Establishment of procedures for the management of the Erbil Citadel

ERBIL CITADEL MANAGEMENT PLAN

January 2012
ESTABLISHMENT OF PROCEDURES FOR THE MANAGEMENT OF THE ERBIL CITADEL

ERBIL CITADEL MANAGEMENT PLAN

Part 1 of 2

January 2012

Elaborated by:

For:
THE UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION (UNESCO)
## Quality control

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<td>CRMP</td>
<td>Conservation and Rehabilitation Master Plan</td>
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<tr>
<td>DAH</td>
<td>(Erbil) Directorate of Antiquities and Heritage</td>
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<td>EC</td>
<td>European Commission</td>
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<td>ECC</td>
<td>Erbil Chamber of Commerce</td>
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<td>EG</td>
<td>Erbil Governorate</td>
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<td>GIS</td>
<td>Geographic Information System</td>
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<td>HCECR</td>
<td>High Commission for Erbil Citadel Revitalization</td>
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<td>ICCROM</td>
<td>International Centre for the Study of the Preservation and Restoration of Cultural Property</td>
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<td>ICOMOS</td>
<td>International Council on Monuments and Sites</td>
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<td>KRG</td>
<td>Kurdistan Regional Government</td>
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<td>KRP</td>
<td>Kurdistan Regional Presidency</td>
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<td>MCTY</td>
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<td>ME</td>
<td>(Kurdish) Ministry of Education</td>
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<td>Middle East Geodatabase for Antiquities</td>
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<td>MHC</td>
<td>(Kurdish) Ministry of Higher Education</td>
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<td>(Kurdish) Ministry of Planning</td>
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<td>MBAEC</td>
<td>Management of the Buffer Area of the Erbil Citadel</td>
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<td>MMT</td>
<td>(Kurdish) Ministry of Municipalities and Tourism</td>
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<td>MoU</td>
<td>Memorandum of Understanding</td>
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<td>UNESCO</td>
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Foreword by HCECR

by Dara al-Yaqubi
Head of the High Commission for Erbil Citadel Revitalization (HCECR)

I am delighted to present our first Management Plan for Erbil Citadel, which constitutes yet another important step that the High Commission for Erbil Citadel Revitalization (HCECR) has achieved – in cooperation with its partners and other stakeholders – aiming at the regeneration of the Citadel through cultural heritage conservation and enhancement.

Erbil Citadel is a major landmark for the image of Erbil and the entire Kurdistan, as well as a hidden archaeological treasure with great significance for the whole world. Its built heritage is a tangible witness to the development of urban and architectural history in the past centuries, while its potential for archaeological discovery is enormous.

The Management Plan builds on the experiences conducted by the HCECR and UNESCO in the past years and in particular on the studies developed by the Conservation and Rehabilitation Master Plan. The finalization of this Management Plan marks the fruitful cooperation between Erbil Governorate, the HCECR and UNESCO for the revitalization of Erbil Citadel and surrounding areas, which has produced extremely positive results, among which also the Urban Design Guidelines for the Buffer Zone of Erbil Citadel, developed within the frame of the project Management of the Buffer Area of the Erbil Citadel.

This Management Plan for Erbil Citadel fills a main gap in management planning, by providing a fundamental tool to coordinate the ongoing and planned conservation and rehabilitation activities within a general framework, based on shared vision, aims, and objectives. Thus, it represents an achievement in itself and a starting point for our future implementation work. Likewise, it is meant to pave the way towards a successful nomination of Erbil Citadel as World Heritage and hence its recognition as a site of outstanding universal value.

I am grateful to all those institutions and individuals who have contributed to produce this Plan, and to all other participants in the workshops and other bilateral and multilateral meetings organized within the frame of the planning process. I feel confident that this document will prove to be an invaluable management tool to all those involved in the ongoing conservation and rehabilitation of the Citadel, the ‘crown of Erbil’.
Foreword by UNESCO

by Mohamed Djelid
Director of the UNESCO Iraq Office

With the completion of the Management Plan for Erbil Citadel, a significant milestone has been achieved within the framework of the Erbil Citadel Revitalization Project. Following a number of project achievements, among which is the Conservation and Rehabilitation Master Plan, the Management Plan provides guidance for the planning and implementation of activities governing the conservation and revitalization processes, which would help to achieve a sustainable future for the Citadel.

The Citadel of Erbil is at the heart of the city, which is not only a historic core, but is also a vibrant commercial and social centre. The Citadel is the city’s main attraction and is instilled in the memory of the people of Erbil with substantial social and cultural values. Thus, the planning process has undertaken a holistic approach and has involved the participation of many stakeholders and individuals.

This year marks the 40th anniversary of the World Heritage Convention for the Protection of World Cultural and Natural Heritage. The Convention has not been only an instrument for the protection of sites inscribed on the World Heritage List, but it has also played a wide and significant role in guiding the field of heritage conservation worldwide.

The 40th anniversary of the Convention focuses on the theme of “World Heritage and sustainable development: the role of local communities”. Culture is indeed at the core of development, and the conservation of heritage should meet and achieve a balance with local community needs.

Since 2007, and with the signature of the first Memorandum of Understanding with the Kurdistan Regional Government for implementing the Erbil Citadel Revitalization Project, UNESCO has embarked on a partnership with the High Commission for Erbil Citadel Revitalization (HCECR) for the purpose of working together for the conservation and revitalization of the Citadel of Erbil.

The efforts of the Kurdistan Regional Government towards the conservation and development of the Citadel, particularly those of the HCECR and the Governorate of Erbil, are highly commendable. Funded by the Kurdistan Regional Government, the Erbil Citadel Revitalization Project has been progressively making strides. It is hoped that the Management Plan will help to guide future activities at the Citadel and contribute towards a successful World Heritage Nomination.
Executive Summary

Erbil Citadel is a major archaeological and historic site that underwent a series of dramatic changes in the past fifty years of its history, leading to its almost total abandonment. An ambitious project to rehabilitate, repopulate, and revitalize the Citadel is ongoing, led by the High Commission for the Rehabilitation of Erbil Citadel (HCECR) with the participation and support of UNESCO as well as that of the Kurdish Regional Government, Erbil Governorate and Municipality.

This Erbil Citadel Management Plan follows the compilation of two other important documents: the Conservation and Rehabilitation Master Plan (CRMP) and the Urban Design Guidelines for the Buffer Zone of Erbil Citadel, an output of the Management of the Buffer Area of the Erbil Citadel, a UNESCO and Erbil Governorate / HCECR joint project. Together, these documents have set the basis for the development of the present Management Plan, which provides the policies and strategies for the sustainable conservation, rehabilitation and development of the Citadel of Erbil.

Historical Background

The archaeological evidence for Erbil is scarce given the substantial lack of investigations on the tell, but written records help to reconstruct the important role the city had since the earliest phases of Mesopotamian history. At the time of the Third Dynasty of Ur (c. 2095-2048 BC) the city was named Urubilum. During the second millennium BC the city was part of the Assyrian Empire, with the name Arba-ilu (City of the Four Gods). It was then the capital of a district of the Median Empire, and then annexed to the Achaemenid Empire. Less than two centuries later, an important battle took place in the vicinity of Erbil, near Gaugamela, where Alexander the Great defeated Darius III.

At the time of Emperor Trajan (116 AD) the city was part of the province of Assyria, but the area did not stay long under the direct control of Rome. The city was known as Arbira at the time of the Parthians when it was an administrative centre. It kept its administrative role also under the Sasanian Empire.

The area was occupied by the Muslim armies in 642 and shortly after the administration of the region shifted to Mosul. Later, another famous battle was fought in the vicinity of the city: the Battle of the Zab in 750 AD ended the Umayyad Empire, which was replaced by the Abbasid Caliphate. In the first half of the 12th century Erbil came under the control of a Kurdish family (Baktakin, or Buktikid) related to the Egyptian Ayyubids.

After the conquest by the Ottoman Sultan Suleyman the Magnificent in 1534, Erbil became a dependency of Mosul. In 1743 it was captured by Nadir Shah, the Afsharid ruler of Persia, but fell again under Ottoman rule two years later. After a period of intense competition between the Ottoman Turks and the Persian Safavids to control the whole region, Sultan Murad IV finally secured Iraq as an integral part of the Ottoman Empire in 1638.

During most of the 19th century Erbil was under the administrative rule of Baghdad. After the fall of the Ottoman Empire the region came under British administration. After independence, the Parliament of the Kurdistan Autonomous Region was established in Erbil in 1970, but was effectively controlled by Baghdad until the Kurdish uprising at the end of the 1991 Gulf War. The new Iraqi Constitution of 2005 explicitly recognises the Kurdistan Regional Government and in May 2006 the unitary government of the Kurdistan Region was formally presented.
CHANGES TO THE CITADEL’S PHYSICAL AND DEMOGRAPHIC ASPECTS

The Citadel was historically divided into three districts: Saray occupied the eastern section, Topkhana the western one, while Takya was the central and northern portion. Government officials and most of the oldest and prominent families used to live in the eastern part (Saray), where the largest number of big aristocratic houses still exists. Apparently, the districts had separate administration but, at the social level, there was no division and different population groups used to live in all districts.

Year 1937 marks the official recognition of the Citadel as an archaeological site, based on the Law on Ancient Monuments No. 59 of 1936. Unfortunately, such legal protection did not prevent site degradation, including intentional building destructions, which occurred at the end of the 1950s.

In 1957 the Citadel was housing only 13% of the total population of Erbil. At the same time, several waves of immigration affected the city, leading to a gradual but steady replacement of the local population. The first comers, between 1957 and 1977, represented the typical phenomenon of urbanisation, with people coming from the countryside. The second wave, between 1980 and 1995, interested a great number of refugees, facing various situations of unrest. Their settlement is accompanied by the abandonment of the Citadel by the local population and by phenomena of squatting into empty homes, or by building shacks made out of locally available materials.

In 1958-60, demolition of buildings along the north-south axis took place to allow for construction of the road providing access for vehicular traffic. The road inflicted heavy damage on the built heritage, including demolition of a slice of the Yakoub Agha mansion, previously the largest historic house in the Citadel. Two ramps were built for vehicular access on the north and south slopes, and the southern Old Gate was demolished. In its place, a new one was built several years later, including new walls extending along the south front of the Citadel. This construction is now despised by the local community who is asking for its replacement with a reconstruction of the older gate.

In 1959 the reconstruction of the Great Mosque took place. The 22 domes of the original mosque, built in traditional brick, were replaced by a single concrete dome. The only visible part of the mosque still standing as an attractive landmark is the minaret, dating from 1849, which can be seen from many parts of the Citadel. In 1979 extensive reconstruction took place to the central hammam. The original dome was replaced with a concrete dome, which provided structural stability but ruined the original elegance of the complex.

465 m of external walls were built in the 1980s to replace sections which had collapsed. In cases where the original design was known, the façades reproduced it, but, where there was no evidence, they were constructed incorporating patterned brickwork based on the traditional designs found inside and on the façades of other perimeter houses.

Some infrastructures improvement, funded by UNDP (in the beginning of the 1990s), included upgrading of the water supply and installation of an electricity network, but the work was not done to last and the system is not in use any longer. Moreover the water network was totally inappropriate and brought to the waterlogging of the tell.

As far as conservation of the houses is concerned, there were some undertakings by public authorities to ensure an improved protection of the buildings, also by means of property acquisition. In the 1970s, public institutions (Municipality of Erbil, Department of Antiquities, Awkaf) started to buy houses in the Citadel. Some conservation work was done on houses starting in 1978, but, generally speaking, there were few concrete initiatives until 2004.
The Kurdish Regional Government decided to evacuate the site in the end of 2006, also decreeing the establishment of a ‘High Commission for Erbil Citadel Revitalization’ (HCECR), to be in charge of ensuring that the architectural and historic heritage of the Citadel is conserved, enhanced, repopulated, and revitalized. Following the creation of this new institution and in continuity with previous projects and programmes, a last important step is the launch of the UNESCO/HCECR Erbil Citadel Revitalization Project, articulated in two phases.

**PREVIOUS DOCUMENTATION**

**CONSERVATION AND REHABILITATION MASTER PLAN**

It was prepared between 2008 and 2011 as part of the Erbil Citadel Revitalization Project (1\textsuperscript{st} phase). It is based on research, documentation gathering and building analysis, and provides indications on conservation actions and overall management of the Citadel.

**URBAN DESIGN GUIDELINES FOR THE BUFFER ZONE**

Prepared in the framework of the Erbil Citadel Revitalization Project (2\textsuperscript{nd} phase) the study conducted for the Management of the Buffer Area of the Erbil Citadel provides important considerations and recommendations for the protection of the areas surrounding the Citadel.

Numerous other studies and reports were consulted in the preparation of this Management Plan. The full list is in chapter 2.

**BUILDING CHRONOLOGY**

The dating of houses in the Citadel is a complex issue, since many show more than one phase of construction, houses incorporate fragments of earlier buildings, as well as modern alterations and additions.

The CRMP study identified three main periods:

**Earlier Ottoman-period houses (? – c. 1880):**

There is little or no direct evidence as to their date. They are characterised by an absence of windows for light, which suggests that they date to a period before window glass became commonly available in the Ottoman Empire.

**Later Ottoman-period houses (c. 1880 – 1918):**

All the great mansions of the Saray district, with the exception of the Hashim Chalabi mansion (House 2/6), date to this period. It was a period of huge building activity, when almost every house in the imperial capital was rebuilt.

**Post-Ottoman period (after 1918):**

Post-Ottoman-period houses are characterised by large and tall windows and upper ventilation windows which are both larger than those dating to the Ottoman period. Façades containing windows are normally protected from the sun by a portico (\textit{tarma}) supported on one or more wooden, iron or steel columns.
URBAN FORM

The Citadel of Erbil is largely composed by traditional courtyard houses with a labyrinth of narrow alleyways. Major alleyways, starting from the main gateway and fanning in all directions, could reach 300 m in length. Smaller ones were much shorter in length averaging between 50 and 100 meters in length; dead-end alleys, or cul-de-sacs, were even shorter and averaged no more than 30-50 meters in length. The labyrinthine nature of the winding alleys and irregular shapes of the plots were the inevitable result of incremental and haphazard growth due to the lack of any predetermined master plan. The outer wall of the Citadel town is perhaps among its most important features, constituted by contiguous houses built on the perimeter forming a solid wall, very similar to fortified citadels of medieval times.

PUBLIC BUILDINGS

The main mosque still in use today – the Mulla Afandi Mosque – was probably built on an earlier mosque sometime in the late 19th century. It was unfortunately demolished in 1957 and rebuilt in a modern style. A traditional hammam (public bath), built in 1775 by Qassum Agha Abdullah and located in the middle of the town, provided hot baths for the local population, and still survives today. The hammam of the Citadel ceased to function in the 1970s and was restored in the late 1970s but was left empty. Takiyas provided meeting places for Sufis, devout Muslims, and dervishes, to practice the religious recitals ‘Thikir’ and hold dervish dances in a special hall called ‘Sama-Khana’. There were two such takiyas in the Citadel.

HOUSE TYPOLOGY

Houses in the Citadel were built over the existing structures and foundations, in a continue regeneration process. The houses are arranged in blocks, mostly with shared walls, defined by a network of narrow alleyways. All the houses had open courtyards and used to have a raised terrace with arches (arcade) or with columns (colonnade, or tarma) overlooking the courtyard. The rooms received their natural daylight and ventilation through several windows facing the terrace. In case of perimeter houses, they also had windows overlooking the town below. Smaller service rooms such as kitchens, bathrooms, toilets, and stores, were often placed on one side of the courtyard and directly accessed from it. Most large and medium-sized houses were built in two floors to maximize floor area. The upper floor is accessed directly from the courtyard by one or two stairs. This floor, being the main one, is usually given a lot of architectural attention and enrichment by decoration, painting, and ceiling panelling. The structural and architectural materials and elements which are present on site were analysed extensively in the Conservation and Rehabilitation Master Plan and are summarized in Chapter 2.

ASSESSMENT METHODOLOGY

A thorough assessment of the site conditions has been carried out as part of the preparation of the CRMP. The study resulted in the inventory and grading of the historic buildings as well as in their classification according to physical conservation conditions, focusing in particular on structural stability and risk. A three-grade classification system was predetermined:

- **Grade 1**: Very important, grand mansions, buildings of particular historical or architectural significance (11 buildings, 1.87% of the total);
• **Grade 2**: Important, i.e. buildings with a substantial amount of original fabric preserved, with important architectural features, with significant urban value (82 buildings, 14.13% of the total);

• **Grade 3**: Less important buildings, i.e. with substantial loss of original fabric, with no significant features, but still retaining visible parts of authentic structure; (227 buildings, 38.5% of the total).

Another grading system was developed to assess the structural conditions of the 320 buildings of grade 1-3, resulting in another scale (A-C, from structurally stable to severely unstable, with a no grade for demolished buildings and shacks).

Several other studies and analyses, including studies on the stability of the slope of the Citadel’s hill, have helped to define the factors affecting the conservations of the buildings.

### Factors Affecting Conservation

110 buildings were analysed in the course of the CRMP project to define their structural risk. Of these, only 9 presented low risk. The instability of the Citadel slopes is a major factor in the observed damage to buildings, especially on those located on the perimeter. This is already being tackled with a major engineering project aimed at reducing this risk factor.

Other factors that have affected the buildings of the Citadel are due to lack of maintenance, abandonment, and deliberate demolitions, an effect of demographic phenomena of abandonment and gradual replacement of the original inhabitants with immigrants from the countryside, first, and with refugees, later.

Another important factor of deterioration has been identified in the lack of proper drainage and in the excessive dispersion of water in the ground, which has caused the waterlogging of the *tell* and the weakening of buildings foundations.

The damage due to water, either as a result of capillary action from ground-dispersed water, or as penetration from damaged roofs, walls, and fixtures, is the most important factor of deterioration. This is now being addressed by the HCECR with a program of temporary repairs and remedial actions in the form of propping, covering damaged roofs with plastic sheets, etc. These actions have the purpose to slow down the immediate effects of water penetration, while studies and proper conservation activities are being conducted on a number of buildings.

### Present Management Context

The High Commission for Erbil Citadel Revitalization (established in 2007) is the institution in charge of site management. The creation of the Commission is an important step in the process of revitalization of the Citadel, after the evacuation of the site through the resettlement of the population in 2006.

In 2007 and again in 2010 the HCECR signed two Memoranda of Understanding with UNESCO, which have produced for the first phase a series of studies and assessments which are summarized in the CRMP, while the second phase, still ongoing, sees the development this Management Plan, besides other studies and conservation and rehabilitation works on site.

Building on the *Conservation and Rehabilitation Master Plan* prepared within the frame of the first phase and submitted in January 2011, the Management Plan is meant to prepare the ground for a sustainable and effective management in view of the nomination of the Citadel for inscription on the UNESCO World Heritage List.
Chapter 4 analyzes the structure of the HCECR and the functions of its various units, as well as those of the Board of Members, the projects it is presently conducting, and the legislative framework that currently frames its action. The chapter includes an analysis of other plans and tools that might have an effect on its future activities aimed at revitalizing the Citadel, including the master plans for Erbil City and for the City Centre, and the strategic plans for the regional development of Kurdistan.

**Stakeholder Consultation**

Chapter 4 also presents the stakeholders involved in the planning process and the methodology adopted for their consultation, reporting on the conclusions of the focus groups and workshops which have gathered the main stakeholders identified, who have helped to define the values of the Citadel and its significance, thus providing important elements for the definition of the basic policies and strategies for the achievement of the revitalization effort.

Three categories of stakeholders were involved in separate focus groups: institutional actors, civil society & private sector, and international actors. The debate was very enthusiastic and showed a great interest towards the revitalization of the Citadel and a request to be informed and involved. The final meeting of stakeholders confirmed such eagerness to contribute in the process.

There was a general agreement on the approach, aims, and content of the proposed Management Plan. Besides confirming the architectural and archaeological values, the participants stressed the importance and centrality of the Citadel as a landmark, the community values linked to the site as a promoter of Kurdish identity and the need to consider these factors in the revitalization process.

**Values, Statement of Significance, and Vision**

As already mentioned, the definition of the values and significance of the site is based on the knowledge accumulated by the HCECR in the course of the several years of its activity, on the studies conducted in the course of the CRMP project and of the management planning process, and on the observations and opinions gathered from the stakeholders during the meetings and workshops conducted with them.

The main values of the Citadel have been identified in its history, in its archaeological potential, in its architectural significance, in its urban setting, in its scientific and aesthetic elements, as well as in its social, iconic, symbolic, educational, and economic aspects. Erbil Citadel, as it should be expected from a site that was primarily a living place, does not hold only values that can be defined ‘scientific’, but also (and for some aspects primarily) ‘social’, to the point that these characteristics reflect in the statement of significance and the vision for the revitalization of the Citadel.

In summary, the values that have been identified throughout the planning process are:

- **Historic**: length of occupation, historic events that it has witnessed;
- **Archaeological**: largetell, potential findings;
- **Architectural**: witnessing styles and techniques peculiar to Kurdish culture;
- **Urban**: centrality of the Citadel, influencing urban development;
- **Scientific**: opportunities to advance knowledge on various topics;
- **Social**: a place that people visit or where they attend to prayer;
- **Memory**: a place that people connects to community or family stories;
- **Associative**: a place where people important to the community have lived;
- **Economic**: potential for tourism and leisure activities.
STATEMENT OF SIGNIFICANCE

The Citadel of Erbil is a rare example of urban centre that grew and developed on an archaeological tell, reproducing throughout its history, layer by layer, the form and structure of the earliest Mesopotamian city.

Today, the Citadel stands physically and symbolically at the centre of the modern Erbil, still powerful in the image of a mighty fortress, and strong in the memory of its previous inhabitants and of the citizens of Erbil. The significance of the Erbil Citadel in fact is given not only by the historical events it has witnessed, and the historical figures that have lived in, reigned over, or conquered the city, but also by the stories, feelings, and relationships that the inhabitants of Erbil still have with their Citadel.

If the archaeological importance of the site can only be imagined, until scientific excavations will provide the information that is still missing, the form of the city and the details of its architectural features are extremely significant as they are very specific to Kurdistan.

While the Citadel still preserves a high degree of authenticity, notwithstanding the changes of the past 50 years, its integrity is unfortunately diminished by the demolitions and physical decay it withstood in recent years. The site, however, remains highly significant from the historical, archaeological, scientific, symbolic and social points of view.

The current efforts to revitalize the Citadel and the strong relationship that the people of Erbil have with it will be determining factors in returning the Citadel to the role and position it has always held in its history, as a place central to the life of the Kurdish people, and as a monument of importance for all humanity.

VISION

Erbil Citadel is a site of international importance due to its unique features and substantial uninterrupted occupation, making it one of the oldest urban settlements in the world. At the national level, it has symbolic and identity value for the people of Kurdistan.

The purpose of the Erbil Citadel Management Plan is to ensure the historic integrity and authenticity of the Citadel, to recognise it as a symbol of the development of human culture and urban civilisation, and to make it the living, dynamic and self-sustaining centre of the modern City of Erbil and the Kurdistan Region of Iraq.

We will revitalize the Citadel using culture and cultural heritage as vectors for development, through research, conservation, rehabilitation, and presentation, making it available to our community and to our guests and ensuring its transmission to the future generations.

AIMS, POLICIES AND STRATEGIC AXES

Chapters 6 and 7 are the core of this document and present the policies, strategic axes, and actions for achieving the objective or revitalize the Erbil Citadel in accordance with the indications of doctrinal texts and international best practices.

The tables in the following pages present the eight aims that are at the basis of the strategies for the implementation of the strategies. Chapter 7, in particular, identifies a series of action items that need to be undertaken in order to accomplish the indications of the policy statements outlined in Chapter 6.
1 – Research and excavation

Erbil Citadel is a great archaeological site and a distinct representative of architectural development in Kurdistan. Major excavations will be conducted on the Citadel, as a joint venture of foreign and national institutions, informing and involving the public. Site and building analysis, multidisciplinary research, and collection of historical documentation from written, iconographic and oral sources will continue, to address protection and conservation decision and to create a documentation centre. The research programme will include special studies for the potential reconstruction of buildings, as requested by the local community.

Strategic Axes

Axis 1: Citadel general site survey drawings
Axis 2: Geological and geotechnical analyses of the tell
Axis 3: GIS-based inventory and documentation centre
Axis 4: Archaeological research and excavation
Axis 5: Multidisciplinary research programme
Axis 6: Special research areas

2 – Conservation, documentation and maintenance

All conservation activities on Erbil Citadel will respect the character and historical features of the site and will be conducted in accordance with internationally accepted standards and best practices. Inventory and documentation of historic buildings and other features will be pursued, as a basis for legal protection and physical maintenance, monitoring and conservation. Technical material will be developed to guide interventions in the Citadel and to build capacities of the HCECR’s technical staff and other professionals and practitioners in charge of maintaining and monitoring the place and preserving its unique character.

Strategic Axes

Axis 1: Site and buildings inventory and legal protection
Axis 2: Maintenance, monitoring and preventive conservation
Axis 3: Endangered buildings and risk mitigation
Axis 4: Conservation activity planning
Axis 5: Strategies and guidelines for conservation approaches
Axis 6: Conservation capacities, crafts and materials
Aim 3 – Rehabilitation, reuse and revitalization

Main policy statement

Erbil Citadel will be conserved and renovated to become central to the cultural and social life of Erbil. Its character will be enhanced by means of cultural and community initiatives, archaeological research, tourism and leisure activities that are compatible with the historical nature of the place and its aspirations to become a World Heritage Site. Rehabilitation and resettlement efforts will concentrate on retrieving the Citadel’s spirit, lost following demolitions and abandonment. New constructions will be appropriate to the context, integrated in the historic urban landscape, and designed according to specific guidelines.

Strategic Axes

Axis 1: Adaptive reuse of the Citadel’s buildings
Axis 2: Resettlement approach and target groups
Axis 3: Buildings rehabilitation approach
Axis 4: New infill buildings in regeneration areas
Axis 5: Phasing of the revitalisation process

Aim 4 – Interpretation and tourism development

Main policy statement

Erbil Citadel will be interpreted by means of traditional and new media, in order to offer to visitors a quality experience based on cultural appreciation and interest to learn. Promotional activities using new media outlets will be explored, to enhance public outreach and increase the opportunities to market the Citadel as a unique tourist and cultural product. The Citadel will be a major tourist attraction and a place where local community and guests will want to spend time. Museums, multipurpose cultural institutions and tourist facilities well integrated in the historic context will facilitate access. Tourism development, however, will be only one of the components of a balanced revitalization strategy based on a mixed use approach.

Strategic Axes

Axis 1: Interpretation and site presentation
Axis 2: Publications and media
Axis 3: Tourism development and management
## 5 – Awareness raising, education and community participation

**Main policy statement**

Cultural venues and activities will be developed in order to increase the level of knowledge among the public on the history and culture of Kurdistan in general and the values of the Citadel in particular, in order to make the local community and the public at large an active actor of the conservation efforts. Activities will include programs of public archaeology, the creation of associations and their involvement in a number of research, documentation, and other projects concerned with the re-discovery of tangible and intangible aspects of the cultural heritage of the Citadel. Strategic partnerships with NGOs and educational institutions, including universities, will facilitate dissemination and outreach.

**Strategic Axes**

- **Axis 1:** Education activities for schoolchildren
- **Axis 2:** Relationships with universities and colleges
- **Axis 3:** Community participation and awareness raising
- **Axis 4:** Communication and cultural activities

## 6 – Facilities, services and infrastructures

**Main policy statement**

The provision of new basic public services and infrastructures will be accomplished by governmental and other organisations under the supervision and monitoring of the HCECR. Specifications for their installations will be prepared in accordance to dedicated guidelines in order to maintain the character and values of the site. Other neighbourhood services and facilities will be developed in close cooperation with the private sector and will thus constitute an opportunity to activate the resettlement and to promote investment and creation of small enterprises. Access to and circulation in the Citadel will be subject to specific regulations.

**Strategic Axes**

- **Axis 1:** Basic infrastructure networks
- **Axis 2:** Basic visitor facilities and services
- **Axis 3:** Media and communication networks
- **Axis 4:** Collection and delivery services
- **Axis 5:** Access, circulation and transportation
- **Axis 6:** Other neighbourhood facilities
Aim

7 – Legal/institutional framework and capacity building

The Management Plan will be adopted by the competent authority and recognised by all institutions, organisations, and private sector that will have a role in its implementation. The capacity of the HCECR, as the principal body in charge of implementing the plan, will be strengthened to properly manage the site. To accomplish this task the HCECR must be provided with a legal capacity and an administrative and technical structure, able to support the requirements of such an extensive scope of work, a staff structure that will include all required professional figures necessary to sustain the revitalization effort, and financial mean adequate to carry out this mission. Ensuring the economic sustainability of the site will be one of the key tasks of the management framework. Capacity building in the field of heritage conservation and management will ensure that the professional and technical staff is able to carry out their duties according to national requirements as stated by the laws and regulations as well as internationally accepted standards.

Strategic Axes

Axis 1: Legal framework and institutional relationships
Axis 2: Management plan implementation and support
Axis 3: Capacity building
Axis 4: World Heritage nomination file

Aim

8 – Investment, marketing and funding

Investment in the Citadel will be encouraged through financial incentives and administrative measures, but closely monitored to avoid activities that are incompatible with the character of the place. Sectoral studies will be undertaken prior to the definition of a strategy for investment promotion, to determine conditions and to identify the appropriate marketing approach targeting different groups, the funding opportunities and the potential donors. A special attention will be paid to branding, to develop a brand that effectively reflects the values and the image of the site and the view of the citizens while reaching a large segment of customers.

Strategic Axes

Axis 1: Investment opportunities
Axis 2: Marketing and branding
Axis 3: Funding opportunities and financial incentives

These actions are described in detail in chapter 7 and schematically presented in the Implementation Plan included in Annex B, which sets the timeframe for their implementation. Annexes include also concrete recommendations for the new management framework, presenting the organisational chart of the reformed HCECR’s structure and the duties of each department, section and unit, as well as a cost estimate for the implementation of the actions concerning the operational setup of HCECR, the priority physical works to be conducted on site and other actions of this Management Plan.
1. INTRODUCTION AND BACKGROUND

Erbil Citadel is the main cultural heritage site in the Kurdistan region and it is included in the Tentative List of World Heritage Sites of Iraq. Its importance is not only in the historic events that have accompanied its existence since the origin of Mesopotamian civilization, making it one of the oldest urban sites in the world, but also in its urban form, historic fabric, and architectural details, which are peculiar to this region and, together, contribute to the significance of the site.

The efforts conducted by the High Commission for the Revitalization of Erbil Citadel (henceforth HCECR), in cooperation with UNESCO, aim at reducing and eventually reversing the effects of years of neglect and dubious decisions, that brought to the abandonment of the Citadel and to its present state of decay. The present document is only one of the steps that have been taken to reverse this state of affairs: its purpose is to recognise the work done so far, and to indicate which future actions are necessary in order to achieve the objective of bringing the Citadel back to life.

1.1. PURPOSE AND SCOPE OF ERBIL CITADEL SMP

Figure 1: View of the Erbil Citadel (from: http://www.erbilcitadel.org).

The Erbil Citadel Site Management Plan has been compiled within the frame of the second phase of the UNESCO/HCECR Erbil Citadel Revitalization Project. It is a required step following the first phase of the Project that resulted in an extensive document, the Conservation and Rehabilitation Master Plan, which studied and described in detail the site, its conditions, and proposed actions for its conservation and rehabilitation. This document was followed by the outputs produced within the frame of the Management
of the Buffer Areas of the Erbil Citadel, another essential project of the general strategy of protection of the historic core of Erbil.

These studies comprised the thorough analysis of the physical conditions of the Citadel and of its buildings, and were followed by a series of studies and conservation works on several buildings and on the Citadel slopes, which are ongoing.

The scope of the Erbil Citadel Site Management Plan is to define the policies and strategies that will regulate the daily activities of the HCECR, to suggest mechanisms for its institutionalisation, and to suggest an implementation plan for at least the next five years.

1.2. STRUCTURE AND METHODOLOGY

The Erbil Citadel Site Management Plan takes advantage of the studies conducted in the framework of the Conservation and Rehabilitation Master Plan, and of the experience accumulated by the HCECR and UNESCO in recent years in project implementation, to formulate a series of policy statements based on the accumulated knowledge of studies and field projects, and consultation with stakeholders.

The compilation of the plan has consisted in:

- the analysis of previous literature and studies on the Citadel (in particular the Conservation and Rehabilitation Master Plan of UNESCO/HCECR), as well as previous reports and publications;
- the analysis of works conducted by UNESCO and the HCECR on the Citadel in recent years;
- a stakeholder assessment followed by three focus groups and, after the presentation of the first draft of the Management Plan, a workshop to discuss aims and policies; and
- the formulation of aims and policies, as well as strategies and main actions, with a 2 to 5 years implementation target.

The principal part of the document is structured in seven chapters:

- **CHAPTER 2**, describing the site and available documentation, including its history, documentation of the fabric, description of architectural features, graphic documentation, etc.
- **CHAPTER 3**, assessing the site physical conditions, largely based on the work conducted in the framework of the preparation of the Conservation and Rehabilitation Master Plan.
- **CHAPTER 4**, assessing the site administrative conditions and management context, the legal framework, and the position of the stakeholders vis-à-vis the work to be conducted on the Citadel and ideas for its rehabilitation.
- **CHAPTER 5**, assessing the site values and its significance, as a basis for the formulation of policies.
- **CHAPTER 6**, defining the vision, followed by the main aims of the Site Management Plan and relevant policies statements. The aims identified as priority are:
  - 1. Research and excavation
  - 2. Conservation, documentation and maintenance
  - 3. Rehabilitation, reuse and revitalization
  - 4. Interpretation and tourism development
  - 5. Awareness raising, education and community participation
  - 6. Facilities, services and infrastructures
  - 7. Legal/institutional framework and capacity building
  - 8. Investment, marketing and funding
• **CHAPTER 7**, defining the strategic axes for each of the aims, and the actions to implement these strategies. This final chapter is completed by detailed recommendations for the institutional strengthening (see Annex A) and by a phased Implementation Plan (see Annex B).

The document is complemented by seven annexes:

- **ANNEX A** is a description of the recommended new management framework, by the institutional reinforcement of the HCECR, to become the future ‘Citadel Management Office’, with identification of the staff needed in two phases and the duties of departments and sections.
- **ANNEX B** contains the phased Implementation Plan, defining the objectives to be achieved within the first 5 years of implementation of the Management Plan, with a cost estimate.
- **ANNEX C** includes an estimation of the costs for archaeological excavations, site conservation/rehabilitation works, and for the institutional reinforcement of the HCECR.
- **ANNEX D** contains some guidelines for the determination of incentives and criteria for promoting investment in the Citadel with the involvement of the private sector.
- **ANNEX E** provides a glossary of local and technical terms used in this document.
- **ANNEX F** includes the UNESCO’s *Recommendation on the Historic Urban Landscape*.
- **ANNEX G** contains other relevant international documents.

### 1.3. CORE TEAM AND CONTRIBUTORS

ARS Progetti is the project implementing company. The team was formed by:

- Daniele Fanciullacci (Project Director)
- Gaetano Palumbo (Team Leader and Site Management Specialist)
- Mohamed Sameh ‘Amr (Specialist in Heritage Laws)
- Silvia Cravero (Cultural Heritage Architect/Planner)
- Patrizia Barucco (Conservation Architect)
- Luca Introini (Culture Economist)
- Cristina Bronzino (Junior Architect)
- Larin Pchdari (Junior Architect)

### 1.4. ACKNOWLEDGEMENTS

The team wishes to thank Mr. Dara al-Yaqoubi, Head of the HCECR, Ms. Ranan Khasraw (Deputy Head of the HCECR) and Ms. May Sha’er (Project Coordinator, UNESCO Iraq Office) for their continuous assistance and participation during various phases of the Management Plan compilation process, for having provided information and shared ideas throughout the entire process, as well as for having coordinated and facilitated most of the activities concerning the organisation of stakeholder workshops. Without their assistance this work could not have been accomplished in the required timeframe.

Mr. Mourad Zmit has, until the end of September, provided project management support for UNESCO.

We would also like to thank Mr. David Michelmore for sharing information and ideas on various aspects of site assessment, documentation, and planning.
2. SITE DOCUMENTATION AND DESCRIPTION

2.1. HISTORICAL BACKGROUND

2.1.1. BRIEF HISTORY OF THE CITADEL

While archaeological evidence for Erbil is still scarce, written records mentioning the city are already available for the period of the Third Dynasty of Ur (c. 2095-2048 BC), when the city was named Urbilum in connection with its pillage by king Šulgi, followed by its annexation to the Ur III kingdom around 2044 BC, during the reign of king Amarsin (Nováček et al. 2008).

The city grew in importance during the second millennium BC when it was part of the Assyrian Empire. Textual and archaeological evidence (tombs and settlement found in the modern city of Erbil) show however that this area had great importance during the neo-Assyrian period (10th-7th century BC) when the city, called Arba-ilu (City of the Four Gods) became an important religious centre, particularly linked with the cult of the goddess Ishtar of Arbela (Nevling Porter 2004).

The importance of the city is also confirmed by the fact that King Sennacherib (705-681 BC) built an aqueduct 22 km long to supply the city with fresh water. The aqueduct, running underground, took the water from the Bastura river (Oleson 2008: 291). King Assurbanipal (669-627 BC) made the city one of his royal residences, and he is said to have renovated at that time the Temple of Ishtar and the city’s fortifications (Nováček et al 2008: 260). At that time the city was also famous for its oracle and for an astronomical observatory.

Figure 2: Arbailu, with a small shrine and incense-burner near the Citadel’s gate, and ceremonial poles and ritual scene at the door of the Ishtar Temple: Ashurbanipal panel drawn by W. Boutcher. British Museum photograph (from: Reade 2002, Fig. 15).
The collapse of the Assyrian Empire brought the Medes to control the region, while an Iranian tribe, the Sagartians, may have been granted the district of Arbela by Median king Cyaxares as a reward for their aid in the capture of Niniveh. Few years later the region was captured by the Persians and annexed to the Achaemenid Empire. Darius I however had to confront a series of revolts instigated by the Median kings. He claimed that in 521 he put down the last revolt of the Sagartians of Arbela, which ended with the crucifixion of their leader Tritantaechmes (Lendering 2011). The Behistun inscription, near Kermanshah (Iran) narrates this and other episodes of the Median revolts.

Less than two centuries later, another important battle took place in the vicinity of Erbil, near Gaugamela, where Alexander the Great defeated Darius III, who took temporary refuge in Erbil. For this reason this episode is sometimes wrongly referred to as the battle of Arbela.

At the time of Emperor Trajan (116 AD) the city was part of the province of Assyria, but the area did not stay long under the direct control of Rome, although Caracalla is said to have destroyed the royal tombs there in 216 AD (CCD, HBA, EC, CRMP 2011).

At the time of the Parthian period the city is known as ‘Arbira’ and it was an administrative centre for the Kingdom of Hidyab (Adiabene), a Jewish kingdom, although the general population may have remained eclectic but with a strong eastern Christian presence. Queen Helena and her son Monbaz are mentioned in the Talmud.

The city kept its administrative role also under the Sasanian Empire as main city of the province of Nodh-Ardashirakan (Nováček et al 2008). Textual evidence reports the existence of a great Zoroastrian fire temple here. In the years 340 and 358 there is record of prosecutions against the Christians (Wheatley 2001: 103-109). The city established itself as an important centre of Christianity from the early Christian period until 1310; Mar Yaballaha, the Nestorian Catholicos and emissary of Kublai Khan, wintered in the Citadel in 1299 and 1300.

In 1261 the town was given a Christian governor, Tadj al-Din Mukhtas, who encouraged some Jacobite country people to move to Erbil and, with the agreement of the Nestorian metropolitan Denha, allowed them to build a church there. In 1289 the recall and torturing of Tadj al-Din marked the beginning of a period of persecution and harassment for the Christians of Erbil. In 1295, three churches were destroyed on the orders of the Mongols and, in 1310, following some incidents provoked by Christian mercenaries, the Christian population of the lower town, and later that of the upper town also, were in part exterminated and several churches sacked. From that time the Christian community of Erbil lost all its importance and the few survivors gradually emigrated (Sourdel 1997).

The area was occupied by the Muslim armies in 642 and shortly after the administration of the region shifted to Mosul. Later, the Battle of the Zab fought in 750 ended the Umayyad Empire, which was replaced by the Abbasid Caliphate. The Abbasid government in Baghdad however was not able to control the region effectively, which was theatre of a series of powers struggles and was only temporarily pacified by the Seljuk Turks.

Shortly after 1070, the region broke up again in a number of emirates and in the first half of the 12th century Erbil came under the control of a Kurdish family (Baktakin, or Buktikid) related to the Egyptian Ayyubids. During this time, the most important ruler seems to have been Saladin’s brother in law, Muzaffar al-Din Kokburi (1190–1232) (Nováček et al 2008; Fiey 1965: 74-76). A little earlier, Abu al-Abbas al-Khidhir became the preacher for a madressa built in the Citadel by Abu Manzoor Sarvatkin in 1138. The Mongols unsuccessfully tried to conquer the city in 1237, and were able to capture it after the fall of Baghdad in 1258, but only after a six-month siege. This period also saw the flowering of literary figures such as Ibn Khalikan, author of the Wafayat al-Ayan wa-Anba Abna az-Zaman (Biographical Dictionary), who served as a judge in Mamluk Egypt and Syria, and Gewargis Warda, a Syrian poet. Also active in this period was the
historian of Erbil, Abu al-Barakat Ibn al-Mustawfi, a native of Erbil, who served as a minister in Muzaffar’s government.

After the conquest by the Ottoman Sultan Suleyman the Magnificent in 1534, Erbil became a dependency of Mosul, but it was still recognised as an important fortified site on the crossroads of the road to Baghdad and the route to Iran. In 1743 it was captured by Nadir Shah, the Afsharid ruler of Persia, but fell again under Ottoman rule two years later. After a period of intense competition between the Ottoman Turks and the Persian Safavids to control the whole region, Sultan Murad IV finally secured Iraq as an integral part of the Ottoman Empire in 1638.

The Seventeenth and Eighteenth centuries witnessed severe rivalries between notable local families, while during most of the 19th century Erbil was under the administrative rule of Baghdad, but was then separated and linked with the Sanjaq of Shahrazoor after the proclamation of the Ottoman law of Villayets in 1870. The Municipality of Erbil was founded in 1885 and the first Mayor was Ahmad Agha Abdul Wahab. The first Mutasarrif (Governor) was Ahmad Afandi Othman.

