refraining from irreversible transformations, and allowing the soul of the city to speak for itself. This lesson was lost on his contemporaries, not to mention the czars of slum clearance still to come. The utter failure of the urban renewal projects of the mid-twentieth century, with their enormous social and economic costs, proves the validity of Geddes's ideas. "There are finer architects than I," he wrote, "and bolder planners too: but none so economical." [2] Or, we might add, with more foresight.

A giant step toward full appreciation of the historic city and its special planning requirements may be attributed to Gustavo Giovannoni (1873–1947). In his 1913 seminal publication *Vecchie città ed edilizia nuova: Il quartiere del Rinascimento in Roma* (Historic Cities and New Construction: The Renaissance Quarter in Rome), Giovannoni enlarged the concept of "monument" to comprise an entire historic city. He introduced the notion of vernacular architecture, considered not only an integral part of the urban fabric but worthy of conservation. He was also the first to recognize clearly the historic city's incompatibility with modern urban developments. He understood that the latter are based on decentralization, mass transportation, unlimited expansion, and a larger scale of design, all trends in opposition to the historic city. He therefore advocated city expansions away from the urban core and the removal of motorized traffic from historic areas. His theory of thinning out the built fabric sought a compromise between integral preservation and limited forms of intervention. He believed the new city must live side by side with the older one—not replace it.

Giovannoni's ideas appear more modern today than those advocated in the 1920s by the avant-garde of the Modern Movement, which considered the historic city a cumbersome relic incompatible with modern needs. Yet his views were on the losing side, both vis-à-vis the Modernist urban theories of the period and the practices of the Fascist regime, which favored celebrative and highly disruptive public works. Giovannoni was the first to really define the problems of the contemporary city, as well as anticipate means of preserving living historic areas. His ideas waited nearly a century for the serious consideration they deserve.

DEVELOPMENTS AFTER WORLD WAR II

The loss of historic urban areas gained new urgency with the destruction of World War II and the massive transformations in the postwar years. The response was not the same everywhere. In Warsaw, Poland, the answer was a faithful reconstruction. Old paintings and photographs were used to reproduce the historic core, although there was no attempt to reestablish its original functions and activities. In London and the big German cities, heavily bombed during the war, the response was different: the decision was to completely reconfigure the scale and layout according to the functionalist theories of the Modern Movement.

Italy, in many respects, was an exception, as war damage there had been limited. Moreover, the country is dotted with innumerable living historic towns and cities that maintain a high level of integrity. Nevertheless, a quarrel arose between innovators and conservators. The innovators claimed the right to introduce modern buildings and modify the configuration of cities. The conservators pointed to the

View of the historic [+ Enlarge] South Battery area in Charleston, South Carolina. In 1931, Charleston passed the first preservation ordinance in the United States to safeguard architecture and neighborhoods that "serve as visible reminders of the historical and cultural heritage of the city, the state, and the nation." Photo: Library of Congress, Prints & Photographs

alien nature of modern architecture and its incompatibility with the traditional context.

An exemplary urban plan for Assisi, prepared in 1955 by Giovanni Astengo (1915–1990), addressed these conflicting issues, providing a point of reference for many subsequent interventions in historic urban settings. Astengo acknowledged the need to rehabilitate Assisi, but without introducing new roads and contemporary buildings; rehabilitation was to be based on recognition of the historic area as a self-contained entity, in line with the principles established by Giovannoni. The Assisi plan included two further innovative aspects: the importance of protecting the views of the town from the surrounding areas, with controls to limit conflicting urban expansions; and the establishment of a local public entity to prepare and implement the plan. Astengo was convinced that historic areas cannot be sustained without a permanent planning office.

The debates of the postwar years and the effects of Modernist transformations of city centers led to a pro-conservation reaction throughout Europe. André Malraux, the French minister of culture from 1959 to 1969, promoted legislation (still in place) to identify, protect, and manage city sectors on the basis of comprehensive conservation plans. Initially the *Loi Malraux* was interpreted not as an instrument for preserving historic areas in their entirety but one that allowed for a combination of conservation and modernization. The best-known example of this mixed approach is the Marais, 126 hectares in Paris where the old city fabric was "adapted" with extensive demolitions, new construction, and considerable social change. Perhaps most controversial was the demolition of Les Halles, the ancient market, which resulted in the relocation of long-established market activities away from the city center. This sparked a long-running debate regarding gentrification— the middle-class replacement of lower-income residents and businesses in central areas of many cities.

Parallel developments in the United Kingdom led to recognition of the value of historic ensembles and the introduction of Conservation Areas in the Civic Amenities Act of 1967, which continues to be the nation's principal reference. Pilot projects for four historic cities (Bath, Chester, Chichester, and York) were launched to test planning methods and conservation measures applicable to Conservation Areas. The most successful is the Chester plan—prepared by Donald Insall and Associates in 1968—which makes a significant contribution to our understanding of townscape values and the policies needed to revitalize depressed city centers.[3] The analysis of townscape values in the Chester report are the result of the pioneering work of Gordon Cullen (1914–1994), who, with his studies and publications, contributed to a renewed appreciation of the historic urban landscape.[4]

THE AMERICAN EXPERIENCE

In the United States, although designation of a historic area dates to the 1930s (the Battery, Charleston, 1931), the first federal legislation with specific provisions for historic districts was adopted in 1966 (the National Historic Preservation Act). Since then, twenty-five states have given municipalities the ability to protect urban areas through selective zoning, accompanied by a set of ad hoc building regulations. Some of the best guidelines for repairs and construction in traditional contexts are produced by U.S. municipalities.