At the turn of the 20th century, Mulla Effendi taught in the Great Mosque (which he restored in 1908) in the Citadel and lived there until 1913, when he moved to Badawa after losing five members of his family to tuberculosis. He was influential in Iraq both in the Ottoman period and after independence. After the fall of the Ottoman Empire the region came under British administration. After the Second World War the city started to expand rapidly.

The parliament of the Kurdistan Autonomous Region was established in Erbil in 1970 after negotiations between the Iraqi government and the Kurdistan Democratic Party (KDP), but was effectively controlled by Saddam Hussein until the Kurdish uprising at the end of the 1991 Gulf War. The legislature ceased to function effectively in the mid-1990s when fighting broke out between the two main Kurdish factions, and
conflicts affected the region until the 2003 conflict. The new Iraqi constitution of 2005 explicitly recognises the Kurdistan Regional Government. In January 2006 the two parallel administrations signed an agreement to unify the administration of the entire Kurdish region under a new multi-party government in Erbil. In May 2006 the unitary government of the Kurdistan region was formally presented.

2.1.2. THE CITADEL FACING MODERNISATION

The Citadel was historically divided into three districts: Saray occupied the eastern section, Topkhana the western one, while Takya was the central and northern portion. Government officials and most of the oldest and prominent families used to live in the eastern part (Saray), where the largest number of big aristocratic houses still exists. Apparently, the districts had separate administration but, at the social level, there was no division and different population groups used to live in all districts (HCECR’s pers. comm.).

Figure 4: The historic structure of the Citadel overlapped to the present situation.

In the 19th century the city was still keeping its commercial vocation, mainly enjoying a situation of stability. Demographic changes took place at the end of the century in the whole Erbil, with the population increasing from 4,500 people in 1837, to 5,500 in 1847, reaching the number of 10,000 in 1916, more than half of them living inside the Citadel and creating new neighbourhoods outside of it (iMed 2007: 7).

In 1924, the British introduced a water supply system, installing the present main water tank, which still towers over the Citadel but which now supplies water to the lower city through pipes rather than supplying water to the Citadel itself. Before that time, water was raised from a well by a team of donkeys. According to previous studies, “the water was drawn through a pulley in a large leather sack by 4 to 6 donkeys on a yoke. These were yoked to a rope and led by a driver more than 60 m along a slowly sloping tunnel. The sack with the water tipped in the upper turning point and poured the water into a tank. The rope would tighten at the end of the tunnel, the donkeys would turn and be changed, and after being released from the rope they were sent back.” (CCD, HBA, EC, CRMP 2011). From the tank, the water was distributed to individual houses by water carriers.
Year 1937 marks the official recognition of the Citadel as a cultural heritage site, based on the *Law on Ancient Monuments* No. 59 of 1936. Unfortunately, such legal protection did not prevent site degradation, including intentional building destructions, which occurred at the end of 1950s. In 1958-60, demolition of buildings along the north-south axis took place to allow for construction of the road providing access for vehicular traffic where previously this had not been possible. This cut a wide swath through the traditional urban fabric of the Citadel, effectively creating a city of two separate halves with a large amorphous open space in its centre. The road inflicted heavily damage on the built heritage, including demolition of a slice of the Yakoub Agha mansion, previously the largest historic house in the Citadel (CCD, HBA, EC, CRMP 2011).

As a part of the scheme for the new road access, during the same years, it was necessary to create a vehicular access through the North Gate, which had previously been used by pedestrians and pack animals. The old Grand Gate was not accessible by vehicles due to changes in level within the arched structure. The new North Gate access therefore involved building the long vehicle ramp, which still exists. The South Gate, which had traditionally been the main gate, dating from 1860, was in state of serious disrepair by the early 1950s and was therefore demolished and, in its place, a new one was built several years later, including new walls extending along the south front of the Citadel for a total of 78.5 m. This construction was undertaken at the end of the 1970s, but its imposing and stark look, so similar to many constructions made for the regime, is now despised by the local community who is asking for its replacement with a reconstruction of the older gate.

![Figure 5: on the left: The South Gate before demolition; on the right: View looking out through the South Gate (from: Library of Congress Prints and Photographs, 1932).](image)

In 1959 the reconstruction of the Great Mosque took place. In state of considerable disrepair, it was effectively redesigned in modern concrete construction, very different from the architectural quality of the earlier building. The 22 domes of the original mosque, built in traditional brick, were replaced by a single concrete dome, although investigation of the perimeter walls and internal rectangular piers may reveal surviving fabric. The only visible part of the mosque still standing as an attractive landmark is the minaret, dating from 1849 (CCD, HBA, EC, CRMP 2011: 104), which can be seen from many parts of the Citadel.
In 1979 extensive reconstruction took place to the central hammam, an important part of the local culture and physical form of the Citadel, which was in a serious state of disrepair. The original dome was replaced with a concrete dome, which provided structural stability but ruined the original elegance of the complex. 465 m of external wall were built in the 1980s to replace sections which had collapsed. In cases where the original design was known, the façades reproduced it, but, where there was no evidence, they were constructed incorporating patterned brickwork based on the traditional designs found inside and on the façades of other perimeter houses. The new façades maintain the continuity of the external image of the Citadel, but, where traditionally the perimeter walls were also the external walls of buildings inside the Citadel, these are freestanding walls, mostly with shacks built against their inside façade.

After Second World War the wealthy families began to look for wider spaces and a new lifestyle, thus leaving the Citadel that in 1957 was housing only 13% of the total population of Erbil. At the same time, several waves of immigration affected the city, leading to a gradual but steady replacement of the local population. The first comers, between 1957 and 1977, represented the typical phenomenon of urbanisation, with people coming from the countryside looking for work and better living conditions in the city. The second wave, between 1980 and 1995, interested a great number of refugees, facing various situations of unrest. Their settlement was accompanied by the abandonment of the Citadel by the local population and by phenomena of squatting into empty homes, or by building shacks made out of locally available materials.

The overall state of no clear authority in the early 1990s and the lack of proper emergency camps pushed them first to have shelter in the Government properties in the Citadel, afterwards using empty structures all over the city, occupying both the Government properties and the private ones, making prices of properties and the general environment inside the Citadel decreasing, and also preventing the implementation of any general program of maintenance or of infrastructure upgrading.

Some infrastructures improvement, funded by UNDP, included upgrading of the water supply and installation of an electricity network. Undertaken since the beginning of the 1990s, it has caused physical and visual disturbance and is not in function any longer. The metal poles, pole-mounted transformers and electricity cables detract from the visual quality of the Citadel. But a much more serious impact of these improvement was the waterlogging of the tell. The fact that there was no charge for water probably also led to greater consumption that would otherwise have been the case. In the absence of correspondingly efficient drainage system, increased volumes of water seeped into the ground, and may have contributed...
to the instability of the perimeter houses, where water has probably been trapped behind the modern concrete retaining walls, which have therefore increased the risk to the perimeter houses rather than the reverse.

As far as conservation of the houses is concerned, there were some undertakings by public authorities to ensure an improved protection of the buildings, also by means of property acquisition. In the 1970s, public institutions (Erbil Municipality, Antiquities Organisation, and Awkaf) started to buy houses in the Citadel.

Some repair works were conducted by the State Antiquities Organisation, especially in the Saray area, starting from 1978. The same year, an informal committee for the revitalization of the Citadel was created. In 1991, the formation of the Kurdistan Regional Government entailed the establishment of the Regional Directorate of Antiquities, with responsibility over the site. There were some works until 1996. But generally speaking, there were few concrete initiatives until 2004.

The general state of unrest caused a great harm to the Citadel, and the difficult social and health situation led the Kurdish Regional Government to the decision to evacuate the site in the end of 2006, also decreeing the establishment of a ‘High Commission for Erbil Citadel Revitalization’ (HCECR), to be in charge of ensuring that the architectural and historic heritage of the Citadel is conserved, enhanced, repopulated, and revitalized.

Following the creation of this new institution and in continuity with previous projects and programmes, a last important step is the launch of the UNESCO/HCECR Erbil Citadel Revitalization Project (see 4.1. and 4.4.) articulated in two phases (the second one is being implemented). A major result of this Project is the Conservation and Rehabilitation Master Plan (see 2.1.3.). Additional information on the recent history of the undertakings to preserve and revitalize the Citadel is presented below.

2.1.3. PREVIOUS INTERVENTIONS

By the late 1950s the cultural significance of Erbil Citadel was recognised and some ideas were being raised for preserving and developing it as a cultural heritage site. The 1970s was a period when the need to preserve urban heritage and to take serious actions became increasingly recognised, and series of attempts were initiated by local authorities, following major losses and demolitions during the previous two decades, aiming at approaching relative consultancies, on the national and international levels, for studying, surveying and assessing the current condition of the Citadel, in addition to preparation of rehabilitation and revitalization projects.

In 1971 the first feasibility study for the rehabilitation of the Citadel was prepared by Colin Buchanan and Partners and Iraq Consult, this study was commissioned by Erbil Municipal Council following requests from the Ministry of Municipalities and the Ministry of Northern Affairs, to revitalize the Citadel.

The Grand Gate was demolished in 1957/58. In 1958 a series of stepped stone beds were constructed and planted with trees. The Citadel remained without a gate until 1979, when the Municipality built the present structure, consisting of concrete faced with bricks, to a design by Iraq Consult.

In 1978 the State Antiquities Organisation established a Technical Commission for Erbil Citadel Development (administration letter No. 7493, dated 9 March 1978), which was responsible for technical works at the Citadel under the direction of the High Committee for Erbil Citadel Development, based in Baghdad, which was a department of the State Antiquities Organisation of the Ministry of Culture and Arts. The Commission started its first season of works on 1 June 1978, and was in action till 1988. The nature of works carried out within that period ranged from simple repairs and restorations to complete reconstructions, and included mainly:

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1 ^ Contribution by the HCECR.
• Restoration, reconstruction and repair works for the Hammam 27/2, and a range of other houses (2/2, 2/3, 2/5, 2/6, 3/1, 3/10, 24/1, 24/2, 38/(1-4), 58/3, 2/4 and 3/9) - according to the available information at the HCECR - as follows:

  − The Hammam from 1978 to 1984
  − House 2/2, from 1979 to 1984
  − House 2/3, from 1979 to 1984
  − House 2/5, from 1979 to 1983
  − House 2/6, from 1979 to 1980
  − House 3/1, from 1978 to 1984
  − House 3/10, from 1986 to 1987
  − House 24/1, from 1978 to 1984
  − House 24/2, from 1985 to 1987
  − House 38/(1,2,3,4) and 58/3, from 1985 to 1987
  − House 1/3 in 1981
  − House 2/4 in 1979
  − House 3/9 in 1979

• Constructing the greater part of the project of the fourteen sections of false façades where perimeter houses had collapsed.
• Constructing retaining concrete walls faced with limestone along the base of a number of perimeter façades.

However, the work was not carried out within the framework of a comprehensive programme and the need for renewal of the collapsed infrastructure was not addressed, accordingly, long-term transformation was not achieved and the restored buildings failed to find permanent uses and fell back into decay.

From 1986 onwards, the destruction of rural villages by the previous regime resulted in the occupation of the Citadel by IDPs as squatters and in the transformation of the social character of the Citadel in addition to causing extensive damage to the heritage structures and urban fabric of the Citadel.

From 1988, responsibility for heritage properties in Iraq was transferred from the State Organisation of Antiquities and Heritage (previously titled the State Antiquities Organisation) to the Ministry of Local Administration, therefore the involvement of State Organisation of Antiquities and Heritage in the rehabilitation of the Citadel came to an end, resulting to limitation of restoration and maintenance works, due to lack of experience and capabilities.

In 1990, further destruction to the Citadel site was caused by random attacks by the previous regime, which cleared areas that were subsequently built over by squatters’ structures, and caused damage to some of the important heritage houses. Additionally, the unstable political situation in the region caused further demolition and deterioration.

Generally, in the 1990s, there were few attempts to conserve or improve the Citadel, limited to minor repairs and maintenance works as well as some extensions to the infrastructures services networks, in addition to the following:

• Constructing a perimeter façade to create closure for the Ahmedi Gate entrance on the north side of the Citadel.
• Constructing the remaining parts of the project of the fourteen sections of false façades.
• Constructing the perimeter façade of house 5/3 to create closure for the Small Gate entrance on the east side of the Citadel.
The works within that period were conducted by the Ministry of Municipality in coordination with the Directorate of Antiquities.

From 2000 onwards, the Kurdistan Regional Government made efforts to raise awareness of the cultural heritage values and of the need to conserve the Citadel, through establishing committees to prepare studies, surveys, condition assessments, etc. In addition, limited works were carried out, including:

- simple repairs and maintenance of the house 24/2; and
- renovation of the house 3/10.

In March 2004 an international conference *Renovation of Erbil Citadel is the Preservation of Human Culture* was held and the proceedings published. Following the conference, the Governor of Erbil appointed a ‘High Committee of Erbil Citadel Renovation and Rehabilitation’, to approach international expertise and assistance for studying and preparing proposals and options for the rehabilitation and development of the Citadel in addition to carrying out urgent intervention works, considering at the same time the establishment of the procedures for nominating the Citadel to the UNESCO World Heritage List, However, that committee was not institutionalised.

In December 2006, the KRG decided to evacuate the inhabitants, in order to proceed with a comprehensive project for rehabilitating and renovating the Citadel, in addition to the need to stop the continuous deterioration and demolition of the heritage buildings and urban fabric, due to the bad condition of the structures, lack of maintenance, and limited services systems and inappropriate living environment for the inhabitants.

In February 2007, a mission was fielded on behalf of UNDP by iMED, marking the first study related to the Citadel by UN agencies.

In May 2007, the High Commission for Erbil Citadel (HCECR) was established by a decision of the Council of Ministers.

Following the request by the Kurdistan Regional Government (KRG) for UNESCO to be in charge of the management of the revitalization of the Erbil Citadel a Memorandum of Understanding (MoU) for the *Erbil Citadel Revitalization Project - Phase I*, was signed on 2 September 2007 between UNESCO and the Governorate of Erbil, for an amount of 650,000 USD, funded by KRG, and 12 months duration.

In November 2007 the Kurdistan Regional Government (KRG) informed UNESCO that the High Commission for Erbil Citadel Revitalization (HCECR), under the direction of the Council of Ministers, was set up to represent the KRG for the Erbil Citadel.

On May 2008 an amendment of the MoU was signed for a total budget of 1,475,000 USD, funded by KRG, and 20-month duration and afterwards to 33 months.

In December 2009, a Ministerial Order was issued transferring the HCECR to the Governorate of Erbil.

On 9 March 2010 a Memorandum of Understanding for the *Erbil Citadel Revitalization Project - Phase II* was signed between the Governorate of Erbil / HCECR and UNESCO for a total budget of about 12,900,000 USD, funded by KRG and with a three-year duration.

From March 2010 the new administration of the HCECR commenced a comprehensive programme for revitalizing the Citadel, including emergency remedial works and repairs in addition to a joint program with UNESCO for capacity building, compiling the *Conservation and Rehabilitation Master Plan*, undertaking studies and implementation of emergency consolidation of selected perimeter houses, studies on stabilising the slope of the mound in addition to other proposed projects.
2.1.4. PREVIOUS DOCUMENTATION

The analysis of the previous available documentation about the site has been largely based on the extensive researches, studies and surveys conducted in the framework of the Conservation and Rehabilitation Master Plan (CRMP) for Erbil Citadel described below. Of particular interest are the previous reports and studies collected, containing a range of material which covers many of the types useful for a comprehensive understanding of the site. A selection of these is listed and briefly illustrated below, starting from the CRMP, which is described in more details as it is a fundamental and comprehensive study and a basic reference for this Management Plan.

**CONSERVATION AND REHABILITATION MASTER PLAN**

The Conservation and Rehabilitation Master Plan (2011) was prepared since 2008 by a Joint Venture composed by Consultancy for Conservation and Development, Huszar Brammah and Associates, and Euronet Consulting. This extensive work is one of the outputs of the first phase of the UNESCO/HCECR Erbil Citadel Revitalization Project (see 4.1.). It is presented in two main volumes, a Main Report and the Annexes.

The Annex volume includes the following:

- **ANNEX A: Classification and Grading Methodology**, describes methods and results of the classification of the buildings based on their location, architectural value, architectural details, authenticity of construction, historical and cultural importance, and age.
- **ANNEX B: Interventions on the Basis of Structural Risk**, identifies three clusters of perimeter buildings at risk and suggests specific interventions for risk mitigation.
- **ANNEX C: Open Space Study**, consists in the analysis of 23 open space areas (using a standard evaluation form) resulting from demolitions or collapses that have occurred in the past 40 years, with suggestions for their rehabilitation and integration.
- **ANNEX D: Alleyways Case Studies**, comprises the analyses of 36 alleyways, based mainly on the comparison of the current views with historic photographs taken from the same angle, with suggestions for the rehabilitation of the streetscape.
- **ANNEX E: Development Opportunities**, suggests potential adaptive reuse for a number of buildings (over 80 houses and two complete blocks).
- **ANNEX F: Block Development Study** provides an example of the approach to detailed study, conservation and development of a whole block (block 42), to be done by a private investor under the control of the Site Management office.
- **ANNEX G: Staffing and Budget for Archaeological Excavations**, proposes the composition of the archaeological research team and the budget for the main area excavation project.
- **ANNEX H: Analysis and Protection of External Views**, takes into consideration various views towards the Citadel and insists on the importance of mitigating disturbing elements from these viewsheds, in particular the ones from Minaret Park.
- **ANNEX I: Criteria for Applying Strategies for Conservation**, determines a series of intervention approaches and categories based on the architectural analysis and conservation conditions, mapping the intervention proposed for each building plot.

The above volumes of the Conservation and Rehabilitation Master Plan are based on research, documentation gathering and building analysis, presented in the following materials:

- **1. Report on Data Collection** (2008) complemented by an Addendum (2008) presents the data collected from various sources: internet, Ottoman archives, publications, previous reports and
studies, etc. Other historical documentation reports are included in the other groups of materials (below).

- **2. Comprehensive Survey of the Physical Situation of the Citadel**, in 4 volumes:

  Vol. 1 – *Assessment report* (2008), contains the results of site assessment and the methodology of building analysis and classification according to a predetermined three-grade system, using a standard inventory form based on a series of parameters: location, architectural value, architectural details, authenticity of construction, historical and cultural importance, and age.

  Vol. 2 – *Inventory of the Citadel buildings, perimeter blocks* (2009), in 6 parts, presents inventory forms and annexed graphic and photographic documentation of all the graded buildings located on the Citadel perimeter.

  Vol. 3 – *Inventory of the Citadel buildings, inner blocks* (2009), in 6 parts, presents inventory forms and annexed graphic and photographic documentation of all the graded buildings located on the Citadel inner blocks.


- **3. In-depth Survey and Studies Covering the Structural Condition of the Citadel**, in 4 volumes:

  Vol. 1 – *Technical report* (2009), describes the methodology for assessing structural conditions and includes the results of building materials and structural elements analyses, geotechnical investigations, and the assessment of the causes of structural decay.

  Vol. 2 – *Inspection forms for In-depth Structural Studies* (2009), in 2 parts, contains the survey forms compiled for the numerical structural analysis (using FaMIVE programme).

  Vol. 3 – *Inventory of structural conditions* (2009), in 2 parts, one for the perimeter and the other for the inner blocks, contains all the assessment survey forms resulting from the visual inspection of all graded buildings.

  Vol. 4 – *Additional data* (2009), contains a description of Erbil by James Buckingham (1827) and weather data for the period 2007-2009.

- **4. Architectural Documentation of the Existing Fabric of the Citadel, Buildings and Streets**, in 4 volumes:

  Vol. 1 – *Studies* (2009), contains several studies and conservation recommendations: an analysis of the evolution of the urban form of the Citadel, a study on the form and function of the alleyways, a classification of the architectural elements, an analysis of the building technology, a study on conservation materials, and a study on the causes of deterioration of the building fabric.


  Vol. 3 – *Historical documentation* (2009), presents the references to Erbil in classical sources.

  *Block studies* (2011), is a detailed analysis of each block within the Citadel, each building within the block, and the phasing of each wall within a block.

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**Management of the Buffer Area of the Erbil Citadel**

- *Management of the Buffer Area of the Erbil Citadel* (2011) is a project developed by the international consulting company ARS Progetti under the supervision of a steering committee.
representing all parties, within the frame of a UNESCO and Erbil Governorate / HCECR initiative. The project resulted in the Urban Design Guidelines for the Buffer Zone of Erbil Citadel, adopted in June 2011 by Erbil Governorate and under implementation. A detailed description of this project, which is closely linked to the management of the Citadel and its future nomination as a World Heritage Site, is provided in part 4.7.

**Erbil City Master Plan**

- **Erbil City Master Plan 2030: a full study** by Dar Al-Handasah Consultants (2008). Given the fact that this is a more general study regarding the development scheme of the whole Erbil rather than studying the Citadel and making proposals for its rehabilitation, it is dealt with also in section 4.8., under subchapter Other regulatory tools.

**Reports and Studies**

- **Iraq Reports**, by Doxiadis Associates (1958). Doxiadis Associates, a successful Greek consulting firm in the 1950s, was entrusted the preparation of a study on Erbil in view of the compilation of a master plan for the modern city. The reports and the Doxiadis Archives in Athens are a valuable source of information on Erbil as it was fifty years ago.

- **Qal’a of Arbil, a feasibility study for the preservation, conservation and revitalization of a historic town**, by Collin Buchanan and Partners and Iraq Consultant (1971). It is the earliest study specifically concerned with the Citadel and the nearest in date to the end of the 1950s, the latest date at which the social and physical fabric is considered to have been relatively intact. It contains the standard range of data and the approaches to be expected in an urban study, including proposal for the upgrading and rehabilitation of the lanes between the houses.

- **The architectural development of Arbil Qala, Iraq: center for tourism and national heritage**, a thesis by Shareen I. Sherzad (1979). It makes and extensive use of the Collin Buchanan / Iraq Consult study of eight years earlier, augmented by additional material. It describes a range of measures which could be undertaken to rehabilitate the Citadel and develop it for tourism purposes.

- **Study of options for preservation and rehabilitation of Citadel in Erbil**, by Gema Art Group a.s. (2006), with the support of the Czech government and of the KRG’s Ministry of Culture. The study was developed by a team of experts from Czech institutions and the Salahaddin University. It covers and reviews the activities of other organisations, provides information on demographic and social issues connected with the population evacuation and resettlement as well as on buildings ownership management. The study recommends a range of actions for setting up an archaeological research programme, for the establishment of a documentation centre on the Citadel and identifies nodal issues for the management. It contains annexes covering planimetric documentation, archaeological training, geophysical measurements, the stability of the tell and the buildings and the stabilisation of masonry.

- **Assessment report on Erbil Citadel rehabilitation – Preliminary draft**, by iMed (2007), within the frame of the UNDP mission Provision of Consulting Engineering Services for the Rehabilitation of Erbil Citadel is a relatively short report compared to the others. Nevertheless, it provides some useful information on the background and state of the Citadel, in terms of physical conservation and management issues, just after the evacuation, proposing some recommendations for institutional and capacity development aiming at an improved conservation and management.
• **Studies for the Urgent Preventive Works of Ten Houses (Erbil Citadel)**, conducted by the CIAH (Centre for Conservation and Preservation of Islamic Architectural Heritage) (2009), is part of the conservation and rehabilitation works package included in the first phase of the UNESCO/HCECR *Erbil Citadel Revitalization Project*. It contains a geotechnical investigation based on a visual inspection, an analysis on the structural and material causes of decay, a proposal for a pilot study on the conservation of historic brick structures, a heritage assessment on the Citadel, geotechnical recommendations for reconstruction, restoration and structural assessment.

• **Capacity Building Programme**, developed by consultants F. Cristofoli and S. Ricca (2011), within the frame of the UNESCO/HCECR *Erbil Citadel Revitalization Project*, provides a training framework aiming to reinforce managerial and technical skills of the HCECR’s personnel. The two-year programme offers training modules for different target groups of professionals (archaeologists, managers, architects, engineers) and practitioners (craftsmen, supervisors, workers) and includes a study-visit programme and detailed terms of reference.

**PROJECT PROPOSALS**

• **Master Plan for the Conservation and Rehabilitation of Erbil Citadel**, prepared by K-P Costain in 2004. The document is the technical proposal of a range of services offered by the consulting company within the frame of a prospective consultancy agreement. Among these services are: the establishment of a management structure, various studies, rehabilitation works, training and an overall approach and programme for the compilation of a Master Plan and the rehabilitation of the Citadel. It also includes the proposal for the preparation of the World Heritage nomination.

**CONFERENCE PROCEEDINGS**

• **Renovation of Hawler (Erbil) Citadel is the preservation of human culture: proceedings of a conference held in Erbil during 27-29th March 2004**. It contains numerous short articles in English, Kurdish and Arabic on a wide range of topics.

**BOOKS AND ARTICLES**

• **Iraq Handbook**, British Naval Intelligence (1944), contains a very brief description of Erbil as it existed at that time as well as the earliest map of Erbil as a whole.

• **The Qala of Erbil**, Kul al-Arab magazine (1989), is a general article on the Citadel in Arabic, where it can be noted that some of the houses illustrated were then in a significant better condition than is the case today.

• **Arbela: Kurdish architectural**, Aka Gharar (2006), with many photographs of the houses but little interpretative text.

• **Photogrammetric documentation of Citadel Al-Qala in Erbil**, K. Pavelka et. al. (2006), is a short article published on the internet which summarizes geodetic work undertaken utilising terrestrial and aerial photogrammetry.

• **Erbil Citadel: a study** by Ihsan Fethi (2008), is a long article describing the medieval and later history of the Citadel and its physical and social fabric.
WEBSITES

- The HCECR has created a website of the Citadel, containing extensive presentations on historical background and other features, including the urban context and the description of the urban and architectural heritage: http://www.erbilcitadel.org.

- Historic site profile, Erbil, by ECAI (Electronic Cultural Atlas Initiative) Iraq, is a webpage containing hyperlinks to other webpages on the internet with material on Erbil: http://www.ecai.org/iraq.

HISTORIC MAPS, PHOTOGRAPHS, AND VIDEOS

The main historic maps and photographs reported in the CRMP are:

- an Ottoman-period map of the north-east Mediterranean, dated 1893, which identifies the region of ‘Kurdistan’;
- the cadastral map of the Citadel of 1920;
- a hand-drawn plan of the lanes in the Citadel dated 1982;
- a digitalised version of the cadastral map showing lanes and districts; and
- a partially updated version of the cadastral map dated 2006 showing areas where archaeological investigations had been carried out.

Also identified was a particularly beautiful military map of Upper Mesopotamia, dating to 1838. A single engraving illustrates the Citadel, prepared from a drawing dating to 1820. Archive photographs, showing Erbil in the past, survive from 1918 onwards. The earliest high-level aerial photograph identified dates to 1933, although a low-level oblique from the 1920s also exists. Early photographs are an important source and a considerable collection has now been assembled in collaboration with the HCECR.

Important collections exist in the Department of Antiquities and Heritage in Baghdad and the Directorate of Antiquities in Erbil, mostly dating from the 1970s and 1980s. Earlier are those in the Constantin A. Doxiadis Archive in Athens, which contains numerous images dating from 1958, but also older photographs. A small collection of photographs dating to 1938 has been identified at University College London, while a small number of photographs is also present among the digitised collections of the Library of Congress, and dated to 1932 (www.loc.gov).

A scaled map of the city of Erbil, published by the British Naval Intelligence in 1944, shows the Citadel more or less intact as before. It also shows that the lower town had by then grown substantially to the south and east of the Citadel and covering an area of about 30 hectares, excluding the large cemetery that lied to the south-east.

Figure 7: Map of the Erbil in 1944 published by the British Naval Intelligence (from: Iraq and the Persian Gulf. Great Britain. Naval Intelligence Division, 1944).
Erbil appears in an old documentary film titled *Modern Iraq*, by Iraqi filmmaker Mustafa Al-Kadi, presumably dating back to the 1930s, a showcase of Iraq after the establishment of the kingdom. Produced by Hafidh Al-Kadi with the technical support of Istituto Italiano Luce, the documentary can be seen in the website of the Archivio Luce: http://www.archivioluce.com/archivio.

### 2.1.5. BUILDING CHRONOLOGY

With the exception of the Citadel’s gates, the *hammam* and the mosque, the dating of houses in the Citadel is a complex issue, as a large proportion are structures which show more than one phase of construction, materials have been reused and houses incorporate fragments of earlier buildings, as well as modern alterations and additions.

The CRMP study, in the absence of other evidence, based its chronology mainly on architectural style and on the use of glass. Three main periods were identified:

**Earlier Ottoman-period houses (c. 1880):**

Earlier Ottoman-period houses are the most enigmatic, as there is little or no direct evidence as to their date, as none contain inscriptions and there is no tree-ring dating programme in the region which could be used to date the timbers. They are characterised by an absence of windows for light, which suggests that they date to a period before window-glass became commonly available in the Ottoman empire. Except on the perimeter, openings to rooms consist of small vertical-format ventilation windows normally closed with heavy wooden grilles. *Tarmas* do not appear to be an original feature and roofs are surrounded by parapets on all four sides. External façades are normally in expressed brickwork, with lime plaster being confined to interior finishes. Façades can be ornamented with elaborate, decorative, brickwork. Internally, corner niches adjacent to the principal doorway with pointed or ogee-shaped arched heads are common, normally two tiers high, and the far end of principal rooms are ornamented at high level with small multiple niches, the larger of which have gable-arched heads. Courtyards can contain *iwans* and other openings with large arches of both pointed and semi-circular-headed forms. Two-room and irregular plans occur.

[CCD, HBA, EC, CRMP 2011: 63-64]

**Later Ottoman-period houses (c. 1880 – 1918):**

All the great mansions of the Saray district, with the exception of the Hashim Chalabi mansion (House 2/6), date to this period, suggesting increased prosperity and economic activity following the promulgation of the *tanzimat* reforms. Although this may have been a period of political decline, it was also a period of huge building activity, when almost every house in the imperial capital was rebuilt. The intense period of building in Erbil reflects what was happening more widely in the Ottoman empire. The Chalabi mansions in Blocks 2, 3 and 24, House 2/2 and House 45/3 all have *tarmas* round part of the courtyards supported on marble colonnades. ... A collapsed mansion in Block 29 (Houses 29/7 and 29/8) is known from archive photographs to have had a similar plan. The Jamil Afandi mansion (House 3/1) has a first-floor colonnade with timber posts supported on an arcade at ground-floor level. Windows frequently have heads with semi-circular or tangential-arched heads. Courtyard façades protected from the weather are normally rendered with lime plaster. Internally, niches frequently have round-arched heads. In the courtyards, *iwans* and other openings with large arches normally have semi-circular or tangential heads. Smaller houses have two- or three-room or irregular plans and *tarmas* supported by timber column(s). Decorative detail such as ironwork and wooden doors can be paralleled elsewhere in the Ottoman empire.

[CCD, HBA, EC, CRMP 2011: 62-63]
Post-Ottoman period (after 1918): post-Ottoman-period houses are characterised by large and tall windows and upper ventilation windows which are both larger than those dating to the Ottoman period, but also have a horizontal rather than a vertical profile. Façades containing windows are normally protected from the sun by a portico (tarma) supported on one or more wooden, iron or steel columns. Niches in post-Ottoman-period houses tend to have tangential-arched heads, but it should be noted that the tangential arch is a feature used from an early period in Ottoman architecture, as can be seen, for example, in the oeuvre of Mimar Sinan, dating to the 16th century, and this should not be relied upon as a dating feature. Jack-arch construction for roofs is common. The two-room plan is dominant, even in the case of the larger houses. External windows for light onto alleyways are more common than in Ottoman-period houses. Internally, niches normally have tangential-arched heads. All courtyard façades protected from the weather are normally plastered. Street doorways often have a deep chamfered reveal. Iron or steel L profiles are frequently used to support staircases, door and window lintels. The report by Doxiadis Associates of 1958 notes that very few houses had been built after 1930, so most post-Ottoman houses probably date to the period 1918-1930 and very few to the following three decades. In this respect, it is notable that many of the architectural features to be seen in houses in the lower city built in the 1930s, 40s and 50s are absent from the Citadel. The post-Ottoman period, however, was also one where earlier houses were remodelled by reconstructing façades incorporating windows for light. In some cases this was achieved by inserting windows in the façade, but in other cases by rebuilding the front wall further back, set beneath a tarma.

[CCD, HBA, EC, CRMP 2011: 61-62]

2.2. DOCUMENTATION OF THE FABRIC

The description of urban morphology and building typologies is mainly based on information provided by the HCECR’s website, while the detailed illustration of building materials and techniques, architectural and structural elements of the following subchapters relies principally on the analysis conducted within the frame of the CRMP, which can be consulted for an in-depth insight.

2.2.1. ARCHITECTURAL DESCRIPTION

Urban form

The Citadel of Erbil represents a distinct urban entity, largely composed by traditional courtyard houses with a labyrinth of narrow alleyways penetrating throughout them like the twigs of a tree. Major alleyways, starting from the main gateway and fanning in all directions, acted as distributors and continued to penetrate the residential quarters for more than 300 meters; smaller ones that branched off major ones were much shorter in length averaging between 50 and 100 meters in length; dead-end alleys, or cul-de-sacs, were even shorter and averaged no more than 30-50 meters in length. The narrow section of these alleyways was such that they were mostly shaded during sunny days, thereby providing a comfortable and cool passage to pedestrians during hot summer time.

The labyrinthine nature of the winding alleys and irregular shapes of the plots were the inevitable result of incremental and haphazard growth due to the lack of any predetermined master plan. Each family built wherever it could; thus, the size of the plot was determined by the financial capability of the builder and not by any other consideration.
The outer wall of the Citadel town is among its most important features, constituted by contiguous houses built on the perimeter forming a solid wall, very similar to fortified citadels of medieval times. These houses, about a hundred of different vintages, are structurally the most vulnerable, having some of them collapsed over the last 50 years either due to subsidence or underground water seeping from leaking piped and sewerage. Obviously, the collapse of an outer house creates a gap and endangers adjacent houses near it.

**PUBLIC BUILDINGS**

Historical records show that there were several mosques and takiyas in the Citadel. However, only one mosque remains in use today – Mulla Afandi Mosque, probably built on an earlier mosque sometime in the late 19th century. The central location of the mosque seems to support the idea of the preserved location of an early Friday mosque, probably built in Erbil after the Muslim conquest in the 7th century. Originally, Mulla Afandi historic mosque had a large prayers hall which was surmounted by some twenty-one domes resting on arches and columns. It was unfortunately demolished in 1957 and rebuilt in a modern style.

A traditional hammam (public bath), built in 1775 by Qassum Agha Abdullah and located in the middle of the town, provided hot baths for the local population, and still survives today. The building was composed
by an outer hall (*barrani*), of about 9 by 9 meters, surmounted by a large dome. Then, in a row, the middle hall (*wastani*), which was slightly warmer in temperature, and the inner hall (*jawani*), very hot and steamy. This inner hall, which was square in plan measuring some 11 by 11 meters and had 6 alcoves for private bathing, was also surmounted by a large dome that had many small round glass openings (*oculus*) to provide natural light inside.

The *hammam* was allocated for women until 11 in the mornings and after that it was used by men, provided ample opportunities for social contacts and other daily affairs. Water for the *hammam* was obtained from an ancient well which was more than 60 meters deep. For fuel to heat the *hammam* dried twigs and vegetation as well as rubbish thrown away by residents was collected daily and dried under the sun and then burnt to heat the water cistern and the under-floor (hypocaust) of the inner hall. The *hammam* of the Citadel ceased to function in the 1970s and was restored in the late 1970s but was left empty.

*Takiyas*, on the other hand, provided meeting places for Sufis, devout Muslims, and dervishes, to practice the religious recitals ‘Thikir’ and hold dervish dances in a special hall called ‘Sama-Khana’. There were two such *takiyas* in the Citadel, the oldest of which belonged to Sheikh Sharif and followed the ‘Qadiriya Tariqa’ and held its activities every Monday and Friday. The other belonged to Haj Mulla Khidhir al-Telafari also followed the ‘Qadiriya Tariqa’.

### HOUSE TYPOLOGY

As with any site that is continuously inhabited for centuries, houses in the Citadel were built over the existing structures and foundations, in a continue regeneration process.

The houses are arranged in blocks, mostly with shared walls, defined by a network of narrow alleyways. All the houses had open courtyards and used to have a raised terrace with arches (arcade) or with columns (colonnade, or *tarma*) overlooking the courtyard and acting as an intermediate space to upper floor rooms. The terrace was reached directly through steps from the courtyard.

The majority of rooms were located behind the arcade or colonnade, which is placed on one or two sides of the courtyard. The rooms received their natural daylight and ventilation through several windows facing the terrace. In case of perimeter houses, they also had windows overlooking the town below.

![Figure 10: Views of the house typology, with the courtyard and the different levels. The terrace level and the upper and lower floors had all access through stairs located directly into the courtyard. Photos by the authors, 2011.](image)
Arcaded terraces usually have three or more round or pointed arches resting on round or square columns. Often arcades were built in stone and sometimes were covered with grey colour alabaster from Mosul. Colonnaded terraces, on the other hand, had wooden columns often crowned with elaborate ‘muqarnased’ capitals not unlike their counterparts in Baghdad and elsewhere in Iraq. Courtyards were usually planned to be geometric in shape, either square or rectangle. This contrasts sharply with the shape of the land plot which was nearly always highly irregular with no right angles. Ideally, the entrance was usually a ‘broken’ arrangement to provide added privacy.

Smaller service rooms such as kitchens, bathrooms, toilets, and stores, were often placed on one side of the courtyard and directly accessed from it. Most large and medium-sized houses were built in two floors to maximize floor area – a lower floor which is usually partly underground and an upper floor which is slightly raised above ground level. Properly, the upper floor is considered as the main one. It is here where all the main rooms such as the guest reception are located. In contrast, the lower floor is used for resting, sleeping and storage. The lower floor is usually about 1 to 1.2 meters below courtyard level and is accessed directly from the courtyard by about 5 or so steps. Semi-basements always have vaulted roofs resting on thick brick piers. Ceilings are usually some 2.5 meters high and light and air are obtained from several windows facing the courtyard.

The upper floor is accessed directly from the courtyard by one or two stairs. Here, the height of the ceiling is between 4 to 4.5 meters. Rooms are accessed directly from the arcade but some rooms can only be entered from the central room or a central space. This floor, being the main one, is usually given a lot of architectural attention and enrichment by decoration, painting, and ceiling panelling.

The arcade, which was usually composed of three or more arches, is constructed with stone columns and stone arches. The tarma, on the other hand, was usually constructed with wooden columns that end in elaborate ‘muqarnased’ capitals. Some houses have a colonnaded tarma on three sides of the courtyard. No house was found in the Citadel with a colonnaded tarma on all four sides of the courtyard.

2.2.2. STRUCTURAL MATERIALS

MASONRY

All historic houses in the Citadel are built with fired bricks. In some walls, there is evidence of the extensive use of broken bricks and it may be that bricks have been reused on many occasions. It is notable that post-Ottoman-period houses mostly use Ottoman-period bricks in their construction and there is little use of imperial-sized bricks, even though these were standard from the late-Ottoman period onwards. The extent of reused and broken bricks means that walls which appear to contain many headers – and therefore the outer skin is well tied to the core – may have far fewer through bricks than appears, and what look to be headers from an examination of the wall face may, in fact, be half-bricks and in fact do not tie the wall face to the core.

Adobe construction is only used in the case of modern shacks, built by squatters who reproduced the form of construction with which they were familiar in their villages. Earth as a construction material is used in the fabric of old buildings only as earth mortar, in roofs and floors.

Bricks are made of mud and clay and are usually fired, although not at high temperature. On breaking the bricks it can be seen that their core is not fully fired. Three most common types of bricks have been observed on site. Their dimensions are: type (1) 240x110x4.5 mm, type (2) 250x150x50 mm, type (3) 290x190x55 mm.
The interior portion of the wall is often made of rubble very incoherent and poorly set in mud mortar. The stones constituting the rubble are round of varied dimensions, but roughly around 100 mm in diameter and probably come from the nearby wadi (river).

Bricks are set in three types of mortar: mud and straw, made of the local superficial strata of the soil, lime mortar and gypsum mortar. The three types appear often in the same wall at the same height. The mud mortar is the most common, but the other two types have clearly been used for repointing or rebuilding of walls that had already shown stability problems. Gypsum mortar is said to have been introduced after the 1950s, but this dating is open to question, as gypsum was extensively used for internal ornament and finishes in the Ottoman period and may also have been used at that time to improve earth mortars.

The isolated façades rebuilt in the 1970s are made of more regular higher temperature fired bricks set in low concentration cement mortar.

**Timber**

The main beams are usually made of poplar (*Populus euphratica*) and the secondary timber is made of oak (*Quercus sp*). All timber is in the round. Some timber columns are also present in the portico and surmounted by timber capitals. There are relatively few surviving, but they are usually very nicely crafted.
Steel or iron is used in two types of structural elements:

- beams usually to support flat arches roof structures; and
- columns to support porticoes, more rarely within rooms to break beams span between walls.

![Figure 13: The use of iron/steel as bearing structures. Photos by the authors, 2011.](image)

### 2.2.3. STRUCTURAL ELEMENTS

#### FOUNDATIONS

Foundation construction can be observed were there have already been collapses of the façades and reconstruction has not occurred. In some cases party walls foundations consist of pebbles and soil overlaid by a portion of brick masonry below the original floor level slightly wider than the walls in elevation and made with the same fabric.

The strata below the floor/pavement slab show traces of concretion mortar. In other cases, where there have been partial collapses of the external leaf of brick masonry and this has been rebuilt at a later stage, it can be clearly seen that no attempt has been made to create a foundation of any type, and indeed as the soil beneath erodes with time, gaps form which have been filled in with pebbles.

It is therefore reasonable to assume that walls have in general very shallow foundation extending no more than 0.5 m below the current observed outside datum, and that the foundation consist of no more than the same wall with slightly larger dimension sitting on very likely on poorly compacted ground.

#### WALLS

Structural walls differ in constitution whether they are façades or side walls or internal walls.

In general the thickness for the façades is of at least 0.80 m, indicating that they are made up of several layers. Most commonly these entail: an internal and external leaf of brickwork set in regular and relatively thin mortar courses, usually between 5 and 10 mm, originally of mud mortar, but more recently repointed with different mortar types, poorly connected to an internal core made of rubble of pebbles and broken bricks set in very dry and poorly cohesive mud mortar. The façade brickwork is usually quite regularly staggered with sufficient transversal elements.
Internal façades overlooking the courtyard are usually much thinner, highlighting that they are made up of no more than two layers of bricks with no internal core or cavity. The lateral walls are for the majority of thickness of about 0.50 m, built with the same layout as indicated for the slope façades. In every case walls are usually of constant thickness over their height. In some cases the walls are bonded at the corners with timber bands, although this has been observed only in a minority of cases.

**Vaulted structures**

A minority of houses has vaulted floors. The vaults are usually either barrel vaults or cross vaults and they are usually placed in the basement of the houses. An exception is in house 1/3, where there is a very shallow domical vault covering a first floor room, and house 3/1 which has barrel vaults at first floor. The vaults are made of fired bricks set in lime mortar. It has not been possible to examine the filling above the vaults and determine their thickness case-by-case. Where this can be observed in cases such as 6/3, where a substantial portion of the vaulted hallway leading to the internal courtyard has collapsed, it can be seen that the very shallow pavilion vault is made of one single layer of bricks laid with their greatest dimension normal to the vault surface, and then filled up on the haunches. Hence the thickness of the vault is about 200 mm, slightly thicker from the support up to the spring level, 250 mm, and with a filling at the top of about 100 mm. Most vaults present cracks showing movement of the supporting walls.
All roofs in the Citadel are flat and most are supported on timber beams used in the round, with small-section timbers supporting a mud-and-lime mixture above. The beams are typically roughly shaped, about 120 mm diameter and spanning between 3 and 5 m, laid in most cases parallel to the façade overlooking the slope.

Above the primary beams typically there is a layer of secondary small timbers unshaped and laid closely to each other, over which is laid out a thin fabric of vegetable material or other similar. Over this layer is placed a layer of compacted earth and lime. The compaction is carried out by means of a cylinder stone rolled over the length of the floor after the laying of each 25 mm of material. The layer of compacted earth can be as thick as 200 mm.

In major mansions, the timber structure is often concealed by decorative ceilings, but in a few cases, the decorative elements lie above the beams. At present, many timber roofs are concealed by cloth or other material used to cover them up by squatters and poor tenants in the modern period.

A minority of houses has iron and steel small I-profile beams supporting shallow vaults made of bricks set in gypsum mortar, and many of those rebuilt or updated during the first half of the 20th century have iron columns supporting this roof structure in the portico area.

In roofs that have been restructured relatively recently, the external waterproofing is achieved by laying a thin concrete screed layer above this. In older roofs the waterproofing depends on the quality of the compaction and the outer layers are usually mixed with lime or are lime washed.

The iron girders and columns are found mainly as part of the portico of the inner houses and in a minority of cases as roof structure of the whole house. In one observed case it also constitute the floor over a basement. The pole does not in general have any specific foundation except when is fixed into the concrete porch pavement.

The arrangement with an I-beam profile of 150 mm depth spanning from wall to wall with a circular column support at midspan, and in turn supporting 100 mm deep I profiles spanning normally at 1.0 m inter axis is fairly common. The spaces between the secondary beams are filled by shallow arches made of fired bricks, mortared into the web of the secondary I beams. This type of construction exerts a modest thrust on the walls parallel to the direction of spanning of the beams.
An important structural feature of the Citadel is the external buttresses that prop up some of the perimeter façades giving them a very characteristic appearance. The buttresses are usually three per façade, one at the centre and one each at the edges, of semicircular cross section, with a conical shape extending from the external ground level to the first internal ground level, whether basement or ground floor. In most cases they appear to be built in with the façade masonry, except in cases where they were partially or totally rebuilt at a later stage. Their effectiveness is shown by events that occurred in the past, when the upper part of a façade collapsed but the buttresses have survived. In some cases buttresses have been added to the reconstruction of the curtain wall in the 1970s, but these are usually of the wrong proportion and layout.
2.2.4. ARCHITECTURAL ELEMENTS

EXTERNAL WALLS FEATURES

Expressed brickwork
With few exceptions, the external walls of the Citadel display expressed brickwork. The bonding is normally irregular, and brick bonding may be difficult to establish because bricks are commonly reused and what appear to be headers may in fact be half bricks. The most notable use of broken bricks is in the ‘false English bond’ form of walling, in which a course of new bricks alternates with a course of reused broken bricks, which gives a distinctive banded pattern to the brickwork, which becomes particularly prevalent in later houses.

Patterned brickwork
Apart from parapets and the imitations produced in the 1970s and ‘80s, all patterned brickwork dates to the earlier-Ottoman period. The most common pattern is opposed triangles (or diagonally-set squares), with their points touching, but a chevron pattern also occurs. The patterns are formed by recessed headers. The patterned walls are commonly complemented by decorative string courses formed from recessed bricks and bricks set diagonally in the wall, as well as with blind or pierced niches at parapet level and shallow gabled niches framing the ventilation windows. Some post-Ottoman houses have façades finished with a hard render in decorative forming decorative panels.

Rounded corners and chamfer stops
Rounded corners are common in the Citadel and continued to be constructed in the past decades. Chamfered corners are often carried back to a right-angle at high level, achieved through different forms of chamber stops. The chamfer stops normally have stalactite ornament, formed from diagonally set bricks in different patterns of complexity. In a majority of cases, the cantilever is strengthened by overlapping timber bands set in the brickwork of each elevation.


ARCHITECTURAL/FUNCTIONAL ELEMENTS

Iwans and arches
Citadel’s houses display many examples of arches used for different purposes. The largest are the fronts of iwans (open-fronted north-facing rooms for use in summer), but others form kitchen recesses, the entrances to courtyards, the entrances to and support for staircases and the support for floors above semi-basements.
Arcades
Arcades are typically used to support tarmas (porticos) in the late-Ottoman-period mansions. In all these cases, the arcades are raised over semi-basements. In a minority of smaller houses, both double and single arches occur at ground level as entrances to tarmas.

Figure 20: Arches in the Citadel. Photos by the authors, 2011.

Columns and colonnades
Tarmas can also be supported on timber columns, either singly, in pairs or as longer colonnades. Decorative timber columns usually have capitals and were plastered. Decorative timber columns usually have capitals built up of small pieces of wood nailed to the timber column. The timber columns were plastered with decorative capitals in a vaguely ‘muqarnased’ style.

Figure 21: Arcades in the Citadel. Photos by the authors, 2011.

Figure 22: Timber colonnades and capitals. Photos by the authors, 2011.
**Balconies**
Either supported on wooden beams or jack arches, balconies are absent from the houses in the interior of the Citadel, but occur on the outside of perimeter houses.

**Garderobes**
Small volumes projecting out at first floor level or above the level of the parapet, were a feature of Citadel’s architecture, although many have disappeared.

![Figure 23: Balconies and garderobes. Photos by the authors, 2011.](image)

**Staircases**
Ottoman-period staircases are often supported on brick arches, while post-Ottoman-period staircases are commonly supported on steel angles.

**Stairheads**
Another architectural feature which projects above the line of the parapet, they have sloped roofs to stop rain falling down the stairs and to provide security. They give access to the roof so that it can be rolled and maintained.

![Figure 24: Staircases and stairheads (from: CCD, HBA, EC 2009, Architectural Documentation of the Existing Fabric of the Citadel, Buildings and Streets, Vol. 1: 133 and 147).](image)

**Parapets**
Parapets are a feature of the Citadel; earlier-Ottoman houses can have parapets ornamented with blind niches, though some can be pierced a form of ornament which continued into the late-Ottoman period. Post-Ottoman decorative parapets have bricks set diagonally on the bed, arranged in panels, giving a ribbed effect. Parapets with bricks set diagonally on the bed are modern; this pattern was used in the 1970s-‘80s reconstructions of perimeter façades.
**Railings**
In the late-Ottoman and post-Ottoman periods, wrought-iron railings became normal to finish the roof on the courtyard side, but can also be found protecting the edges of balconies on the perimeter, elevated floors facing the courtyard and the edges of staircases. As in the case of window grilles, the ubiquitous S-scroll pattern is the most common, although other simpler patterns can also be found.

![Figure 25: Parapets and railings. (Left photo by the authors, 2011. Right photos from: CCD, HBA, EC 2009, Architectural Documentation of the Existing Fabric of the Citadel, Buildings and Streets, Vol. 1: 134).](image)

**Eaves**
Projecting eaves appear in the late-Ottoman period. Painted coving, imitating brickwork or with other patterns, appear in the late-Ottoman period and continue into the post-Ottoman period.

**Doorways**

![Figure 26: Doorways and eaves (Right photo by the authors, 2011. Left and central photos from: CCD, HBA, EC 2009, Architectural Documentation of the Existing Fabric of the Citadel, Buildings and Streets, Vol. 1: 135).](image)
Doorways and gateways with shouldered arches with trefoil and ogee heads span the early-Ottoman and late-Ottoman periods. Arched gateways from courtyards to alleyways have also suffered considerable losses due to the demolition of courtyard walls. The typical post-Ottoman street entrance consists of a door set within a deep chamfered reveal with a flat arch, with the brickwork above supported on a steel angle. The reveal is often rendered with a hard render in a pattern of rough-cast panels. The architectural quality of doorways to courtyards in the earlier-Ottoman period is often emphasized by being set within a rectangular recess; both tangential and pointed-arched are typical. Ornament around doorways in the earlier-Ottoman period is always executed in plaster and the patterns are highly geometric. This technique continues into the late-Ottoman period, but the decoration makes greater use of ceramic saucers and small bronze plaques to form the ornament in the wet plaster and the decorative pattern is less well ordered. In the late-Ottoman period, Mosul alabaster became the preferred material for doorframes.

**INTERNAL FEATURES AND DECORATIONS**

**Ceilings**
Decorative ceilings are normally confined to major mansions and are made of wood, either planked or with applied ornament.

![Decorative ceilings in the Citadel. Photos by the authors, 2011.](image)

**Niches**
There are several typologies of niches depending on the period of construction:
- **Blind niches in courtyards:** shallow niches with decorative heads are a common feature between the courtyard doors of earlier-Ottoman-period houses.
- **Niches in end walls:** in earlier-Ottoman-period houses must have been decorative of the principal rooms, as they appear high up the wall. They include gabled niches set within a recessed frame set between smaller niches. Some late-Ottoman-period mansions also have decorative end niches but they are a minority and mostly found in the lower part of the wall.
- **Niches in side walls:** in earlier-Ottoman-period houses must have been functional in the principal rooms. They are plain, square or rectangular in profile and the wider niches may have been for storing bedding rolls during the day.
- **Corner niches** between the side and end walls are a normal feature of the principal rooms of earlier-Ottoman-period houses. They have pointed, rounded or occasionally ogee-arched heads, with a larger niche beneath and a smaller niche above. Niches in the side walls of late-Ottoman-period houses are much more decorative than those in the early houses, but must have been at least partly functional. They do not appear to include niches for storing bedding rolls and the wall cupboards for storing bedding which are a feature of contemporary houses in other parts of the Ottoman empire are absent from the Citadel. Later-Ottoman-period niches have circular, tangential-arched and occasionally ogee heads. Coved arched can be
moulded with ornament derived from the Ottoman baroque; sometimes this ornament is merely painted on a flat surface rather than being worked in relief in plaster.

Figure 28: Decorative and painted niches. Photos by the authors, 2011.

Mihrabs
It is supposed that at least two takiyas existed in the Citadel. There seems to be a mihrab in the ruined upper storey in one of these, but it is unknown if this was a private masjid or performed a more public function.

Wall shelves
A high shelf around the walls of Citadel houses is a normal feature, made of gypsum on a base of reeds. In earlier-Ottoman-period houses, this can take the form of a double shelf. In late-Ottoman-period houses the shelf can be supported by brackets, but in more important houses, classical detailing can be evident, with a coving present underneath the shelf. The edges of the shelves are often scalloped, a feature which continues into the post-Ottoman period. In post-Ottoman-period houses, the design of the shelves can be similar to that in late-Ottoman-period examples, but the shelves can be discontinuous. In modern examples, the shelves are reduced to a small triangle across the corner of the room.

**Plasterwork**
The plasterwork of decorative elements in the Citadel is supported on a formwork of reeds. Raised plaster ornament can be found in the interiors of some of the most important houses, and externally on some iwans.

![Figure 30: Examples of interior plasterwork and stonework in the archway. Photos by the authors, 2011.](image)

**Wall paintings**
A few of the grander houses display wall paintings, either blue ornament or more richly coloured overall painted ornament. The only other painted decoration are crudely painted individual panels, usually representing vases of flowers, perhaps dating to the 20th century.

![Figure 31: Examples of wall paintings. Photos by the authors, 2011.](image)

**DOORS AND WINDOWS**

**Doors**

**External doors:** virtually no external doors survive in the Citadel, as most have been replaced by steel doors in the modern period and most gateways to courtyards have been demolished. It is likely that doors reflected styles fashionable in other parts of the empire, reflecting external influence on other architectural details from c. 1880 onwards.

**Internal doors:** more doors within courtyards survive. Those dating to the earlier-Ottoman period all have vertical front planks fastened to horizontal ledges by large-headed nails. Courtyard doors probably only differed by being made of thicker planks. Earlier doors were pivoted rather than being hung on hinges. Some later-Ottoman-period doors are of high artistic quality with richly carved panels. Later-Ottoman-period doors include examples with marquetry inlay.

**Windows**
There are several typologies of windows depending on the period of construction:

**Ventilation windows:** earlier-Ottoman-period houses are characterised by having no windows for light, but only ventilation windows, with a vertical profile, usually set within a gable niche both internally and
externally and are closed by a heavy wooden grille, although grilles made of cane set diagonally are also found.

**Figure 32:** Doors in the Citadel. Photos by the authors, 2011.

Windows for light: earlier-Ottoman-period houses had windows for light only on the perimeter houses. Many have been replaced at later periods, but it seems that original ones were small, set low in the wall, so that it was possible to see out when seated on the floor, and were often defined on the external face by a plain plastered surround. Most such details disappeared in the past decades, but some houses retain fanlights set with coloured glass. Windows for light in the post-Ottoman-period houses were designed for glazing and have a markedly vertical profile. Original wooden window frames frequently survive, divided by transoms into a smaller upper part and longer lower lights.

Basement windows: appeared in the late-Ottoman period in perimeter houses and the Chalabi group of mansions in basement rooms used for sleeping in hot summer weather.

**Window grilles**

Older window grilles consist of a grid of vertical and horizontal bars with facetted expansions where the vertical and horizontal bars meet. This design is found widely spread in the Ottoman Empire. The design extends into the late-Ottoman period. Decorative window grilles of the later-Ottoman period are based on the ubiquitous S-pattern, which is also used for railings.

**Figure 33:** Window grilles. Photos by the authors, 2011.
OTHER FEATURES

Floors and paving
Cobblestones seem to have been used as a paving for alleyways and were probably more widely used in the past and can be seen in archaeological sections. On-edge brick paving dates from the 1970s-'80s. Paving within houses and courtyards in the Ottoman period utilized brick paviours; within courtyards, the tiles are usually set diagonally. Paving within houses in the late-Ottoman and post-Ottoman periods utilised encaustic tiles; replicas are now available from Turkey. In post-Ottoman-period houses, the use of tiles with an abstract design in pink is ubiquitous and shows Art Nouveau influence.

Fountains
A minority of houses have fountains in the courtyard. There was no qanat system to feed fountains in the Ottoman period, when water was derived from the single deep well next to the hammam. Perhaps all fountains therefore date to after the introduction of a piped water supply in 1924.

2.2.5. SITE PLANS AND BUILDING SURVEYS

A precise, detailed and updated site plan is a fundamental basis for any site analysis and conservation planning as well as a tool for the management. Therefore, the preparation of a new base map was foreseen by the first phase of the UNESCO/HCECR project as a significant output of the Conservation and Rehabilitation Master Plan.

After almost one century, the available cadastral map of 1920 would have been definitely too old and inconsistent with the changed urban fabric of the Citadel, regardless of how accurately it was drawn up initially. Indeed, there have been significant changes in the parcels, through subdivision and the complete loss of even whole blocks as a result of demolitions in the second half of 20th century.

Based on this cadastral map, two corrected versions were made in the past and are part of the documentation available at the HCECR: one was prepared in 2006 and the other one was obtained by the Department of Antiquities and Heritage in Baghdad. In addition to these, a new base map has been prepared in the framework of the CRMP, for the purposes of overall site conservation planning.

It was based on satellite imagery and checked on the ground building-by-building, including the location of internal courtyards not visible from the outside. The new base map has then been used as a base for the contour map and the other thematic base maps which illustrate the Master Plan reports. Consistently with the new updated map and with the survey and inventory of 320 graded buildings of the Citadel, a new sequence of numbers has therefore been developed, but the old numbers on the cadastral map are also shown on the inventory forms for historical reference.

Based on an inventory form, the survey describes the features of the building, including location, building type, number of floors, age (when known), builder (when known), owner (when known), materials, different architectural elements and features, alterations, degree of destruction, structural stability, historical and architectural importance and classification. Base maps have been prepared indicating the blocks and individual buildings, the location and grading of classified buildings, structurally adequate buildings, structural classification and shacks recommended for demolition. Moreover, data sheets have been prepared for different architectural elements. Buildings have eventually been classified according to prototype, plan, number of floors, age and area. (CCD, HBA, EC 2009, Comprehensive Survey of the Physical Situation of the Citadel, Vol. 1: 19-21)

Such inventory and classification work constitute a fundamental technical background for proceeding with the protection buildings and must therefore be integrated into the legal instruments for the protection and conservation of architectural heritage of the Citadel.
Concerning the advancement in building analysis and documentation, detailed measured drawings were produced for 72 buildings so far:

- 48 buildings in the framework of the first phase of UNESCO/HCECR Project: (houses: 1/1, 2/1, 4/7, 4/10, 6/3, 8/2, 8/3, 10/1, 10/2, 10/11, 11/2, 11/4, 11/9, 19/3, 19/4, 20/1, 20/2, 20/4, 21/3, 22/2, 22/3, 26/8, 27/1, 28/3, 29/4, 30/4, 30/5, 31/8, 37/1, 37/2, 37/4, 38/1, 38/2, 38/3, 38/4, 39/1, 39/4, 39/6, 39/9, 42/1, 42/2, 42/6, 42/7, 43/2, 45/3, 45/6, 51/1, 58/3);
- 16 buildings by different subjects (houses 24/1 e 24/2 by IFPO, house 3/10 by GEMA, houses 23/3, 23/4 and 32/3 by IRD, house 2/2 by ISIAO, and houses 1/2, 1/3, 6/10, 6/11, 6/12, 7/1, 13/1, 15/3, 16/1 and 17/2 by the first phase of UNESCO/HCECR Project);
- 8 buildings by the HCECR: (houses 2/5, 2/6, 23/1, 23/9s, 31/3, 31/4, 54/5, 54/6).

Currently, some more in-depth studies are being made (by INES international engineering company) within the frame of the second phase of the UNESCO/HCECR Project, targeting 18 houses: 4/7, 4/10, 6/8, 8/2, 8/3, 19/4, 20/4, 21/3, 30/4, 30/5, 38/1, 38/2, 38/3, 38/4, 42/1, 42/2, 42/10, 58/3).

REFERENCES

Consultancy for Conservation and Development, Huszar Brammah and Associates, and Euronet Consulting (CCD, HBA, EC), UNESCO and HCECR:


3. SITE CONDITION ASSESSMENT

3.1. ASSESSMENT METHODOLOGY

A thorough assessment of the site conditions has been carried out since the end of 2007 as part of the preparation of the CRMP. It was the first time that such a comprehensive analysis on all historic buildings of the Citadel was conducted.

The study resulted in the inventory and grading of the historic buildings as well as in their classification according to physical conservation conditions, focusing in particular on structural stability and risk. Hence, the compilation of this Management Plan and the identification of policies and strategies has relied principally on this assessment and, consequently, on these classifications.

The assessment methodology adopted for the two classifications is briefly described below.

3.1.1. BUILDING GRADING

All the 588 units (buildings and/or plots) comprised within the Citadel enclosure were examined, classifying them according to the architectural/urban significance in order to come up with the identification of three selected groups of graded buildings.

Inventory forms were preliminarily prepared and tested on a sample of buildings, considering the following five parameters as a basis to conduct the value assessment:

- location;
- architectural details;
- authenticity of construction;
- historical and cultural importance; and
- age.

A three-grade classification system was predetermined:

- **Grade 1**: Very important, grand mansions, buildings of particular historical or architectural significance;
- **Grade 2**: Important, i.e. buildings with a substantial amount of original fabric preserved, with important architectural features, with significant urban value;
- **Grade 3**: Less important buildings, i.e. with substantial loss of original fabric, with no significant features, but still retaining visible parts of authentic structure; and
- **No Grade**: Shacks, i.e. original fabric is completely destroyed, modern buildings, poorly constructed with concrete blocks, re-used bricks or mud bricks, no authentic parts visible.

The numerical results obtained by the grading scores through this evaluation grid were revised at the end of the process by a single team, in order to ensure uniformity of the method. Moreover, these results were verified on-site by the personal evaluation of the experienced conservation architects of the team working in the CRMP.

Based on such classification and inventory, it resulted that in the Citadel there is a total of 320 graded buildings, 252 ‘shacks’ and 16 public structures, as detailed below:

- **GRADE 1**: 11 buildings, 1.87% of the total;
- **GRADE 2**: 82 buildings, 14.13% of the total;
- **GRADE 3**: 227 buildings, 38.5% of the total;
- **PUBLIC STRUCTURES** (mosques, graves, takiyas, hammam, other structures): 16 structures; and
- **NO GRADE**: 252 structures and empty areas.

3.1.2. PHYSICAL CONDITIONS

The assessment of the state of conservation focused on the structural conditions and buildings at risk of collapse, as these are the crucial conservation issues on the Citadel. Besides the analysis of historical and scientific information and documentation on the composition of the tell, on the development of the Citadel and the impact of past events and interventions, two main methods were adopted for the assessment of the structural analysis, which was carried out throughout several months:

1. An initial visual inspection to all 320 graded buildings and their qualitative classification according to their overall structural conditions, based on a predefined assessment grid, the template of which is illustrated below. Three grades were determined using this evaluation grid:

   - **GRADE A**: Structurally stable, with no structural problems;
   - **GRADE B**: With structural problems, but in an overall stable condition; and
   - **GRADE C**: With severe structural problems, i.e. partially demolished, fallen roof, cracks in walls, danger of collapse.

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Mosques: 21/4, 22/1, 27/6; takiyas: 6/18, 6/19, 53/1; isolated graves: 7g, 11g, 15g, 21g; graves in buildings: 4/5, 10/3, 39/6; hammam: 27/2; other structures: North Gate, South Gate, perimeter wall.

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2. A detailed quantitative assessment using the FaMIVE methodology and numerical tool (CCD, HBA, EC 2009, In-depth Survey and Studies Covering the Structural Condition of the Citadel, Vol. 1: 40) to process the data collected (using a specifically adapted survey form to record geometrical/constructional features, structural type and conditions of each building) during a seven-month investigation of a selected group of buildings (110 compounds, 90% of which are located on the perimeter of the Citadel), analysing in particular foundation movements and seismic hazard.

Data collection to implement this method was supported by means of:

- visual identification of construction materials, structural typologies, and structural failures;
- monitoring of the structural stability through the installation and recording of three types of crack monitoring gauges over a six-month period;
- laboratory analyses and tests on building materials; and
- geotechnical and soil investigations of the structure of the mound and stability of the slope, through boreholes drilling and laboratory analysis of the samples.

This assessment resulted in the thorough knowledge of the structural conditions (in terms of crack patterns and floors, walls and roofs failure), of the buildings analysed as well as in their classification according to the structural risk: extreme, high, medium, and low.

### 3.1.3. LABORATORY ANALYSIS OF MATERIALS

#### BRICKS AND MORTARS

Samples of bricks and mortars, collected from houses in the internal area of the Citadel, were analysed by the Hawler Laboratory, to determine their composition and physical properties, through compression and rupture tests.
The bricks were identified by colour: yellow, light brown, dark red and dark brown. Compression test were also conducted on two specimens of bricks assembled with mud mortar, collected from a semi-demolished masonry on site. The results obtained allowed to characterise two types of masonry classified as B1 and B2 in the FaMIVE database. The large majority of buildings has been assigned B2, corresponding to the yellow light brown bricks in mud mortar, while a few buildings have masonry type B1, characterised by red bricks in mud or gypsum mortar.

Other samples of bricks were also collected and subject to laboratory analysis by Ridout Associates, to assess what problems existed through decay caused by capillary action of moisture and resulting decay through salt contamination.

Within the framework of the UNESCO/HCECR Erbil Citadel Revitalization Project, a new study Testing and Analysis of Building Materials was carried out by Engineering Consulting Bureau and Salahaddin University in July 2010. The study focused on the materials to be used in conservation works: bricks, mortars and plasters, aiming at the determination of the best composition, production place, cost, methods and technical specification.

The scope of work of this study included:

- gathering of all available information and studies made on the building materials of Erbil Citadel, especially, but not restricted to, studies about brick, mortar, plaster, etc.
- sampling and analyses of brick, mortar and plaster from the Citadel historic structures; including constituents of the building materials, chemical and mechanical properties;
- establishing the characteristics and constituents (specifications) of brick, mortar and plaster to be used in the conservation works on the Citadel; including the constituents of the mixes, in addition to colour, size and mechanical properties;
- identifying the venue of kilns or factories to produce brick, mortar and plaster; investigation of the compatibility of the characteristics and constituents (specifications) of the products within the recommended studies, and enquiry about their production cost; and
- sample manufacturing of brick, mortar and plaster; trials of utilising these materials for conservation work in the Citadel.

**Timber**

A detailed investigation, conducted by Ridout Associates, concerned the timber elements existing in a sample of 21 historic houses, to identify the timbers used in the construction and to understand nature and status of decay organisms present. Laboratory examination was carried out to determine the species of construction timbers.

**3.1.4. ANALYSIS OF THE SLOPE STABILITY**

**Previous analysis**

In order to define stratigraphy and soil characteristics, a number of soil investigations were undertaken within the frame of the CRMP by the Salahaddin University, Department of Civil Engineering. Specifically the drilling of 4 boreholes within the top ridge of the citadel and 8 auguring prospecting along the slopes were conducted. The results of the boreholes stratigraphy were used to determine soil profile and cross section at a number of locations corresponding to the position of the monitoring gauges installed.
The programme Slope.18.2 of the Oasys Suite Software (Arup 2009) was chosen to carry out the analysis. The programme Slope has been designed primarily to analyse the stability of slopes, with an option to include soil reinforcement.

The programme can check circular and non-circular failures, thereby allowing calculations to be carried out for both soil and rock slopes. Previously, a slope study was carried out by the Czech engineer Frantisek Cermak in 2006, confirming the instability of the slope (CCD, HBA, EC 2008, Report on data collection: 109-116).

A roundtable meeting was held on 20 July 2010, with the aim of bringing together the different specialists who are familiar with the situation of the current condition of the Erbil Citadel, and particularly its slope, to discuss the various possible options to be considered and the way forward to ensure the safeguarding of the Citadel.

Participants presented their points of view, after which there was a discussion with regards to how to approach the subject of the dealing with the issue of the slope’s instability. The roundtable conclusions focused on consensus regarding the slope’s current situation, as well as the approach to carrying out testing and studies, and the way forward for investigating the possible interventions. Notably, it was agreed to focus on possible interventions that would help in increasing the superficial stability of the slope, and to deal with the issue in a holistic manner.

**ONGOING ANALYSIS**

Since May 2011, a new UNESCO/HCECR Project Studies for the stabilization of the Erbil Citadel slope and the perimeter façades is ongoing, to carry out geotechnical investigations and analyses for slope stability problems, followed by plans and technical specifications for remediation techniques that will ensure the long term stability of the slope and the structures above.
The project (implemented with the technical assistance of international consulting company ARS Progetti), began in June 2011 and will be completed by April 2012. The survey and assessment is being carried out using the most appropriate and advanced technologies and techniques.

The study has been organised in three phases:

1. topographical maps and field analysis;
2. geotechnical field investigation and laboratory testing; and
3. analyses of data, selecting solution alternatives, and preparation of the final studies.

Phase 1 has been concluded, resulting in an accurate survey using a 3D laser scanner, reproducing graphically the morphology of the slope and of the upper structures with high details and photographic texture quality. This high quality survey constitutes a fundamental document to witness the present condition of the tell.

Phase 2 has consisted in geognostic investigations, with the execution of boreholes and extraction of disturbed and undisturbed soil sample. A further extension of geognostic investigation was provided for an improved characterisation of the design parameters, focusing on those areas where instability phenomena and erosion were more significant. Moreover, seismic investigation using HVSIR and MASH methodology were carried out to estimate earthquake effects. These investigations are able to interpret the local dynamic amplification of the site of interest, and provided a site specific design response spectrum, useful for the structural calculation of the design parameters.

Phase 3 is ongoing, including the results of soil investigations, expert assessment and previous studies. The gross slope stability as well as superficial slumps is being studied, taking into consideration the adverse impact of seismic activities on the slope and on buildings stability. Possible remedial alternatives to address the root causes of slope decay will be identified, including costs/benefits consideration and practicality of application.

### 3.1.5. OTHER ANALYSES

The analysis of existing services for water supply, storm water and sewerage and electricity supply, including the survey and mapping of the services layout and of all the manholes was also carried out. The HCECR coordinated with Khatib & Alami Company the studies for the improvement of infrastructures, through the development of new network supply facilities. The study, commissioned by the General Directorate for Water and Sewerage / Ministry of Municipalities and Tourism, is completed with the definition of the plans for the installation of water and fire-fighting, sewerage system, electricity and telecommunication system networks. Implementation of these plans will take place in 2012.

### 3.2. FACTORS AFFECTING CONSERVATION

#### 3.2.1. STABILITY OF THE SLOPE

The boreholes drilled in the archaeological mound within the CRMP project identified:

- between 4 and 5 strata, with silty clay underlying alternating clay silt and silty sand; and
- an upper average 2 m of detritus accumulated since the 1970s (due to demolitions and following squatter occupation).
Archaeological finds in the form of pottery sherds were present in all layers and the difference between the strata as indicated by the boreholes can only be fully understood by archaeological excavation. The slope of the mound varies from a minimum of 21.4 degrees in correspondence to the eastern pedestrian ramp (block 5), to a maximum of 43.6 degrees in correspondence of the north vehicular ramp (block 12). The sides of the mound display erosion gullies. According to the CRMP analysis and monitoring (during heavy rain), the main causes of these appear to be water leakages from the water supply, drainage and sewerage systems, before the Citadel was depopulated in November 2006.

The principal factors of disturbance that have caused soil slip on the side of the tell are:

- the construction of vehicle ramps in the second half of the 20th century;
- the construction of the encircling shops at the base of the mound in the early 20th century and their more recent demolition (which affected the base of the mound); and
- digging concentric trenches round the mound for an afforestation (planting) scheme in the 1950s.

In all cases the slope was found to be unstable, with a slip surface with a small radius between 3.00 and 4.5 m, located immediately underneath the perimeter façades. These results highlighted two important facts:

1. the instability is localised in the immediate vicinity of the buildings and of the surface of the slope; and
2. the position and shape of the slip surfaces are consistent with the crack patterns seen in the buildings on site.

Studies conducted by the CRMP’s team demonstrated that perimeter houses are built not on top of the mound, but actually on the upper part of the slope itself, probably in front of the former city wall, in a process of encroachment on urban fortifications which can be paralleled in many other cities in the late-Ottoman period (including the imperial capital of Constantinople) and is also clearly evident in the case of Kirkuk Citadel, the closest parallel to Erbil.

As a follow up of the conclusions resulting from these studies, the new UNESCO/HCECR Project Studies for the stabilization of the Erbil Citadel slope and the perimeter façades is being developed to address the slope stability issue, in order to design plans and technical specifications for remediation techniques that will ensure the long-term stability of the slope and the structures above.

This new project is meant to address the main factor of structural deterioration of the buildings built along the perimeter of the tell, i.e. the problems in their foundations related with the instability of the slopes. Concerning the consolidation of structures of these buildings, to address the damages caused by slope erosion, typical strengthening details will be provided and a prioritised list of action. The most vulnerable areas will be identified and a plan of priority interventions will be prepared.

### 3.2.2. CONDITION OF THE BUILDINGS

The majority of the buildings in the Citadel are in very poor condition, as a result of a number of factors:

- the social and economic changes that occurred from mid-20th century, when the attractiveness of the Citadel as a secure, comfortable and prestigious place to live started to diminish; and
- the lack of a policy to integrate the Citadel within the development of the town and the urban and spatial planning schemes.

Besides its bad physical conditions, the Citadel is characterised by an overall loss of historic fabric, due to four principal causes:
• the decay and collapse of abandoned houses, particularly the big mansions, in the third decade of the 20th century;
• loss of original fabric as a result of over-restoration of a number of mansions in the Saray quarter in the 1980s;
• deliberate demolitions during the 1980s and 1990s; and
• demolition by squatters and other builders, who used abandoned old houses and courtyard walls as a quarry for materials to build spontaneous edifices and shacks. These are built of a variety of building materials, including mud bricks, concrete blocks, jerry cans and even parts of motor vehicles, but the overwhelming majority of walls are built of bricks reused from historic houses.

### 3.3. Risk Assessment

The Citadel hill is entirely characterised by archaeological layers, and has an elevation of 20 meters in its lowest point, and 32 in its highest. The instability of the slope has been demonstrated by three studies recently conducted there (see above), which also affect the buildings and structures situated on its perimeter, and which are probably built on the upper part of the slope rather than on the top of the mound.

![Figure 35: Buildings of high architectural value at risk of collapse. Photos by the authors, 2011.](image)

Studies for the assessment of the structural conditions were conducted as part of the Conservation and Rehabilitation Master Plan. These studies showed that most of the buildings investigated (320 out of 327) were in critical structural conditions (97.5%) and only 8 (2.5%) were in good conditions. 110 buildings were then selected for in-depth studies using the FaMIVE methodology. An algorithm was developed in order to categorise the level of risk associated with each building due to the potential of the walls overturning and the associated collapse of floors and roof, caused by the leaning of walls (compounded by the state of decay and damage already present), as well as by the instability of the slope.

This allowed ranking the buildings by highest risk, taking into account both current conditions and future threats. Of the 110 buildings analysed:

- 13 were assessed as presenting **extreme** risk;
• 53 buildings as presenting **high** risk;
• 35 as presenting medium **risk**; and
• 9 only were assessed as presenting **low** risk.

Following this assessment the immediate response was to start a program of interventions to limit further decay and provide temporary structural support. This has materialised in the propping and shoring of walls and houses, roof maintenance, capping of exposed walls, covering the roofs or collapsed ceilings with plastic sheets to avoid water infiltration. These works have been carried out by the HCECR for the past two years. Moreover, a number of projects aimed at rehabilitating buildings for future use are being carried out by the HCECR, UNESCO, and a few other organisations under the HCECR's supervision.

The works currently being carried out include:

1. **Conservation works** (ongoing) by UNESCO and HCECR of houses: B1/2, 1/3, 6/10, 6/11, 13/1, 15/3, 16/1 and 17/2.
2. **Conservation design** is being executed for the following buildings: B 4/7, 4/10, 6/8, 8/2, 8/3, 19/4, 20/4, 21/3, 30/4, 30/5, 38/1, 38/2, 38/3, 38/4, 42/1, 42/2, 42/10, and 58/3.
3. **Conservation works being tendered** by UNESCO and HCECR for the following buildings: B10/4, 10/5, 11/1, 11/2 and 11/3.
4. **Maintenance and monitoring work** conducted by the HCECR (so far 142 houses).

Other projects under the HCECR’s supervision are being executed at a number of other locations. Map 9 shows the present and planned conservation work on various locations on the Citadel.

### 3.4. SUMMARY OF PHENOMENA AFFECTING STRUCTURAL STABILITY

The work conducted in the framework of the Conservation and Rehabilitation Master Plan has allowed the identification of several factors affecting structural stability. These have to do primarily with water infiltration and its main consequences in terms of mortar loss (facilitated by the composition of the mortar, which is mostly mud-based), wall delamination, cracking and leaning.

#### 3.4.1. WATER PENETRATION

It has been observed that water penetration is a consequence of lack of maintenance which has affected the buildings on the Citadel until recent years. Water penetrates the walls through cracks in the ceilings, and open or missing windows and other openings, thus affecting the weak mortar joints, which in large part are mud-based and easily dissolve in the presence of water.

The problem is sometimes compounded by the old replacement of traditional lime plasters with cement based plasters which make impossible the migration of water to the exterior and maintain the humidity inside the walls. The study conducted by the CRMP’s team has demonstrated that both capillary action and infiltration from the top have affected the walls of many buildings on the Citadel.

Emergency actions conducted by the HCECR so far has consisted in covering the wall tops with plastic sheets and performing some limited repairs to wall tops, but future work will have to consider more maintenance intensive activities, such as roof repairs and plastering with lime mortar to allow water exchange and transpiration from the core of the walls. The project to improve the sewerage network is an indispensable step to ensure that no more water is dispersed in the ground.
3.4.2. LOSS OF MORTAR

As mentioned above, loss of mortar is a common occurrence, considering the characteristics of the mud mortar used for joints in Erbil Citadel. The mud mortar, which already is characterised by weak bonding properties and is inherently weak, is further weakened by water action, and it can dissolve quite rapidly, especially on exposed surfaces. Sights of walls with deep joints, showing a lack of mortar between their courses, are not uncommon on the Citadel. Repointing in these cases will help reduce the threat of bricks moving or falling off the walls and subsequent structural damage, but these operations require time and expert intervention, in order to avoid the application of wrong materials and techniques.

3.4.3. WALLS DELAMINATING

This is a consequence of untreated surfaces following water penetration, and mortar loss. Previous studies have identified this phenomenon in many locations of the Citadel, resulting from the loss of the mortar joints and subsequent fall of bricks, poor connection of the external layer with the internal rubble core of walls, and presence of cement plasters on the surface which increases the internal pressure of the wall. The rubble core of the walls, once it looses the binding capacity of the mud mortar, accumulates at the bottom of the wall, making it bulge. It has been proved that the use of cement plasters accelerate this process, since it captures water in the wall core without allowing it to escape.

3.4.4. WALLS CRACKING

The studies conducted on several buildings on the Citadel, and especially on the perimeter, have identified two main types of cracks, one associated to the movement of the façade, and the other with cracks under the beam supports on the party walls. The cracks associated to the movement of the façade may be due to the movement of the upper slope and/or the uneven settlement of the foundations, as well as to thrusting horizontal forces, especially if the façade is poorly tied with the party walls. The cracks that are seen on the party walls may have several causes, normally associated with the lack of wall plates under the beams, uneven settlement of the roof, increased loads on beams, etc. Both types of cracks are dangerous, but the cracks visible at the joint between the façade and the party walls may indicate that the foundations is moving in the direction of the slope, thus representing a warning sign of movement and potential for catastrophic collapse.

3.4.5. OUTWARD LEANING

Normally this phenomenon is observed only when the leaning is already advanced, especially where walls do not have smooth vertical faces and are the result of many phases of construction. The leaning outward of a wall is often associated with the settlement of foundations or slope failure, and must be monitored in order to understand its behaviour and progress. The studies conducted on the Citadel’s houses have included the analysis of each wall given the impact of this structural behaviour on the overall stability of the building.

3.4.6. OTHER OBSERVED DAMAGE

Some damage from gunfire was observed on perimeter houses, especially around windows. These did not have any structural consequence, except in houses B1/2 and B1/3 that may have received a hit from a tank shell since the damage is more substantial and in the case of B1/3 may explain the damage in the point of contact between the eastern corner of the façade and a party wall.
3.5. Summary of Structural Issues

The following summary is derived from various sections of the *In-depth Survey and Studies Covering the Structural Condition of the Citadel, Vol. 1: Technical Report*, which presents the results of the analysis conducted in 2008/2009 within the frame of the CRMP²:

- **The water table** is below the base of the tell.
- **Structure of the tell**: the Citadel mound is entirely artificial and has been built up by archaeological stratification resulting from domestic occupation over thousands of years, which consists of silt, sand and pebbles, which will be the remains of ancient earth structures and paving, as well as pottery fragments. The mound therefore contains no natural geology.
- **Active hazards** that currently affect the buildings of the Citadel are (a) soil settlement and slope instability, (b) reduced structural integrity and capacity due to decay and damage of materials and structural elements, and (c) seismic hazard.
- **Dynamic actions must have caused some of the present crack patterns and partial collapses** observed on site, rather than just decay of materials and effects of slope settlement. While some of the damage has been explained as produced by shelling and blasting, other less localised crack patterns and partial collapses of upper storeys would be best explained by seismic activity.
- **Earthquakes** constitute a significant risk to the built heritage. Erbil lies within a zone with the same maximum hazard as the same level of maximum hazard as in the region of Bam (Iran) or Istanbul (Turkey). A representative sample of houses in the Citadel have been surveyed and analysed for seismic risk using the FaMIVE methodology.
- **Water from the ground**: many walls have areas of darkened bricks near the ground. Although these appear to be wet patches, analysis of bricks in February 2009 demonstrated that damp looking bricks were, in fact, dry and that the bricks in the zone of discoloration are heavily contaminated by hygroscopic salts, which means they will indeed become wet when conditions are humid. The hygroscopicity is due high nitrate and chloride levels from the soil, which appears to be linked to the build-up of rubbish (2 metres deep over much of the mound) during the period of squatter settlement from the 1970s.
- **Decay due to water penetration** is heightened by the lack of maintenance of the roof structures and the loss of integrity of the windows. It is also worsened by the loss or lack of lime plastering and its replacement of cement, non-breathable, plasters. Water can penetrate the wall by driving rain, through the unsealed top of the wall or by capillary action form the foundation where proper drainage of the soil around the buildings is not in place.
- **The perimeter houses are particularly vulnerable** because many of them are built not on top of the mound, but in a hazardous position into the top of the slope. The structural studies conducted within the frame of the CRMP have postulated that this is because such houses were built in front of the former city wall. In consequence, the lower part of the perimeter façade is subjected to outward thrust by the soil fill that makes up the ground at the back of the façade, further enhancing the risk of overturning. Such thrust can be further increase by water infiltration in the fill during rainy periods. Comparison with Kirkuk Citadel would be beneficial, as the perimeter houses are so similar in design and location and in Kirkuk part of the city wall is exposed, unlike Erbil.
- **Cracks in vaulted structures** supporting the floor level and/or the roofs of perimeter houses indicate outward movement. The monitoring carried out during six months also confirmed that such movement, although modest, is present and increasing.