Assisi, Italy. The management plan for Assisi, developed in 1955, included the innovative concepts of protection of city views and establishment of a local public entity to implement the plan. Photo: © Amos Grima.

Since the 1960s, the United States has produced a second important stream of positions and practical experience in preservation planning, a reaction to massive slum clearance and urban renewal projects implemented from the 1930s to the 1970s. Jane Jacobs's passionate criticism of slum clearance programs and expressways carved out of the dense fabric of New York City remains legendary.[5] Jacobs (1916–2006) went beyond denouncing Robert Moses's destructive mega projects to offer a refreshing view of cities and city planning. She noted the multidimensional character of cities and the close relationship between people and their activities. She exhorted planners to learn from what exists, to understand what works in neighborhoods and what does not, and to make the best of the common sense, resources, and inventiveness of living communities. Her views

were a far cry from the top-down approach of modern planners and their simplistic and abstract recipes to increase vehicular access, isolate uses, sanitize neighborhoods, and build lifeless public places. She understood, in the 1960s, that abolishing diversity would produce the chilling and homogenized urban landscape to which we have become accustomed all over the world.

Jacobs's views have been embraced by a new generation of urban critics and community planners promoting revitalization projects and grass roots initiatives. Roberta Brandes Gratz, in particular, advocates a flexible approach, where urban revitalization is a continuous process of incremental growth, with small-scale improvements carried out as opportunities arise. Named urban husbandry, this process mirrors more closely the long-established city cycles of adjustment and organic adaptation than the traumatic, large-scale, headline-grabbing, and ultimately short-lived developments pursued in recent years. It recognizes the cumulative value of long-term investment, and it seeks to channel existing resources and capabilities toward the care and management of what already exists. This process is also the surest way to preserve and sustain the physical and social identity of places.

INTEGRATED CONSERVATION

In Italy, Astengo's pioneering work in Assisi was followed by new legislation and a series of significant planning experiences. In particular, Giuseppe Campos Venuti and Pierluigi Cervellati introduced the notion of integrated conservation with their 1969 plan for the center of Bologna. Its main tenet was that conservation of historic ensembles cannot be limited to preservation of their visual and aesthetic character but must also include consideration of the underlying physical, social, and economic structures, as well as the larger citywide systems. There are several aspects of particular interest in the Bologna Plan: the importance given to the city's typological and morphological character as a basis for future interventions, the effort to maintain the existing residents through establishment of a housing rehabilitation program funded by the municipality, and the adaptation of monuments and historic buildings to house public services.

Bologna, Italy. The 1969 plan for Bologna introduced the idea of integrated conservation of historic ensembles, which held that conservation cannot be limited to preservation of visual and aesthetic character but must also include consideration of underlying physical, social, and economic structures. Photo: © Dana Kaye Levin.

In those same years in Italy, new national legislation was introduced to cover detailed forms of intervention in historic urban areas. These took into account the theoretical studies of Venice and Rome by Saverio Muratori (1910–1973) and Gianfranco Caniggia (1933–1987) from the late 1950s to the 1970s.[6] These studies were given an operational dimension in plans prepared by Leonardo Benevolo in the 1970s, which remain exemplary for their vision and clarity of method, and for their attempt to reestablish a sense of place and an awareness of the historical vicissitudes of each place as a basis for planning. This approach is illustrated in Benevolo's 2004 proposal for the restoration of the Borgo area next to the Vatican. The old Borgo was demolished in the 1930s and replaced with a single, poorly conceived monumental access to the Basilica of St. Peter designed by Marcello Piacentini. Benevolo's proposal combines different forms of intervention to repair the damage inflicted decades earlier to this historic sector. "My proposal aims at healing a wound . . . I am convinced that there exists a different way to modernize (the real one) by means of repairing the mistakes of the recent past and putting back, in part, what has been destroyed."[7]

SUSTAINABLE DEVELOPMENT, AUTHENTICITY, AND INTANGIBLE HERITAGE

An integrated, socially conscious approach to conservation inspired the Declaration of Amsterdam and the European Charter of the Architectural Heritage issued by the Council of Europe in 1975. These international documents refer not just to historic urban areas but also to towns, villages, and surrounding regions.

The 1980s and 1990s mark a progressive extension of the notions of conservation. Greater awareness of natural landscapes spread as a result of the 1972 international conference on the environment held in Stockholm. Fifteen years later, the Brundtland Report introduced the idea of sustainable development: The use and development of environmental resources for the present necessities of humankind must not compromise the ability of future generations to meet their needs. An extension of this concept some years later called for development to be attuned to and compatible with the cultural traditions and values of a community, opening the way for the identification of culturally determined forms of development and for an expanded notion of cultural heritage.

The establishment of the UNESCO list of World Heritage Sites, following the World Heritage Convention in 1972, brought together natural and man-made sites of worldwide significance. This list closed the gap between environmental and cultural conservation, demonstrating that similar criteria and methodologies can be applied to ensure preservation and promote sustainable development for both. This enlarged notion of environmental and cultural heritage was fleshed out with specific reference to management criteria in the 1979 Burra Charter and, with respect to the determination of significance, in the 1994 Nara Document on Authenticity.