² Some of the issues resulting from this analysis are being addressed through the maintenance programme developed by the HCECR and further studies conducted within the frame of the UNESCO/HCECR project.
• **Construction timber species:** the principal timbers used in construction are poplar (*Populus euphratica*), which has little natural durability to termite attack, and the secondary timbers are oak (*Quercus sp*), which contain significant amounts of vulnerable sapwood, because of their small section.

• **Insect damage:** there is widespread subterranean termite damage, but no live termites were found, in addition to damage by longhorn beetle, for which no treatment is generally required.

• **Water supply and other services:** it is unlikely that the Neo-Assyrian *qanat* constructed 2700 years ago to supply water to the city is still in working order and traditionally water was drawn up by a team of donkeys from a single, large, well, tapping the water table deep below the *tell*. The existing piped water supply, sewerage system, storm-water drainage system and electricity supply, variously installed from 1924 onwards, all require comprehensive replacement.³

• **Surface water as the principal cause of decay:** previous report have suggested that surface water is the previous cause of decay, but this does not now appear to be the case. The storm water drainage system, though damaged, still functions and serious water logging does not currently occur.

### REFERENCES

#### REFERENCE DOCUMENTATION TO BUILDING GRADING


#### REFERENCE DOCUMENTATION TO CONSERVATION CONDITION


Inventory forms and grading of structural condition of all buildings are presented in: Consultancy for Conservation and Development, Huszar Brammah and Associates, and Euronet Consulting, 2009. *In-depth Survey and Studies Covering the Structural Condition of the Citadel, Vol. 3: Inventory of structural conditions.* UNESCO and HCECR.


³ As of January 2012 such replacement is being carried out.
4. PRESENT MANAGEMENT CONTEXT

4.1. HCECR: AN OVERVIEW

The High Commission for Erbil Citadel Revitalization (HCECR) is the institution in charge of site management. The creation of the Commission is an important step in the process of revitalization of the Citadel, after the evacuation of the site through population resettlement in 2006.

Established in May 2007 by the Council of Ministers of the KRG, the Commission’s affiliation was moved from the Council of Ministers and placed under Erbil Governorate in December 2009. Between the end of 2009 and the first half of 2010 the HCECR was subject to a reshuffle with the appointment of a new managing structure and the official creation of the Board of Members.

Concrete activities started since 2007, when a Memorandum of Understanding (MoU) was signed between the HCECR and UNESCO, for the implementation of the first phase of Erbil Citadel Revitalization Project. The objectives of this Project were:

- enhancing local capacities in the field of conservation and restoration techniques;
- undertaking urgent remedial works to prevent further damages; and
- drawing up a conservation and rehabilitation master plan.

In 2010, activity in the Citadel took off in a more systematic way and with increased funds from different sources. The HCECR initiated a large maintenance programme while a series of conservation studies and works were also undertaken in cooperation especially with UNESCO. The second phase of the UNESCO/HCECR Project was launched in March 2010 by a second MoU signed between Erbil Governorate / HCECR and UNESCO. Project implementation is oriented and supervised by a joint steering committee. Aiming to ensure the sustainable revitalization and development of the Citadel, activities included in this second phase (which is ongoing) are:

- institutionalisation and capacity building (including management planning);
- stabilisation of the Citadel (structure and slope); and
- development and rehabilitation.

This Management Plan is an important output of such joint UNESCO’s and HCECR’s efforts, in that it pursues the integration of previous, ongoing and future activities within a well-oriented framework based on a clear and shared vision and a set of objectives.

Building on the Conservation and Rehabilitation Master Plan, the Management Plan is meant to prepare the ground for a sustainable and effective management in view of the nomination of the Citadel for inscription on the UNESCO World Heritage List.

4.2. HCECR’S STRUCTURE AND STAFFING

The HCECR is composed by a main Management Office, which makes plans and operates on a regular basis with the support of two consultative bodies:

- Board of Members; and
- Advisory Group.
### 4.2.1. HCECR’S MANAGEMENT OFFICE

Currently, the HCECR’s Management Office comprises:

- a General Management (Head and Deputy Head);
- a Technical Division (currently 10 staff); and
- an Administration and Supporting Service (currently 16 staff).

The functioning of these three bodies is rather simple in organisation and articulation, according to which the General Management plans and oversees the activities of the two executive branches, technical and administrative.

| GENERAL MANAGEMENT |
|-------------------|------------------|
| Head              | Deputy Head / Site Manager |

#### TECHNICAL DIVISION

**MAINTENANCE AND REHABILITATION UNIT**
- Site cleaning: daily garbage and debris cleaning, storage of building materials
- Maintenance activities: urgent measures and preventive conservation
- Rehabilitation projects: management of the tenders for design and works, works supervision

**DOCUMENTATION AND RESEARCH UNIT**
- Conservation of the HCECR archive: photos, maps, drawings, books, articles, videos, etc.
- Building documentation: recording of architectural elements and details
- Research collection and recording of holistic memory

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#### STAFFING

- **MAINTENANCE AND REHABILITATION UNIT**
  - 4 Architects
  - 2 Civil Engineers
  - 1 Technician
  - 1 Ornament Specialist
  - 1 Historian Sociologist
  - 1 Graphic Designer

- **DOCUMENTATION AND RESEARCH UNIT**
  - 1 Administration and PR Officer
  - 2 Administrative Assistants
  - 2 Accountants
  - 1 Secretary
  - 2 Receptionists
  - 1 IT Specialist
  - 1 Logistic Assistant
  - 5 Drivers
  - 1 Service Man

**Table 3: Organisational chart of the HCECR.**

The **Technical Division** includes two units:

- Maintenance and Rehabilitation Unit; and
- Documentation and Research Unit.

This Division is responsible for all activities related to documentation, maintenance and rehabilitation of buildings and fittings as well as of research on oral and holistic history. A documentation archive is being created by gathering historical documentation from different sources. The Technical Division is staffed by four architects, two civil engineers, one technician, one ornament specialist, one historian/sociologist, and
one graphic designer. The production of communication material (including the management of the website) is part of its duties.

The Administration and Supporting Service is in charge of all administrative, financial and logistic operations. Moreover, it provides the General Management with secretarial assistance and support in public relations. In total, the Administrative and Supporting Service is staffed by sixteen employees.

Such structure, which currently employs a total of almost 30 people among managers, professionals and general officers, is currently dealing mostly with documentation gathering, building maintenance and a small group of conservation and rehabilitation projects. In addition to this, the Commission coordinates and supervises the activity undertaken within the framework of the joint UNESCO/HCECR Erbil Citadel Revitalization Project as well as by other parties.

The HCECR’s Management Office is accommodated in small prefabricated modular buildings located in the centre of the Citadel, which hosts also the Field Project Office of UNESCO Iraq. This is a temporary solution while conservation and rehabilitation works of buildings nearby are being carried out and other historic buildings are planned for allocation to the HCECR.

The HCECR is a relatively young structure and its organisation is rather understaffed and underequipped to cope with the needs that will arise when the conservation and rehabilitation projects will take off on a large scale. Therefore, this Management Plan and the accompanying legal tools provide the necessary framework for the institutional reinforcement of this Authority.

4.2.2. HCECR’S BOARD OF MEMBERS

The Board of Members (BoM) is composed by eight members representing the HCECR’s Management Office and five local institutions. The document with which the BoM is established, issued by Erbil Governorate on 20 May 2010, identifies the members representing various institutions. These are:

- HCECR’s Management Office (3 members);
- Ministry of Municipalities and Tourism, Directorate of Antiquities (1 member);
- Ministry of Municipalities and Tourism, Department of Urban Planning (1 member);
- Council of Ministers, Presidency (1 member);
- Syndicate of Archaeologists (1 member); and
- Salahaddin University, Architecture Department (1 member).

In this earlier stage upon the establishment, the BoM does not have a formal statute detailing mandate and internal regulation. It functions as a steering committee and meets upon demand, when specific issues need being discussed and/or approvals being made. So far, meetings have taken place approximately every two months, but not on a regular basis. Meetings discuss and take decision on general issues, such as rehabilitation projects and building allocation proposals.

4.2.3. HCECR’S ADVISORY GROUP

The HCECR has an Advisory Group, which involves a larger number of stakeholders, some of whom are supposed to convene more or less regularly (i.e. members the BoM) while others are invited only when they have a stake or an expertise in the subject of discussion. Due to its consultative nature, the Advisory Board is not meant to express a formal decision through a voting system, but rather to debate and reach a consensus.
4.3. RESPONSIBILITIES AND ACTIVITIES

As said earlier, in its current configuration and functioning, the whole HCECR’s structure has neither a well defined and formal mandate nor written functioning rules.

In its five years since the establishment, and in its capacity of organisation in charge of site management and development, the HCECR has been responsible for:

- planning and carrying out maintenance activities aiming at slowing and monitoring the deterioration phenomena;
- undertaking research programmes for the documentation of different aspects of the Citadel history, through the collection of information from written, iconographic, and oral sources;
- initiating, coordinating and supervising programmes and projects for the conservation and rehabilitation of buildings in the Citadel, in cooperation with partners institutions, organisations, and donors;
- coordinating and supervising projects for the upgrading and maintenance of infrastructures and services designed and implemented by other governmental bodies; and
- controlling entrances, receiving delegations and conducting other site management activities.

4.3.1. CONSERVATION AND REHABILITATION PROJECTS

The HCECR is directly responsible for some conservation and rehabilitation ongoing works in addition to coordinating and supervising all other projects initiated within the frame of the UNESCO/HCECR agreement and with the support of other parties.

Among the conservation and rehabilitation projects ongoing are:

By HCECR:

- 8 buildings to be used as HCECR offices, textile complex, and craft centre; and
- preliminary studies and documentation gathering in view of the reconstruction of the South Gate.

By UNESCO/HCECR:

- works are already ongoing for 8 buildings;
- survey, analysis and design are ongoing for 18 buildings; and
- small emergency works for 5 buildings are being tendered.

By other parties:

- one building, by the French cultural institute IFPO (Institut Français du Proche-Orient);
- two buildings, by the Iranian consulate, to create a traditional handicraft centre; and
- one building, by Al Najar charity clinic.

There has been an increasing interest towards the Citadel in the recent years also by other parties, which is witnessed by studies and conservation works already undertaken (e.g. a detailed study for the conservation of one house was conducted by the Italian ISIAO Institute and another house was rehabilitated by Czech company GEMA Art Group). The renovation of the Textile Museum is planned to be undertaken with the financial assistance of the German cooperation.
4.3.2. MONITORING AND MAINTENANCE

The building maintenance and monitoring activity conducted so far by the HCECR’s technical staff has consisted in:

- shoring (dead shores, flying shores, racking shores);
- dismantling and removing added parts;
- limited roof repair, by adjusting slope, repairing holes, covering with plastic sheets
- repairing deteriorated brick walls; and
- site cleaning, by garbage collection, debris clearing out in the alleyways and open spaces.

Intervention concerned 142 houses as of January 2012.

4.3.3. RESEARCH AND DOCUMENTATION

Research activity initiated by the HCECR includes:

- **Site and buildings recording**: some documentation activity is being conducted, focusing in particular on fittings and building accessories and decoration, e.g. window frames and gratings, bricks patterns, etc.
- **Holistic memory**: elders and former inhabitants of the Citadel are interviewed, to collect oral information. Documentation gathered has a twofold value:
  - as intangible heritage linked to life in the Citadel; and
  - as a potential source of information on the history of the Citadel and its buildings (owners’ names, buildings transformation, etc.), to be carefully double-checked with information from other written/iconographic sources.
- **Archaeological investigations**: these have started in the vicinity of the existing South Gate, searching for evidence of the foundations of the original Gate, in view of its reconstruction, which is highly demanded by the majority of local stakeholders.
- **Historic documentation**: research in various archives and online is being conducted and copies of documentation (e.g. old photos, videos, books, etc.) collected, to get information necessary to address conservation and to build the historical documentation centre of the HCECR.
4.3.4. DOCUMENTATION ARCHIVES

The HCECR’s archives comprise nine areas of documentation:

1. Maintenance works: a file recording the works carried out on each house is produced.
2. Architectural elements and ornamental details: a study of these elements and details is produced.
3. Conservation and rehabilitation projects: record of rehabilitation projects carried out by the HCECR and others.
4. Documentation on holistic memory: record of interviews to elders and former inhabitants.
5. Reports and studies: collection of reports, studies and other documents concerning Erbil Citadel.
7. Historical documentation: collection of old photos, books, videos, etc.

4.4. FINANCIAL RESOURCES

The HCECR receives a regular monthly budget from the Ministry of Finance of KRG for operating costs (staff and office management). As far as activities are concerned (i.e. maintenance and rehabilitation), so far they have been financed by extra-budgetary financial sources, either from the KRG or from other parties. Among these, special allocations have come from the Prime Minister’s Office and the Government.

A significant source is the KRG’s funded UNESCO/HCECR Erbil Citadel Revitalization Project, which has contributed with a budget of USD 1,475,000 in the first phase and USD 12,920,340 in the second phase (ongoing). These funds are earmarked for planning and management activities, physical conservation works, capacity building and institutional development.

A group of buildings is planned to be restored and rehabilitated by other international or local donors/investors, among which the French cultural institute IFPO (Institut Français du Proche-Orient) and the Iranian consulate. The Italian ISIAO (Istituto Italiano per l’Africa e l’Oriente) has developed a comprehensive study and survey of one building.

Other activities are being implemented with the support of local parties, i.e. the infrastructures (water, sewerage, electricity) which are currently under planning by the Ministry of Tourism and Municipalities.

4.5. PROTECTION BACKGROUND AND STATUS

4.5.1. NATIONAL PROTECTION

The Law on Antiquities and Heritage of Iraq (Law No. 55/2002) is the only legal instrument in force providing for the protection of antiquities and cultural heritage in Iraq. There is no regional law yet for the protection of antiquities and cultural heritage in Kurdistan. Based on the Constitution and Law No. 55/2002, the Citadel is subject to the above mentioned Law. The Citadel site was placed under protection in 1937, on the legal basis of the Law on Ancient Monuments, No. 59/1936 (amended by the Law on Monuments, No. 120/1974). The whole Citadel was inscribed as one of the 3,125 archaeological sites of Kurdistan.

As far as the architectural heritage is concerned, such designation does not provide any specification on the type of protection approach according to international standards (which classify architectural heritage
under three categories: monuments, groups of buildings, and sites) and, most importantly, does not include any inventory of the buildings subject to protection.

In the past, Erbil Municipality used to be the authority responsible for granting permission to owners for works on the buildings, while the State Board of Antiquities was directly responsible for archaeological excavations. In 1964, there was a decision to stop granting work permissions to owners, due to the fact that the government intended to improve protection and conservation (after the large scale demolitions carried out in 1958 to create the road crossing the Citadel from north to south). In practice, the effect of this initiative was a reduced maintenance and, consequently, building deterioration. In 1991 all competences were transferred to the KRG. The Regional Directorate of Antiquities was created and a director-general appointed in 1994. In 1996 a first informal committee for the rehabilitation of the Citadel was established. After the formal establishment of the HCECR by the Prime Minister of Kurdistan Region, in 2007, de facto all competences on the Citadel’s buildings were transferred to the Commission.\footnote{This paragraph contains information obtained in a meeting at the HCECR.}

In principle, in line with Article 4 of the Law on Antiquities and Heritage of Iraq (Law No. 55/2002) which is still in force for the entire State of Iraq, the Citadel can be considered as having a two-fold level of protection.\footnote{Article 4 provides for the following definitions: \textbf{Antiquity:} The movable and immovable property which has been built, made, carved, produced, written or painted by man, those age of which is not less than 200 years, as well as the man and animal skeletons besides the plants remains. \textbf{Heritage Material:} The movable and immovable property, less than 200 years of age, possessing a historical, national, religious and artistic value. The Law foresees also a third category of protected site: \textbf{Historical Site:} A place where a notable historical event took place, therein, regardless its age.}

\begin{itemize}
\item the whole site (tell) as \textbf{antiquity}, namely an immovable property aged no less than 200 years; and
\item the buildings and the urban fabric with historical, national, religious and artistic value, as \textbf{heritage}, namely immovable properties aged less than 200 years.
\end{itemize}

Currently, the administration of the two above two levels of protection is in practice split under two different institutions:

\begin{itemize}
\item archaeological heritage, under cultural heritage authorities, and
\item architectural and urban heritage, under the HCECR;
\end{itemize}

nonetheless this situation is not based on a statutory decision delegating architectural heritage conservation and rehabilitation to the HCECR, whose institutionalisation process needs being completed to get such formal authority.

An improved integration of the above two levels of protection is one of the key issues to be pursued by the management approach, to ensure that architectural and urban heritage are adequately protected under the legal and institutional framework, by providing specifications on the protection approach, boundaries and items, with the support of a formally adopted inventory.

The HCECR has undertaken important initiatives to fill the gaps. An important achievement of recent years is the thorough building analysis and classification conducted within the frame of the CRMP, which has resulted in the identification and grading (according to a three-grade system) of 320 houses of the Citadel,
which represent over 50% of the total built heritage existing above the tell. An inventory chart has been produced for each of these graded houses.

This work constitutes a fundamental step towards the preparation and upgrading of the technical documentation needed for the establishment of a formal inventory system according to international standards, which is one of the key activities foreseen by this Management Plan.

4.5.2. INTERNATIONAL DESIGNATION

**UNESCO WORLD HERITAGE LIST**

On 8 January 2010, a request for inclusion of Erbil Citadel in the **Iraqi Tentative List** for inscription on the UNESCO’s World Heritage List was submitted (by the HCECR and the Iraqi State Board of Antiquities and Heritage) in the perspective of starting the nomination process. The site has been proposed under criteria (i), (ii), (iii), (iv), and (v).

A synthetic but effective presentation of the main features and significance justifying such inscription and ambition to place Erbil Citadel on the World Heritage List is outlined in UNESCO’s website:

**ERBIL CITADEL ON THE TENTATIVE LIST**

Although there are many fortified and military citadels in the world today, there are only a few surviving citadel towns anywhere. Erbil Citadel is unmatched in the region not only because of its nearly 7000 years history but also because it is a town inhabited by people and not a military structure like the citadels of Cairo, Aleppo, Damascus, Amman, etc. The only comparable town citadel in Iraq and elsewhere in the region was perhaps the citadel of Kirkuk (North of Iraq) that was, unfortunately, almost totally demolished in the late 1990s by the central government.

Thus, Erbil Citadel represents a unique example of a town that has nested on top of a hill for several millennia and has, since then, not only accumulated numerous and important archaeological layers within but also possesses a very important traditional architectural and urban heritage. As such, it deserves to be included on the Tentative List of World Heritage Sites and hopefully, later on, on the World Heritage Sites List.

[http://whc.unesco.org/en/tentativelists/5479/]

**WORLD MONUMENTS WATCH LIST**

Erbil Citadel was included in the **World Monuments Watch List** (an initiative of the World Monuments Fund, a well-known American organisation) of 100 Most Endangered Sites: in 2000, 2002, and 2004. In 2006 and 2008, the same List comprised the ‘cultural heritage sites of Iraq’ as a whole listed item, thus including Erbil Citadel.

4.6. OWNERSHIP AND CUSTODIAN CONTEXT

Before the evacuation of the site and the population resettlement in 2006, properties in the Citadel were owned by various parties, both private and public: Municipality of Erbil, Directorate of Antiquities, Awkaf, and others.
After the evacuation in 2006, ownership of the site and the buildings included in it belongs to the Kurdistan Regional Government. All properties are currently registered under different parties (General Directorate of Antiquities of Kurdistan and others), but it is safe to say that the main owner is the central treasury (Ministry of Finance).

4.7. MANAGEMENT OF THE BUFFER AREA

The Management of the Buffer Area of the Erbil Citadel is a project developed within the frame of a UNESCO and Erbil Governorate / HCECR initiative. Its implementation (with the technical assistance of ARS Progetti, international consulting company) was supervised by a steering committee representing all parties. The main document resulting from this activity, the Urban Design Guidelines for the Buffer Zone of Erbil Citadel, was adopted in June 2011 by Erbil Governorate and is currently in force.

Figure 37: Views from the Citadel towards South. Photos by the authors, 2011.

A Licensing Committee and a Monitoring Committee, representing all relevant stakeholders (Erbil Governorate, Erbil Municipality, HCECR and other key authorities involved in urban planning), were created after the endorsement of the Plan, for monitoring the implementation of prescriptions and recommendations and for reviewing the licenses accordingly. The Licensing Committee has an executive role, while the Monitoring Committee is more supervisory.

4.7.1. STRATEGIC FRAMEWORK

Building on the Master Plan for Erbil City Centre, the Urban Design Guidelines set seven strategic objectives:

<table>
<thead>
<tr>
<th>OBJECTIVES</th>
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<tbody>
<tr>
<td>1. To promote Kurdish traditional townscape character by building on locally distinct patterns of development and culture.</td>
</tr>
<tr>
<td>2. To promote a mix of uses that work together to create vibrant places.</td>
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<tr>
<td>3. To promote the quality of the public realm.</td>
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<tr>
<td>4. To promote routes which facilitate the movement of residents and visitors to the Citadel and within the historic districts.</td>
</tr>
<tr>
<td>5. To protect and enhance existing views and perceptions from the buffer zone towards the Citadel and vice versa.</td>
</tr>
</tbody>
</table>
6. To promote development that responds to changing social, technological, economic and market conditions.
7. To develop Erbil as a tourist city retaining existing residents and users and attracting new residents and visitors.


4.7.2. SCOPE AND OBJECTIVES

The *Urban Design Guidelines* set prescriptions and recommendations for an area of approximately 250 ha, which extends concentrically around the Erbil Citadel. The objective of this document (which can be considered a Management Plan for the buffer zone) is to establish concise urban design guidelines to safeguard the character of Erbil Citadel and surrounding historic districts, by controlling and guiding development within an area of protection surrounding the Citadel (the ‘buffer zone’) for a period of 10 years.

Specific objectives of the guidelines are as follows:

- to enhance the integration and connectivity between the Citadel and the surrounding districts;
- to produce a clear and easily understandable set of recommendations which will guide the development of different buildings and sites within the buffer zone; and
- to advise on the necessary delivery mechanisms according to the particular characteristics of each area and site.

4.7.3. MAIN DOCUMENTS

The *Management of the Buffer Area of the Erbil Citadel* Project has resulted in the following documents:

- **Urban Design Guidelines for the Buffer Zone of Erbil Citadel** (June 2011). This document contains written prescriptions and guidelines, and graphic documentation. The main report is complemented by a glossary and an example of the documentation required to apply for a building license for the rehabilitation works of a traditional courtyard house.

- **Annex: Conservation Handbook for the Buffer Zone of the Erbil Citadel** (February 2011). This report comprises a structured inventory of the typology and architectural features of the traditional Kurdish architecture within the historic districts of the Citadel’s buffer zone. The handbook is composed by inventory charts, organised in four main categories:
  1. Typology of buildings.
  2. Traditional materials.
  3. Architectural features.
  4. External surroundings.

The *Conservation Handbook* is complemented by an annex containing three examples for the adaptive reuse of a traditional courtyard house.

Furthermore, the above documents are based on a series of studies:
• **Inventory of Heritage Buildings and Urban Analysis** (December 2010): history of the built fabric of the buffer zone, the outcomes of the inventory of heritage buildings, built fabric analysis and visual study.

• **Review of the Erbil City Centre Master Plan** (December 2010): review of the *Erbil City Centre Master Plan* in view of the nomination of Erbil Citadel as a World Heritage Site.

• **Pilot Projects for the Buffer Zone of Erbil Citadel** (February 2011): conceptual urban designs to illustrate how the *Urban Design Guidelines* apply to two specific areas of the buffer zone. Pilot project 1: Aras Street, and Pilot project 2: Streetscape project for Sheik Chouly Street.

### 4.7.4. KEY CONTENT OF THE GUIDELINES

• General objectives, policy recommendations and strategies for the buffer zone.

• Technical definitions regarding urban design and building parameters.

• Classification of buildings and sites into different groups (high quality heritage buildings, heritage buildings, vernacular buildings, vacant land, modern buildings, contrast buildings) and definition of the interventions permitted for two main categories:
  
  1. **Heritage and Vernacular Buildings:** conservation/restoration, restoration/rehabilitation, reconstruction, and new buildings in historic areas.
  2. **Modern Buildings:** refurbishment, enlargement, new building, harmonisation, and demolition without reconstruction.

• Classification of the land of the buffer zone in seven planning areas and definition of specific guidelines for intervention in each area:
  
  1. Conservation areas;
  2. Transitional areas;
  3. Remodelling areas;
  4. Urban corridors;
  5. Consolidation and mixed use areas;
  6. New courtyard houses development areas; and
  7. Regeneration areas.

• Specific guidelines for open spaces and parking areas.

• Identification and general guidelines for 14 strategic projects, four projects of metropolitan interest and ten projects of local interest. These projects embrace the redevelopment of sites for social/cultural uses, the regeneration of parking spaces, the rehabilitation of streetscape, the regeneration of key specific sites, among others.

• Streetscape guidance: general recommendations to guide the improvement of the public space within the buffer zone, with special attention to the preservation of the character of the historic streets. Two types of streets are considered: 1. historic streets located mainly in the historic districts; and 2. modern radial streets.
• Assessment of the institutional set up and recommendations and practical examples for procedures and instruments to facilitate the implementation of the Urban Design Guidelines.

4.7.5. SOME CONSIDERATIONS

The Urban Design Guidelines is a fundamental document for the integration of the safeguard of the Citadel and its context in the development of Erbil central areas. It fills a critical gap by providing technical guidelines and practical examples but also administrative measures for the proper management of these areas, to avoid that an improper development will negatively impact the Citadel and compromise its potential nomination as a UNESCO World Heritage Site.

In particular, the delimitation of the buffer zone and the creation of a GIS-based inventory of heritage buildings included in the boundaries are a key activity developed within the planning process and constitute an essential tool for the future management approach. These, together with the analysis of the built fabric and the visual study of alleyways and roads, have set up the basis for the establishment of regulations and guidelines.

Figure 38: View towards the eastern slope of the Citadel (left) and arcades to the western side (suq). Photos by the authors, 2011.

The Urban Design Guidelines must be considered as a process towards an improved integrated management of the core of Erbil in addition to being a result in itself. Therefore, the Management Plan for Erbil Citadel must be strongly anchored to this background, also in consideration of UNESCO’s requirements for nominations to the World Heritage List.

The HCECR, in its capacity of one of the members of the committees that ensure the follow up of the implementation of these Guidelines, will have to play a key role in ensuring the best coordination of the two tools and in leading the process, which is centred on the conservation, enhancement and revitalization of the Citadel.

4.8. OTHER REGULATORY TOOLS

4.8.1. ERBIL CITY MASTER PLAN

Erbil Citadel represents the core of the City of Erbil. Even when the city started to grow below the mound in the 12th century, the Citadel remained its heart and did so over the centuries. People were attracted to live
there in search for security during long sieges and enemy attacks. Until mid-1950s, it continued to house thousands of people and was a living town in its own right. Because it is right in the middle of the commercial centre it was a very convenient place to live in by poor migrant families and those who worked in the centre.

The upper Citadel town interacted organically and functionally with the city below. In other words, there was a strong and mutual relationship with each other, and a clear and historic symbiosis between them. In addition, in the past the building growth of the lower town did not affect heavily the visual dominance of the Citadel. Apart from some exception, high-rise buildings were not built very close to the Citadel.

A Master Plan for Erbil City to the year 2030, which was prepared in 2008 by Dar Al-Handasah, an international engineering consultancy firm, shows the future city as a series of concentric circular roads starting from the Citadel and extending more than 30 kilometres in all directions.

In essence, therefore, this projected future development confirms previous development schemes based on axes radiating from the circle of the Citadel and concentric rings. It is most likely that the tremendous growth of Erbil City will have direct consequences on the future of the Citadel, which has been ignored by the Master Plan.

In the immediate surroundings of the Citadel, the above described Urban Design Guidelines for the Buffer Zone of Erbil Citadel, recently adopted, is meant to integrate conservation with town development, by providing local authorities with practical guidelines for the safeguard of the urban context of the Citadel.

In addition to filling crucial gaps in the urban planning of areas surrounding the Citadel, this plan for the buffer zone is a requirement for the UNESCO World Heritage nomination. However, an increased and proactive communication between the HCECR and urban planning authorities ought to be pursued to retrieve a real (and not only physical) centrality of the Citadel in the whole town.

4.8.2. ERBIL CITY CENTRE MASTER PLAN

A Master Plan for Erbil City Centre was drawn up in 2007 by Dar Al-Handasah, the same international engineering consulting firm which prepared the above mentioned general Master Plan for Erbil City.

The Erbil City Centre Master Plan does not include the Citadel, nevertheless this document sets a vision and a set of objectives which constitute a basic background for addressing the planning process for the Citadel and the buffer zone.

**VISION**

Erbil City Centre is envisioned to be a vibrant place to live, work and enjoy its green spaces, its history and culture. It celebrates a new Kurdish identity that transforms the City Centre from a regional centre to a major centre for the entire Kurdish Diaspora. Envisions an Erbil that builds upon its current practices, utilizes and celebrates its existing communities, economically empowers its residents and landowners, and creates new possibilities and capacity for development and investment.

4.9. REGIONAL AND LOCAL DEVELOPMENT CONTEXT

4.9.1. REGIONAL CONTEXT

A draft *Regional Development Strategy for Kurdistan Region 2012-2016* (RDSKR) was drawn up and issued in March 2011 by the Directorate General of Strategic Planning of the Regional Government’s Ministry of Planning. This is the first time that such a multi-year, comprehensive and multi-sectoral strategic plan is produced in Kurdistan to address and enhance the development process, based on a clear understanding of the current status and a vision for the future.

A wide range of sectors are analysed and specific objectives are determined to feed into the general strategic development framework: macroeconomics, financial, population and manpower, agriculture and water resources, industry, energy, infrastructure, education and higher education, health, tourism, culture and heritage, social dimensions, spatial development and environment, good governance, and private sector.

The *Regional Development Strategy* is meant to be:

> ... the reference for all future development and capital investment projects and it is aligned with the Iraqi National Development Plan. It will also be the guide for the preparation and execution of the annual budget.

[MoP, Draft RDSKR, 2011. Foreword by the Minister of Planning]

Hence, it is an opportunity to measure and increase political awareness on the integration of cultural heritage issues into strategic planning, in view of lobbying for adequate budgetary allocations for the conservation and development of Erbil Citadel, as the core historic centre of the whole Kurdistan Region.

The Executive Summary of the *Strategy* illustrates the overall current situation in terms of social and economic conditions of Kurdistan Region in 25 points, thus effectively presenting a picture of the state of the art of the Regional development, which is characterised by a solid growth especially in economic terms.

Chapter 10 of the *Strategy* concerns Tourism, Culture and Heritage Sectors, outlining the recent and current situation and trends, identifying potentials and setting up a vision and goals for the future development of these sectors.

The current situation in the tourism sector is illustrated by the *Strategy* with the support of some statistics of the past years:

- Increased private investments in the tourism sector (the indicator is the number of hotels and motels), often concentrated in the Governorate centres, while the number of hotels, especially luxury hotels, in districts and sub-districts is much less.
- Increased BOR (Bed Occupancy Rate) in hotel (more than 66%) due to the economic and urban development, increased security and number of tourists.
- Poor economic performance of the tourist activity in general, for example, tourism contribution to GDP did not exceed 1.4% in 2008. There are no accurate or comprehensive data about the size of employment in the direct or indirect tourist activity.
Concerning the current situation in the cultural sector (which does not include cultural heritage), the main indicators and significant figures are related with media: TV channels, newspapers and magazines, while cultural activities and events are rather underdeveloped. Nevertheless, since 2003 there has been some increase of number of theatres, art galleries and cultural festivals.

The great potentials of Kurdistan’s network of cultural and natural resources for the tourism promotion are well understood by the regional strategic planners, but this development is still focused on the provision of infrastructures, facilities and services:

Therefore, the Region is well qualified for providing various types of tourism such as natural, cultural, historical, therapeutic, treatment and eco-tourism, but only after securing supplementary requirements of tourism, such as luxury hotels, efficient and specialized hotel management and service, infrastructures, basic services and a banking system in line with the international standards. This is enhanced by the fact that most of these potentials are spread over different areas, creating the foundations for the prosperity of tourism across the governorates.

The strategic challenges in the sectors of tourism and culture are recognised as being:

1. Limited public financial resources and poor investment of local/foreign private sectors.
2. Poor services (roads, fast transportations, hotels, etc.) especially in tourist areas.
3. Retardation of banking services according to international standards.
4. Poor tourism administration and non-smooth visa procedures and tourist reception at border points.
5. Low awareness on tourism and poor methods of promoting tourism and marketing.
6. Migration of tourism professional personnel and limited vocational centres for training.
7. Limited private investment companies, restricted to individual investors with limited resources.
8. Multiplicity of agencies in the field of tourism, cultural and archaeological activities, causing overlaps in their tasks.
9. No long-term strategy for the development of tourism, heritage and cultural activities.
10. Poor database available on tourism, heritage and cultural activities.

Table 4: Indicators of tourism development (from: MoP, Draft RDSKR, 2011, Chapter 10: Tourism, Culture and Heritage Sectors)
Based on this analysis, the vision features a well balanced combination of three ingredients: cultural heritage, territorial identity of Kurdistan and tourism development:

**VISION**

1. Developing tourism situation and creating the so-called tourism industry to market it competitively with neighbouring countries to contribute to the diversification of the economic base of the Region.
2. Preserving, developing and exploiting the cultural and historical heritage as it is an essential element in the development of national tourism, and the continued assumption of an advanced position within the cultural and historical heritage of the world.
3. Preserving, reconstructing and developing the cultural and artistic identity of Kurdistan, and seeking to attract creative Kurds to the Region.

[MoP, Draft RDSKR, 2011, Chapter 10: Tourism, Culture and Heritage Sectors]

Goals of the sectoral strategy in tourism and culture are presented below.

**GOALS**

- Strengthen the assumption of an advanced position in the historical and cultural heritage of the world.
- Preserve, reconstruct and develop the cultural and artistic identity of Kurdistan.
- Create tourism industry that is competitive with neighbouring countries.
- Raise the level of economic performance of the sector by increasing its contribution to GDP, balance of payments and job opportunities, in order to make it an active contributor to the diversification of the economic base and to the reduction of unemployment and poverty, especially in remote tourist areas.
- Exploit the religious, historical, natural, cultural and civilizational tourism features and potentials.
- Invest the local elements of different areas in the governorates in tourism and cultural development.
- Make the private sector play the leading role in tourism and in management and operation of archaeological and cultural facilities.
- Secure the elements of attracting foreign tourists, especially supplementary services of accommodation, transport, hospitality and sophisticated banking services.
- Achieve interaction and integration among the activities of the tourism, archaeological and cultural sector through the achievement of a balanced and consistent growth among them as they complement each other.


The Strategy shows a remarkable effort to integrate tourism, culture and heritage in the regional development context. It must be noted, however, that there is an emphasis on tourism development, which is addressed mainly in terms of increase of numbers of tourists and related facilities (i.e. hotels), without defining the approach and the policies. Moreover, a much lesser attention is paid to the potentials of a cultural-driven approach to sustainable development through the conservation, rehabilitation and enhancement of cultural heritage and to the revitalization of historic areas as a place for living and not only for visiting.
The policy for urban planning to accommodate population growth in larger urban areas (such as Erbil, as Region’s capital) favours the creation of ‘new cities’, to be established around the cities centres. The integration of cultural heritage conservation and rehabilitation within the spatial development and the important role that revitalized historic areas can play in urban development are not tackled with by the Strategy.

Since the document is still a draft, the HCECR and other local authorities should deploy every effort to raise awareness at the regional level and seek an improved integration of cultural heritage conservation and rehabilitation within the regional development policies and thus lobby for an increased budget allocation.

4.9.2. LOCAL CONTEXT

An attempt to frame sectoral intervention within a general all inclusive strategic development approach is being done also at the local (Governorate) level, where a Strategic Plan for Development and Improvement (for Erbil Province/Governorate) 2008-2012 has been prepared by the Planning Committee of Erbil Provincial Council.

This draft Plan is rather ‘primitive’ in its conception and structure, compared to the regional one and focuses mainly on primary sectors, such as agriculture, resources and industry development.

4.10. VISITOR IMPACT

Currently, the number of visitors is not a source of worry for the carrying capacities of the Citadel. However, the number of visitors seems to be increasing. There is few visitor data collection, regarding the past two years.

So far, data collection and analysis in the tourism and cultural sector has been rather informal and not approached with a proper methodology. The figures collected are just estimates concerning visitor entrance, attendance to Friday prayers and evening events, official delegations, etc. A tourism analysis campaign should be initiated in view of the future development of a tourism development and management strategy, by using an appropriate methodology and a range of tools and in close cooperation with public institutions and private operators.

4.11. INFRASTRUCTURES, FACILITIES AND SERVICES

4.11.1. BASIC INFRASTRUCTURE NETWORKS

Since the Citadel was evacuated in 2006 after some decades of neglect and poor management, all basic service networks require comprehensive replacement, as they are totally inadequate for the needs envisaged for the Citadel in the future.

A summary of the conditions of these service networks is presented below. However, this situation will be overcome soon, as a design for the installation of water supply, sewerage, electricity supply and street lighting is being finalised by Water and Sewerage Department of the Ministry of Municipalities and Tourism under the supervision of the HCECR.

A new water tank is also planned to be built in the north-eastern side of the Citadel, which is one of the highest point of the ancient city, to replace the one currently in use, located in a more central position along the north-south axis.
WATER SUPPLY

The water tank which still towers over the Citadel was built in 1924 by the British, when the piped system was introduced. From the tank, the water supply to the Citadel houses was laid on the surface of the alleyways rather than being buried in trenches. The system was largely renewed by UNDP in the 1990s, again with surface laid pipes. Because of the concern that water seepage could endanger the stability of the houses, this system has now been almost entirely stripped out and most of the Citadel is now without any water supply, except for a few isolated buildings which remain in active use.

Therefore, the tank supplies water to the lower city, to which is channelled through a polythene pipe. In addition to being useless for the Citadel, it is also an element of disturbance for the Citadel’s urban landscape, as it is located in a central area near the South Gate and visible from distance.

The Citadel features a big well behind the hammam, near the centre of the mound. According to oral information collected during the analysis done within the frame of the CRMP, this is said to be 53 metres deep, i.e. to extend 31 metres below the base of the tell.

Moreover, the geotechnical investigations and the topographical survey have demonstrated that the water table, as might be expected, lies below the base of the tell. Most probably, water was raised from the well by a team of donkeys and distributed to individual houses by water carriers. The well has been used as a depository of rubbish since it went out of use and is no longer open.

Some mansions in the Citadel have fountains, none of which are now in working order. Most probably, these fountains were introduced after 1924, when the Citadel was supplied with a water network. Nevertheless, further investigation on the previous supply system is necessary to feed into the knowledge on the relations between traditional technology, urban fabric and daily life in the Citadel.

STORM WATER AND SEWERAGE

The storm water formerly drained only through channels down the middle of the alleyways, which had the profile of a shallow V. This drainage system is still in operation even if it displays serious areas of damage. Surface storm water is drained out of the South Gate and eastwards down the slope of the mound. In consequence, there are superficial wet areas on the surface after rain.

Where areas are not now adequately drained, for example in alleyways where the storm water drainage system no longer properly functions, there are cases of temporary ponding at the bases of walls which can heighten instability and increase risk of partial collapse of the outer leaf of masonry.

A below-ground sewerage and storm-water drainage system was installed after 1958. This system has been repaired and renewed at different periods, most recently by UNICEF (CCD, HBA, EC, CRMP 2011: 120), notably the line that runs southwards to the west of the modern road which bisects the site. This system is no longer in operation, but the lack of maintenance when it was in use has caused water leakages, contributing to soil saturation of the mound.

ELECTRICITY SUPPLY

As in the case of other services in the Citadel, the electricity supply was renewed in the recent past by UNDP. The existing electrical mains distribution network partly exists, but the domestic electrical supply has been removed from almost the entire Citadel, to the extent that the wiring has been stripped out from individual houses. There is still an electrical connection to the few buildings which remain in use. The
potential threat posed by a badly maintained electrical system was demonstrated in November 2008, when a house was burnt as a result of an electrical fault.

4.11.2. FACILITIES AND SERVICES

VISITOR FACILITIES

The privately managed Kurdish Textile Museum, located to the northwest of the South Gate, contains a collection of old carpets and other regional textile handicraft products. It includes a shop selling modern handicraft, books and gifts/souvenirs. It is the only facility in the Citadel which can attract visitors and inform them on the regional material culture.

The ‘Antiq Qala’ shop nearby is a similar facility but with a mere commercial function.

RELIGIOUS SERVICES

One of the mosques existing in the Citadel is still in function and attracts a number of pilgrims/visitors especially for the Friday prayer. Most of these visitors are connected to the Citadel as former inhabitants or belonging to families who were living there.

HAMMAM

The hammam is not functioning anymore. Its spaces are used sporadically to host small exhibitions. A small room in the compound of the hammam is used as a meeting room by the HCECR.

GUARD SERVICE

Regular guard service is provided at both North and South gates, to limit vehicular access (allowed only to authorised persons and vehicles), to check pedestrian visitors at the entrance and to keep an eye on their circulation within the Citadel, for safety reasons.

4.12. STAKEHOLDER ANALYSIS

4.12.1. IDENTIFICATION

In the initial steps of the planning process, three groups of stakeholders were identified and selected for participation in consultation workshops. The three groups are: institutional actors, civil society and private sector, and international actors.

INSTITUTIONAL ACTORS

High Commission for Erbil Citadel Revitalization
Erbil Governorate
Erbil Municipality
Council of Ministers
Directorate of Antiquities (Ministry of Municipalities and Tourism)
Ministry of Higher Education and Scientific Research
Board of Investment
Ministry of Housing and Reconstruction
Ministry of Culture and Youth
Salahaddin University
Iraqi Institute for the Conservation of Antiquities and Heritage

**CIVIL SOCIETY & PRIVATE SECTOR**

Archaeologists Syndicate of Erbil
Hotels Syndicate of Kurdistan
Kurdish Textile Museum
Friends of Kurdistan Foundation
Barzani Charity Foundation
Media
Former inhabitants
Shop owners

**INTERNATIONAL ACTORS**

UNESCO
Representations of foreign Countries in Erbil (France, Germany, Great Britain, Iran, Italy, Sweden, Turkey)

**GROUPS OF INTEREST**

The planning process and the implementation monitoring could greatly benefit from the consultation of other stakeholders, to discuss about specific aims, policies and strategies, to ensure a full participatory approach. Thematic groups of interest could be established to this purpose. In addition to the stakeholders listed in the three groups above, other stakeholders could be included in these groups of interest:

Ministry of Education
Ministry of Planning
Ministry of Trade and Industry
Ministry of Transport and Communications
Ministry of Finance and Economy
Erbil Chamber of Commerce & Industry
State Board of Antiquities and Heritage
ICOMOS
ICCROM
Others

**4.12.2. CONSULTATION**

Continuous bilateral meetings, over various months, with the two main stakeholders, HCECR and Erbil Governorate, as well as with UNESCO, ensured a smooth and rapid compilation of the Management Plan. In addition to these, the consultative process included two major events: three Focus Groups and a Workshop, aiming to develop the planning process according to a participatory approach.
In these events, selected stakeholders were gathered to understand public perceptions, views, and desiderata concerning the conservation, rehabilitation, and revitalization of Erbil Citadel. The issues raised in the debates have assisted the management planning team and the main stakeholders to determine the best possible compromise between the conservation of the Citadel’s cultural heritage and the needs of development, respecting the authenticity and integrity of the site, being this a required element in the World Heritage inscription process.

**FOCUS GROUPS MEETINGS (27-29 SEPTEMBER 2011)**

Three groups of stakeholders were invited to participate in three separate meetings to initiate the consultation process:

1. **Institutional Actors** (regional and local government, universities, etc.)
2. **Civil Society & Private Sector** (local NGOs, professional associations, investors, tourism and hotel operators, etc.)
3. **International Actors** (cultural representatives of foreign countries, international organisations, international NGOs, foundations, donors, etc.)

![Meeting held in September 2011](image)

**Figure 39: Meeting held in September 2011**

The general objectives of these focus groups were:

- To understand the public perception of the ancient Citadel and of its role in the town development, in order to contribute to the determination of the site significance, on which the Management Plan should be based.

- To share information with the stakeholders currently or potentially concerned by the management of the Citadel, aiming at identifying key issues and objectives of the Management Plan.
To collect views, desiderata, commitment in and proposals for the rehabilitation of the Citadel, in view of establishing the most appropriate management framework involving a range of actors from institutions, civil society and private sector.

Based on a concept paper delivered to the participants at the beginning of the meeting, the debate was organised into three main topics:

1. Values and significance of the Citadel;
2. Identifying key-issues and objectives of the Management Plan;
3. Potential management framework and partnerships.

The first topic was extensively debated and several suggestions were put forward to address the identification of the values brought by diverse stakeholders, thus contributing to the determination of the overall statement of significance.

The participants manifested eagerness to make proposals regarding the second and third topics, thus contributing with practical ideas to the determination of policies and strategies. The conclusions coming up from the three Focus Groups are presented in the box below.

**ELEMENTS FOR CONSIDERATION/1**

**General issues:**

Besides addressing conservation in line with best practice, the development of infrastructures is a crucial priority, which should start as soon as possible in parallel with the conservation and rehabilitation planning.

**Values and significance:**

The Citadel is a two-layered heritage: archaeological and architectural, the former is a witness to the ancient history of the site and region and the latter is very distinct to Kurdistan and representative of its architectural development.

The fact that the Citadel is said to have been continuously inhabited for over 6,000 years is a crucial factor of its significance, linking the physical heritage (architectural and archaeological) with the social memory and the material culture. Reflection on this aspect should lead the rehabilitation/revitalisation process through an appropriate repopulation approach.

The closeness and compactness of the urban fabric of the Citadel makes it a special site for the social memory of the former inhabitants and a strong element of their sense of belonging. There is also a strong associative value between the Citadel and its buildings (palaces, hammam, mosques) and the memory of people or families that are known in the community.

The image of the Citadel is a strong heritage in itself and in the collective memory of Erbil’s communities, horizontally thanks to its central location (which has been maintained by the town development), vertically on account of its high location emerging from the flat surroundings and visible from distance.

The Citadel is also a landmark for Erbil and Kurdistan as well as a crucial roundabout for circulation. As such, it could be defined as the ‘crown’ of Erbil.
ELEMENTS FOR CONSIDERATION/2

Revitalisation approach and priority objectives:

POLICIES

The Citadel should become a lively place and retrieve its centrality as the historic core of Erbil, mixing residence, cultural centres, activities and events, tourism-related facilities and services (small hotels and guesthouses, handicraft shops, etc.).

The repopulation strategy for the Citadel ought to avoid focusing on a single specific target group, to keep (or retrieve) the social memory and promote the sense of pride and belonging of different community’s groups.

Cultural centres to be established in the Citadel should be planned pursuing a well-balanced approach, to foster a fruitful and creative exchange between the valorisation of the culture of Kurdistan and other international cultures.

Conservation works to be conducted in the Citadel, should be entrusted to qualified companies bodies only, through existing or improved mechanisms in the law.

STRATEGIES

While the long-term conservation and management strategic actions are being planned, a short-term awareness and communication campaign should start immediately, to inform the local population and the visitors on the ongoing activities.

The cultural and economic valorisation of the Citadel should start up and be tested as soon as possible through a pilot project to involve the private sector, for example offering incentives for the opening of a small café restaurant and public toilets.

The reconstruction of the old South Gate is considered a priority especially by the civil society, therefore preliminary research and documentation gathering must be pursued to address its design.

The ongoing increase of tourism and the need to properly plan its future development and management require a sectoral study, to gather and analyse the necessary data.

A promotional campaign could be started immediately through the organisation of events with the support of partner organisations, such as cultural centres and NGOs. Among these, launching a ‘Citadel Day’ in Erbil and elsewhere, could have a very positive response in terms of promotion.

The multi-cultural aspect of the Citadel could be an important addition to its significance. This may be achieved with socio-anthropological studies in addition to archaeological research, to retrace the memory of different groups having inhabited the site in the past.

The creation of an association of concerned citizens and other interested people may be an opportunity to initiate a process of community awareness and involvement in the longer term objectives of the revitalization process.
The second important event of the consultative process took place when the management planning entered in the executive phase. In the first phase, the results of the preliminary meetings and Focus Groups helped addressing the determination of the significance of the Citadel as well as visioning and policy making. These outputs were put together with the analysis of the conclusions of the Conservation and Rehabilitation Master Plan and of the works being conducted and programmed on the Citadel.

**Figure 40: Meeting held in November 2011**

The outcome of this analysis was translated in a first group of aims and policies (basic principles) meant to guide any future intervention in the Citadel. These were presented to and discussed with the stakeholders in the Workshop, aiming to achieve a consensus on the way these policies are set to be put in action. The conclusions coming up from the Workshop are presented in the box below.

**WORKSHOP RESULTS AND RECOMMENDATIONS/1**

The debate and suggestions provided in the course of the workshop showed an interest by the stakeholders to participate in the process and be informed about its progress. There was a general agreement on the approach, aims, and content of the proposed management plan. From some comments it is clear that more information is needed to avoid misunderstandings and misinterpretations. This information may be supplied through media campaigns, bulletins, or through an updated website.

Some participants recommended that the revitalization efforts are not concentrated only on tourism, or to have people living in the citadel only from one sector of society, but try to mix income and social categories as much as possible.

More than one participant suggested continuing research on the relationships between architectural heritage and the people that built it and lived in it, as a way to ‘remember’.

The southern gate’s reconstruction was recalled by several participants as an important element of the Citadel’s rehabilitation efforts.
Archaeologists (but also other participants) stressed the importance of **archaeological research** to better understand the historic importance of the site, especially now that some open areas may allow excavation without disturbing the later structures.

The debate following the six questions concentrated on three main ‘lines’: **human resources, public awareness, outreach**. This indicates, in our opinion, an attention of the stakeholders towards the importance of having the public more involved in activities concerning the Citadel.

**Human resources**: the stakeholders mentioned the lack of specialised personnel, and suggested that in order to enhance the HCECR’s capacity, **training courses** are provided to staff and craftsmen, possibly also by sending them to attend courses in universities or institutions.

**Public awareness**: Lack of information has been mentioned, and proposal to overcome this situation include **publications**, press campaigns, and more **research** into the personal stories of the people of Erbil.

**Outreach**: outreach activities are considered important by the stakeholders to raise the profile of the Citadel to national and international attention. These will include **events**, celebrations and **festivals, lectures** or speeches by famous academics (in some specific occasions and holidays), the organisation of **Citadel ‘weeks’, branding** campaigns (for products related to the Citadel), **twinning** the Citadel with other famous citadels in the world. The issue of **investment** was also briefly tackled, although participants noted that this matter should be carefully monitored in order not to lose control over it.

Finally, other practical suggestions included the establishment of a **centre for advanced studies** on the Citadel, the construction of a large **model** of the Citadel, the immediate use of some of the best buildings for **cultural activities** such as exhibitions, and move the HCECR office into a restored house.

**REFERENCES**


5. VALUES AND SIGNIFICANCE

Erbil Citadel is a very complex site, not only for its historical evolution and physical aspect, but also for a number of intangible values linked to the life of its previous inhabitants. Physically and emotionally, the Citadel is the centre of Erbil, and it may even be said that the Citadel is Erbil. For this reason the less tangible values of this site carry equal if not heavier weight than those that are immediately apparent: the mass of the Citadel, its position in the history of Mesopotamia, and the significance of its architectural heritage.

The significance of Erbil Citadel has been established as a result of a process that included the examination of scientific data concerning the Citadel and its history, as well as information derived from consultation with stakeholders met individually or in focus groups and workshops. In previous chapters the consultation process was described and the results of the focus groups and workshop were reported.

5.1. VALUES

5.1.1. HISTORICAL VALUES

The long occupational history of the Erbil Citadel naturally translates into many events that have occurred near or in Erbil and provide value to the Citadel. The main historical value is obviously the antiquity of the site and what it seems to be an uninterrupted occupation of the site over five millennia. Although no archaeological proof exists of this situation, the city is mentioned very often since at least the end of the third millennium BC, making it difficult to believe that it may have been abandoned for long periods of time.

Strong historical values are also its association with famous people and events, such as the neo-Assyrian King Sennacherib, who built an aqueduct to supply the city with fresh water, or Assurbanipal, who had a palace here. The association of Erbil with famous historical figures continues with Darius I, the Achaemenid emperor, who quelled the revolts of the Medes in the region, and Darius III who lost against Alexander the Great a decisive battle in the vicinity of Erbil. Another famous battle fought in the vicinity of Erbil dates almost 11 centuries later, on 750 AD, when the Umayyad and Abbasid armies clashed at the Great Zab, a battle that marks the end of the Umayyad era.

The importance of the city as a seat of bishops and Christian cult until 1310 is also an historic element of great interest, as well as the early presence of Kurdish rulers, related to Ayyubids and to the great historical figure of Salah ed-Din. The Ottoman sultan Suleyman the Magnificent, who conquered the city in 1534, and Nadir Shah, The Afshavid ruler that briefly held the city from 1743 to 1745 are other famous historical figures strongly associated to the history of Erbil. It is clear then that from an historical point of view, Erbil holds great value, from the points of view of scholarship, for the studies that can still be made on these events, and the association that the city has with universally known historical figures.

5.1.2. ARCHAEOLOGICAL VALUES

The Erbil Citadel is one of the largest archaeological tells in Northern Mesopotamia. It is said to be characterized by thousands of years of uninterrupted occupation, although no archaeological evidence supports this statement. Archaeological evidence from other sites in the vicinity of the tell, such as Tell Qalinji Agha, shows that Ubaid and Uruk period occupation was present in the area (Postgate 1972: 147).
This is also confirmed by a surface pottery collection conducted in 2006 (Nováček et al. 2008: 276), which also suspects the presence of Neolithic pottery.

The occupation of the tell may then well be established to the Late Neolithic or Early Calcolithic period, i.e. between the 7th and the 6th millennium BC. Middle Paleolithic flints were found in 2006, but the researchers suspect that they may be out of context, and transported to the Citadel from another site following quarrying for gravel or stone. It should not be forgotten that an important Middle Paleolithic site, Shanidar, is located at a short distance from Erbil (Nováček et al. 2008: 292-293).

The city was already very important during the third millennium BC, and was probably already fortified at that time. Historical texts tell us of a substantial continuous occupation, although with possible alternating periods of prosperity and crisis, which needs to be confirmed archaeologically.

The surface survey, the remote sensing analysis, and the test excavations conducted in 2006, the archaeological evidence provided by Ubaid, Uruk, Assyrian and Neo-Assyrian sites in the vicinity of the tell, all confirm that the archaeological potential of the site is enormous and that there is an opportunity today to conduct major excavations in order to answer a number of research questions and to confirm the existence of major temples (linked to the cult of Ishtar) and royal palaces (such as the one built by Assurbanipal).

The remote sensing conducted in 2006 revealed the existence of a major structure north of the centre of the tell, although we suspect that the structure identified during the survey belongs to the foundations of a house destroyed at the time of the opening of the central road in the 1950s.

Figure 41: Identification of areas to be dedicated to archaeological excavations (from: CCD, HBA, EC, CRMP 2011: 302).

The cleaning and clearing of collapsed houses and archaeological test excavations have revealed in fact that the lower parts of the walls, the floors and the foundations of houses recently collapsed or destroyed are substantially intact. This element is of great importance and must absolutely be kept in consideration when the demolitions of the shacks and rebuilding of new structure will be taken into consideration.

Since there is no doubt that this tell hides important remains, the following is an approximate list of major features that may be found hidden on the Citadel:
• A major temple dedicated to Ishtar (based on written sources as well as on a representation of the temple in Arbailu [Erbil] found on a bas-relief from the time of Assyrian king Assurbanipal and conserved at the British Museum – Reade 2002: 151-152).
• A neo-Assyrian royal palace (written sources indicate that King Assurbanipal lived in Erbil for approximately 5 years between 653 and 648 BC – Nováček 2008: 260).
• A neo-Assyrian astronomical observatory (this is also described in written sources, and may have been associated to a ziggurat – Nováček 2008: 260).
• The Median/Sagartian royal palace (Erbil was one of the main cities of the Median Empire and the capital of the Sagartian Kingdom, thus the existence of an administrative centre and royal palace is certain, although of course it is difficult to predict how much of it can be identified and excavated).
• The royal palace of the Hedyab Kings (it is known that during the Parthian period Erbil became the administrative centre of the Hedyab Kingdom, thus the presence of an administrative complex is probable. In this case as well, as previously mentioned, it is impossible to predict the location of the complex or its state of conservation.).
• A Zoroastrian fire temple (the presence of this fire temple is mentioned in sources of the Sassanian period).
• Early churches and synagogues and Nestorian monasteries (Erbil was a main centre of Christianity in early periods, and a large Christian community thrived in Erbil until the early 14th century).
• Umayyad and Abbasid mosques, madrassas and palaces (written records mention Erbil as an important city during the Early Islamic periods, thus the existence of religious and administrative buildings must be taken into consideration).
• Fortifications from various periods of occupation (the slopes of the tell may be consolidated in form of a glacis, or paved).
• Foundations of Ottoman houses (cleaning works and test soundings have revealed that the foundations of earlier buildings are well preserved).

All this gives to the Citadel great archaeological value, which can be also expressed as research and scholarship values, because of the potential for scientific discoveries and for the advancement of scholarship in the fields of archaeology and history that scientific works on the Citadel will certainly provide.

5.1.3. URBAN VALUES

With the destruction of Kirkuk Citadel in recent years, Erbil Citadel remains one of the very few archaeological tells which shows an urban form essentially intact since the remote past.

Henry Frankfort used the case of Erbil to illustrate how a Mesopotamian city must have looked like (Frankfort 1950). To him the Citadel of Erbil epitomized the typical urban pattern of a great Mesopotamian city.

Also the position of the mosque, near the centre of the Citadel, reflects the typical position of the main temple in a Mesopotamian city.

*Figure 42: The site of Kirkuk Citadel (from: Google Earth).*
The best parallel to Erbil, after the destruction of Kirkuk, remains the Citadel of Apamea (Qal‘at al-Mudiq), in Syria, which shows a dense urban pattern and a network of streets radiating from the only gate, as it is the case of Erbil. While this Citadel still shows the remains of medieval fortifications, it is much smaller than Erbil and remained little more than a large village, with the ancient lower town that was abandoned at the end of the Byzantine period and never reoccupied, contrary to Erbil where the lower city grew in importance and eventually became the modern city. Unfortunately the destruction of the South Gate in Erbil, the opening of the central road, and the demolition of houses in various parts of the Citadel have irreversibly modified this peculiar urban characteristic, although some elements of it still survive.

Although in medieval times the Erbil Citadel was heavily fortified with a continuous wall, towers, paved slopes and a moat (Nováček et al. 2008), descriptions of the site make believe that the site maintained also an urban function and not just a military one. Textual evidence also confirms the presence of churches and a mint. Moreover the relationship between the upper and the lower city, which was also fortified and where a large suq existed (partly still existing) has not been properly explored. The suspicion is that this medieval lower city is built on top of a much earlier lower city.
As far as the medieval Citadel is concerned, it belongs to the group of the Ayyubid/Mamluk fortresses such as those of Aleppo, ar-Raqqa, Damascus or Cairo, although only the one at Aleppo is a close parallel given its position on an archaeological tell.

Another characteristic of Erbil Citadel which is only in part paralleled by Aleppo is that the Citadel has always maintained its characteristic of physical centre of the city, so much in fact that the modern city is growing concentrically around it, an urban phenomenon that has rare parallels elsewhere, and that has given to the Citadel the definition of ‘crown’ of the city. For this reason the urban value of the Citadel can be given also a label of rarity, since this site remains one of the very few to show a complex urban pattern substantially unchanged over a period of millennia.

5.1.4. ARCHITECTURAL VALUES

The architectural value of many houses on the Citadel is very high. According to the authors of the CRMP, almost a third of the historic buildings was attributed a high grade. Early Ottoman houses are considered particularly important because of their decorative and physical features, showing elements that are original and peculiar to the Kurdistan region.

The perimeter of the Citadel is characterised by an almost continue line of buildings which gradually replaced earlier fortifications. Although such phenomenon is common where fortifications fall out of use, nowhere the replacement has been so thorough, making this a distinctive feature that only belongs to the Erbil Citadel and gives it a very high architectural value.

The private buildings of the Citadel with their numerous features (open courtyards, raised terraces with arcades or with colonnades on one, or in rare cases three sides of the courtyard, rooms with wide windows overlooking the courtyard, and, in the case of perimeter buildings, the town below) are also characterised by the use of decorative elements and materials which give them a very distinctive character: square columns sometimes were covered with grey colour alabaster from Mosul, and wooden columns often crowned with elaborate capitals with ‘muqarnas’ decoration. The main rooms are often provided with niches and plasterwork, sometimes painted. These rooms are accessed directly from the arcade but some rooms can only be entered from the central room or a central space. This floor, being the main one, is usually given a lot of architectural attention and enrichment by decoration, painting, and ceiling panelling.

The value of this architectural heritage is well understood by the stakeholders that were consulted: while they think that the Citadel’s historical and archaeological values go beyond the regional boundaries as they invest events and civilizations that reach to distant places, the architectural value of the buildings on the Citadel is very distinct to Kurdistan, adding rarity to this element of human ingenuity.

5.1.5. SCIENTIFIC VALUES

Partially overlapping with the values listed above, the scientific values of the Citadel are not only in the possibility of archaeological discoveries and improving our understanding of its remote past and historical connections, but also in the advancement of the conservation discipline, given the challenging problems posed by the conservation of historic buildings in such a compromised condition. Scientific values are linked to the possibility of new discoveries, to the opportunity for various disciplines to contribute to the conservation of the place, and to the work that is being conducted, including the HCECR project for the recording and documentation of oral histories for their potential to contribute to the understanding of the recent history of the site.
5.1.6. AESTHETIC VALUES

Undoubtedly there is a strong aesthetic value in the aspect of the Citadel, an earthen mound of clear artificial origin surmounted by a continuous line of buildings. Although compromised by collapses and by the replacement of the original southern gate with a modern construction (which detracts not only from the aesthetic but also from the integrity and authenticity values), both the visitor and the local community are still very impressed by this imposing presence.

Aesthetic values can also be found in individual buildings of the Citadel, especially the larger mansions, but also graceful smaller buildings and decorative details add to the aesthetic value of the Citadel, which remains high.

5.1.7. SOCIAL VALUES

There are a great range of social values that can be identified for this site. This is logical, given the fact that the Citadel was inhabited until few years ago. One of these values certainly is memory. This has clearly been identified by stakeholders that have experienced life on the Citadel. What is interesting is that the physical fabric of the Citadel, in its closeness and compactness, is used as an element of social memory by these stakeholders, who see in this structure a justification of the closely-knit relationships among families that once existed in the city.

There is also a strong associational element between the memory of individuals and families known in the community and some of the Citadel buildings, especially large palaces, the mosques, the hammam. Many families still feel a strong emotional link with the Citadel, and this can be seen also on Friday, when a great number of people prefer to attend prayer in the Citadel mosque rather than in one of the many mosques of the city.

Finally, the image of the Citadel itself is part of a collective memory, horizontally thanks to its central location (which has been maintained by the town development), vertically on account of its high location emerging from the flat surroundings and visible from distance. The HCECR is collecting this and other information as part of its memory program.

5.1.8. SYMBOLIC/ICONIC VALUES

The centrality of the Citadel bears a strong symbolic value, to the point that some people talk of the Citadel being like the ‘crown of the bride’. This symbolism is also expressed in the way the city is growing, with roads radiating from the Citadel, and expansion characterised by concentric road patterns, all having as focus the Citadel mound.

This urban development, which is quite unique, is direct expression of the high symbolic value attributed by the higher levels of the Kurdish government to Erbil as the capital of Kurdistan and to the Citadel as the heart of the city, and by extension of Kurdistan itself.

The desire of the local community to rebuild the South Gate also has symbolic value. For them, the Citadel without its old Grand Gate is like a decapitated body, showing a marked analogy between the feeling of the community and the objective observation of the loss of authenticity that demolitions and collapses are causing to the texture of the Citadel.
5.1.9. EDUCATIONAL VALUES

There is potential for educational values to be established on the Citadel, given the opportunities for archaeological discoveries to be made there, but also because of the patient work being conducted by researchers and NGOs to document the intangible aspects of the Citadel (such as the HCECR’s excellent initiative to document oral histories) as well as the expression of arts and crafts that still survive in Erbil and its region (such as the notable work conducted by the director of the Textile Museum). The didactic aspect of presenting scientific and scholarly research to the public should be always present, and this Site Management Plan suggests ways by which this objective can be achieved.

5.1.10. ECONOMIC VALUES

The Citadel contains a much deteriorated building stock. The alternatives were to maintain the site as a deserted, archaeological site, or to achieve repopulation and reuse. Having selected this second option, it is clear that there are economic opportunities opening up, including works for conservation activities, for adaptive reuse, and for the development of commercial activities on the Citadel linked to the leisure and tourism industries.

Cultural tourism will certainly be a natural economic development for many of the commercial activities that will take place on the Citadel. While these opportunities will be discussed in detail in the Site Management Plan, it is clear that the potential for economic investment and return is substantial, especially if public and private investors will be able to work in partnership.

Tourism in particular may be able to grow as the general political situation in the Region and in the rest of Iraq improves, and if the Turkish policy to develop tourism in the south-east of its country will be implemented.

5.2. SOME OBSERVATIONS ON INTEGRITY AND AUTHENTICITY

A critical element of the World Heritage List nomination process for Erbil Citadel will be, besides the definition of Outstanding Universal Value (OUV), the issue of integrity and authenticity.

Article 11 of the Nara Document on Authenticity states that:

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.

Article 13 adds:

Depending on the nature of the cultural heritage, its cultural context, and its evolution through time, authenticity judgments may be linked to the worth of a great variety of sources of information. Aspects of the sources may include form and design, materials and substance, use and function, traditions and techniques, location and setting, and spirit and feeling, and other internal and external factors. The use of these sources permits elaboration of the specific artistic, historic, social, and scientific dimensions of the cultural heritage being examined. (Larsen 1995: xxiii)
This document then does not provide a fixed meter against which authenticity can be measured, but rather invites those assessing authenticity to be flexible in judgment, and considers as many values and arguments as possible in defining what authenticity means in a certain context. From this point of view, Erbil Citadel has a problem of integrity rather than authenticity.

Integrity is compromised following demolitions, abandonment and collapse caused by neglect and physical decay. Authenticity however is still substantial since there has been a phenomenon of subtraction of the physical heritage, but not one of replacement with modern, incompatible materials and forms. It can be argued that the shacks do compromise authenticity.

This is true only to a certain extent, because the shacks represent a phase of crisis in the history of the Citadel that certainly has parallels in other periods, following wars, sieges, invasions or epidemics, during which almost certainly part of the original population left, to be replaced by newcomers and squatters. In this respect, the events and the physical consequences that brought to an end the 19th and early 20th century’s Citadel are more authentic than the opening of the central axis or the demolition of the southern gate, which represent single episodes that have left an indelible scar on both the integrity and authenticity of the site.

More study and analysis will have to be conducted on integrity and authenticity issues related to the Erbil Citadel at the time of the compilation of the World Heritage nomination file. These reflections only serve as a reminder of the complexity of the topic and the necessity to consider and evaluate all sides in this debate.

5.3. Statement of Significance

The Citadel of Erbil is a rare example of urban centre that grew and developed on an archaeological tell, reproducing throughout its history, layer by layer, the form and structure of the earliest Mesopotamian city.

Today, the Citadel stands physically and symbolically at the centre of the modern Erbil, still powerful in the image of a mighty fortress, and strong in the memory of its previous inhabitants and of the citizens of Erbil. The significance of the Erbil Citadel in fact is given not only by the historical events it has witnessed, and the historical figures that have lived in, reigned over, or conquered the city, but also by the stories, feelings, and relationships that the inhabitants of Erbil still have with their Citadel.

If the archaeological importance of the site can only be imagined, until scientific excavations will provide the information that is still missing, the form of the city and the details of its architectural features are extremely significant as they are very specific to Kurdistan.

While the Citadel still preserves a high degree of authenticity, notwithstanding the changes of the past 50 years, its integrity is unfortunately diminished by the demolitions and physical decay it withstood in recent years. The site, however, remains highly significant from the historical, archaeological, scientific, symbolic and social points of view.

The current efforts to revitalize the Citadel and the strong relationship that the people of Erbil have with it will be determining factors in returning the Citadel to the role and position it has always held in its history, as a place central to the life of the Kurdish people, and as a monument of importance for all humanity.
REFERENCES


6. AIMS AND POLICIES

6.1. VISION

Erbil Citadel is a site of international importance due to its unique features and substantial uninterrupted occupation, making it one of the oldest urban settlements in the world. At the national level, it has symbolic and identity value for the people of Kurdistan.

The purpose of the Erbil Citadel Management Plan is to ensure the historic integrity and authenticity of the Citadel, to recognise it as a symbol of the development of human culture and urban civilisation, and to make it the living, dynamic and self-sustaining centre of the modern City of Erbil and the Kurdistan Region of Iraq.

We will revitalize the Citadel using culture and cultural heritage as vectors for development, through research, conservation, rehabilitation, and presentation, making it available to our community and to our guests and ensuring its transmission to the future generations.

6.2. AIMS

This chapter presents the aims which are set as priority, following the studies and assessments presented in chapters 3-4 and further analysed in chapter 5 (values and significance). Each of the eight aims is accompanied by policy statements that further define the directions to take with strategic axes and actions to achieve such aim. The eight aims are expressed as:

1. Research and excavation
2. Conservation, documentation and maintenance
3. Rehabilitation, reuse and revitalization
4. Interpretation and tourism development
5. Awareness raising, education and community participation
6. Facilities, services and infrastructures
7. Legal/institutional framework and capacity building
8. Investment, marketing and funding

6.3. POLICIES

6.3.1. AIM 1: RESEARCH AND EXCAVATION

Erbil Citadel is a great archaeological site and a distinct representative of architectural development in Kurdistan. Major excavations will be conducted on the Citadel, as a joint venture of foreign and national institutions, informing and involving the public. Site and building analysis, multidisciplinary research, and collection of historical documentation from written, iconographic and oral sources will continue, to address protection and conservation decision and to create a documentation centre. The research programme will include special studies for the potential reconstruction of buildings, as requested by the local community.
POLICY STATEMENTS

• Research, archaeological excavation and documentation are crucial activities for the Citadel, to widen knowledge on its unique historical development and feed into its proper conservation, rehabilitation and management approach, in view of preparing the World Heritage nomination dossier.

• The Citadel is a whole cultural heritage site comprising three main components:
  – the **tell** with all archaeological layers underground;
  – the urban/architectural heritage above ground; and
  – the related material culture and oral history.

• Research regarding all these three layers is an essential basis for conservation and enhancement. Therefore, research must be considered as a never-ending process, to pursue using the best methodologies and practices, and to be conducted by skilled and well-experienced multidisciplinary professionals.

• Site and buildings survey, documentation and analysis prior to conservation design are fundamental to address and inform conservation decisions at all levels, therefore they must be carried out adopting scientific methods and making use of both traditional and modern tools and equipments.

• The availability of a detailed general site plan produced with modern methods is a necessary tool for site conservation and management, including archaeological excavation. Such site plan must be continuously improved and updated, considering that:
  – site survey and documentation is a never-ending process, taking advantage of improved recording methods and techniques;
  – intervention on the buildings and future archaeological excavation will change continuously the aspect of the Citadel; and
  – other elements of the built heritage and urban fabric, environment and context must be recorded and updated, i.e. immediate surroundings of the Citadel (streets and buildings layout, accesses and paths to the Citadel, etc.), context and natural environment (e.g. trees mapping, species identification, age, relation to the memory of the site, potential danger for the site conservation, etc.).

• Research and archaeological excavation should involve collaboration with international organisations and institutions, as well as universities and other appropriate academic institutions and research centres in the Kurdistan Region.

• Research should always aim at informing and involving the general public, with information campaigns, exhibitions, and lectures. In the case of the archaeological excavation, a program of public archaeology should also be designed to go in parallel with the scientific projects.

• The ongoing research of written sources (books, archive documents, etc.) and historical documentation among which in particular old photos and videos, films, etc. is fundamental to address conservation decisions, especially regarding the potential reconstruction of symbolic monuments (i.e. South Gate) and other historic buildings.

• Oral sources offer a powerful opportunity to complement the information from written and iconographic sources, to build the history of the site and recent transformations. Therefore, the ongoing programme to record information from previous inhabitants and elders of the Citadel and Erbil town must continue.
Research concerning the Citadel is not considered as an aim in itself but as a means to:

- improve the knowledge needed to take proper conservation decisions;
- establish and continuously update an official inventory of the protected site, the archaeological remains, the historic buildings and other features; and
- create databases and systematically organise information and documentation collected and produced by research activity, to facilitate future research and disseminate the results.

### 6.3.2. AIM 2: CONSERVATION, DOCUMENTATION AND MAINTENANCE

All conservation activities on Erbil Citadel will respect the character and historical features of the site and will be conducted in accordance with internationally accepted standards and best practices. Inventory and documentation of historic buildings and other features will be pursued, as a basis for legal protection and physical maintenance, monitoring and conservation. Technical material will be developed to guide interventions in the Citadel and to build capacities of the HCECR’s technical staff and other professionals and practitioners in charge of maintaining and monitoring the place and preserving its unique character.

### POLICY STATEMENTS

- Erbil Citadel is inscribed on the UNESCO Tentative List. Its aspiration to be finally inscribed on the UNESCO World Heritage List should be accompanied by the understanding that this aim can only be achieved by applying the highest conservation standards and best practices. In this sense, the use of key-doctrinal texts, from the Venice Charter onward, is required.

- The primary aim of this Management Plan is to ensure the protection of the archaeological mound and the historic city which sits on top of it. This double layer of protection requires a specific approach, considering the need to combine building conservation and rehabilitation for a future use with the plans for archaeological research and excavation. These latter are indeed essential components of the site understanding and enhancement.

- Adopting the most recent achievements of international literature in the cultural heritage field, which pursue a holistic approach, we may define the Citadel as a historic urban landscape. The conservation of the Citadel as a whole involves the physical conservation of the:
  - historic buildings and their setting (locations and surrounding areas);
  - urban fabric, townscape and streetscape (relationship among buildings, views towards them, look of the streets; etc.);
  - slope surrounding the walled perimeter;
  - archaeological site and future discoveries; and
  - context and environment.

- Each of these groups must be approached with a proper methodology and with reference to international general and dedicated guidelines (a selection is listed in the bibliography and some are included in Annexes F and G). Intangible heritage such as the social collective memory and the expressions of material culture must also be considered as part of this historic urban landscape.

- Creating and maintaining an inventory of historic buildings and other features to be placed under protection is the first conservation and management step. Therefore, the inventory of historic buildings
selected within the framework of the CRMP (which now contains 320 graded buildings) must be reviewed, adopted and continuously updated.

- In view of the nomination of the Citadel as a World Heritage Site, conservation works design and implementation must pay a special attention to retain authenticity and integrity of:
  - the Citadel as a whole, whose overall significance is defined in Chapter 5 of this Management Plan; and
  - the single buildings and areas subject to intervention, the significance of which must be well understood through appropriate assessment during the analysis prior to conservation.

- Besides this, the up-to-date approach to architectural and urban conservation requires the determination of a larger protection boundary – the buffer zone – to ensure that the site significance is not threatened by incongruous town development schemes. Such requirement is a condition for nominations as World Heritage Site. This condition has already been fulfilled with the recent approval of the Urban Design Guidelines for the Buffer Zone of the Erbil Citadel, the implementation of which must be monitored and integrated with this Management Plan.

- Considering that the Citadel and the buildings comprised within its compound are one of the most important cultural heritage in Kurdistan and in Iraq and in view of the nomination as World Heritage Site, the approach to site and buildings conservation, works design, planning and implementation ought to follow:
  - national legislation concerning antiquities and heritage conservation (Law on Antiquities and Heritage, No. 55/2002) and other relevant legislation in force;
  - international standards as defined by conventions, charters and recommendations regarding the conservation of archaeological and architectural heritage and historic urban districts; and
  - best international practice for similar sites and in particular for those inscribed on the World Heritage List.

- Historic buildings are human cultural artefacts and the underlying principles for their conservation should be similar to conserving any other cultural object or work of art:
  - documenting the situation found (building survey and analysis) is a fundamental preliminary step, such work should be complete and not limited to the parts of the buildings that are meant to be conserved; and
  - designing appropriate interventions, which should normally meet the criteria defined by international standards, from the Venice Charter onward.

- In addition to the still valid fundamental principles of minimum intervention and distinguishability of the treatment (at close distance) for buildings conservation, the international conservation community has introduced two new criteria:
  - compatibility of the intervention, which requires that treatment materials do not have negative consequences on the existing materials and structures; and
  - re-treatability of the intervention, which requires that the present conservation treatment will not preclude or impede future treatments.
• These two new concepts are meant to adopt a more realistic and sustainable approach and to complement the older principle of reversibility, which has proved to be an ideal concept as, generally speaking, no intervention is fully reversible, especially in structural consolidation and repair.7

• Conjectural restoration and reconstructions based on assumptions should be avoided and any restoration of missing elements or building parts should be fully justified by thorough documentation and research.

• Similarly, construction of the new infill buildings (i.e. in empty areas) should match the building style of the Citadel, harmonised with it but avoiding the uncritical imitation (i.e. reproducing old buildings’ decorations and details). On the contrary, the use of a contemporary albeit modest and well-integrated architecture should not be discouraged in such cases. Traditional materials could be used in a modern way, respecting volumes, size, and other features, to be defined by specific guidelines.

• Conservation must regard not only the architecture, but also all the fixed fittings and any object witnessing the history of the Citadel in the past two centuries. To give but an example, stone cylinders that were used to roll the roofs should be collected and stored. These are precious remains of the traditional building maintenance and a witness to the life in the Citadel and, as such, they should be kept and the best examples should be displayed to visitors.

• The external view of the Citadel makes it recognisable among other citadels and tells. Conservation and reconstruction of the perimeter façades should be conducted with special care, and only with materials and techniques that are compatible with the old ones.

• Conservation works to be conducted in the Citadel, should be entrusted to qualified and well-experienced bodies only, through existing or improved mechanisms in the law. Conservation activity is also a mean for increasing the capacities of both professionals and practitioners/craftsmen in dealing with historic buildings. Therefore, all projects concerning heritage conservation in the Citadel – also those implemented by other parties – ought to include training and actively involve local staff.

• The availability of materials of appropriate quality for conservation and restoration works is an essential prerequisite for quality conservation. Therefore, a strategy for the regular provision and improvement of the quality of these materials (bricks, marble, timber, lime, etc.) must be developed. Moreover, production of traditional materials could be positively enhanced and improved by their use in modern infill buildings.

• The CRMP report on structural conditions recommends that conservation of houses ought to be planned on the basis of groups of buildings, not of individual houses. This recommendation is mainly justified with the fact that façades are interconnected and some walls are shared. Moreover, building survey and research on historical connectivity and the potential need to combine houses for their reuse is another strong reason supporting the ‘group approach’. Lastly, such an approach is also more practical for the organisation and logistics of the conservation/rehabilitation site.

7 “The principle of reversibility has more recently been replaced by principles of compatibility and retreatability, which represent a more sustainable conservation strategy and, at the same time, stress the importance of maintenance regimes. Compatibility requires that treatment materials do not have negative consequences, and retreatability requires that the present conservation treatment will not preclude or impede future treatments. These principles are considered more sustainable because they are more realistic and enable future treatments to take advantage of progress in scientific knowledge. Maintenance is implied: in other words it is acknowledged that the next treatment is not likely to be the last.” European Parliament, Directorate-General for Research, Directorate A, Division for Industry, Research, Energy, Environment and STOA (Scientific and Technological Options Assessment). Technological requirements for solutions in the conservation and protection of historic monuments and archaeological remains. Final Study. Luxembourg, 2001.
Risk assessments, monitoring, maintenance and preventive conservation are activities that have a modest impact on the authenticity of the site. For this reason, this approach ought to be at the base of the conservation policies on the Citadel. Once main conservation activities will be completed, preventive conservation must become the preferred approach to maintain the historic character of the Citadel.

Putting an effective monitoring system in place is also essential for World Heritage inscription, as well as for the protection of the Citadel. The purpose of monitoring is to maintain the integrity of the historic values and to minimise the impact of potential threats. In the case of the Citadel, monitoring will have to address the following main issues:

- threats posed by the existing condition of the Citadel;
- potential threats posed by the development of the Citadel;
- risk mitigation; and
- external threats, natural and man-made.

Erbil is at risk from earthquakes of an expected intensity of MMI scale VII. Seismic risk has been assessed in the In-depth Survey and Studies Covering the Structural Condition of the Citadel, prepared in the framework of the CRMP. Good seismic performance of traditional buildings requires regular maintenance, so that the connections which make the buildings resistant to collapse under seismic loading remain in good condition. The design guidelines specify the incorporation of timber bands in new construction to improve seismic performance.

Seismic retrofitting may be necessary to assure that buildings will not collapse following an earthquake episode. Retrofitting, however, must be applied without substantially modifying the character and aspect of the historic buildings. A more liberal policy can be adopted for new constructions.

Fire prevention strategies are to be developed. If a fire brigade will have to be located on the Citadel, its team will have to be trained in risk preparedness and in how to intervene on historic environments and to protect museum collections.

HCECR’s staff and museum curators must be trained in risk preparedness and mitigation. This should include the identification, mapping and inventorying of buildings at risk and the continuous monitoring and updating of such list and database.

Besides the still valid Venice Charter of 1964, the international doctrine most relevant to the conservation of the Citadel as a historic urban landscape includes but is not limited to:

- the Recommendation concerning the safeguarding and contemporary role of historic areas, adopted by UNESCO General Conference (Nairobi, 1976);
- the Charter for the Conservation of Historic Towns and Urban Areas (Washington Charter 1987), adopted by ICOMOS General Assembly (Washington DC, 1987);
- the Charter for the Protection and Management of the Archaeological Heritage, adopted by ICOMOS General Assembly (Lausanne, 1990);
- The Australia ICOMOS Charter for the Conservation of Places of Cultural Significance (The Burra Charter, 1999);
- the Vienna Memorandum on “World Heritage and Contemporary Architecture – Managing the Historic Urban Landscape”, whose principles are endorsed by the Vienna Declaration on the Conservation of Historic Urban Landscapes adopted by the UNESCO General Assembly of State Parties to the WH Convention (Paris, 2005); and
Other ICOMOS documents must be considered to guide specific conservation issues:

- *Historic Gardens (Florence Charter, Florence, 1981)*;
- *Principles for the Recording of Monuments, Groups of Buildings and Sites (Sofia, 1996)*
- *Charter on the Built Vernacular Heritage (Mexico, 1999)*;
- *Principles for the Preservation of Historic Timber Structures (Mexico, 1999)*; and
- *Principles for the analysis, conservation and structural restoration of architectural heritage (Victoria Falls, Zimbabwe, 2003)*.

### 6.3.3. AIM 3: REHABILITATION, REUSE AND REVITALIZATION

Erbil Citadel will be conserved and renovated to become central to the cultural and social life of Erbil. Its character will be enhanced by means of cultural and community initiatives, archaeological research, tourism and leisure activities that are compatible with the historical nature of the place and its aspirations to become a World Heritage Site. Rehabilitation and resettlement efforts will concentrate on retrieving the Citadel’s spirit, lost following demolitions and abandonment. New constructions will be appropriate to the context, integrated in the historic urban landscape, and designed according to specific guidelines.

### POLICY STATEMENTS

- Erbil Citadel is said to be one of the oldest places in the world to have been continuously inhabited throughout at least six millennia. Therefore, its current character as a sort of ‘ghost town’ denies a great deal of its significance. The site contains an enormous capital of historic buildings (which dates back to no earlier than the 19th century and is rather suitable to rehabilitation for new uses) that can, after conservation and repair, be reused to activate the revitalisation process and the socio-economic development.

- These historic buildings of the Citadel must be reused also to ensure that conservation efforts will be sustainable in the long term. Hence, building reuse is the core of the revitalisation policy based on a cultural-driven development aimed at recentralising the Citadel within the town.

- The rehabilitation and revitalisation process through adaptive reuse ought to be compatible not only with the buildings/sites and their setting but, according to a holistic view, with the socio-economic environment of the context, respecting international standards.