One consideration remains: the conservation of cultural identities and their associated intangible values, together with their implications for planning. This notion is spelled out in the UNESCO Convention for the Safeguarding of Intangible Cultural Heritage of 2003. This latest convention is a response to globalization and the concern that, in its wake, cultural identities may be lost. It is also an acknowledgment that planning and conservation cannot be separated from the cultural beliefs and know-how of each society, and that these must be protected to ensure their survival. This last frontier of conservation reminds us that places are the tangible manifestations of our humanity, including their intangible meanings and social and cultural continuity. Desecrating our habitats or obliterating our cities is akin to destroying the essence of our humanity.

CONCLUSIONS

What lessons can be learned from the thinkers and the enlarged notions of conservation reviewed here? These ideas represent the minority position—the one often ignored by city planners convinced of the need to obliterate the past and start afresh. And yet the minority position is the one that makes the best of the millenary tradition of city building embodied in our historic towns and cities. This position appears all the more relevant in times of diminishing resources and environmental concern about the livability and sustainability of cities. Its tenets may be summed up as follows:

- Camillo Sitte reminds us that interventions in new city contexts must reestablish a closer relationship between city planning and architectural expression, between function, technology, and aesthetics. A satisfactory resolution to the aesthetic problems of the contemporary city remains to be found.
- The lesson from Patrick Geddes is that planning must be based on a thorough appreciation of the existing context and review of available data. It cannot be left to the casual dynamics of market forces or the improvisations of high-profile architects.
- Geddes also supported the involvement of residents in the fundamental choices regarding their cities and countryside. Geddes reminds us that a plan should be the expression of the aspirations, sense of place, and efforts of a community, and he warns against the dangers of top-down planning.
- Gustavo Giovannoni's work points to the need for methods of intervention in historic contexts clearly distinct from those applied to the newer parts of cities. Confusing these two spheres can only lead to disruption in the homogeneous context of historic cities and to undue constraints on present-day developments.
- Giovanni Astengo's insistence on ensuring continuity of investment, action, and management through a special public planning office draws on the lessons from historic cities: only patient, ongoing implementation of consistent policies and interventions will yield a coherent and harmonious urban environment in the long term.
- A plan, however, should not be an abstract design imposed from the top. Jane Jacobs and Roberta Brandes Gratz advocate a more realistic and socially conscious approach to planning in a world that is no longer a tabula rasa. The issue today is that of reordering poorly designed and hastily built city areas and improving regions in critical environmental conditions.

- The more recent appreciation of the environment and the risk to its long-term sustainability redefine the very notion of planning. The purpose of planning is to achieve better use of resources and to manage our habitats with minimal intervention and environmental disruption.
- Finally, the recent extension of conservation thinking to the realm of the intangible is a reminder that the identities of places will live as long as we are capable of sustaining their distinct human dimension. A sense of place must be cared for and regenerated every day if it is to reflect the values and traditions of our societies.

Together, these tenets offer a concept of city planning distinct from the ideological ones of partisans of unrestrained destructive growth (a powerful minority of movers and shakers) and champions of total conservation (a powerless minority of well-meaning intellectuals). Their divide can be overcome with a better understanding of what a city really is and of how its development can be channeled toward the creation of a harmonious environment in the interest of the vast majority of users.

Political will remains key. But greater awareness on the part of architects and planners is also important, so that they understand that the road more often taken until now—and still largely followed—is not the only available route. Less costly and smarter ways to improve our urban environment are available if we absorb the legacy of these past thinkers and planners. Theirs is the road less traveled, but it is worth rediscovering if we believe that beauty should still find a place in our cities.

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1. John Ruskin, opening speech given at the Crystal Palace, London, in 1851.
2. Patrick Geddes, letter to the Dewan of Patiala, 15 Sept. 1922, Geddes Papers, MS10516, National Library of Scotland. See Helen Meller, *Social Evolutionist and City Planner* (London: Routledge, 1993), 203.
3. Donald Insall and Associates, *Chester: A Study in Conservation* (London: HMSO, 1968).
4. Gordon Cullen, *The Concise Townscape* (London: Architectural Press, 1961).
5. Jane Jacobs's most influential book, *The Death and Life of Great American Cities* (New York: Random House), was published in 1961.
6. Saverio Muratori, "Studi per un'operante storia urbana di Venezia," *Palladio* 3—4 (July–Dec. 1959). See also Gianfranco Caniggia, Strutture dello spazio antropico (Florence: Uniedit, 1976).
7. Leonardo Benevolo, *San Pietro e la città di Roma* (Bari: Editori Laterza, 2004), 85. (Quote translated by Francesco Siravo.)

INVENTORIES AND HERITAGE MANAGEMENT
The Australian Experience

*BY DAVID LOGAN AND
RICHARD MACKAY*

Heritage Inventory and Statutory Lists are critical tools for managing cultural heritage in Australia. The inclusion of a cultural site on a statutory heritage list provides legal protection and guidance about permissible or desirable change. It also celebrates, educates, and supports good decision making. Heritage inventories facilitate comparative evaluation, confer status, and inform priorities for resource allocation. In short, heritage inventories make a difference.

Many decisions affecting heritage places concern their intended use or proposed physical changes. Where comprehensive inventories exist, these decisions are well informed. Conversely, if the approval system applies provisions to an incomplete or erroneous list, poor decisions and adverse heritage outcomes may result.