- 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 centres of cultural activities and give them a central role to play in the cultural development of the communities around them. (Art. 33 of the Recommendation concerning the safeguarding and contemporary role of historic areas, UNESCO General Conference, Nairobi, 26 October to 30 November 1976)
The local community has opted for a mixed use for the revitalised Citadel, which would accommodate houses, small hotels and guesthouses, restaurants, cafés, museums, cultural centres, art and music schools, student residences, representative offices, training and research centres, craft shops and local shops, etc. Generally, building reuse is principally driven by user demand; nevertheless it must be guided by rules and predefined use options foreseen by the land-use plan.

Henceforward, based on the analysis conducted by the CRMP and the stakeholder consultation, the reuse of the buildings of the Citadel ought to mix in a well-balanced way four main use components:

- residential (both local and foreigners, students, researchers, artists, etc.);
- culture- and leisure-related facilities and services;
- tourism-related accommodations, facilities and services; and
- offices, professional businesses, and associations;

occupying the majority of the land, while the remaining areas would be shared among the following:

- arts and crafts workshops and shops;
- archaeological research and excavation areas;
- public- and religious-related buildings; and
- infrastructures and services.

Housing should be the prevailing and well-distributed land use, mixing the categories of real estate (high standing and standard) albeit ensuring the same high level of building rehabilitation quality. Some areas may have a higher percentage of one of the above use groups. However, an excessive zoning ought to be avoided.

General guidelines for the distribution of different use categories are provided for by the land-use plan of the management strategy (see chapter 7 and map 11); however, except for some fixed uses, a relatively flexible and demand-driven approach must be applied. Therefore, the principle of the ‘case-by-case’ must be adopted with sensitivity.

To guide the determination of the new use of each building of the Citadel and to evaluate investors’ proposals, four criteria must be followed, according to which the new use allocation ought to be compatible with:

- the spirit of the original use for which the building was designed; this applies in particular to public buildings, such as the hammam, and specifically to the takiyas, and the buildings containing graves: for these buildings in particular the new use should be respectful of the symbolic and religious values they hold;
- the character and value of the building and area, to avoid that the new use brings about a loss of significance, through a negative impact, i.e. by causing physical damage, visual or physical pollution, smell, noise, etc.;
- the technical/practical appropriateness of the building in terms of space available and distribution, adaptability without major changes that would affect its significance, location and facility of access to vehicles, linkage to other use-related buildings, etc.; and
- the socio-economic context and the sustainability of its management framework.

Cultural and research centres to be established in the Citadel should be planned pursuing a well-balanced approach, to foster a fruitful and creative exchange between the valorisation of the culture of Kurdistan and other international cultures. For instance, cultural activities promoted by these latter could focus on the valorisation of cultural exchanges between their countries and Kurdistan and of the activities of the Kurdish Diaspora abroad.
• The HCECR should continue dialogue with international and national cultural institutions to encourage the foundation of new cultural institutions within the Citadel, but should also seek to develop additional venues to support this policy, including a venue for temporary exhibitions.

• Rehabilitation and resettlement policies will have to maintain the ‘Outstanding Universal Value’ of the Citadel in accordance to the World Heritage view. The irreplaceable legacy of the Citadel relies mainly in the double-layered significance: as an archaeological mound concealing the memory of some millennia of human history and as a built heritage representative of the architectural development of the region.

• The repopulation strategy for the Citadel ought to avoid focusing on a single specific target group, to keep (or retrieve) the social memory and promote the sense of pride and belonging of different community’s groups. People of different socio-economic level should be attracted and mixed. The mix between local residents and families with regional and foreign students, researchers, and other temporary or long-term residents attracted to live there could create social dynamics able to activate creative processes.

• Former inhabitants are a potential resource as they could provide hints on how to attract new residents, and what kind of incentives and facilities may be offered to ensure that the new residents will become ‘citizens’ rather than guests of a new community. A study to evaluate the feasibility and appropriateness of such strategies to attract their interest could also be developed. The involvement of residents and people working in the Citadel area is necessary to ensure their interest in, and support for, the revitalization efforts.

• Considering these factors as well as the size and centrality of the Citadel in Erbil town-planning scheme, undoubtedly repopulation seems the most appropriate solution for the conservation of its significance. Such approach is rather challenging, as the needs related to appropriate building (and urban) conservation must be harmonised with those connected with the provision of modern living standards on the one hand and with archaeological research on the other hand.

• At the building scale, the rehabilitation and adaptive reuse require a minimum of upgrading to acceptable modern standards, with a level of flexibility which depends on the function.

• At the urban scale, the rehabilitation and resettlement process entails the construction of new buildings. These are necessary for two reasons:
  – to host functions and services that could not be located in the existing building; and
  – to regenerate the sense of place and urban character lost in some areas and empty spaces, due to the natural- and man-caused deterioration of the urban fabric in the past decades.

• The approach to adopt for the construction of new buildings cannot be standardised, as it depends on the area as well as on other factors. In principle, however, conjectural reconstruction (namely not based on detailed documentation) or fake new constructions featuring an old-looking style are against internationally accepted principles.

• “The reconstruction of entire parts ‘in the style of the building’ should be avoided. Reconstruction of very small parts having architectural significance can be acceptable as an exception on condition that it is based on precise and indisputable documentation. If necessary, for a proper use of the building, completion of more extensive spatial and functional parts should reflect contemporary architecture. Reconstruction of an entire building, destroyed by armed conflict or natural disaster, is only acceptable if there are exceptional social or cultural motives that are related to the identity of the entire
community.” (Charter of Krakow, adopted by the participants in the International Conference on Conservation “Krakow 2000”).

- The use of contemporary architecture, well-designed and well-integrated in the historic context, should not be discouraged, as this can “contribute to the enrichment of an area” (Washington Charter 1987). Moreover, in light of the more recent environment protection and energy saving concern, a contemporary approach to the new buildings can be extremely creative to produce the ‘modern heritage’ of the future. This would be realised by combining local traditional space layout and building methods with modern technology and contextual but modern architectural language.

- Besides the still valid and fundamental Venice Charter of 1964, other more specific international documents are to be considered as a guiding framework for the conservation, rehabilitation and resettlement process. Among these are, in particular:
  - the Recommendation concerning the safeguarding and contemporary role of historic areas, adopted by UNESCO General Conference (Nairobi, 26 October to 30 November 1976);
  - the Charter for the Conservation of Historic Towns and Urban Areas (Washington Charter 1987), adopted by ICOMOS General Assembly (Washington DC in October 1987);
  - the Vienna Memorandum on “World Heritage and Contemporary Architecture – Managing the Historic Urban Landscape”, whose principles are endorsed by the Vienna Declaration on the Conservation of Historic Urban Landscapes adopted by the UNESCO General Assembly of State Parties to the WH Convention (September 2005); and

6.3.4. AIM 4: INTERPRETATION AND TOURISM DEVELOPMENT

Erbil Citadel will be interpreted by means of traditional and new media, in order to offer to visitors a quality experience based on cultural appreciation and interest to learn. Promotional activities using new media outlets will be explored, to enhance public outreach and increase the opportunities to market the Citadel as a unique tourist and cultural product. The Citadel will be a major tourist attraction and a place where local community and guests will want to spend time. Museums, multipurpose cultural institutions and tourist facilities well integrated in the historic context will facilitate access. Tourism development, however, will be only one of the components of a balanced revitalization strategy based on a mixed use approach.

**P**OLICY **S**TATEMENTS

- Heritage interpretation and presentation are an integral part of the conservation and management of heritage sites. The former may include a wide range of potential activities to disseminate and enhance awareness and understanding of cultural heritage significance while the latter is a carefully planned communication of interpretive information.

- In principle, any action on heritage has an interpretative nature. What is chosen for inventory and protection, the way it is conserved, rehabilitated and reused: all these acts communicate an approach towards the past and the view of a community towards its heritage.

- The Citadel is visually striking, yet without an insight into its history, origin, and context, visitors cannot appreciate its full significance. High quality and effective interpretation and presentation on and off site are crucial in order to highlight and promote better understanding of such significance.
• People should be able to understand why and for whom the site is important, how it developed throughout history, what efforts are being done for its conservation and how the individual – be s/he a resident or a visitor – may contribute. This will enhance citizens' sense of belonging and visitors' interest, thus valorising the conservation efforts.

• Interpretation and presentation should reach the large public, adopting diverse communication 'languages' and tools able to reach different target groups: local and foreigners, with a different cultural background, education, age, gender, etc.

• Local people are the key target audiences both for site interpretation and presentation initiatives and as partners in their delivery. It is therefore important that their input is secured as these strategies are further developed. Interpretation should help local people to enjoy the Citadel and learn from it, understand its overall significance and recognise the values ascribed to the site by different community groups and visitors.

• The significance of a site may change over time, therefore the interpretation and presentation material must be regularly updated. This applies to the Citadel in particular, where the archaeological research may bring to light outstanding discoveries changing the knowledge on site history, thus the historical perspective and the interpretation approach.

• Interpretation means all the ways of presenting the significance of a site and may include a wide range of traditional and modern tools, such as signs, brochures, books and other published material, events, activities and performances, videos, TV programmes, games, competitions, internet, CDs, DVDs and other modern media, etc.

• The approach to interpretation should be holistic and integrated, and include scientifically accepted information on the Citadel's history and occupation, on the architecture and archaeology of the site, as well as on the histories and narratives of its inhabitants. As a symbol of Kurdish culture, it should also showcase its tangible and intangible characteristics.

• There should be a close relationship between research and interpretation, as interpretation and presentation are meant to disseminate the results of research. The establishment and management of an interpretation centre ought to be closely coordinated with the Citadel's documentation centre and site management office.

• Information provided through interpretation and presentation should be scientifically correct and clear albeit simplified in language in order to reach the large public. Translation in other languages should be precise and use the appropriate technical terminology.

• Guidelines for interpretation must be based on current international standards, such as the *ICOMOS Charter for the Interpretation and Presentation of Cultural Heritage Sites* (2008). An interpretation and presentation plan for the Citadel should be developed, identifying aims, target groups, approaches, methods and means, and incorporating ad hoc guidelines on:

  – communicating the meaning of the Citadel with correct reference to both scientific historical sources and living traditions;
  – sharing the overall site significance with a range of audiences belonging to different cultural, ethnic, religious, and educational groups;
  – facilitating the understanding and appreciation of archaeological and architectural values and promoting their preservation;
  – proposing a range of different communication means, both traditional and innovative, fostering the use of sustainable materials and methods;
– linking tangible and intangible heritage by proposing communication tools involving local artisans and promoting craft trades;
– defining technical standards for written texts in any communication tool regarding languages, expressions, length, etc.;
– defining minimal technical standards for different kinds of communication tools, i.e. size, materials, and colours for interpretation panels; and
– training professionals and volunteers in site presentation and interpretation.

• Site interpretation and marketing, community outreach and education activities will have to be supported by a range of visitor facilities and other tools, in order to position the Citadel in its rightful place as a major national and international heritage site.

• The Citadel should be actively promoted as a tourism destination, as a one-of-a-kind site which has global importance to the history of all mankind - in due course World Heritage status will involve the recognition of this importance by the international community.

• Tourism development must be based on respect and appreciation of the local culture and desire to learn. In this sense, no activity that is incompatible with the character of the Citadel must be allowed. To respect the privacy and dignity of the Citadel’s inhabitants, a tourism code of ethics should be drawn up and made known to visitors.

• For this reason, tourism must be seen as a contributing and not the main element of the revitalization strategy for the Citadel. A sustainable cultural tourism model ought to be adopted as the most compatible with the character of the Citadel.

• A Tourism Development and Management Plan should be developed, including the determination of tourism development objectives, the identification of the target groups, the assessment of the carrying capacity of the Citadel at different stages of the revitalization process, and the sustainability of the tourism-related activities.

6.3.5. AIM 5: AWARENESS RAISING, EDUCATION AND COMMUNITY PARTICIPATION

Cultural venues and activities will be developed in order to increase the level of knowledge among the public on the history and culture of Kurdistan in general and the values of the Citadel in particular, in order to make the local community and the public at large an active actor of the conservation efforts. Activities will include programs of public archaeology, the creation of associations and their involvement in a number of research, documentation, and other projects concerned with the re-discovery of tangible and intangible aspects of the cultural heritage of the Citadel. Strategic partnerships with NGOs and educational institutions, including universities, will facilitate dissemination and outreach.

POLICY STATEMENTS

• Raise awareness in the general public (and in the young people in particular) of the cultural and economic values of the Citadel as an archaeological, architectural and historic heritage, is fundamental to increase understanding and encourage people to identify directly with this heritage and thus act informally as its guardians.

• Raise awareness of the cultural and economic values of the Citadel at the highest political levels, and at the senior levels of those government offices which have any involvement with the built heritage and
its servicing. This can facilitate the improvement of management and regulatory systems proposed (both within the Citadel and in the surrounding buffer zones).

• Awareness raising and community participation are indeed necessary to promote active support to and smooth approval of political decisions, avoiding that proposals concerning the Citadel will pass without proper debate. Moreover, the sustainability of the initiatives in the medium and long term requires an active interest especially by young generations, who are the future Citadel’s managers.

• Community outreach should seek to give Erbil’s inhabitants a sense of ownership of the important heritage site in their midst. It should raise the profile of the Citadel in the public consciousness, fostering pride, awareness and understanding, and encourage them to see the revitalised Citadel as an essential element of the city’s recreational and cultural life. This would encourage a more ready acceptance of development restrictions which are designed to protect the Citadel and its setting.

• Raise awareness in the region and internationally of the values and significance of the Citadel, historically, culturally and visually, will promote Erbil as a tourist destination and as a centre of academic excellence, attracting international conferences and educational activities. The Kurdish Diaspora abroad can play a crucial role in such international awareness raising.

• A transparent communication of the revitalization process and programmes, by informing the local community and the visitors on the conservation and rehabilitation activities as well as on the future archaeological research and excavation, is essential to make people aware of the efforts undertaken and to provide their support and understanding of the vision, but also of the potential problems.

• The awareness-raising campaign for the Citadel should be well studied and planned in the short, medium and long term, identifying general goals, specific objectives and target groups, and activities, methods and tools. Since the revitalization process is ongoing and will last long time, such plan will have to be reviewed regularly, to monitor the results achieved and to adapt the plan to the changing situation.

• Such awareness-raising plan should include a programme of cultural activities, based on both tradition and modern culture, in order to place the Citadel firmly within the cultural life of modern Erbil. This will also have an effect in terms of Kurdish identity, to transmit this sense of belonging to the future generations.

• Media, and in particular TVs, radios, newspapers and magazines, local, regional and international, can reach a wider and diversified audience, therefore they should be an important tool for the awareness-raising campaign aiming at different objectives: to communicate the site significance, to attract tourists, to inform on the revitalization process, to inform on opportunities for potential inhabitants and donors, etc.

• In addition to young people, other priority target groups must be considered within the frame of the awareness-raising plan. One of these are the artisans and craftsmen working in the building and conservation sector in the Citadel, as they are the crucial custodians and therefore they should be made aware of their responsibility and their important role. Valorising their work and status is fundamental to convey the importance of the Citadel.

• Hotel and tour operators, but also personnel working in Erbil airport, ought to be sensitised and involved in the awareness-raising activities for tourism development (i.e. by informing visitors), as they can contribute concretely and positively to improve the tourist offer in order to make visitors stay longer.
• Heritage education of young people, through regular school programmes and other extracurricular activities, is a crucial way to promote awareness for both the present time and the future, as young people are the custodians and managers of tomorrow. Furthermore, they can be the advocates of the Citadel’s preservation within their families and community groups.

• Educational programmes for different school levels and targeting schoolchildren, students, and teachers, should be studied in close cooperation with the education government administrations as well as with pilot local schools and universities. Partnerships and twinning programmes with international schools and universities can provide technical assistance.

• School campaigns such as ‘adopt a monument’ are a very effective model for awareness raising among children and their families, which has been successfully experimented in various Countries all around the world. ICCROM’s website provides practical guidelines to implement this activity.

• Encourage volunteering activity and interest (especially by young people and local resource persons, such as former inhabitants) in Citadel-related initiatives can be an outstanding tool to raise awareness. Volunteers’ participation and proposals in the planning process should be considered as an important contribution.

6.3.6. AIM 6: FACILITIES, SERVICES AND INFRASTRUCTURES

The provision of new basic public services and infrastructures will be accomplished by governmental and other organisations under the supervision and monitoring of the HCECR. Specifications for their installations will be prepared in accordance to dedicated guidelines in order to maintain the character and values of the site. Other neighbourhood services and facilities will be developed in close cooperation with the private sector and will thus constitute an opportunity to activate the resettlement and to promote investment and creation of small enterprises. Access to and circulation in the Citadel will be subject to specific regulations.

POLICY STATEMENTS

• The creation of the most modern and well-functioning infrastructures, services and facilities is a key to the repopulation and revitalization process. Indeed, since living in the Citadel will entail some unavoidable practical disadvantages (i.e. limited access, vehicular traffic and parking restrictions), these should be compensated by some advantages, among which the availability of high quality services appropriately designed to meet the Citadel’s needs.

• Since the repopulation policy for the Citadel is meant to be as inclusive as possible, facilities and infrastructures are a fundamental tool. Three kinds of services are needed to reach this objective of sustainable and inclusive repopulation:
  – network infrastructures;
  – transportation and circulation services; and
  – neighbourhood branch facilities.

• Network infrastructures should include not only the basic ones (water mains, sewerage and drainage system, electricity network) but also the most modern for media and communication, such as well-functioning cable TV, ADSL service and Wi-Fi.
• As part of water supply system, a new water tank must be designed to replace the old one. Given its functional role, this design may be contemporary and be the opportunity to develop creative ideas, attracting architects to integrate contemporary architecture in a historic context. An international competition could be organised for this purpose. The main principle behind this approach is ‘integrated conservation’ “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.” (Washington Charter 1987, Art. 10)

• Moreover, the potentials of contemporary design and modern technology must not be denied, especially when approaching the construction of modern services. In this case, the use of a fake ‘container’ in old looking style to hide a modern structure must be discouraged. On the contrary, the need to introduce modern infrastructures in the ancient urban fabric must be seen as an opportunity, provided that the architectural quality is high: “Since the new buildings of today will be the heritage of tomorrow, every effort must be made to ensure that contemporary architecture is of a high quality.” (Declaration of Amsterdam, 1975)

• Phone, cable TV and ADSL are nowadays essential services and domestic entertainment vectors to ensure quality of life. They must be developed aiming at the highest operational standard, taking into account the need to make their installation compatible with the conservation of the Citadel. They should be designed to avoid damage to historic buildings and archaeological areas, and minimising their visual impact (i.e. individual satellite dishes ought to be prohibited and replaced by a general cable TV network). With this approach, their design could become a model of innovative upgrading of historic buildings and sites.

• Transportation services are a crucial factor in the Citadel, the strategy of which should facilitate as much as possible those who will decide to move there, where there will be access and traffic restriction. Facilitated transportation and circulation should be foreseen in particular for services such as waste collection, ambulance, and fire brigades.

• Special services, i.e. transportation, reserved access and parking areas, ought to be provided to facilitate various visitor and resident target groups (permanent or temporary), such as families, aged and disabled persons, to avoid that community groups are excluded from the potential choice of visiting or living in the Citadel.

• Neighbourhood facilities should include clinic and pharmacy, a local branch of post-office, ATM banking service (and possibly a small branch office), police station, fire station and, if necessary, kindergarten and primary school.

• Such an approach requires a full integration of the Citadel’s revitalisation and management within the general town management, strategic planning and spatial planning schemes. The concept of ‘integrated conservation’, launched in the European context of the 1970s’, when historic towns were facing the threats due to post-war hectic building activity and urban development, can be still considered a valid guidance even in a non-European context (Declaration of Amsterdam, 1975).

• In this sense, a good definition of the concept of integrated planning could also be referenced to: “Integrated planning (as opposed to sectoral planning) is a process involving the drawing together of level and sector specific planning efforts which permits strategic decision-making and provides a synoptic view of resources and commitments. Integrated planning acts as a focal point for institutional initiatives and resource allocation. In the context of integrated (or comprehensive) planning, economic, social, ecological and cultural factors are jointly used and combined to guide land- and facility-use decisions towards sustainable territorial development.” (CEMAT / European Conference of Ministers
6.3.7. AIM 7: LEGAL/INSTITUTIONAL FRAMEWORK AND CAPACITY BUILDING

The Management Plan will be adopted by the competent authority and recognised by all institutions, organisations, and private sector that will have a role in its implementation. The capacity of the HCECR, as the principal body in charge of implementing the plan, will be strengthened to properly manage the site. To accomplish this task the HCECR must be provided with a legal capacity and an administrative and technical structure, able to support the requirements of such an extensive scope of work, a staff structure that will include all required professional figures necessary to sustain the revitalization effort, and financial means adequate to carry out this mission. Ensuring the economic sustainability of the site will be one of the key tasks of the management framework. Capacity building in the field of heritage conservation and management will ensure that the professional and technical staff is able to carry out their duties according to internationally accepted national requirements as stated by the laws and regulations as well as standards.

POLICY STATEMENTS

• The most urgent actions today are, besides those that will limit further deterioration, the adoption of legal instruments to authorise the management framework, namely the HCECR, with some competencies. In addition to the legal authority, its structure should be reinforced and organised in departments, sections and units. Only with these premises this Management Plan will become operational and able to achieve its objectives.

• Legislation proposed to institutionalise the HCECR must take into consideration the need to have an administratively and financially independent authority, which will lead the management process in close cooperation with other key stakeholders and partners, among which, in particular, the cultural heritage authorities at the regional and state level.

• The HCECR should be put in a position to actively guide this process and raise awareness, at the highest political level, on the cultural and economic potentials of a revitalised Citadel, so as to effectively lobby for the necessary governmental funds. This entails a clear definition of duties and powers of the authority, as well as its position within the administrative structure of Kurdistan Regional Government.

• Such legislation should define also the role and duties of the HCECR’s Board as well as of the other managing bodies (at the general and department levels) of the HCECR. The Board is meant to be the HCECR’s decision-making body to address, plan and supervise the work of executive departments, sections, and units.

• The Board of Members should give the general orientation to the policies to be pursued by the HCECR and supervise due fulfilment of its objectives as a cultural institution with economic dimensions, considering the principle of profit and loss. The Board should also set plans for the various activities and follow up the implementation of duly-approved plans and programs.

• To cope with more general revitalization needs, the HCECR must acquire a marketing capacity to attract potential investors and to promote, regulate and monitor private development, issuing licenses for commercial activities, ensuring proper maintenance within the public realm, and organising or facilitating special events in collaboration with others. It must be easily accessible to the public and therefore housed in an appropriate building in the Citadel.
• The site administration office should indeed be accessible to all, so as to bring together the site managers, the local population and other stakeholders. Such contact will ensure that the projects which the HCECR wants to see implemented are completed in the form approved and that potential investors can be guided to fund projects which will enhance the Citadel’s heritage and do not compromise its authenticity.

• The HCECR should be staffed by relevant professionals with appropriate capacity to deal with urban and building conservation and rehabilitation, site management and development, in compliance with state and regional laws and with international guidelines, in cooperation with the other competent authorities. Therefore, a capacity-building programme must be launched to cope with this need.

• The adoption of this Management Plan by the competent authority and its recognition by all institutional and non institutional stakeholders is fundamental to smooth its future implementation and therefore to set the background for a successful nomination of the Citadel as a World Heritage Site. Involving stakeholders in the revitalization of the Citadel should materialise through facilitating investments and public-private partnerships.

• Considering the special significance of Erbil Citadel and the peculiar problems connected to the need to combine its revitalization with archaeological excavation and building conservation, the preparation and adoption of a special law could be envisaged. Such law would aim at guaranteeing heritage protection while stimulating residence and investments in the area, developing and promoting services as well as tourist, cultural, archaeological, and leisure facilities.

• In line with the basic principle of integrated approach as an essential mean for a sustainable management, the HCECR alone cannot pursue the objectives of this Management Plan: effective partnerships with a range of institutional and non-institutional stakeholders ought to be searched for. In particular, since the Citadel is in the core of the town, its revitalization calls for a full integration within the frame of Erbil’s development schemes and tools, and therefore for a close cooperation with spatial planning authorities.

• The HCECR should build and maintain strong partnerships with local, regional, national and international organisations and the local community, in order to bring people together to deliver the vision for the revitalization of the Citadel embodied in the Management Plan. In addition to the main stakeholders involved in the planning and implementation process, the creation of large groups of interest should be envisaged, to ensure a full participatory approach.

6.3.8. AIM 8: INVESTMENT, MARKETING AND FUNDING

Investment in the Citadel will be encouraged through financial incentives and administrative measures, but closely monitored to avoid activities that are incompatible with the character of the place. Sectoral studies will be undertaken prior to the definition of a strategy for investment promotion, to determine conditions and to identify the appropriate marketing approach targeting different groups, the funding opportunities and the potential donors. A special attention will be paid to branding, to develop a brand that effectively reflects the values and the image of the site and the view of the citizens while reaching a large segment of customers.

POLICY STATEMENTS

• The involvement of the private sector in the conservation and rehabilitation process is crucial for various reasons:
− increasing the volume of available financial resources and therefore the speed with which the conservation and rehabilitation process can be implemented;
− drawing on specialised management experience for some of the enterprises envisaged in the future development of the Citadel (hotels, restaurants, housing development, etc);
− ensuring that properties which are renovated on a commercial basis will be marketed as quickly as possible, thus speeding the process of repopulation of the Citadel;
− involving a commitment to promoting the quality of the Citadel: private owners or entrepreneurs will have a strong vested interest in making sure that the services work well and that the Citadel is a social and economic success; and
− engaging a commitment to the ongoing care of the Citadel’s built environment: which for private investors is partly a way of protecting their investment, regardless of their cultural interest in the ancient settlement.

• The HCECR however will have to establish strict criteria and guidelines for the involvement of the private sector in the revitalization efforts, in order to limit the risk of incompatible or unregulated activities and businesses to be established on site. Guidelines will have to be studied in detail, and may include the exclusion of activities entailing:

− physical damage and loss of significance to the historic buildings, i.e. requiring heavy modifications to the built fabric;
− physical damage to the tell and the buildings stability, i.e. due to heavy load, vibration, potential water leakage, etc.
− air pollution, noise, smell, or other factors of disturbance to the inhabitants and incompatible with the historic context;
− incompatibility with the spirit of the place and the respect of the local community;
− an excessive vehicular traffic;
− selling fake local handicraft product, i.e. manufactured by industry or in other countries;
− other…

• Detailed guidelines will have to be developed also for the business signage, which should be harmonised with the historic context (in terms of size, colours, text, light, etc.) without necessarily excluding the use of contemporary techniques and design.

• Several types of businesses may locate in the Citadel, among which tourism-related activities in particular. The site would also offer the ideal environment for small businesses where a prestige historic context environment is an asset and which do not require regular vehicular access for the delivery of goods, for example architectural and engineering practices, travel agencies, and other professional services.

• Private-public partnerships are fundamental in the cultural heritage sector in general and in the revitalisation of historic centres in particular. Learning from experiences and best practice in other countries, the revitalization of the Citadel ought to establish ad hoc administrative measures to promote such partnerships, identifying the private actors interested and most suitable to participate in these partnerships.

• Investing in the Citadel may be advantageous in the long term but will entail considerable costs in the short and medium term, as it usually is in the conservation and rehabilitation of historic buildings in old districts. Therefore, diversified financial incentives to promote such investment must be studied within the frame of a business development plan.

• Two main types of marketing are envisaged, for two main different target groups:
– **marketing for investment promotion:** potential investors and donors interested in financing rehabilitation of buildings for capital investment or for their own business activity, who must find economic or other advantages, i.e. prestige to invest in the Citadel;

– **site marketing for tourism promotion:** potential tourists and tour operators, who will visit the Citadel (the former) or propose it in their tour packages (the latter) on account of its tourist attractiveness, the ability to networking with other sites in the Kurdistan Region, the facilities offered, etc.

• A marketing strategy ought to be developed for these two main target groups, with specific approach and methodology on the basis of an analysis and feasibility study.

• Marketing is economically important in the sense of promoting Erbil as a tourist destination and it is also important in the academic sense of attracting international conferences and educational activities, especially in the archaeological domain.

• Site/territorial marketing for the enhancement of places through the valorisation of the network of cultural resources in view of local development is a relatively new branch of the economics sector. It has its own specificity and methodology, based on the fact that cultural resources are not a ‘good’ like other products.

• Branding is part of site marketing. The brand should reflect the values of the Citadel and the key elements that compose its significance for the local communities while being attractive to potential visitors. A successful brand for the Citadel must be able to spread internationally and change the image of the site and the Region, which is still seen mainly as a post-conflict area.

• A brand evolves in the mind of the customer and is the sum of elements, both tangible and intangible, which characterise a site and make it unique. Branding the Citadel means communicating its personality to all and the promise of enjoyment to those who will decide to live or spend some time there, or to visit it as a tourist. Therefore, the brand should be perceived, shared and understood by a large segment of targets.

• Like Paris is elegance, New York is energy, Milan is style, Berlin is youth, Tokyo is modern, Venice is romance, the Citadel should get its appropriate brand, which must be carefully studied and defined within the frame of the marketing strategy. Branding a place is rather different from branding products, because of various reasons: collective nature of the ownership, identity of the communities, political aspects, etc. (see Moilanen, T. and Rainisto, S., 2009. *How to Brand Nations, Cities and Destinations: a Planning Book for Place Branding*. Basingstoke, Hampshire, Palgrave Macmillan).
7. STRATEGIES

Based on the policies presented in Chapter 6, this chapter introduces for each Aim a series of strategic axes meant to frame the specific actions required to achieve such aims.

7.1. AIM 1: RESEARCH AND EXCAVATION

AXIS 1: CITADEL GENERAL SITE SURVEY DRAWINGS

- The general site plan of the Citadel, prepared within the framework of the CRMP, has provided the HCECR with an essential basis for conducting site investigations and starting maintenance, conservation/rehabilitation and management planning. The site survey will be pursued, improved and updated, as other studies proceed, in order to address future research and to serve for the conservation, rehabilitation and management needs.

- The CRMP has conducted an excellent site analysis to address urban conservation, i.e. current street layout in comparison with old maps, street slopes, etc. This work will be complemented with additional information on other elements characterising the Citadel in its present conditions and relationship with the urban context. For instance, a map of the trees will be provided, identifying their species, age, condition, and other relevant information.

AXIS 2: GEOLOGICAL AND GEOTECHNICAL ANALYSES OF THE TELL

- As resulted by previous studies, slope instability is one of the three main causes for structural damage of the Citadel’s buildings, besides the lack of maintenance and the deliberate demolitions that have affected also the buildings that were not directly interested by this action. Therefore, geological and geotechnical analyses will be pursued using the most innovative methods and tools to add information on the composition and movements of the tell. Among these, the remote sensing technology for monitoring surface deformation phenomena by means of radar satellite data processing (i.e. permanent scatters PSInSAR™) will be considered, as this method would apparently be able to provide accurate data on slow movements of the tell since 1992, thus allowing the correlation of these movements with other phenomena (i.e. earthquakes, etc.).

AXIS 3: GIS-BASED INVENTORY AND DOCUMENTATION CENTRE

- The HCECR will create a GIS platform in cooperation with urban planning authorities, as a basis for the establishment of a documentation centre for the collection, systematic organisation, updating, and maintenance of all the available documentation on the Citadel.

- A database and GIS-supported buildings inventory system will be established, by entering, completing, revising and updating the building inventory and documentation forms (produced by the CRMP) of all Citadel’s graded and public buildings as well as all other documentation produced by the HCECR (i.e. survey of architectural details) and other parties.

- A database system for collecting, cataloguing and archiving historical written and iconographic documentation will be defined, for the systematic inventory and organisation of the documentation gathered. The ongoing collection of documentation will continue, including:
– data from primary historical sources;
– collection of all available archive documentation worldwide (including cuneiform texts with their published translation), and
– description of Erbil from the account of early travellers.

• The collection, recording, cataloguing and systematic organisation and archiving of information from oral sources (oral history programme) from previous inhabitants, elders and others will be continued by the HCECR and linked with the documentation of the buildings and other physical heritage on the Citadel.

**AXIS 4: ARCHAEOLOGICAL RESEARCH AND EXCAVATION**

• The establishment of reserved areas for archaeological research and excavation in the central zone of the Citadel will be a priority objective. Cooperation with a national and an international research and academic institution in the archaeological field will be sought for, to assist in the *preparation of a research and excavation programme and plan*, in partnership with the competent local, regional and national authorities.

• Such areas will be conceived as a public archaeology space, where visitors – among which in particular schoolchildren – can directly experience archaeological excavation and an interpretation area will present the activity. A *public archaeology program will also be designed* in order to interest and make aware the public of the importance of the site throughout its history.

• Since the cost of the excavation will feasibly be substantial, the HCECR may need additional funds. The *research programme and plan may be distributed to potential donors*, to explore funding opportunities among academic institutions as well as foundations known for their support of archaeological excavations.

**AXIS 5: MULTIDISCIPLINARY RESEARCH PROGRAMME**

• A comprehensive multidisciplinary research programme and plan should be prepared by the HCECR, including activities such as:

  – preparation of a *general documentation and research programme*, identifying research and academic institutions in Kurdistan and abroad with which to establish partnerships in each specific research field;
  – establishment of a *research programme on architectural history and building techniques* of the Citadel, in cooperation with a local Faculty of Architecture and/or Engineering in partnership with an international academic institution specialising in architectural analysis and conservation;
  – undertaking various *analyses and applying methods and practices for dating and diagnosis*, among which dendrochronology can be taken into consideration, to provide the research on the buildings history with precise dating of the timbers, taking into account the fact that this method informs only on the year in which the wood was felled; and
  – promotion of *socio-anthropological and ethno-historical studies to complement archaeological research*, to retrace the memory of different groups having inhabited the site in the past, so as to study the multi-cultural aspects of the Citadel, which could be an important element of its significance, to feed into the World Heritage nomination.

**AXIS 6: SPECIAL RESEARCH AREAS**

• The HCECR will continue the ongoing research, documentation gathering, and archaeological excavation for the *potential reconstruction of buildings having important symbolic value for the local*...
community (i.e. the old South Gate), in close cooperation with competent institutions and with the necessary scientific support.

- The HCECR or developers working in the area of shacks or empty areas where buildings are known to have existed will **always conduct investigations to reveal the plan of the demolished house** before designing a new building, so to avoid last minute changes in the construction phase. Since these are not simple cleaning or clearing operations, to conduct such operations the HCECR will seek the expertise of professional archaeologists, in order to reveal data that may not be possible to obtain with other methods.

### 7.2. AIM 2: CONSERVATION, DOCUMENTATION AND MAINTENANCE

**AXIS 1: SITE AND BUILDINGS INVENTORY AND LEGAL PROTECTION**

- In close cooperation with the competent cultural heritage authorities, the HCECR will **establish and maintain a GIS-supported inventory of the Citadel's cultural heritage**, updating the current protection status and defining items and boundaries to put under protection as cultural heritage: the tell as an archaeological site; the buildings graded and selected for protection; the urban areas and other features. Such inventory will take into consideration the existence of other inventory initiatives, among which the one undertaken in the buffer zone of the Citadel and others (i.e. the MEGA Project).

- The inventory will be a fundamental tool for the protection as well as for the management of conservation activities in the Citadel and buffer zone. In this sense, it is necessary that steps are taken to ensure that existing inventories are not only maintained and updated but also that they **fulfil the requirements for the nomination of the site to the World Heritage List** regarding the inventory of the property (UNESCO, *Operational Guidelines for the Implementation of the World Heritage Convention*, 2011).

**AXIS 2: MAINTENANCE, MONITORING AND PREVENTIVE CONSERVATION**

- The HCECR will **promote maintenance and preventive conservation as crucial conservation activities** and will deploy every effort to strengthen the capacities of its technical staff in planning and conducting them in line with international standards. For this purpose, the HCECR will exchange information with public or private organisations having a specific experience in this field (i.e. UNESCO chair on preventive conservation, monitoring and maintenance of monuments and sites, Monumentenwacht, etc.).

- The HCECR's Maintenance Team, formed in March 2010, will **pursue the maintenance work, monitoring and minor repairs on houses**, in order to minimise further risk of collapse and to keep them in good condition until their future is assured by beneficial reuse. Through this work, the Maintenance Team will provide the HCECR with a continuously updated database of the buildings condition and will timely detect situations at risk and take the necessary remedial measures.

- The main **activities of the Maintenance Team** will consist in:
  - propping roofs and shoring walls which threaten collapse;
  - providing regular maintenance of roofs and walls tops to prevent further damage due to water penetration;
  - identifying structures at risk for structural weakness and design urgent remedial measures;
  - monitoring the condition of all buildings based on a monitoring plan (i.e. installation and regular recording of tell-tales);
collecting, cataloguing and storing historical items scattered in the Citadel, i.e. old moulded stones, cylinders for rolling roofs, etc.;
- carrying out other repair activities; and
- maintenance of the slope of the tell.

- In particular, the HCECR should reactivate a project for the monitoring of ‘tell-tales’ to monitor movements in cracks and floors. The taking of readings will recommence to monitor the movement in cracks and it will be necessary to replace those tell-tales which are now missing. Such monitoring will need to be under professional supervision (i.e. in cooperation with the Engineering Department of the Salahaddin University) and training will be provided to the staff of the HCECR.

- Such maintenance activity and all the other works (even simple street cleaning) will be conducted with the utmost care and concern for the conservation issues, especially in the ‘shacks’ areas under which old foundations may most probably be found. Therefore, the activity of the Maintenance Team will be conducted under the supervision of an experienced archaeological/architectural heritage conservation specialist with the support of other experts according to the specific needs that will arise.

- Moreover, maintenance activity will have to consider the whole Citadel and not only its buildings, therefore an attention should be paid to all other elements that may have a potential contribution in the site significance and understanding, such as, for instance, some of the trees, the water drainage system and channels, etc.

**AXIS 3: ENDANGERED BUILDINGS AND RISK MITIGATION**

- Building on the previous experience and lesson learnt, on the structural analysis and risk assessment conducted by the CRMP and by other ongoing activities and analyses, the HCECR will develop and maintain a Risk Map for the whole Citadel, including a List of Endangered Buildings (also called Buildings at Risk), which will be part of the general inventory of buildings and will be coordinated with similar initiatives in the buffer zone.

- The buildings included in such List (and coordinated with endangered buildings in the buffer zone) will be put under a special additional protection until intervention to mitigate the risk is carried out. Moreover, they will be used to attract potential investors, by preparing and disseminating a biannual booklet illustrating the buildings at risk and the resources needed for the intervention.

- Based on the Risk Map, the HCECR will develop a strategy for risk mitigation and management, including prevention and intervention measures to cope with the primary risks: collapse of historic buildings due to abandonment and previous lack of maintenance (particularly the perimeter houses), earthquakes, fire, slope instability, etc. In the conservation design, retrofitting will be considered and guidelines developed with reference to experience gained in similar situations abroad.

**AXIS 4: CONSERVATION ACTIVITY PLANNING**

- In the short term, the HCECR will follow up the coordination and supervision of ongoing buildings conservation projects, initiated or planned by the HCECR, UNESCO (within the frame of the UNESCO/HCECR Erbil Citadel Revitalization Project) and other parties. The HCECR will ensure that international standards and best practice and quality of conservation are applied, identifying potential needs for improvement, monitoring the advancement and making sure that administrative procedures are respected.

- Based on the buildings inventory and on the list of endangered buildings, as well as on the lessons learnt through the ongoing projects, the HCECR will develop a programme for conservation activity in
the short, medium, and long term, with a prioritisation based on predefined criteria and grouping the interventions as much as possible, for:

- structural reasons: houses in the same group share some walls;
- organisational reasons: intervention on houses in the same group can facilitate the organisation of the conservation site and facilitate material transportation; and
- promotional reasons: the revitalisation of an entire group can give a better visibility of the revitalisation process than scattered conservation works.

The reconstruction of the old South Gate is considered a priority especially by the civil society, therefore preliminary research and documentation gathering will be pursued to address its design based on solid and scientific information and expertise.

An overall strategy for urban conservation will be developed, aiming at combining the conservation and rehabilitation of individual buildings with the conservation of the character of the open spaces and visual relationships: i.e. courtyards, alleyways, streetscape and townscape. The approach will be coordinated with the guidelines defined for the buffer zone and the slope surrounding the Citadel.

**AXIS 5: STRATEGIES AND GUIDELINES FOR CONSERVATION APPROACHES**

The CRMP proposes a detailed conservation strategy (CCD, HBA, EC. CRMP 2011: 552-557), which foresees eight categories of intervention, complemented by guidelines for category 6. For all the graded buildings one of the first four categories is proposed and mapped. The eight categories are:

1. Conservation of buildings as existing;
2. Conservation and restoration of missing parts;
3. Conservation combined with new build;
4. New build incorporating historic fragments;
5. Retained modern buildings;
6. New infill construction in accordance with guidelines;
7. Specific studies; and
8. Reserved areas for archaeological excavation.

This strategy provides an important reference for conservation planning. However, both these categories and the guidelines for category 6 will need to be checked and revised, as the continuous research and site and building investigation may bring to light new elements that will require a different approach to conservation. A more flexible strategy, indicating general guidelines and linking final conservation decisions to a thorough study of each building and a ‘case-by-case’ approach, will be developed.

A technical conservation manual, adapting international guidelines to the specific problems of the Citadel and based on the lesson learnt through the experiences conducted and ongoing (within the frame of the UNESCO/HCECR Erbil Citadel Revitalization Project), will be compiled. It will serve as a basis for training and a code of practice for any future conservation intervention in the Citadel.

**AXIS 6: CONSERVATION CAPACITIES, CRAFTS AND MATERIALS**

Previous studies and programmes to improve the capacities and the educational offer in the field of archaeological and architectural conservation will be undertaken, as a basis to design theoretical and practical training programmes targeting conservation professionals, practitioners, and craftsmen. A special objective will be the development of a programme to preserve and regenerate know-how in handicraft related to conservation.
Programmes to preserve craftsmanship tradition will also concern the supply and improvement of the quality of materials for use in conservation: hand-made bricks, lime, timber of appropriate quality, marble, etc. In particular, the technology and practice of lime kilns and lime production will be preserved using incentives, such as lowering taxation, or encouraging the creation of cooperatives.

7.3. AIM 3: REHABILITATION, REUSE AND REVITALIZATION

AXIS 1: ADAPTIVE REUSE OF THE CITADEL’S BUILDINGS

In general, buildings (existing and new) and areas in the revitalised Citadel will have a mixed use, in which daily social life brought back by the new residents will be enhanced by and integrated with the presence of cultural activities (focusing on the valorisation of the Kurdish culture), research areas and sustainable tourism development.

The predominant land-use components considered by such approach are four:

- residential (both local and foreigners, students, researchers, artists, etc.);
- culture- and leisure-related facilities and services;
- tourism-related accommodations, facilities and services; and
- offices, professional businesses, and associations;

while the remaining Citadel areas would be occupied by:

- arts and crafts workshops and shops;
- archaeological research and excavation areas;
- public- and religious-related buildings; and
- infrastructures and services.

As far as the existing buildings are concerned, a flexible approach to the allocation of building use is adopted by the HCECR, based on the demand and on the compatibility criteria defined by the policy for rehabilitation, reuse and revitalization. However, some guidance is provided through a flexible land-use plan. Within this frame, some fixed elements and a series of predetermined allocations of buildings for uses of public interest are defined.

Hence, the HCECR proposes a plan for the adaptive reuse of existing building use, which foresees four main categories of use:

A. fixed elements and determined use of public buildings, the same as the original/previous one (i.e. mosques, hammam, graves, gates, archaeological areas, etc.);
B. determined adaptive reuse, different from the previous one (i.e. buildings already allocated for a new use); it includes some semi-public buildings that can be reused for an appropriate function (i.e. takiya);
C. undetermined adaptive reuse, with a limited range of options; and
D. undetermined adaptive reuse, with a wider range of options.

Taking inspiration from the historical district division of the Citadel (in the three districts of Saray, Takya, and Topkhana) the revitalization process – and the new land-use proposal – proposes four major areas having a predominant use destination (see map 10):

- Saray: predominant culture-related use destination;
- Takya: predominant tourism-related use destination;
- Takya Centre: predominant office- and archaeological-related use destination; and
- Topkhana: predominant residential-related use destination.

- In addition to elaborating on the historical background, the prevailing land-use allocation takes into account a combination of technical and practical factors, such as the quantity and quality of historic buildings in the different areas, the access and circulation, etc.

- Based on this, a flexible land-use plan is suggested (see maps 11 and 12), comprising the following six use categories:
  - mixed residential (houses, guesthouses for students/researchers, small general stores, grocery stores, other shops, ...);
  - mixed tourism (hotels, boutique/dispersed hotels, guesthouses, hostels, cafés, restaurants, souvenir shops, boutiques, public toilets, visitor/interpretation centre, ...);
  - cultural centres and museums (facilities for both permanent and temporary exhibits, local and foreign cultural centres, art and music schools, ...);
  - offices and associations (HCECR premise, offices and stores, international organisations, NGOs/associations, professional activities/businesses, ...);
  - arts and crafts facilities (craft workshops and selling points, art galleries, crafts training centres, ...); and
  - general services (kindergarten/primary school, clinic, pharmacy, post office, police, fire brigade, water tank, bank/ATM, laundry, ...).

- Categories of fixed elements of the land-use plan are two:
  - public and religious (Citadel’s gates, hammam, mosques, takiyas, graves); and
  - archaeological reserved areas (archaeological areas, laboratories for conservation, offices, warehouses).

**AXIS 2: RESETTLEMENT APPROACH AND TARGET GROUPS**

- As far as the resettlement strategy is concerned, the key targets are:
  - inhabitants of Erbil interested in moving to the Citadel, mixing different age groups, income groups, family composition, among these, former inhabitants and families of the Citadel may be considered;
  - people working in administration, site conservation and management activities;
  - owners and staff of the commercial enterprises of the Citadel: hotels, restaurants, craft shops for tourists and shops and services supplying daily needs of the residents;
  - scholars i.e. archaeologists of the research teams involved in the excavations;
  - university students, among which in particular (but not only) students of higher cultural studies: arts, music, etc.; and
  - foreigners interested in living in the Citadel, i.e. officers of foreign delegations, entrepreneurs, artists, scholars, etc.

- The important objective of repopulation by attracting different groups of residents will entail the creation of basic services and facilities, such as post office, banking, pharmacy, police station, branch of the local administration, etc. The establishment of a nursery and a primary school will also be considered in the medium term, depending on the number of children.
AXIS 3: BUILDINGS REHABILITATION APPROACH

- The intervention on graded historic buildings to rehabilitate them for a new use will entail different approaches, depending on the grade as well as on the conditions. Technical guidelines for the rehabilitation will be developed by the HCECR to complement the technical conservation manual.

- This will involve the high-quality conservation and restoration of significant traditional houses (or the remains of such houses), and their rehabilitation with the addition of architecturally compatible modern extensions where required to allow for a full range of facilities.

- Smaller houses are most suitable to be brought back into use as domestic accommodation, which is the most compatible being the original one. Most houses in the Citadel offer a very attractive environment to live in, thanks especially to the pleasing small courtyards with trees, which exist in many of them. The buildings rehabilitation strategy will therefore consider housing and accommodation as the leading component of a mixed-use approach.

- In some cases, the smallest houses will be insufficient to meet the space and services requirements of the 21st century. Therefore the HCECR will take into account the necessity to combine two or more house units and merge them into one single house. This operation must be respectful of the original layout, which should be recognisable as much as possible. Generally speaking, the ‘group approach’ should be strictly followed in this case, consistently with the urban layout and built fabric.

- Small houses located in prominent positions, i.e. along the tourism circuit or in the vicinity of important visitor facilities, would be suitable for light commercial use, such as a small handicraft shop, a souvenir shop, etc. Incentives to promote the installation of these small businesses (i.e. microcredit, business incubators, tax relief, etc.) will be part of the strategy for investment promotion considered by the HCECR within the frame of the Citadel’s business plan.

- Rehabilitation and upgrading of the houses (i.e. through the installation of modern services such as kitchens and bathrooms, electric supply and distribution network) will be done with respect for the historic fabric, adopting modern solutions well integrated in the historic environment and using compatible materials. The demolition (even partial) of building fabric (i.e. for insertion of electricity and piping network) will be avoided as much as possible, searching for alternative solutions.

AXIS 4: NEW INFILL BUILDINGS IN REGENERATION AREAS

- There are large areas in the Citadel that will need to be rebuilt with infill structures well integrated into the historic urban context, aiming to:
  - recreate the urban fabric and retrieve the original sense of space in areas that were subject to demolitions, i.e. the central axis north-south; and
  - replace the ‘shacks’ that will be selected for demolition with new constructions, to accommodate different functions.

- Empty areas due to past demolitions of historic buildings or areas with ‘shacks’ to be replaced will provide opportunities for new infill buildings. These will have a wide range of uses, including housing. Their design will be informed by historical studies and the archaeological investigations, which will be carried out following careful dismantling of the ‘shacks’, and controlled by implementation of the design guidelines under the supervision of the HCECR.

- The introduction of modern design, albeit well contextualised and integrated in the historic context in terms of volumes, materials and morphology, will be encouraged, in line with international standards.
(i.e. Washington Charter 1987). This approach would offer the opportunity to attract young architects and to create a market of architectural design in historic contexts. The organisation of architectural competitions will be considered by the HCECR for this purpose.

**AXIS 5: PHASING OF THE REVITALIZATION PROCESS**

- The cultural and economic valorisation of the Citadel will start-up and be tested as soon as possible through a **pilot project involving the private sector**, for example offering incentives for the opening of a small café restaurant and public toilets.

- The revitalization process by rehabilitation, reuse, and resettlement will be conducted according to a **phased plan articulated in the short, medium and long term**:
  - Short-term plan (up to 5 years);
  - Medium-term plan (5 to 10 years):
  - Long-term plan (more than 10 years).

- In the **short term** (time span covered by this management plan) the rehabilitation, reuse, and resettlement process will consist in the following activities (see map 14):
  - installation of all service networks: water distribution, sewage, electricity, communication, etc.;
  - rehabilitation of the priority area 1, around the South Gate;
  - start-up of the rehabilitation of the priority area 2, including the Great Mosque, the **Hammam**, the Interpretation Centre and the handicraft district to the eEast of the Great Mosque;
  - creation of the tourism circuit all around the Citadel, with realisation of a safe visitor path equipped with temporary furnishing in rest areas and interpretation panels (see map 13);
  - establishment of incentives to attract people to live in the Citadel, targeting different groups; and
  - establishment of incentives to attract investors and small businesses.

- In the **medium and long term**, the rehabilitation, reuse, and resettlement process will consist in the following activities:
  - completion of the rehabilitation of the priority area 2, including the Great Mosque, the **Hammam**, and the handicraft district to the east of the Great Mosque;
  - rehabilitation of the priority area 3, around the North Gate;
  - detailed design and realisation of permanent street furniture and equipment, including along the tourist circuit and in the rest areas, and
  - start-up of the detailed planning and implementation of the other areas of the Citadel, proceeding by groups.

- Follow up of **building maintenance, documentation, monitoring and urgent intervention on structures at risk** will be continued throughout all the phases.

**7.4. AIM 4: INTERPRETATION AND TOURISM DEVELOPMENT**

**AXIS 1: INTERPRETATION AND SITE PRESENTATION**

- **Develop an interpretation and presentation framework** to serve the purposes of guiding tourists in their visit, communicate with and educate the local community, and market the Citadel to potential investors.
- **Establish a dedicated Interpretation Centre.** The group of houses formerly composing the Yaqoub Agha mansion (near the North Gate), proposed by the CRMP for this function, should be considered (see maps 12-13).

- **Establish a tourist circuit inside the Citadel** to facilitate the movement of visitors and guide them towards specific areas of the site. Interpretation signage and other visitor information tools will be created in the focal points of the circuit (see proposal on map 13).

- **Identify other new ways for different types of visitor** (i.e. children, overseas visitors, school groups, disabled visitors, tour groups) **to experience the Citadel.** This will involve the identification of one or more topics of interest to the specific target group.

- **Ensure that all authorized tourist guides are trained** in providing the correct information to visitors. For this, a **formal training course** for guides should be established.

### AXIS 2: PUBLICATIONS AND MEDIA

- **Create an audio tour** based on the tourism circuit, which would provide in-depth information to visitors, from which they could be encouraged to branch out and explore the alleyways to discover less well-used areas.

- **Produce a brochure with a plan of the Citadel** and indication of the areas/buildings that are accessible to visit and those that are planned for future rehabilitation, with information about their history and use.

- **Produce a brochure and guide of the external wall circuit** using new and archive images, to allow the visitors to explore the architectural heritage of the Citadel also from the exterior.

- **Produce, or supervise the production, of a Citadel guidebook.** The first edition should be printed in three language versions: Kurdish, Arabic and English. More languages may be added later depending on the amount of visitors from other language groups.

- **Ensure that brochures and guidebooks are available** not only **at information points** on the Citadel, but also **in main hotels** and other locations, such as the **airport**.

- **Develop multimedia** such as music CDs, DVDs, etc., related to the Citadel or events taking place on the Citadel.

### AXIS 3: TOURISM DEVELOPMENT AND MANAGEMENT

- A **Tourism Management Plan** for Erbil Citadel will be prepared in order to address not only issues of investment and tourism development, but also interpretation and presentation strategies. Such plan, to be prepared in close cooperation with tourism-related institutions, should contain:
  
  - assessment of the situation and trends of the tourism market in the Citadel and in Erbil;
  - analysis of the Citadel’s tourist carrying capacity;
  - feasibility study for hotels and tourist services development;
  - feasibility study to network with other tourist destinations in Kurdistan and to create a tourist cluster centred on the Citadel;
  - identification of the cultural resources in the Citadel and determination of a related site marketing and branding strategy for tourism development;
  - identification of goals, objectives, and strategy for tourism development; and
determination of an action plan and a monitoring plan with achievement indicators.

- The **tourism development strategy** should be integrated in the general tourism strategy of Kurdistan and seek to **network with other sites** in the Region and especially in the surroundings of Erbil, in order to avoid competition among tourist destinations in the same area and develop a wider ‘territorial marketing’, in which the Citadel will play a central role as a catalyser of tourism in Kurdistan.

- Encourage tour companies to **develop links with operators working in adjacent countries** with more developed tourism industries (i.e. Turkey, Syria).

- Make a **detailed design and plans for the tourist circuit**, to facilitate the movement of visitors and guide them towards specific areas of the site. While the circuit can be established in the short term, the long-term design and plan will be developed, in parallel with the Tourism Management Plan and tourism marketing and branding strategy.

### 7.5. AIM 5: AWARENESS RAISING, EDUCATION AND COMMUNITY PARTICIPATION

**AXIS 1: EDUCATION ACTIVITIES FOR SCHOOLCHILDREN**

- **Develop facilities** on the Citadel to enable schoolchildren to benefit from activities or educational information. As part of an integrated interpretation and learning strategy, an Education Centre will be established to work with schools and place the Citadel in the official school curriculum of the Region.

- **Develop teaching materials** to be distributed to schools and teachers. The material will be in the form of a booklet (and DVD) containing information on the Citadel, as well as photographs (including early views), a plan, and suggested activities to interest the children before, during, and after the visit.

- The HCECR’s Public Relations Officer will **assist with relevant school programmes**, not only within the Citadel, but also in schools, for example in a preparatory study before the children make their visit to the Citadel.

- **Provide information to teachers**, in the form of teaching material and/or inviting them to formal presentations at the Citadel, so that they can prepare the visit to the Citadel and organise activities pre- or post-visit.

- The Public Relation, Information and Media Section of the HCECR will organise on annual basis among all the schoolchildren in Erbil a **drawing/essay competition**. Prizes can be handled out at a ceremony on the Citadel (possibly during one of the main events such as the ‘Citadel Day’ or ‘Citadel Week’).

**AXIS 2: RELATIONSHIPS WITH UNIVERSITIES AND COLLEGES**

- **Collaborate with academic institutions** in Iraq and other countries for archaeological research, especially in the context of the proposed excavations.

- **Collaborate with academic institutions in Iraq to develop fields of study and specialisations linked with the Citadel rehabilitation**, such as architectural conservation, documentation of historic structures, ethno-history, cultural tourism, public archaeology, etc.

- **Encourage local students** to use aspects of the Citadel tangible and intangible heritage for research and dissertations.
• **Organise ‘Citadel Days’** where students and academic staff from various faculties are invited, and where ongoing projects and unresolved issues related to the study and conservation of the Citadel are presented.

• **Organise an international conference every two to four years** on the status of research at the Citadel, from archaeology to modern history and including oral histories and other aspects of intangible heritage, also to showcase successful conservation projects and encourage further activities.

**AXIS 3: COMMUNITY PARTICIPATION AND AWARENESS RAISING**

• **Continue the programme of contacting former residents**, already implemented by the HCECR, both for the purpose of information gathering in relation to their knowledge of the Citadel, but also engage them in the revitalisation process.

• **Continue the oral history programme** implemented by the HCECR, aimed at the former inhabitants to obtain accounts of what life in the Citadel was like, as well as by collecting visual material (such as old photographs) and any written documents, possibly in partnership with the social sciences department of a local university.

• **Create an association of ‘Friends of the Citadel’** to facilitate collaboration and exchange of information between the HCECR and the public. The association will hold periodical meetings and public lectures on topics concerning cultural and social aspects of life on the Citadel and will ensure the participation of the public in programs of research and documentation.

• Within the archaeological project on the Citadel, **create a strong public archaeology program** to ensure that the public is kept informed about the results of the research, and is able to visit the excavation and volunteer in activities under the guidance of professionals. Activities can include washing and sorting pottery found in the excavations, assist surveyors in taking points and measurements at the time of excavation, and participate in the dig under proper guidance.

• **Hold periodic meetings with the public** to inform them of progress in the Citadel revitalization project.

• **Establish a Citadel Community Multipurpose Cultural Centre** in one of the historic buildings. It may share the same premises or be associated with the Education centre mentioned above.

**AXIS 4: COMMUNICATION AND CULTURAL ACTIVITIES**

• **Establish a cultural programme** which includes a lecture series, inviting famous Kurdish and Iraqi intellectuals to lecture on various aspects of the history of Erbil, as well as music and dance groups to perform periodically on the Citadel.

• **Plan special events such as festivals**, over several days, to attract larger numbers of people. Festivals should feature one or more aspects of Kurdish culture, such as music and dance, drama, crafts. A ‘Citadel Day’ or ‘Citadel Week’ may also be organised to showcase various aspects of Kurdish culture, together with more formal lectures and presentations on the history and values of the Citadel, and to inform the public on ongoing conservation and rehabilitation activities. These events may take place on the Citadel as well as other venues.

• **Coordinate the preparation of documentaries** on the Citadel and its features, for broadcasting on national TV and for distribution to schools and universities. Two versions, one more specialist and one for the general public, may be prepared.
• **Organise press campaigns** to illustrate the progress of the Citadel revitalization effort and inform of major events to take place, ensuring a constant coverage of information concerning the Citadel on the regional and national level.

• **Upgrade the Citadel’s website**, to include information on ongoing projects, advance notice of events, sell tickets to events, publicise hotels and restaurants (including an online reservation system), etc.

### 7.6. **AIM 6: FACILITIES, SERVICES AND INFRASTRUCTURES**

**AXIS 1: BASIC INFRASTRUCTURE NETWORKS**

• The HCECR will advise the completion, approve the final design and supervise/coordinate the realisation of the *infrastructure networks* (water supply, sewerage and drainage, electricity and street lighting), which are currently in preparation by the Water and Sewerage Department of the Ministry of Municipalities and Tourism.

• The HCECR will ensure that design and realisation of such *infrastructures are fully compatible with site conservation issues* and do not cause any physical, visual or other kind of damage to archaeological strata, historic buildings and setting, and streetscape, as well as any disturbance (i.e. noise, smell, etc.) to residents and visitors.

• The *location, installation and design of the new water tank* (foreseen in the north-eastern side of the Citadel by the CRMP) will be the subject of a special study, to evaluate the best solution from both the technical point of view and urban conservation issues. Within this frame, a special research on water tanks worldwide will be conducted by the HCECR and a competition for its design will be considered as an option to develop a creative solution, modern albeit well integrated in the urban context.

**AXIS 2: BASIC VISITOR FACILITIES AND SERVICES**

• Considering the increasing number of visitors to the Citadel, the HCECR will study the need to *provide a public lavatory* and will identify the best solution in terms of location, type, design, and management issues, in order to ensure that such service will be of appropriate standard regarding hygienic conditions.

• The HCECR will also seek to promote the creation of a small (sheltered and with air conditioning) rest area, such as a *cafeteria serving also some snacks and a first-aid corner*. Since this requires the involvement of the private sector, incentives and facilitation for the start up of such business will be considered.

**AXIS 3: MEDIA AND COMMUNICATION NETWORKS**

• The HCECR will develop a set of *practical guidelines for the design and installation of conservation-friendly phone, cable TV and ADSL networks*, seeking to avoid damage to historic buildings and archaeological strata, and to minimise their visual impact (i.e. individual satellite dishes will be prohibited and replaced by a general cable TV network). On the contrary, their design approach could become a model of innovative upgrading of historic buildings and sites.

• There will be a *Wi-Fi free area covering the entire Citadel*, in all interior and exterior spaces. The HCECR will study the feasibility that costs of this service is borne by the town administration and/or with the future contribution of cafés, restaurants, hotels and guesthouses in the Citadel, whose clients will be the potential main users.
AXIS 4: COLLECTION AND DELIVERY SERVICES

• In cooperation with the concerned authorities, the HCECR will study the establishment of a regular and well-functioning door-to-door waste collection system. Due to the small size of the Citadel, the accumulation of waste – even minimal – would be a significant factor of degradation, due to visual pollution and smell.

• Similarly, other services (i.e. delivery) requiring a regular facilitated access and circulation, will be studied by the HCECR in cooperation with the competent authorities and the private sector.

AXIS 5: ACCESS, CIRCULATION AND TRANSPORTATION

• In cooperation with the competent authorities and in close coordination with town general spatial planning and transportation policies and strategies, the HCECR with develop an overall strategy for access to, and circulation and transportation in the Citadel. Such strategy will take into consideration:
  
  – **vehicular access for private cars:** in principle this will be prohibited to non-residents, while residents (in particular permanent) will have regulated authorisations for temporary access, to cope with special needs;
  
  – **vehicular access for business delivery vehicles:** hotels, guesthouses, cafés, restaurants, shops etc. will have special regulations for access of delivery vehicles;
  
  – **vehicular access for service vehicles** (waste collection, mail delivery, etc.): special regulation and a predetermined circulation plan will be studied;
  
  – **vehicular access for emergency vehicles** (ambulances, fire brigade, etc.): special regulation and a predetermined plan will be studied;
  
  – **pedestrians:** without restriction;
  
  – **pedestrians with limited ability:** without restriction and with electric facilitation (i.e. small electric cars); and
  
  – **parking** (one located to the north, outside the North Gate): parking design and management (i.e. price policy will be studied to facilitate the residents).

• The HCECR will also study and promote the creation of special transportation, reserved access and parking areas, to facilitate visitor and resident target groups (permanent or temporary), such as families, aged persons and disabled, to avoid that community groups are excluded from the potential choice of visiting or living in the Citadel.

AXIS 6: OTHER NEIGHBOURHOOD FACILITIES

• The creation of facilities for both residents and visitors will be studied by the HCECR in cooperation with the stakeholders as well as with concerned public and private bodies, in order to make the Citadel an attractive place to visit and to live in, to raise the awareness and interest in living in the historic environment in all target groups among which young people. Among these facilities are:
  
  – pharmacy and small clinic;
  
  – laundry;
  
  – post office;
  
  – banking service with ATM;
  
  – police station;
  
  – fire station; and
  
  – kindergarten and primary school.
7.7. Aim 7: Legal/Institutional Framework and Capacity Building

**AXIS 1: LEGAL FRAMEWORK AND INSTITUTIONAL RELATIONSHIPS**

- Follow up the finalisation and promote the adoption of the legislation concerning the institutionalization of the HCECR, based on the recommendations and legal tools proposed within the framework of the institutionalisation process conducted in parallel with this Management Plan.

- Once the legislation is approved, finalise rules of procedures and duties of the HCECR, of its Board and Chairperson, as well as the organisational structure, defining detailed terms of references and job descriptions for the staff.

- Develop the new administrative structure of the HCECR; the recommended structure proposed by the institutionalisation will be composed by three departments:
  - General Management Department;
  - Technical Affairs Department; and
  - External Relations, Promotion, Investment and Tourism Department.

- The institutional reinforcement according to such plan would be implemented in two phases, employing a total of 68 staff in the first phase and up to 96 staff in the second phase. The organisational charts as well as the structure, staffing and duties of these departments, sections and units have been defined and are presented in Annex A.

- Make the Management Plan available to governmental institutions that may have a role in its implementation and hold individual meeting with such institutions to formally agree on coordination procedures for project design and implementation.

**AXIS 2: MANAGEMENT PLAN IMPLEMENTATION AND SUPPORT**

- Transfer the HCECR’s Citadel Management Office to a historic house within the Citadel.

- Establish an effective system for the implementation of the Management Plan, such a system should include:
  - effective partnerships among the key stakeholders with wider involvement of other partners, including the local community;
  - commitment of stakeholders to implement those policies and actions for which they are responsible;
  - utilise the HCECR’s Board to oversee the implementation of the Plan, and ensure that all decisions move towards the achievement of the Vision for the Citadel;
  - ensure adequate resourcing; and
  - regular monitoring and review of the implementation of the Plan and of the condition of the proposed World Heritage Site.

- Any development in the buffer zone should be compatible with the Citadel’s conservation. Major new infrastructure projects in the buffer zone and planning protection zones should not be planned in isolation, but their impact on the Citadel and historic lower city should be evaluated through impact assessments.
• Conduct yearly reviews of the accomplishments of the management plan, adjust objectives and strategies, formulate new policies.

**AXIS 3: CAPACITY BUILDING**

• **Identify gaps in the capacities** of the HCECR staff (professional and technical) to implement the required projects.

• Prepare or commission and implement a **capacity-building programme** for different professional figures and for technical staff.

• Engage universities to **develop specialist courses** for professions linked to the Citadel revitalization efforts.

• **Take advantage of existing programs** such as ICCROM’s ‘Athar’ in Sharjah, or other ICCROM’s courses in Rome, as well as Master programs in European schools and universities on buildings conservation, site management planning, public archaeology, etc., and consider the possibility to send staff to such courses.

• Develop and continue **programmes to preserve and regenerate craftsmanship related to conservation**, and evaluate the possibility to create, or encourage the creation, of vocational schools dedicated to training to conservation.

**AXIS 4: WORLD HERITAGE NOMINATION FILE**

• **Prepare the nomination of the Citadel for inscription on the UNESCO World Heritage List**, including: identifying procedures, gathering and organising all documentation, taking steps for the fulfilment of all requirements, preparing and implementing an action plan for the compilation and submission of the nomination file.

**7.8. AIM 8: INVESTMENT, MARKETING AND FUNDING**

**AXIS 1: INVESTMENT OPPORTUNITIES**

• **Study the method for providing long leases for buildings or blocks to developers.** Their project design and implementation will have to respect strict criteria established and monitored by the HCECR. These will be developed within the frame of a general **business development plan**, to be prepared with the technical support of international experts in the field of economics of cultural heritage (Annex D provides some guidelines).

• Allow private investment in the **Citadel transport system** (feasibly based on small electric vehicles).

• Within the framework of the Tourism Management Plan, **develop a feasibility and carrying capacity study for hotel and tourist service development** on the Citadel, including:
  
  − a 5-star hotel, perhaps in Block 12;
  − smaller hotels, at different price levels, and bed and breakfast facilities in guest houses; in addition to the conversion of one or more adjacent houses to small hotels, the model of a ‘dispersed hotel’ is also possible, where a number a houses which do not necessarily directly adjoin can be combined to form a single hotel;
  − the (reconditioned) **hammam**;
– a number of restaurants and cafes; and
– art galleries and craft workshops/shops.

**AXIS 2: MARKETING AND BRANDING**

- The Marketing specialist and the Public Relations officer will coordinate activities to engage the interest of potential investors, including businesses, private individuals, foreign institutions and diplomatic missions.

- Approach potential sponsors of conferences, exhibitions and special events with information on the Citadel and its opportunities, and how they or their organisations might benefit from sponsoring an event.

- Define a detailed marketing phased strategy, including the marketing of ‘opportunities’ within the Citadel, in order to attract private investment in domestic accommodation and commercial premises, but also in tourism facilities, i.e. hotels, restaurants and cafés.

- Develop Citadel related gadgets, for sale at the Interpretation Centre and other outlets on site or in Erbil.

- Undertake a professional study for the development of a branding strategy, including a Citadel’s logo to be used in all promotional tools and Citadel-related products.

**AXIS 3: FUNDING OPPORTUNITIES AND FINANCIAL INCENTIVES**

- Prepare a fund-raising strategy based on examples of international best practice, identifying different methods to promote financial assistance and sponsorship.

- Survey donors’ opportunities among private businesses and non-profit organisations, at the regional, national and international level.

- Prepare a package of information concerning various Citadel development projects and for distribution among potential donors.

- Prepare a feasibility study and a strategy on the introduction of diverse forms of financial incentives (i.e. loan and credit facilities) and fiscal measures (i.e. tax relief, VAT rebate).

- Within the frame of the business development plan, review the possibility of raising tourism revenue for investment in conservation through an entry charge or through a single-ticket system providing access to different buildings/attractions.
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- 2009. *In-depth Survey and Studies Covering the Structural Condition of the Citadel, Vol. 2: Inspection forms for In-depth Structural Studies*.
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www.catalhoyuk.com/pdfs/Catal_SMP.doc

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St. Kilda (UK):

Stonehenge (UK):

Westminster (UK):
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(http://www.getty.edu/conservation/publications_resources/pdf_publications/valuesrpt.pdf)


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http://icomos.org/en/charters-and-texts (contains most of the charters and doctrinal texts on conservation which are mentioned in the text).
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Map 3 – Adopted building grading system
Map 4 – Open spaces and built areas
Map 5 – Alleyways by width
Map 6 – Historic building fabric
Map 7 – Proposed intervention categories
Map 8 – Detailed building surveys and studies
Map 9 – Ongoing and planned conservation/rehabilitation works
Map 10 – District division and land-use proposal
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Map 12 – Building use under allocation
Map 13 – Proposed tourist circuit and rest areas
Map 14 – Priority intervention areas
Boundaries

Management of the Buffer Area of the Erbil Citadel

The Management of the Buffer Area of the Erbil Citadel is a project developed within the frame of a UNESCO and Erbil Governorate/HECEC initiative. Its implementation (with the technical assistance of ARS Progetti, international consulting company) was supervised by a steering committee representing all parties. The main document resulting from this activity, the Urban Design Guidelines for the Buffer Zone of Erbil Citadel, was adopted in June 2011 by Erbil Governorate and is currently in force.

The Urban Design Guidelines set prescriptions and recommendations for an area of approximately 250 ha, which extends concentrically around the Erbil Citadel. The objective of this document (which in practice can be considered as a management plan for the buffer zone) is to establish concise urban design guidelines to safeguard the character of Erbil Citadel and surrounding historic districts, by controlling and guiding development within an area of protection surrounding the Citadel (the 'buffer zone') for a period of 10 years.

Specific objectives of the guidelines are:
- to enhance the integration and connectivity between the Citadel and the surrounding districts;
- to produce a clear and easily understandable set of recommendations which will guide the development of different buildings and sites within the buffer zone; and
- to advise on the necessary delivery mechanisms according to the particular characteristics of each area and site.

MAP 1
ERBIL CITADEL AND ITS CONTEXT
JANUARY 2012
Numbering system

A new base map has been prepared in the framework of the Conservation and Rehabilitation Master Plan (CRMP), for the purposes of overall site conservation planning.

The new base map has then been used as a base for the contour map and the other thematic base maps which illustrate the CRMP reports. This map is adopted also as a base map for this Management Plan.

Consistently with the new updated map and with the survey and inventory of 320 graded buildings of the Citadel, a new sequence of numbers has therefore been established by the CRMP and further developed by the HCECR.

- Big numbers in black: building blocks
- Small numbers in black: 320 graded buildings and public/religious structures
- Small numbers in red and tagged with a $5$: ungraded structures and plots
Grade of buildings

- Grade 1 (very important): 11 buildings
- Grade 2 (important): 82 buildings
- Grade 3 (less important): 227 buildings
- Public structures: 16
- Ungraded shacks: 252 structures or plots

ADAPTED FROM: CCD, HBA, EC, Conservation and Rehabilitation Master Plan UNESCO/HCECR, 2011
Graded Buildings, page 33

A.R.S. Progetti S.P.A.
Ambiente Risorse Sviluppo

MAP 3
ADOPTED BUILDING GRADING SYSTEM
JANUARY 2012
Classification of alleways by width

- Red: Alleway width more than 3 m
- Orange: Alleway width between 2 - 3 m
- Blue: Alleway width less than 2 m
- Gray: Open spaces

SOURCE: CCD, HBA, EC. Conservation and Rehabilitation Master Plan UNESCO/HCOCR, 2011
Alleway classifications, page 83
Categories of intervention

- Conservation of existing building
- Conservation with restoration of missing parts
- Conservation combined with new build
- New build incorporating historic fragments
- Retained modern building
- New infill construction in accordance with Guidelines
- Special study
- Archaeological areas

SOURCE: CCD, HBA, EC
Conservation and Rehabilitation Master Plan
UNESCO/ECER, 2011
Conservation Strategies, page 477

MAP 7
PROPOSED INTERVENTION CATEGORIES
JANUARY 2012
Latest surveys & measured drawings

- Erbil Citadel Revitalization Project (HCECR/UNESCO) - Phase 1
- Erbil Citadel Revitalization Project (HCECR/UNESCO) - Phase 2
- HCECR and other parties

MAP 8
DETAILED BUILDING SURVEYS AND STUDIES
JANUARY 2012

CONTRACT N. 450014455S
ESTABLISHMENT OF PROCEDURES FOR THE MANAGEMENT OF THE ERBIL CITADEL
Concept

Until around mid-20th Century, the Citadel used to be divided into three districts: Saray, Takya and Topkhana. The new land-use allocation takes inspiration from such historical districts division and naming, proposing four areas having a predominant use destination. Saray and Takya Centre would have a mixed-use combining cultural, craft and office use-related destination, while Takya and Topkhana would have a more specific destination, tourism-related the first and residential-related the second.

Saray: predominant cultural-related destination

Takya: predominant tourist-related destination

Takya Centre: predominant office-related destination

Topkhana: predominant residential-related destination

Based on this historical background, this proposal combines various criteria, in the first place the compatibility with the presence and types of graded historic buildings and practical issues related to access and circulation.
The tourist circuit illustrated on this map is meant to give some additional ideas elaborating on the itinerary traced by the Conservation and Rehabilitation Master Plan and on the new land-use proposal (maps 10-12). A series of eight rest areas are proposed along the circuit, starting from the southern gate (rest area 1) and moving counterclockwise. Each rest area could have its own name, to be determined by a specific marketing study, i.e. the name of a prominent house of the area. All rest areas would include a minimum of facilities (i.e. shady seats and waste bins), while some of them would offer more services. Thus, rest areas would function as focal points of the tourist circuit and of the organisation of tourism-related business.

- **Tourist Circuit**
  - **Rest Areas:**
    1. Grand Gate
    2. Chalabi Square
    3. Saray Square
    4. Auzairi Square
    5. Takiya Square
    6. Yaqoub Agha Square (Visitor Centre)
    7. Topkhana Square
    8. Chawishli Square
    9. Main archaeological area

- **Facilities included:**
  - Souvenir shop
  - Toilets
  - Archaeological area
  - Coffee shop
  - Information point
  - Beverages sale
  - Waste bin
  - Shady seats

**MAP 13**
PROPOSED TOURIST CIRCUIT AND REST AREAS
JANUARY 2012

A.R.S. Progetti S.P.A.
Ambiente Risorse Sviluppo
Establishment of procedures for the management of the Erbil Citadel

ERBIL CITADEL
MANAGEMENT
PLAN

ANNEXES

January 2012
ESTABLISHMENT OF PROCEDURES FOR THE MANAGEMENT OF THE ERBIL CITADEL

ERBIL CITADEL MANAGEMENT PLAN

Part 2 of 2: Annexes

January 2012

Elaborated by:

For:
THE UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION (UNESCO)
Quality control

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<td>Mohamed Sameh Amr, Specialist in Heritage Laws</td>
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<tr>
<td>Silvia Cravero, Cultural Heritage Architect/Planner</td>
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<td>Luca Introini, Culture Economist</td>
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Annex A

Citadel Management Office
The development of a new management structure is required in order to tackle the various activities required once the site management plan is approved and goes into its implementation phase. As it has been mentioned above, the new structure will be composed by three main departments, each with three to four sections.

Following is the recommended structure, including qualifications and number of staff for each function. The two columns on the right indicate the number of staff required in the first and second phase of plan implementation, the first phase feasibly lasting the first two years of plan implementation, and the second phase from year 3 to 5, when the plan will be revised.

### A.1. HCECR’s ORGANISATIONAL STRUCTURE

#### TOTAL HCECR’s STAFF

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### A.1.3. EXTERNAL RELATIONS, PROMOTION, INVESTMENT AND TOURISM DEPARTMENT

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A draft bylaw document has been prepared concerning the duties of the HCECR’s Board, departments, sections, units, and its relationship with other governmental bodies. Following are the duties of each department, section and unit of the HCECR.

A.2. DEPARTMENTS, SECTIONS AND UNITS DUTIES

The General Management Department will include four sections: the Office of the Head of the Commission, the Planning and Site Management Section, the Administration, Financial and Legal Section, and the Common Services and Logistics Section.

HEAD OF THE COMMISSION

1. The Commission shall be chaired by an employee holding a special rank to be appointed by the Prime Minister or other competent authority. The Head shall act on a full-time basis and shall be supported by a deputy Head and number of employees.

2. The Head of the Commission shall be chief administrative officer and the person responsible for due achievement of the Commission’s policies, objectives and specialties in light of the authorities and mandate assigned to him and according to the resolutions issued by the Commission’s Board in this regard. The resolutions, orders and instructions related to the Commission’s activities shall be issued in the name of the Head of the Commission. The Head of the Commission or his/her authorized delegate shall represent the Commission before courts, third parties and other entities. The Head, for the purpose of the above, shall:

   • Supervise the work process in the Commission and the related departments, sections and units, as well as coordinating between them.
   • Execute the Board resolutions and follow up the execution process.
   • Submit to the Commission’s Board regular reports, including the annual reports, regarding the work progress in the Commission and its financial position.
   • Prepare a draft projected budget (including the ancillary budgets for departments) as well as the final report for the final accounts and the Commission’s investment plans and submit same to the Board for review.
   • Appoint (or propose the appointment) of full-time and part-time employees, transfer them to other positions, accept their resignations, terminate their services, superannuate them and impose disciplinary actions in accordance with the provisions of the Law and supervise the Commission’s employees and staff.
   • Sign the contracts and undertakings within the limits authorized by the Board, including the conclusion of contracts with the persons having expertise and competence, other than the employees, and determine their wages and remunerations.
   • Form standing and temporary committees and authorities, duly comprised of persons having expertise and competence. These committees and authorities shall be assigned to study the issues related to the tasks and role of the Commission.
   • Propose the incorporation, merger or cancellation of Commission’s committees and their branches as per the work requirements, and present these proposals to the Board Chairman for review.
   • Approve payments and issue orders regarding the expenses of the Commission, approve the transfer from/to the entries of expenses budget of the Commission, without prejudice to the central directives and the powers granted to this effect.
• Carry out any other duties assigned by the Board within the framework of his/her authorities and powers.

The Head shall further be authorized to delegate all or part of the said powers to his/her deputy (any of the Commission’s associates or employees).

**OFFICE OF THE HEAD OF THE COMMISSION**

This office shall undertake the following functions:

• Prepare the Commission’s work programs, following up due implementation of the Commission’s decisions, reporting these decisions to the competent authorities, participating -jointly with the other Commission staff- in formulating general policies, and studying the issues raised to the Commission’s Head.
• Undertake the Commission’s secretarial activities and organize all issues related to the Commission Head’s meetings.
• Participate in the preparation of annual investment plans and other development plans which may include the general targets and the indicators of overall and sectoral development, and further assess and propose development plans.

**PLANNING AND SITE MANAGEMENT SECTION**

This Section shall be entrusted with issues relevant to the general management of the Commission and of the site of Erbil Citadel, as follows:

• General supervision of the site of Erbil Citadel.
• Collect and coordinate the ancillary plans of the Commission’s departments, and drafting them in a unified plan for the Commission.
• Develop and follow up due implementation of the Commission’s management plan and other ancillary plans and develop monthly, seasonal and annual reports on the work process, and clarify the implementation rates, deviations, if any, and propose the means for curing same.
• Collect the statistical information and data and analyze same for the purpose of planning, as well as providing the competent entities inside the Commission with all required statistical data.
• Prepare programs for the projects and review the scope of their efficiency as per the most updated formulas, in coordination with the Technical Affairs Department.
• Follow up the targets and indicators of plans, assess the projects and the findings of technical and economic feasibility studies for the projects of Erbil Citadel area including periodical assessment and analysis of the adopted development policies and propose relevant appropriate amendments.
• Conduct research and studies on all elements that support the planning and development issues in the area of Erbil Citadel.
• Prepare and draft the general objectives and framework of the annual and five-year plans.
• Set up long-term planning directions and indicators in light of the general strategy.
• Undertake all the works required for managing the site of Erbil Citadel according to the law.
• Review and evaluate the reports and studies developed by the foreign institutions and firms implementing the projects of Erbil Citadel development plans.
• Coordinate with the competent entities and follow up its implementation and evaluate technical and economic feasibility studies for the projects to be established. This is in addition to establishing planning and development studies.
• Establish governance system for projects, coordinate works between different entities, follow up and evaluate the works of contractors and follow up the implementation of projects among the different programs and plans.

**ADMINISTRATION, FINANCIAL AND LEGAL SECTION**

This Section shall be assigned to handle the administrative and accounting affairs, handle all administrative and personnel issues in the Commission, organize the records, registries and files of employees, handle the employment contracts (including the expatriates’ accommodation and departure transaction), handle the control, audit and legal affairs, give consultations to the other Commission departments and sections with respect to the applicable laws, systems and instructions relating the activities performed by the department or section in question. It will be composed of three units.

1- **Personnel Affairs Unit:**

This unit will undertake the following task:

• Undertake the procedures for appointment of the Commission’s staff, for upgrading employees and granting them annual allowances, and further undertake the procedures for granting seniority to employees, promoting them, and determining their salaries and undertake the procedures regarding retirement or resignation of employees.

• Set up plans for training and qualifying the Commission’s manpower, and prepare curricula for the training courses whether internally or externally.

2- **The Financial Affairs Unit:**

This unit will undertake the following tasks:

• Prepare monthly and annual trial balances, and further prepare the conclusive accounts at the end of the year.

• Record the Commission’s assets and properties by endorsing same in the registries as well as any changes thereto.

• Prepare the forecasted budgets regarding the materials and items to be used, in coordination with the other departments and sections and by virtue of the Board directives.

• Make transfers from/to the budget accounts, if required, after obtaining relevant approval from the Commission’s Board and the competent government agencies.

• Supervise the process of implementation of the planning budget of the Commission and its projects.

• Conduct audit on all documents (vouchers, disbursements and receivables) prior to and after disbursement, in accordance with the instructions stated in the Commission’s Law and the Board’s resolutions.

• Participate in the inventory for assets and warehouses.

• Disburse money from the Commission’s accounts to pay for the salaries of the Commission’s employees and the dues of the contracting agencies.
3- The Legal and Contracting Unit:

This unit will undertake the following tasks:

- Study documents, draft contracts and agreements in relation to the Commission’s activities, draft the general terms and conditions of contracts, including the lease contracts concluded with the Commission, and continuously study these contracts for the purpose of amendment whenever required.
- Prepare draft systems and instructions in relation to the plans of the Commission, give the necessary legal advice to the Commissions departments, sections and units.
- Propose legal solutions for handling the problems that may hinder the process of implementation of the plan.
- Represent the Commission before courts, authorities and judicial committees in all matters related to the Commission’s activities.
- Keep and maintain registries on the housing units and service buildings belonging to the Commission, and follow up all related requirements.