Australia uses heritage lists across all three levels of government: national, state, and local. The National Heritage List includes places with outstanding value to the entire nation, whereas state registers cover places of specific state significance. The Sydney Harbor Bridge, for example, is on the National Heritage List, while Sydney's major historic public buildings are on the state's heritage register. Both national and state registers involve rigorous research and assessment processes, including review by experts and formal determination by an elected minister.

At the local level, heritage is managed through planning instruments, which have provisions that apply to items on a statutory heritage list or schedule. *Schedule* is the term used at the local level, while register is the term used for the state statutory list; both provide legal protection. *Inventory* applies to the

non-statutory database that contains all of the information about the place.

The inclusion or omission of a particular place on a heritage schedule has significant consequences. This situation has proven particularly problematic when a planning authority allows a property owner to opt out of heritage listing — even when the heritage value of the place has been clearly demonstrated.

The three-tiered Australian system can lead to the inclusion of the same place on more than one list (as well as on non-statutory lists, such as those compiled by professional interest groups, like the National Trust of Australia). An important but seldom applied principle for effective resource allocation is that heritage listing and statutory control occur at the appropriate level of government so that duplication and inconsistency are avoided.

ELEMENTS OF INVENTORIES

The fundamental elements of any heritage inventory are accurate identification of the place itself (and its boundaries) and a clear articulation of values. To manage important places, it is first necessary to understand why they are important. If the articulation of values is incomplete or incorrect, problems can arise from a mismatch of expectations among regulators, interest groups, owners, and developers. The level of information provided may be dictated by the budgetary limitations of local authorities. A common issue for ongoing heritage management is the lack of appropriate, well-researched information and thorough justification for heritage listing. The absence of good inventory data can thereby endanger the very heritage that the inventories are established to help manage and conserve.

In Australia, heritage values are determined using aesthetic, historic, scientific, and social criteria, as well as other potential factors. These values have been derived from *The Australia ICOMOS Charter for the Conservation of Places of Cultural Significance* (the Burra Charter).

In an adversarial system such as Australia's, where heritage listing or development may be judicially contested, heritage inventories must be robust. Decisions by Australian courts have allowed highly significant heritage places to be inappropriately altered and compromised because the heritage values were not clearly expressed. A particular challenge in compiling heritage inventories is identifying the visual setting of a heritage item in a way that adequately protects it from adjacent development. Experience shows that each word in the inventory listing may be open to dissection by planning lawyers.

Nearly every Australian heritage statute is supported by a related heritage inventory. In the state of New South Wales alone, there are more than twenty-seven thousand heritage items listed by local authorities, as well as several hundred conservation areas. Best practice in both heritage and statutory planning demands that every heritage item and conservation area have a separate inventory record. Though this requirement has generally been fulfilled, the data remain inconsistent.

Local government inventories vary in their complexity and in the amount of information and detail they provide. For example, the statement of heritage significance for a heritage item regarded as the critical component of any heritage inventory, may range in length from a simple sentence to a short essay of several paragraphs.

Inventories for a heritage conservation area usually identify the heritage significance of the total area but may not necessarily assess the individual properties within it, which may total several hundred. Emerging best practice is that the contributory value of every individual property within a listed area (or a complex site containing multiple heritage items) should be identified, assessed, and mapped. The most useful mapping provides a color-coded grading system identifying the relative significance of each element.

INVENTORIES DESIGNED FOR MANAGEMENT

In the mid-1990s, the Sydney City Council funded the preparation of detailed inventories for four hundred potential heritage places. The assessment and inventory for each place cost approximately US$1,000. Every record contains detailed information - a historical overview, descriptions of the fabric and alterations, a significance assessment by criteria, a summary statement of heritage value, significance gradings for each element, and a preliminary conservation policy. Each inventory is, in effect, a simplified conservation management plan. From that standpoint alone, the inventories' preparation is extremely cost-effective.

In dealing with buildings, an important aspect of each inventory record is the significance grading of internal and external elements (structural system, window frames, etc.), as this information assists council officers in understanding which parts of the building are most significant. An innovative aspect of the Sydney City Council's inventory for each listed

property is the inclusion of conservation policies (or management recommendations). These policies provide indications to owners and potential developers about the changes that may or may not be considered for each place. For example, the policy for a particular building may state that a vertical addition would not be appropriate. Thus, a potential purchaser planning to add floors to that building would be forewarned about the risks involved.

Since preparing the inventories, the Sydney City Council has faced far fewer disputes with owners or potential purchasers of the city's heritage-listed buildings. This political benefit was precisely the objective of the council's lord mayor in funding highly detailed inventories and conservation policies. Fifteen years after their preparation, the city's heritage inventories still represent best-practice Australian heritage management at the local level.

All individual elements at this former hospital site — including buildings, roads, and landscape features — were identified in an inventory and ranked according to their respective levels of heritage significance to facilitate the formulation of policies for their management.

To be effective, inventories must be available through online, accessible heritage information systems. In New South Wales, online multivariable searches can identify listed heritage at a local, state, or national level. The State Heritage Inventory database thereby functions as both a useful management tool and a source for comparative assessment. Critical attributes of any successful online heritage database are wide accessibility with a readily available operating platform, intuitive search methods, and easily manageable data downloads.

The presence of readily accessible information, however, can also be misleading and even dangerous. In practice, it is rare that inventories are comprehensive. Sometimes the necessary surveys have not been performed. Sometimes local authorities make a political decision not to list a significant place. Sometimes, because of the nature of the heritage—for example, a cultural landscape—that place is not easily included in a simple list. Therefore, best-practice heritage information and management systems should include provisions for protection of the underlying cultural resource, through general regulations and impact assessment.

ARCHAEOLOGICAL AND ABORIGINAL HERITAGE

Archaeological resources may be buried, unknown, and revealed only when change or development is proposed. In New South Wales, this issue is addressed through wide-ranging statutory provisions that provide protection to all archaeological features with cultural heritage significance. The onus is placed on development proponents to undertake surveys and assessments, to assess impact, and to propose mechanisms to deal with significant sites encountered during the construction process.

There are also examples of proactive archaeological heritage management. Parramatta was Australia's second European settlement and is now a satellite city located in western Sydney. The Parramatta Historical Archaeological Landscape Management Study (PHALMS) uses a geographic information system (GIS) platform and a connected relational database to manage the data for an entire historic city and its subsurface historical archaeological features, which date from the colony's earliest years.

PHALMS is founded on comprehensive historical research across the entire city area, combined with ground-truthing and analysis of results from previous archaeological projects. It provides a citywide predictive model indicating locations where archaeological features have been removed and where archaeological sites may yet be discovered. The significance of known or predicted archaeological sites is graded from "exceptional" to "low." An electronic database includes a summary history for every property, together with a succinct values statement, access to historic maps and other resources, and a clear indication of conservation policy and statutory requirements.

The PHALMS database is an archaeological inventory that is referenced in planning instruments and used by both local and state authorities as a tool for archaeological heritage management. It assists regulators, owners, and developers in understanding requirements, and it facilitates well-informed decisions. It is a best practice model for managing archaeology in an urban context.

Managing Aboriginal heritage is more challenging. Aboriginal communities may consider their important sites private. And though they may contain no physical remains, sites may nevertheless be considered sacred. In the absence of systematic surveys, it can reasonably be presumed that Aboriginal objects will be present in areas that have not been greatly disturbed since the arrival of Europeans. In New South Wales this challenge is addressed by a combination of laws, management systems, and inventories. The State Office of Environment and Heritage maintains the Aboriginal Heritage Information Management System (AHIMS), which records known Aboriginal site data using a GIS platform with an associated database. The system is not publicly accessible, but those with appropriate needs and credentials may request records. Associated laws protect all Aboriginal objects. Permits and protocols involving consultation with Aboriginal people apply to activities that may disturb or harm Aboriginal objects. Aboriginal places, with or without physical evidence, may be separately registered and protected.

This multifaceted management system is not ideal, but given the complex and often conflicting views held by Aboriginal and non-Aboriginal people about the value and management of Aboriginal cultural heritage, it is a system that works and that accords Aboriginal people a clear role in managing their heritage.

The Australian experience is that even the best heritage inventory may not prevent new development from overwhelming adjacent heritage places or compromising values, such as visual setting, unless statutory controls are aligned with conservation policies and desired heritage outcomes. Where planning objectives and statutory controls (zoning, height limits, etc.) for an area are inconsistent with heritage values, it is unlikely that development opportunities will be forgone in deference to those values.

Well-prepared heritage inventories provide clarity regarding heritage values and objectives. They identify places that need to be protected and managed. They inform owners, regulators, and the community. They can help in assessing, managing, and celebrating heritage, and guide in the allocation of scarce conservation resources. In Australia, heritage inventories have grown to be essential in managing the change and development that affect our important heritage places.

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MONITORING WORLD HERITAGE

HERB STOVEL (EDITOR), UNESCO WORLD HERITAGE CENTRE AND ICCROM, PARIS, WORLD HERITAGE PAPER 10, 2004.

Reviewed by Fátima Furtado[1]

It is accepted worldwide that monitoring is the most neglected activity in planning and management. Furthermore, the monitoring of historic urban centers is largely inadequate or totally lacking. Very recently, according to Nicholas Stanley-Price, Director General of ICCROM, as conservation professionals have begun to direct more attention towards strengthening arguments for heritage retention, monitoring techniques and approaches have acquired an adequate level of respectability.

To mark the 30th anniversary of the Convention Concerning the Protection of the World Cultural and Natural Heritage in 2002, UNESCO with the support of the Italian Government organized an International Congress to reflect on some of the main issues, achievements and challenges of the World Heritage mission. Immediately prior to the Congress, over 400 experts gathered in nine different Italian cities to consider the major themes under discussion. In Vicenza, twenty-three participants, from eleven countries, debated the specific issue of Monitoring Wold Heritage, resulting in a set of extremely significant reflections and guidelines, which were consequently published in 2004 by ICCROM and UNESCO World Heritage Center.

The publication, entitled *Monitoring World Heritage* puts forward the views of experts from both cultural and natural backgrounds. Drawing on experiences from all over the world, the authors discuss a wide range of questions related to the monitoring process, such as: What is the relevance of monitoring to management effectiveness? What should monitoring efforts measure? What are the necessary conditions for effective monitoring? What are the differences between systematic and reactive monitoring? What tools, mechanisms and methods are most effective for monitoring? To what extent can experiences from monitoring natural heritage be used in monitoring cultural heritage? A set of reflections about such issues follows.

According to the final discussion of the Vicenza Monitoring Workshop, monitoring is critical to management effectiveness since it provides the necessary information at site level, to enable the responsible authorities and other stakeholders to evaluate the effectiveness of efforts in achieving their objectives, and to prompt, modify or adapt management processes and actions.

This leads to the issue of *what should monitoring efforts measure?* Hermann van Hooff raises the initial question related to the need of linking management and monitoring to the World Heritage value. He argues that the essential missing link in the World

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Heritage process is the clear definition of the World Heritage value of a site, its explicit recognition in management and its incorporation in, or translation into, management objectives, programs and actions. Therefore, a coherent World Heritage framework must: identify the Outstanding Universal Value of a site at the time of its inscription in the World Heritage List; create legal, institutional and managerial arrangements that ensure long-term preservation of the OUV; and introduce mechanisms to assess whether this value is being maintained over time. Within these assessment mechanisms, monitoring the status of this value is essential.

Along similar lines, Bénédicte Selfslagh concludes that monitoring should be focused on the key indicators for conservation, over time, of the Outstanding Universal Value: authenticity and/or integrity of World Heritage. Therefore, it should cover the condition of the properties and its OUV-AI, the threats and impacts of corrective measures, when appropriate. Herb Stovel also argues that the central question in any monitoring effort must be the impact of time and circumstance on the heritage values defined during the inscription process.

Planning monitoring at the nomination stage ensures that reference data will be available for measuring the evolution of the property and its OUV-AI throughout time. One potential problem with monitoring is that the baselines against which changes of conditions are measured may not represent the original or desirable conditions of the resources. The final conclusions of the Workshop also present the possibility of this problem being compounded if monitoring programs are regularly changed and new baselines established, reflecting a slow shifting and generally deteriorating baseline.

As a result, an important condition for effective monitoring is that nominations include an outline for focused monitoring, including the identification of key indicators related to the two physical attributes linked to the Outstanding Universal Value. The organization of reliable base–line data, including data relevant to day-to-day management is fundamental.

Since 1998, State Parties have been invited to include "Statements of Significance" within their nomination documents. To strengthen effectiveness of monitoring activities, these statements need to include all elements necessary for their efficient use as a monitoring reference, i.e. data regarding the condition of the property, the state of the social, physical, and economic environment surrounding the heritage element or property, and in the effectiveness of actions or strategies adopted to improve their condition.

One further aspect discussed by the experts is that *monitoring is different from reporting*. Stovel argues that it is relevant to distinguish between long-term, on-going efforts to monitor effectiveness of site management and the need, at intervals, to report to the World Heritage Committee and others about the conservation of a property. Giovanni Boccardi adds that the first process is carried out by local staff on a continuous basis, while the monitoring as part of the Periodic Reports focuses every six years, on the implementation of the Convention. Bruce Mapstone further argues that monitoring to assess management effectiveness and monitoring to assess the status of World Heritage Area values are not synonymous, and at times not even mutually informative.

There also exists a difference between systematic monitoring, a continuous part of the management cycle of a property, and "ad hoc" monitoring, which is reactive, a

"snapshot" taken at a moment in time in the life of a property, aimed at solving particular problems of particular sites. In sum, it is proposed that monitoring should be seen as the essential underpinning of effective Periodic Reporting at site level.

In addressing the issue of indicators, a fundamental *tool for monitoring*, Stovel suggests that their effectiveness in measuring the quality of change on sites depends on the care taken in defining the desirable objectives for that site, and the subject areas for which indicators need to be established. Furthermore, monitoring systems should respond in an integrated manner to agree on "Outstanding Universal Value", as well as local perceptions of heritage value.

Bruce Mapstone stresses that it is also fundamental to clarify the relative importance of different values in a property, allowing for the development of clear objective hierarchies, including specific, quantifiable objectives for the guidance of monitoring. Mark Hockings outlines a very useful framework for assessing the management effectiveness of protected areas, and has been developed by IUCN. This framework has been developed as a flexible design tool for preparing evaluation systems which are responsive to the needs, capacities and circumstances that apply to protected areas. Consequently, it would be widely applicable around the world.

Addressing the *adequacy and effectiveness of monitoring systems*, Giovanni Boccardi, based on the Arabic and African experience, comments on the risk of promoting monitoring standards which are impossible to implement in most countries that ratified the World Heritage Convention. Caution is necessary in introducing too much GIS mapping, satellite imaging, laser scanning, etc. into the monitoring process in developing countries. Monitoring should be conceived and planned taking local conditions into consideration, and limited to the essential observations for determining if heritage values are affected by changes occurring at a site.

Sueli Schiffer emphasizes the importance of a participatory monitoring process for the conservation of cultural and natural heritage in order to achieve better returns from project investments. She argues that a greater commitment by the local population to a monitoring system leads to greater social cohesion, improving the sustainability of the cultural heritage. A monitoring process where stakeholders play an active role helps to prevent the future deterioration of cultural heritage and promotes long-term conservation at a lower cost. It also helps to address changes brought about over time, adapting the cultural heritage to new demands while preserving its heritage values.

Applying experience in natural World Heritage sites to cultural or historical sites seems to be a controversial issue. Based on the Enhancing our Heritage Project, which aims to develop a framework for assessing the management effectiveness of Natural World Heritage sites in pilot sites across three continents, Sue Stolton and Nigel Dudley conclude that the EoH project framework could, in theory, be used in cultural sites, particularly in those nominated for both natural and cultural values, or sites managed as a single entity. In such cases, the methodology could be adapted, although different indicators and other tools should be used. Matters would be more complex in the case of city centers or larger areas of land with multiple management authorities. Questions of what to assess in cultural sites are inevitably more complicated.

Bringing together lessons learned from cultural and natural heritage monitoring systems is a worthwhile objective. However, Stovel argues that building one broad

World Heritage monitoring framework will be difficult to fully achieve, and is not really desirable. There are differences in the understanding of cultural and natural heritages within the respective fields. Natural heritage is closer to the sciences in the evaluation process, while cultural heritage is closer to humanities, accepting that the perception of values will shift over time and vary within communities. In sum, there are limits to the integration of approaches from the two fields, which should be defined and acknowledged. The Workshop concluded that it is relevant to examine and reinforce commonalities, and resolve differences within and between monitoring approaches and evaluation frameworks developed for cultural and natural heritages. Discussions should be conducted in this direction.

Finally, it is important to stress the relevance of the discussed publication, in that it provides an excellent state-of-the-art overview of monitoring for the benefit of cultural and natural heritage. It brings together experiences from all three World Heritage Committee Advisory Bodies and should be most useful to professionals and researchers involved in conservation activities for improving monitoring efforts and management effectiveness.

The Getty Conservation Institute

Contemporary Architecture in Historic Urban Environments

By Susan Macdonald

A critical issue facing decision makers and conservation professionals is accommodating change to heritage places and adding new layers to the historic urban environment in ways that recognize, interpret, and sustain their heritage values. Over the last decade, a vigorous debate has ensued regarding the appropriateness of contemporary architectural insertions into historic urban areas. This debate has polarized sectors of the architectural community, pitting conservationists against planners and developers. It has positioned conservationists as antidevelopment and antiprogress, responsible for stifling the creativity of a new generation of architects and their right to contemporary architectural expression.

Change, however, is inevitable. Buildings, streetscapes, and urban areas evolve and change according to the needs of their inhabitants. Therefore, it is important to determine the role of contemporary architecture in contributing to this change in ways that conserve and celebrate the special character and quality of the historic environment that communities have recognized as important and wish to conserve for future generations.

Historic areas typically exhibit a range of heritage values, such as social, historical, and architectural. Frequently, they also have aesthetic significance; therefore, the design quality of new insertions in a historic area is important. One of the challenges in this

The Kunsthaus Graz in Graz, Austria, designed by Peter Cook and Colin Fournier. Opening in 2003 and located in the center of the historic city, it is representative of high-profile buildings that aim to be iconic by contrasting with a city's existing urban fabric. Photo: Flavio Vallenari.

debate on the role of contemporary architecture in historic contexts is that design quality can be seen as subjective. Assessing the impact of new development in a historic context has also been accused of being subjective. However, increasing development pressure has pushed governments and the conservation community to provide more objective guidance to secure what is termed "the three Cs," namely:

- **certainty** in the planning system about what constitutes appropriate development;
- **consistency** in government decision making; and
- communication and **consultation** between government decision makers and the development sector on creating successful outcomes.

Design professionals differentiate between taste and design quality. Taste is subjective, while quality is measurable. Prescriptive planning tools such as height restrictions, envelope limitations, and requirements to use certain materials all attempt to provide qualitative design measures. In many places, it is only when a historic building or area is involved that issues of design quality and character are included in the planning process through development or impact assessment. Clearly there is a need to provide guidance or establish well-understood standards to assess new development occurring within treasured streetscapes, neighborhoods, or historic landscapes, in order to meet the three Cs. Given that the debate is now occurring at a global scale, such standards need to achieve some level of consensus at an international level.

STARCHITECTURE IN THE HISTORIC CITY

The recent phenomenon of celebrity architecture—those landmark buildings described by Charles Jencks as "enigmatic signifiers"—has elevated the new architectural monument to the status of a great artwork and signals the emergence of those who have come to be known as starchitects.[1] City leaders, anxious to secure global status for their city in an increasingly competitive world, have turned to these international celebrity architects to create new iconic landmarks to put their city on the map. For example, Frank Gehry's brief for the Guggenheim Museum (1993–97) was "to do for Bilbao what the Sydney Opera House did for Sydney."[2]

Ait Ben Haddou in Morocco. This World Heritage Site is an example of an urban settlement in which vernacular traditional building forms and materials continue to be used for new construction, resulting in an architectural integrity and authenticity that offers a harmonious relationship between the natural and social environment. Photo: GCI.

Jencks, in his 2005 book *The Iconic Building*, contrasts the traditional monument with the celebrity building—which is driven by commercial needs and whose role it is to stimulate interest and investment in cities through its attention-grabbing, provocative design. "In the past," he writes, "important public buildings, such as the cathedral and the city hall, expressed shared meaning and conveyed it through well-known conventions."[3] Such important public monuments may be museums, as is the case with the Guggenheim in Bilbao, but since the mid-1990s, the monumental approach has been extended to a wider range of private buildings, such as department stores, apartment buildings, and even additions to family homes. The acceptability or fashion for attention-grabbing buildings means that difference is applauded and is celebrated over contextualized design—the approach the preservation community generally advocates. Some of these buildings may be fabulous, but how many monuments does the urban environment need? What will it be like in the future when the buildings are all unrelated, each vying for attention and without the traditional hierarchy of monumentality that enables a reading of the urban landscape as it relates to function? Where does the iconic building fit within the already existing iconic urban fabric of the historic city?

Herein lies the conflict. Starchitecture clamors for attention to consciously create an identity for the aspiring global city. In the case of the historic city, such as those included on the World Heritage List, the city has already been recognized more often than not for its architectural, aesthetic, and historic character. Preservationists would argue that the historic city is already iconic, so new development that seeks to stand apart from it is likely to receive criticism from communities, many of which have worked hard to protect the historic area. Sometimes it is the homogeneity or unity of the architecture that is important; sometimes it is the combination of historic layers and parts that contributes to significance. Perhaps ironically, inevitably it is its local distinctiveness that is being celebrated through the international recognition World Heritage listing brings.

In the early 2000s, a number of World Heritage sites were nominated to the List of World Heritage in Danger, due to proposed, highly contemporary development deemed inappropriate because it potentially threatened the outstanding universal values of the nominated sites. The call by the World Heritage Committee (WHC) for action to address this issue resulted in a 2005 conference in Vienna entitled "World Heritage and Contemporary Architecture—Managing the Historic Urban Landscape." The outcome of this meeting was the Vienna Memorandum,[4] which proposes an integrated approach to the contemporary development of existing cities in a way that does not compromise their heritage significance. Since that time, the WHC has worked with its advisory bodies to address a number of related issues pertaining to the conservation and management of the historic urban landscape.[5] Simultaneously, many local governments and heritage institutions have worked to develop guidance to gain a shared understanding of what constitutes appropriate development in the historic environment between owners, developers, and decision making bodies.[6]

CREATING TOMORROW'S HERITAGE

There are varying views on what constitutes appropriate new development within a historic context. Some argue that new insertions to the fabric of the historic urban environment should be in the style of the old. Historically, traditional settlements and cities like Ait Ben Haddou in Morocco or Zanzibar's stone town have demonstrated a continuum of building traditions that exemplifies this approach. In the pre-modern era,

redevelopment in commercial city centers, such as London's Regent Street, followed a Beaux Arts approach, with grand town planning and architectural gestures. With the advent of Modernism, large-scale reconstruction, which architecturally broke with traditional architectural and planning forms, changed the face of many cities in the twentieth century. In recent times, in reaction to modern interventions, some architects have chosen to continue to design buildings in a more historical style while nevertheless utilizing modern materials and technologies. Others abhor historicism and argue that each generation should represent its own time. New layers should represent the ideas, technology, materials, and architectural language of each generation. *Pastiche* is a dirty word.

The historic environment can, in fact, accommodate a rich variety of interpretations and expressions. A vernacular or traditional response may be as valid as a more contemporary response. It is the quality of the relationship between old and new that is critical, not the architectural language per se. Issues such as scale, form, siting, materials, color, and detailing are important to consider when assessing the impact of a new development within a cherished historic town, city, or site. These criteria are examples of those typically considered when assessing the impact of new development in a historic context.[7]

Most successful new buildings designed in a valued historic context inevitably rely on an understanding of, and then response to, the special character and qualities of the context. As with any conservation work, understanding significance of the place is crucial. Also in common with most conservation work is that it is case specific. A city center with an architecturally unified city core may need a different approach than one that has a variety of architectural forms, scales, and expressions. In an urban settlement that continues to sustain traditional craft and building techniques and materials, it may be extremely important to promote the continuation of these practices.

An important starting point is the premise that the place has been identified by present and past generations to be important enough to warrant protection and be subject to the prevailing laws, regulations, and policies to secure its conservation and to manage change in such a way that its significance is conserved. The responsibility of designers is to ensure that their work contributes to and enriches rather than diminishes the built environment. Conservation principles can often lead to heightened levels of creativity. Many architects, initially frustrated by the seeming interference of the conservation practitioner, in the end will agree that the outcome has been enhanced through a rigorous, well-articulated process.

Conservation is a balance between preserving the special character, quality, and significance of the historic place and facilitating change in a way that sustains it into the future. Inevitably every decision and subsequent action is of its own time. The role of the conservation practitioner is to ensure that today's decisions do not do irreparable damage. Successful designers recognize that working within the historic context is not a constraint but an opportunity— where the whole can be greater than the sum of the parts, and where a contemporary building can add a rich new layer and play a role in creating the heritage of the future.

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1. Charles Jencks, *The Iconic Building* (New York: Rizzoli, 2005).
2. Jencks, *Iconic Building*, 12.
3. Jencks, *Iconic Building*, 7.
4. UNESCO World Heritage Centre, *Vienna Memorandum on World Heritage and Contemporary Architecture— Managing the Historic Landscape* (Vienna: UNESCO World Heritage Centre, 2005). 5. The World Heritage Center's Historic Cities Program is engaged in developing a recommendation on the Historic Urban Landscape, including investigating the impact of contemporary architectural additions on historic urban environments. See www.whc.unesco.org/en/cities.
6. Examples include the United Kingdom's Commission for Architecture and the Built Environment (CABE) and English Heritage, *Building in Context: New Development in Historic Areas* (2001), available online at http://webarchive.nationalarchives.gov.uk/20110118095356/ http://www.cabe.org.uk/publications/building-in-context. See also NSW Heritage Office and Royal Australian Institute of Architects (NSW Chapter), *Design in Context: Guidelines for Infill Development in the Historic Environment* (Sydney: NSW Heritage Office and RAIA NSW, 2005), available online at www.heritage.nsw.gov.au/docs/DesignInContext.pdf.
7. See, for example, NSW Heritage Office and Royal Australian Institute of Architects, *Design in Context*, which includes these as criteria.

The GCI will host an event on contemporary architecture in the historic environment in 2012. The Institute will also be working on the development of case studies and guidance documents for a variety of situations to address this challenge, as part of the Historic Cities and Urban Settlements Initiative in 2013.