**COMMON SERVICES AND LOGISTICS SECTION**

This section will undertake the following tasks:

- Maintain the modern buildings located in the area of Erbil Citadel, undertake regular maintenance activities in accordance with the maintenance plans duly approved by the Commission’s Board.
- Coordinate with the other Governmental authorities and departments with respect to the operation of main services rendered in the area of Erbil Citadel (i.e., water, sewage, electricity).
- Perform the procurement activities required for meeting the Commission’s needs, including the furniture, devices and stationery.
- Supervise the means of transportation used by the Commission, ensure proper maintenance thereof and conduct a relevant traffic control.
- Undertake all custom clearance procedures for all the items imported by the Commission.
- Supervise the operation and maintenance of the electrical appliances, audio devices, air conditioning devices and surveillance cameras, as well as phone lines, the extension and removal thereof, and the other internet and communication utilities; coordinate with the relevant parties responsible for operating those systems.
- Supervise the plans related to securing the entrances to the Citadel, its buildings and assets and performing the required arrangements with the entities in charge of security operations.
- Control the entry and exit points of the Citadel for the purpose of managing the access of individuals and vehicles.

**A.2.2. TECHNICAL AFFAIRS DEPARTMENT**

This department shall be assigned to all activities concerning physical interventions on the Citadel, from planning to implementation and project supervision. It is composed of three sections: the Survey and Documentation Section, the Conservation and Rehabilitation Section, and the Monitoring and Maintenance Section.
SURVEY AND DOCUMENTATION SECTION

This section will develop and provide to the other sections and departments accurate plans of the inventoried site and buildings under protection, will maintain its database and GIS. To this end, it shall undertake the following tasks:

- Provide surveys and survey maps of various types for the purpose of developing policies, maintenance, conservation and rehabilitation plans for the area of Erbil Citadel including the buildings there in.
- Draw maps as per the work requirements of the Commission’s departments, sections and units and check the accuracy of existing surveys and drawings and provide new survey if required.
- Develop and maintain a GIS-based inventory of the Citadel and individual buildings.
- Develop procedures and methods for the rapid assessment of building conditions, specially the old buildings.
- Continue the documentation of individual buildings and develop new forms for data collection if required. Document and study the decorative elements of these buildings and prepare an inventory of such elements.
- Develop and maintain a database of projects, activities and an archive to include all the documents available at the Commission.
- Continue programs of research into oral histories of previous inhabitants of the Citadel, and other related research into intangible elements of life on the Citadel.

CONSERVATION AND REHABILITATION SECTION

This section will undertake the following tasks:

- Supervise the protection, maintenance, conservation and rehabilitation of cultural heritage in the area of Erbil Citadel.
- Supervise the implementation of projects, coordinate the on-site inspection of contractors’ works, and follow up the implementation of works in accordance with the contractual specifications and timeframes, either through the unit staff or by contracting with experts or specialized consulting firms.
- Study all the technical aspects related to the Commission and undertake all the investigation, survey, studies, design and forecast activities.
- Conduct conservation works and rehabilitate the architectural heritage and allocate resources to adaptive reuse consistently with the land-use plan.
- Coordinate the development of tender documents for the conservation and rehabilitation works and define the terms of reference and the selection criteria.
- Supervise the implementation of conservation and rehabilitation works performed by other entities and the selected and technically qualified companies in order to ensure that the conservation and rehabilitation works designed and implemented by other parties meet the required quality standards and are in line with the guidelines, manuals and resolutions of the Commission.
- Prepare the technical aspects of tender documents.
- Secure and train the Technical staff required for the Commission either by the Commission’s staff or by contracting advisors or consultants or specialized consulting firms.
- Develop guidelines and handbooks to guide and coordinate architectural research analysis, diagnosis, maintenance, conservation and rehabilitation of heritage buildings and the urban fabric in line with international standards and the relevant rules.
- Conducting research and studies, organizing international conferences regarding issues connected with the research, safeguard, rehabilitation and revitalization of Erbil Citadel.
• Before the end of each fiscal year, prepare a report on the activities conducted, and a proposal for activities to conduct the following year, to submit to the Commission’s Board for approval.
• Supervise the plans of drinking water, wastewater and drainage projects and the electric energy distribution, lighting, traffic lights and communication and provide consultancy on the studies related to all the relevant tasks.
• Develop detailed plans and project documents for constructions and buildings in view of the master plan with the aim of preserving the Erbil Citadel site and the rules of relevant vacant land use.
• Develop all the studies related to the preservation of the existing historical buildings and urban fabric in addition to the new buildings and the infrastructure of the area of Erbil Citadel.
• Develop detailed schedules of the requirements of materials, equipment and labour force as required for work implementation as per the related programs, in addition to identifying the different specializations in view of the Commission’s objectives and plans.

**MONITORING AND MAINTENANCE SECTION**

This section will undertake the following tasks:

- Establish procedures for the continuous monitoring of buildings, establish procedures for the mapping of risks, and provide regular reports on buildings and areas where risk is higher and recommend the intervention of specialists if required.
- Carry out general maintenance and repair required for the historic buildings according to specific guidelines.
- Submit regular reports to the Commission’s Head concerning the results of the monitoring activities.
- Carry out regular monitoring visits in order to address any negative change or factor that could potentially harm the site and its features or constitute a potential threat to the safety of people working, living, or visiting the Citadel.
- Salvage historic fittings from collapsed homes and store them appropriately for either conservation and display, or for use, according to guidelines.

**A.2.3. EXTERNAL RELATIONS, PROMOTION, INVESTMENT AND TOURISM DEPARTMENT**

This department will be engaged with all activities concerning public relations, promotion, information, and marketing of the Citadel and will be composed of three sections: the Public Relations, Information, and Media Section, the Marketing and Investment Section, and the Tourism Promotion Section.

**PUBLIC RELATIONS, INFORMATION, AND MEDIA SECTION**

This section will undertake the following tasks:

- Create awareness of the project of revitalization of Erbil Citadel and the Commission’s activities using the duly available mass media.
- Hold celebrations and festivals as resolved by the Commission’s Board including receptions and ceremonies as required by the supreme management of the Commission.
- Make scientific trips and exchange visits for the Commission associates for the purpose of increasing their knowledge and strengthening friendship ties among them.
- Follow up the news published in newspapers and magazines with respect to the planning and development issues related to Erbil Citadel, and give responses thereto if required.
• Enhance and strengthen the relationship between the employees of the Commission through performance of social activities.
• Translate the materials referred to any other department, sections and units in the Commission.
• Coordinate with the concerned departments and Ministries.
• Develop the requirements for holding the seminars, conferences and exhibitions duly organized by the Commission in coordination with the other concerned authorities.
• Prepare and implement an integrated strategy to actively promote for the Commission, and prepare promotional programs to help raise investment awareness of the investment, commercial and touristic projects in the area of Erbil Citadel through the various mass media.
• Set up protocol procedures for official delegations, including the establishment of a preferred access route and itinerary to follow on the Citadel and assist in issuance of visas for the incoming delegations wishing to visit the Citadel.
• Develop and maintain the Commission’s website.

**MARKETING AND INVESTMENT SECTION**

This section will undertake the following tasks:

• Undertake the commercial and investment marketing duties and attracting investment to the area of Erbil Citadel.
• Identify the interest of potential investors, including businesses, private individuals, foreign institutions and diplomatic missions and propose plans for specific development such as buildings rehabilitation and the provision of tourist services.
• Find partnerships among investment and commercial institutions in the tourism sector to market the area of Erbil Citadel as a cultural, tourist and commercial attraction.
• Prepare annual investment plans in coordination with the other departments of the Commission including follow up and analysis of the expenses and revenues of annual investment plans, and prepare the related reports.
• Evaluate the projects, and study the reports on the technical and economic feasibility studies of projects.

**TOURISM AND PROMOTION SECTION**

This section will undertake the following tasks:

• Coordinate the development of plans and strategies for all the tourism development aspects for the area of Erbil Citadel.
• Identify visitor categories and interests, finding out their views and conducting questionnaires.
• Develop recorded materials, publications and signboards to identify the site of Erbil Citadel and undertake all the interpretation for all languages as per the target groups.
• Work with tour operators to encourage the development of tour programs for the area of Erbil Citadel.
• Work with potential sponsors of conferences, exhibitions and special events to make them aware of the significance of the Citadel.
• Organize publicity campaign in all forms of media - television, newspapers, magazines, the internet, etc. This effort should target both regional and international audiences.
# List of Acronyms

**HCECR**

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AFL</td>
<td>Administration, Financial, and Legal Section (General Management Department)</td>
</tr>
<tr>
<td>CR</td>
<td>Conservation and Rehabilitation Section (Technical Affairs Department)</td>
</tr>
<tr>
<td>CSL</td>
<td>Common Services and Logistics Section (General Management Department)</td>
</tr>
<tr>
<td>ERPIT</td>
<td>External Relations, Promotion, Information and Tourism Department</td>
</tr>
<tr>
<td>FA</td>
<td>Financial Affairs Unit (Administration, Financial, and Legal Section, General Management Department)</td>
</tr>
<tr>
<td>GM</td>
<td>General Management Department</td>
</tr>
<tr>
<td>LC</td>
<td>Legal and Contracting Unit (Administration, Financial, and Legal Section, General Management Department)</td>
</tr>
<tr>
<td>MI</td>
<td>Marketing and Investment Section (External Relations, Promotion, Information and Tourism Department)</td>
</tr>
<tr>
<td>MM</td>
<td>Monitoring and Maintenance Section (Technical Affairs Department)</td>
</tr>
<tr>
<td>OH</td>
<td>Office of the Head Section (General Management Department)</td>
</tr>
<tr>
<td>PA</td>
<td>Personnel Affairs Unit (Administration, Financial, and Legal Section, General Management Department)</td>
</tr>
<tr>
<td>PRIM</td>
<td>Public Relations, Information and Media Section (External Relations, Promotion, Information and Tourism Department)</td>
</tr>
<tr>
<td>PSM</td>
<td>Planning and Site Management Section (General Management Department)</td>
</tr>
<tr>
<td>SD</td>
<td>Survey and Documentation Section (Technical Affairs Department)</td>
</tr>
<tr>
<td>TA</td>
<td>Technical Affairs Department</td>
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<tr>
<td>TP</td>
<td>Tourism Promotion Section (External Relations, Promotion, Information and Tourism Department)</td>
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</table>

**OTHER**

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tbody>
<tr>
<td>DAH</td>
<td>(Erbil) Directorate of Antiquities and Heritage</td>
</tr>
<tr>
<td>DE</td>
<td>Department of Electricity</td>
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<tr>
<td>DS</td>
<td>Department of Sewerage</td>
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<tr>
<td>DW</td>
<td>Department of Water</td>
</tr>
<tr>
<td>EM</td>
<td>Erbil Municipality</td>
</tr>
<tr>
<td>IB</td>
<td>Investment Board</td>
</tr>
<tr>
<td>KRG</td>
<td>Kurdistan Regional Government</td>
</tr>
<tr>
<td>MCY</td>
<td>Ministry of Culture and Youth (KRG)</td>
</tr>
<tr>
<td>ME</td>
<td>Ministry of Education (KRG)</td>
</tr>
<tr>
<td>MMT</td>
<td>Ministry of Municipalities and Tourism (KRG)</td>
</tr>
<tr>
<td>TD</td>
<td>Tourism Department (MMT)</td>
</tr>
</tbody>
</table>
ANNEX B - Implementation plan

NOTE: These estimates are meant to give a preliminary idea of the costs and must not be considered a final budget.

<table>
<thead>
<tr>
<th>Implementation Plan - Aim 1: Research and excavation</th>
</tr>
</thead>
<tbody>
<tr>
<td>STRATEGIC AXES</td>
</tr>
<tr>
<td>1. Citadel general site survey drawings</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>2. Geological and geotechnical analyses of the tell</td>
</tr>
<tr>
<td>3. GIS-based inventory and documentation centre</td>
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<td></td>
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<td></td>
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<tr>
<td>4. Archaeological research and excavation</td>
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<td></td>
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<tr>
<td>5. Multidisciplinary research programme</td>
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<td></td>
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<tr>
<td>6. Special research areas</td>
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<td></td>
</tr>
</tbody>
</table>

TOTAL Aim 1: 1,600,000.00
<table>
<thead>
<tr>
<th>STRATEGIC AXES</th>
<th>ACTIONS</th>
<th>RESPONSIBLE SECTIONS</th>
<th>POTENTIAL PARTNERS/ASSISTANCE/ADVICE</th>
<th>PHASES</th>
<th>ESTIMATED COSTS (US $)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Site and buildings inventory and legal protection</td>
<td>2.1.1. Establish and maintain a GIS-supported inventory of the Citadel’s cultural heritage</td>
<td>SD</td>
<td>MMT, DAH</td>
<td>YR 1</td>
<td>80,000.00</td>
</tr>
<tr>
<td></td>
<td>2.1.2. Ensure that the inventory fulfills the requirements for the WH list nomination</td>
<td>CR</td>
<td>UNESCO</td>
<td>YR 2-3</td>
<td>50,000.00</td>
</tr>
<tr>
<td>2. Maintenance, monitoring and preventive conservation</td>
<td>2.2.1. Promote maintenance and preventive conservation and improve methods</td>
<td>CR/MM</td>
<td>UNESCO, International inst/org</td>
<td>YR 2-3</td>
<td>150,000.00</td>
</tr>
<tr>
<td></td>
<td>2.2.2. Pursue the ongoing houses maintenance, small repair and monitoring work</td>
<td>MM</td>
<td></td>
<td></td>
<td>2,500,000.00</td>
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<tr>
<td></td>
<td>2.2.3. Reinstall the ‘tell-tales’ and reactivate the monitoring programme</td>
<td>MM</td>
<td>Universities</td>
<td></td>
<td>120,000.00</td>
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<tr>
<td></td>
<td>2.2.4. Develop a methodology for site maintenance with an archaeological concern</td>
<td>MM/MM</td>
<td></td>
<td></td>
<td>50,000.00</td>
</tr>
<tr>
<td></td>
<td>2.2.5. Maintain other Citadel's elements of value</td>
<td>MM</td>
<td></td>
<td></td>
<td>100,000.00</td>
</tr>
<tr>
<td>3. Endangered buildings and risk mitigation</td>
<td>2.3.1. Develop and maintain a Risk Map for the whole Citadel and the slope</td>
<td>MM</td>
<td>International inst/org/UNESCO</td>
<td>YR 2-3</td>
<td>300,000.00</td>
</tr>
<tr>
<td></td>
<td>2.3.2. Create a list of endangered buildings to put under special additional protection</td>
<td>MM</td>
<td>UNESCO</td>
<td>YR 4-5</td>
<td>0.00</td>
</tr>
<tr>
<td></td>
<td>2.3.3. Develop a strategy for risk prevention, mitigation and management</td>
<td>CR/MM</td>
<td>Universities/UNESCO</td>
<td></td>
<td>50,000.00</td>
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<tr>
<td>4. Conservation activity planning</td>
<td>2.4.1. Continue the coordination and supervision of ongoing conservation projects</td>
<td>CR</td>
<td></td>
<td></td>
<td>10% of cost</td>
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<tr>
<td></td>
<td>2.4.2. Develop a conservation programme in the short, medium, and long term</td>
<td>CR</td>
<td>UNESCO</td>
<td></td>
<td>50,000.00</td>
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<tr>
<td></td>
<td>2.4.3. Pursue preliminary research for the reconstruction of the South Gate</td>
<td>SD, CR</td>
<td>UNESCO</td>
<td>YR 1</td>
<td>250,000.00</td>
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<tr>
<td></td>
<td>2.4.4. Develop an overall strategy for urban conservation</td>
<td>CR/PSM</td>
<td>UNESCO</td>
<td></td>
<td>50,000.00</td>
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<tr>
<td>5. Strategies and guidelines for conservation approaches</td>
<td>2.5.1. Review the conservation strategy and categories proposed by the CRMP</td>
<td>CR</td>
<td>UNESCO</td>
<td></td>
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<tr>
<td></td>
<td>2.5.2. Develop a flexible strategy and guidelines for conservation approaches</td>
<td>CR</td>
<td>UNESCO</td>
<td></td>
<td>100,000.00</td>
</tr>
<tr>
<td></td>
<td>2.5.3. Compile a technical conservation manual with guidelines for the Citadel</td>
<td>CR</td>
<td>UNESCO, International inst/org</td>
<td></td>
<td>200,000.00</td>
</tr>
<tr>
<td>6. Conservation capacities, crafts and materials</td>
<td>2.6.1. Develop training programmes for conservation professionals and craftsmen</td>
<td>PSM/CR</td>
<td>UNESCO, International inst/org</td>
<td></td>
<td>300,000.00</td>
</tr>
<tr>
<td></td>
<td>2.6.2. Develop a strategy for supply and quality of conservation materials</td>
<td>PSM/CR</td>
<td>UNESCO</td>
<td></td>
<td>50,000.00</td>
</tr>
</tbody>
</table>

TOTAL Aim 2 4,400,000.00
## Implementation Plan - Aim 3: Rehabilitation, reuse and revitalization

<table>
<thead>
<tr>
<th>STRATEGIC AXES</th>
<th>ACTIONS</th>
<th>RESPONSIBLE SECTIONS</th>
<th>POTENTIAL PARTNERS/ASSISTANCE/ADVICE</th>
<th>PHASES</th>
<th>ESTIMATED COSTS (US $)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Adaptive reuse of the Citadel’s buildings</td>
<td>3.1.1. Develop guidelines for adaptive reuse of the Citadel’s areas and buildings</td>
<td>CR/PSM</td>
<td>UNESCO</td>
<td>YR 1</td>
<td>100,000.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>YR 2-3</td>
<td></td>
</tr>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>YR 4-5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3.1.2. Develop a general flexible land-use plan and buildings allocations</td>
<td>CR/PSM</td>
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<td>100,000.00</td>
</tr>
<tr>
<td>2. Resettlement approach and target groups</td>
<td>3.2.1. Develop a resettlement strategy and identify incentives for target groups</td>
<td>PSM/CR/MI</td>
<td>Housing Depts, Private Sector, Civil Society</td>
<td></td>
<td>80,000.00</td>
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<tr>
<td></td>
<td>3.2.2. Identify services and facilities needed to attract different target groups</td>
<td>PSM/CR/MI</td>
<td>Civil Society</td>
<td></td>
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</tr>
<tr>
<td>3. Buildings rehabilitation approach</td>
<td>3.3.1. Develop guidelines for rehabilitation and upgrading of historic buildings</td>
<td>CR</td>
<td>UNESCO</td>
<td></td>
<td>200,000.00</td>
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<tr>
<td>4. New infill buildings in regeneration areas</td>
<td>3.4.1. Develop guidelines for the construction of new infill buildings</td>
<td>CR</td>
<td>UNESCO</td>
<td></td>
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<tr>
<td>5. Phasing of the revitalization process</td>
<td>3.5.1. Develop a detailed phased strategy for the revitalization process</td>
<td>PSM/CR</td>
<td>UNESCO</td>
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**TOTAL Aim 3**: 630,000.00
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<th>PHASES</th>
<th>ESTIMATED COSTS (US $)</th>
</tr>
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<tbody>
<tr>
<td>1. Interpretation and site presentation</td>
<td>4.1.1. Develop an interpretation and site presentation framework and plan</td>
<td>TP/PSM</td>
<td>TD</td>
<td>YR 1</td>
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<td></td>
<td>4.1.2. Establish an Interpretation Centre in the 'priority area'</td>
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<tr>
<td></td>
<td>4.1.3. Activate a circuit inside the Citadel with interpretation tools and rest areas</td>
<td>CR/TP</td>
<td></td>
<td>YR 4-5</td>
<td>see cost in Annex C, Table 1</td>
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<tr>
<td></td>
<td>4.1.4. Develop interpretation guidelines for diversified target groups</td>
<td>CR/TP</td>
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<tr>
<td></td>
<td>4.1.5. Provide training to tourist guides</td>
<td>TP/AFL</td>
<td>TD</td>
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<tr>
<td>2. Publications and media</td>
<td>4.2.1. Create an audio tour based on the tourist circuit in the Citadel</td>
<td>PRIM</td>
<td>TD, private companies</td>
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<tr>
<td></td>
<td>4.2.2. Produce a brochure with a plan of the Citadel</td>
<td>PRIM/SD</td>
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<td></td>
<td>4.2.3. Produce a brochure and guide of the external wall circuit</td>
<td>PRIM/SD</td>
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<td></td>
<td>4.2.4. Produce a Citadel guidebook</td>
<td>PRIM/SD</td>
<td>MCY</td>
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<td></td>
<td>4.2.5. Ensure wide distribution of brochures and guidebooks</td>
<td>PRIM</td>
<td>TD</td>
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<td>4.2.6. Develop multimedia related to the Citadel and its events</td>
<td>PRIM</td>
<td>TD</td>
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<tr>
<td>3. Tourism development and management</td>
<td>4.3.1. Prepare a Tourism Management Plan</td>
<td>TP</td>
<td>UNESCO/TD</td>
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<td></td>
<td>4.3.2. Develop the tourism strategy networking with other sites in the region</td>
<td>TP</td>
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<td>4.3.3. Design and plan the long-term tourist circuit and rest areas</td>
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<td>4.3.4. Develop a strategy for tourism promotion at the International level</td>
<td>TP/PSM</td>
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<td>-------------------------------------------------------------------------</td>
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<tr>
<td>1. Education activities for schoolchildren</td>
<td>5.1.1. Develop an education plan including the establishment of an Education Centre</td>
<td>PRIM/CR</td>
<td>ME</td>
<td>YR 1 YR 2-3 YR 4-5</td>
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<td></td>
<td>5.1.2. Develop teaching materials for schoolchildren and students of different levels</td>
<td>PRIM/TP/SD</td>
<td>ME, UNESCO</td>
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<td></td>
<td>5.1.3. Provide information and training to teachers on heritage education</td>
<td>PRIM</td>
<td>ME, UNESCO</td>
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<td></td>
<td>5.1.4. Organize a drawing/essay competition, with prizes</td>
<td>PRIM</td>
<td>ME</td>
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<tr>
<td>2. Relationships with universities and colleges</td>
<td>5.2.1. Collaborate with academic institutions for archaeological research</td>
<td>PSM/SD</td>
<td>Universities</td>
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<td>0.00</td>
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<tr>
<td></td>
<td>5.2.2. Collaborate with academic institutions to develop specialist fields of study</td>
<td>PSM</td>
<td>Universities</td>
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<tr>
<td></td>
<td>5.2.3. Encourage research and dissertations among students and academics</td>
<td>SD</td>
<td>Universities</td>
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<tr>
<td></td>
<td>5.2.4. Add a scientific component to the 'Citadel Days' and 'Citadel Weeks'</td>
<td>PRIM</td>
<td>Archaeologists, historians, etc.</td>
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<td></td>
<td>5.2.5. Plan the organisation of an international conference every 2 to 4 years</td>
<td>PRIM</td>
<td>Universities, Scholars, International int/org</td>
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<td>3. Community participation and awareness raising</td>
<td>5.3.1. Continue the HCECR's oral history and holistic memory programme</td>
<td>SD</td>
<td>MCY</td>
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<td></td>
<td>5.3.2. Promote and facilitate the creation of an association 'Friends of the Citadel'</td>
<td>PRIM</td>
<td>NGOs, civil society</td>
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<td></td>
<td>5.3.3. Create a public archaeology programme in cooperation with researchers</td>
<td>PSM/PRIM</td>
<td>Universities, DAH</td>
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<tr>
<td></td>
<td>5.3.4. Establish a Multipurpose Cultural Community Center on the Citadel</td>
<td>PSM</td>
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<tr>
<td></td>
<td>5.3.5. Plan and organise meetings with the public</td>
<td>PRIM</td>
<td>Media</td>
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<tr>
<td>4. Communication and cultural activities</td>
<td>5.4.1. Establish a programme of cultural events and lecture series</td>
<td>PSM/PRIM</td>
<td>MCY</td>
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<tr>
<td></td>
<td>5.4.2. Plan the organisation of 'Citadel Days' and 'Citadel Weeks'</td>
<td>PSM/PRIM</td>
<td>MCY</td>
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<tr>
<td></td>
<td>5.4.3. Coordinate the preparation of documentaries and other communication tools</td>
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<td>MMT</td>
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<td></td>
<td>5.4.4. Develop an overall communication plan including press campaigns</td>
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<td>Media</td>
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<td>5.4.5. Upgrade and maintain the Citadel's website, including an electronic newsletter</td>
<td>PRIM</td>
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TOTAL Aim 5: 2,400,000.00
### Implementation Plan - Aim 6: Facilities, services and infrastructures

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<th>STRATEGIC AXES</th>
<th>ACTIONS</th>
<th>RESPONSIBLE SECTIONS</th>
<th>POTENTIAL PARTNERS/ASSISTANCE/ADVICE</th>
<th>PHASES</th>
<th>ESTIMATED COSTS (US $)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Basic infrastructure networks</strong></td>
<td>6.1.1. Follow-up the design and supervise the implementation of the infrastructure networks</td>
<td>PSM/CR</td>
<td>DS/DW/DE</td>
<td>YR 1-5</td>
<td>200,000.00</td>
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<tr>
<td></td>
<td>6.1.2. Launch a special study for location, installation and design of the new water tank</td>
<td>PSM/CR</td>
<td>International architectural org</td>
<td>YR 1-5</td>
<td>200,000.00</td>
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<tr>
<td><strong>2. Basic visitor facilities and services</strong></td>
<td>6.2.1. Study the location and best management solution for a public lavatory</td>
<td>PSM/CR</td>
<td></td>
<td>YR 1-5</td>
<td>0.00</td>
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<tr>
<td></td>
<td>6.2.2. Promote the creation of a cafeteria serving also some snacks and a first-aid corner</td>
<td>PSM/MI</td>
<td>Private sector</td>
<td>YR 1-5</td>
<td>300,000.00</td>
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<tr>
<td><strong>3. Media and communication networks</strong></td>
<td>6.3.1. Develop guidelines for design and installation of media and communication networks</td>
<td>PSM</td>
<td></td>
<td>YR 1-5</td>
<td>50,000.00</td>
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<tr>
<td></td>
<td>6.3.2. Develop a study for the realisation of a Wi-Fi free area covering the entire Citadel</td>
<td>PSM</td>
<td></td>
<td>YR 1-5</td>
<td>50,000.00</td>
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<tr>
<td><strong>4. Collection and delivery services</strong></td>
<td>6.4.1. Study the establishment of a regular effective door-to-door waste collection system</td>
<td>CR</td>
<td>EM</td>
<td>YR 1-5</td>
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<tr>
<td></td>
<td>6.4.2. Study the creation and management of services delivery system</td>
<td>CR</td>
<td>EM</td>
<td>YR 1-5</td>
<td>30,000.00</td>
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<tr>
<td><strong>5. Access, circulation and transportation</strong></td>
<td>6.5.1. Develop a strategy for access to, and circulation and transportation in the Citadel</td>
<td>PSM/CR</td>
<td>MTC</td>
<td>YR 1-5</td>
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<tr>
<td></td>
<td>6.5.2. Promote the creation of special transportation, reserved access and parking areas</td>
<td>PSM/CR</td>
<td>MTC</td>
<td>YR 1-5</td>
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<tr>
<td><strong>6. Other neighbourhood facilities</strong></td>
<td>6.6.1. Study the creation of facilities (i.e. pharmacy, school) for both residents and visitors</td>
<td>PSM/CR</td>
<td>MTC</td>
<td>YR 1-5</td>
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**TOTAL Aim 6** 1,560,000.00
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<th>PHASES</th>
<th>ESTIMATED COSTS (US $)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Legal framework and institutional relationships</td>
<td>7.1.1. Follow up the finalisation and adoption of the legal institutionalization of the HCECR</td>
<td>OH</td>
<td>KRG, Parliament</td>
<td>YR 1</td>
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<td></td>
<td>7.1.2. Finalise rules of procedures and duties of the HCECR and its organisational structure</td>
<td>OH</td>
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<tr>
<td></td>
<td>7.1.3. Start-up the implementation of the new administrative structure of the HCECR</td>
<td>OH</td>
<td></td>
<td>YR 1</td>
<td>see Annex C, Table 3</td>
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<tr>
<td></td>
<td>7.1.4. Prepare job descriptions for the recruitment of the new HCECR's staff</td>
<td>OH</td>
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<td>YR 1</td>
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<tr>
<td></td>
<td>7.1.5. Make the Management Plan available to institutional actors and stakeholders</td>
<td>OH</td>
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<td>YR 1</td>
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<tr>
<td>2. Management plan implementation and support</td>
<td>7.2.1. Make plans for the transfer of the HCECR's Office to a historic house</td>
<td>OH/PSM/CR</td>
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<td>YR 1</td>
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<td>7.2.2. Establish an effective system for the implementation of the Management Plan</td>
<td>PSM</td>
<td>UNESCO</td>
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<td>7.2.3. Follow up the implementation of the Urban Design guidelines of the Buffer Zone</td>
<td>PSM/AFL</td>
<td>UNESCO/EEM</td>
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<td>7.2.4. Conduct yearly reviews of the Management Plan and provide adjustments</td>
<td>OH/PSM</td>
<td>UNESCO</td>
<td>YR 1</td>
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<td>3. Capacity building</td>
<td>7.3.1. Identify the HCECR's specific capacity-building needs</td>
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<td>UNESCO</td>
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<td>7.3.2. Review and update the existing capacity building programme</td>
<td>PSM/AFL</td>
<td>UNESCO/International inst/org</td>
<td>YR 1</td>
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<td>7.3.3. Make plans for sending staff to training courses in the region or Europe</td>
<td>PSM</td>
<td>Consular offices, UNESCO</td>
<td>YR 1</td>
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<td>7.3.4. Develop and continue programmes to preserve and regenerate craftsmanship</td>
<td>PSM/CR</td>
<td>UNESCO/International inst/org</td>
<td>YR 1</td>
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<td>4. World Heritage nomination file</td>
<td>7.4.1. Prepare a World Heritage Nomination File</td>
<td>OH/PSM</td>
<td>UNESCO</td>
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**TOTAL Aim 7**: $850,000.00
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<th>PHASES</th>
<th>ESTIMATED COSTS (US $)</th>
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</thead>
<tbody>
<tr>
<td>1. Investment opportunities</td>
<td>8.1.1. Study effective and sustainable methods of providing long lease agreements</td>
<td>PSM/MI/AFL</td>
<td>IB/UNESCO</td>
<td>YR 1</td>
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<td>8.1.2. Develop incentives for private investment in the Citadel’s transport system</td>
<td>MI</td>
<td>IB/ECC</td>
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<td>8.1.3. Conduct or commission a feasibility study for tourism related services (i.e. hotels)</td>
<td>TP</td>
<td>TD, UNESCO</td>
<td>YR 2-3</td>
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<td>8.1.4. Study the introduction of an entry charge for non-residents</td>
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<td>2. Marketing and branding</td>
<td>8.2.1. Coordinate activities to raise the interest of investors</td>
<td>MI</td>
<td>IB/ECC/Private sector</td>
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<td>8.2.2. Approach potential sponsors of events with information on the Citadel</td>
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<td>IB/ECC/Private sector</td>
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<td>8.2.3. Define a detailed marketing phased strategy</td>
<td>MI</td>
<td>IB/ECC/Private sector</td>
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<td>8.2.4. Develop Citadel related gadgets for sale</td>
<td>MI</td>
<td>Private sector</td>
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<td></td>
<td>8.2.5. Commission a study for a branding strategy</td>
<td>MI</td>
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<td>3. Funding opportunities and financial incentives</td>
<td>8.3.1. Promote a fund-raising strategy with different methods of financial assistance</td>
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<td>UNESCO</td>
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<td>8.3.2. Survey donors opportunities among private businesses and non profit organisations</td>
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<td>UNESCO</td>
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<td>8.3.3. Prepare a package of information concerning various Citadel development projects</td>
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<td>8.3.4. Prepare a feasibility study and a strategy on the introduction of financial incentives</td>
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<td>Investment board, UNESCO</td>
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<td>8.3.5. Review possibility of raising tourism revenue (i.e. entry charge or single-ticket system)</td>
<td>MI</td>
<td>MOF, UNESCO</td>
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TOTAL Aim 8 1,040,000.00
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<th>AIMS</th>
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<tr>
<td>Aim 1: Research and excavation</td>
<td>1,600,000.00</td>
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<tr>
<td>Aim 2: Conservation, documentation and maintenance</td>
<td>4,400,000.00</td>
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<tr>
<td>Aim 3: Rehabilitation, reuse and revitalization</td>
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<tr>
<td>Aim 4: Interpretation and tourism development</td>
<td>2,460,000.00</td>
</tr>
<tr>
<td>Aim 5: Awareness raising, education and community participation</td>
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<tr>
<td>Aim 6: Facilities, services and infrastructures</td>
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<tr>
<td>Aim 7: Legal/institutional framework and capacity building</td>
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<tr>
<td>Aim 8: Investment, marketing and funding</td>
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<td><strong>GRAND TOTAL</strong></td>
<td><strong>14,940,000.00</strong></td>
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Annex C
Cost estimates
### ANNEX C - Cost estimates

NOTE: These estimates are meant to give a preliminary idea of the costs and must not be considered a final budget.

<table>
<thead>
<tr>
<th>TABLE 1: Site conservation and rehabilitation</th>
<th>Priority area 1</th>
<th>Priority area 2</th>
<th>Other areas</th>
<th>Total Citadel</th>
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</thead>
<tbody>
<tr>
<td>Buildings conservation and rehabilitation works</td>
<td>24,450,000.00</td>
<td>25,250,000.00</td>
<td>70,200,000.00</td>
<td>119,900,000.00</td>
</tr>
<tr>
<td>South Gate</td>
<td>4,600,000.00</td>
<td></td>
<td></td>
<td>4,600,000.00</td>
</tr>
<tr>
<td>Adaptive reuse for special purpose buildings</td>
<td>3,200,000.00</td>
<td>3,500,000.00</td>
<td>2,300,000.00</td>
<td>9,000,000.00</td>
</tr>
</tbody>
</table>

**Site improvement:**

- Street paving: 480,000.00 / 430,000.00 / 1,500,000.00 / 2,410,000.00
- Street lighting: 30,000.00 / 30,000.00 / 50,000.00 / 110,000.00
- Street furniture: 10,000.00 / 10,000.00 / 20,000.00 / 40,000.00
- Signboards: 5,000.00 / 5,000.00 / 10,000.00 / 20,000.00

**Subtotal site improvement:** 525,000.00 / 475,000.00 / 1,580,000.00 / 2,580,000.00

**Infrastructures:** 8,000,000.00

**Total of conservation, rehabilitation and improvement works:** 32,775,000.00 / 29,225,000.00 / 74,080,000.00 / 144,080,000.00

**Project/Supervision/Contingencies 25%:** 8,193,750.00 / 7,306,250.00 / 18,520,000.00 / 36,020,000.00

**TOTAL COSTS IN US $:** 40,968,750.00 / 36,531,250.00 / 92,600,000.00 / 180,100,000.00
### TABLE 2: Archaeological research and excavation

<table>
<thead>
<tr>
<th>Description</th>
<th>1-season costs (3 months)</th>
<th>1-year costs (2 seasons)</th>
<th>5-year costs (10 seasons)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Guards and dighouse maintenance</td>
<td>15,000.00</td>
<td>30,000.00</td>
<td>150,000.00</td>
</tr>
<tr>
<td>Foreign specialists (9-includes travel, room and board)</td>
<td>140,000.00</td>
<td>280,000.00</td>
<td>1,400,000.00</td>
</tr>
<tr>
<td>Local specialists (9)</td>
<td>30,000.00</td>
<td>60,000.00</td>
<td>300,000.00</td>
</tr>
<tr>
<td>Labourers (40)</td>
<td>80,000.00</td>
<td>160,000.00</td>
<td>800,000.00</td>
</tr>
<tr>
<td>Transport</td>
<td>20,000.00</td>
<td>40,000.00</td>
<td>200,000.00</td>
</tr>
<tr>
<td>Logistics</td>
<td>50,000.00</td>
<td>100,000.00</td>
<td>500,000.00</td>
</tr>
<tr>
<td>Materials and equipment</td>
<td>30,000.00</td>
<td>60,000.00</td>
<td>300,000.00</td>
</tr>
<tr>
<td><strong>TOTAL COSTS IN US $</strong></td>
<td><strong>365,000.00</strong></td>
<td><strong>730,000.00</strong></td>
<td><strong>3,650,000.00</strong></td>
</tr>
</tbody>
</table>

### TABLE 3: Institutional strengthening

<table>
<thead>
<tr>
<th>Description</th>
<th>Phase 1</th>
<th>Phase 2</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>General equipment</td>
<td>70,000.00</td>
<td>30,000.00</td>
<td>100,000.00</td>
</tr>
<tr>
<td>Office Furniture (desks, chairs, shelves, other)</td>
<td>85,000.00</td>
<td>20,000.00</td>
<td>105,000.00</td>
</tr>
<tr>
<td>Technical equipment (computers and UPS, A3 and A4 printers, other)</td>
<td>60,000.00</td>
<td>20,000.00</td>
<td>80,000.00</td>
</tr>
<tr>
<td><strong>TOTAL COSTS IN US $</strong></td>
<td><strong>215,000.00</strong></td>
<td><strong>70,000.00</strong></td>
<td><strong>285,000.00</strong></td>
</tr>
<tr>
<td>TABLE 4: Total cost for priority areas</td>
<td>Table/Annex</td>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>---------------------------------------</td>
<td>-------------</td>
<td>------------</td>
<td></td>
</tr>
<tr>
<td>Conservation and rehabilitation works (Priority Area 1)</td>
<td>Table 1</td>
<td>24,450,000.00</td>
<td></td>
</tr>
<tr>
<td>Conservation and rehabilitation works (Priority Area 2)</td>
<td>Table 1</td>
<td>25,250,000.00</td>
<td></td>
</tr>
<tr>
<td>South Gate</td>
<td>Table 1</td>
<td>4,600,000.00</td>
<td></td>
</tr>
<tr>
<td>Adaptive reuse for special purpose buildings (Priority area 1)</td>
<td>Table 1</td>
<td>3,200,000.00</td>
<td></td>
</tr>
<tr>
<td>Adaptive reuse for special purpose buildings (Priority area 2)</td>
<td>Table 1</td>
<td>3,500,000.00</td>
<td></td>
</tr>
<tr>
<td>Site improvement (Priority Area 1)</td>
<td>Table 1</td>
<td>525,000.00</td>
<td></td>
</tr>
<tr>
<td>Site improvement (Priority Area 2)</td>
<td>Table 1</td>
<td>475,000.00</td>
<td></td>
</tr>
<tr>
<td>Infrastructures</td>
<td>Table 1</td>
<td>8,000,000.00</td>
<td></td>
</tr>
<tr>
<td><strong>Total of conservation, rehabilitation and improvement works</strong></td>
<td>Table 1</td>
<td><strong>70,000,000.00</strong></td>
<td></td>
</tr>
<tr>
<td>Project/Supervision/Contingencies 25%</td>
<td>Table 1</td>
<td>17,500,000.00</td>
<td></td>
</tr>
<tr>
<td>Management Plan implementation (see Annex B): studies, contracts, training, capacity building, workshops and other activities</td>
<td>Annex B</td>
<td>14,940,000.00</td>
<td></td>
</tr>
<tr>
<td>Archaeology</td>
<td>Table 2</td>
<td>3,650,000.00</td>
<td></td>
</tr>
<tr>
<td>Institutional strengthening</td>
<td>Table 3</td>
<td>285,000.00</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL COST FOR PRIORITY AREAS IN US $</strong></td>
<td></td>
<td><strong>106,375,000.00</strong></td>
<td></td>
</tr>
<tr>
<td>TABLE 5: 5-year cost for priority areas</td>
<td>Table/Annex</td>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>----------------------------------------</td>
<td>-------------</td>
<td>------------</td>
<td></td>
</tr>
<tr>
<td>Conservation and rehabilitation works (PA 1) (70% of implementation)</td>
<td>Table 1</td>
<td>17,115,000.00</td>
<td></td>
</tr>
<tr>
<td>Conservation and rehabilitation works (PA 2) (50% of implementation)</td>
<td>Table 1</td>
<td>12,625,000.00</td>
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</tr>
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<td>South Gate</td>
<td>Table 1</td>
<td>4,600,000.00</td>
<td></td>
</tr>
<tr>
<td>Adaptive reuse for special purpose bldg (PA 1) (70% of implementation)</td>
<td>Table 1</td>
<td>2,240,000.00</td>
<td></td>
</tr>
<tr>
<td>Adaptive reuse for special purpose bldg (PA 2) (50% of implementation)</td>
<td>Table 1</td>
<td>1,750,000.00</td>
<td></td>
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<tr>
<td>Site improvement (Priority Area 1)</td>
<td>Table 1</td>
<td>525,000.00</td>
<td></td>
</tr>
<tr>
<td>Site improvement (Priority Area 2)</td>
<td>Table 1</td>
<td>475,000.00</td>
<td></td>
</tr>
<tr>
<td>Infrastructures</td>
<td>Table 1</td>
<td>8,000,000.00</td>
<td></td>
</tr>
<tr>
<td><strong>Total of conservation, rehabilitation and improvement works</strong></td>
<td>Table 1</td>
<td>47,330,000.00</td>
<td></td>
</tr>
<tr>
<td>Project/Supervision/Contingencies 25%</td>
<td>Table 1</td>
<td>11,832,500.00</td>
<td></td>
</tr>
<tr>
<td>Management Plan implementation (see Annex B): studies, contracts, training, capacity building, workshops and other activities</td>
<td>Annex B</td>
<td>14,940,000.00</td>
<td></td>
</tr>
<tr>
<td>Archaeology (50% of implementation)</td>
<td>Table 2</td>
<td>1,825,000.00</td>
<td></td>
</tr>
<tr>
<td>Institutional strengthening</td>
<td>Table 3</td>
<td>285,000.00</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL 5 YEAR PROJECT IMPLEMENTATION COST IN US $</strong></td>
<td></td>
<td><strong>76,212,500.00</strong></td>
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</tr>
</tbody>
</table>
Annex D

Guidelines for investment promotion
ANNEX D – Public-Private Partnership (PPP) for Site Revitalization and Management

D.1. AN ANALYSIS OF THE PPP SCENARIO

D.1.1. PPP BASICS AND TYPOLOGIES

The term “public-private partnership” (PPP) is generally used with reference to any type of operational agreement based on mutual commitments and responsibilities between public bodies and partners that operate outside the public sector. It involves public and private stakeholders working together and the integration of their resources.

It is essentially a contractual arrangement whereby a private party commits itself to implement certain public objectives, which normally fall within the responsibility of a public institution, while making use of state property for its own commercial purposes.

The private party assumes substantial financial, technical and operational risks associated with those functions or the use of state property. In return, the private party receives a benefit according to pre-defined performance criteria. This benefit may be obtained entirely from a service tariff or other user charges, an institution’s budget, or a combination of the two.

A Public Private Partnership to implement a concerted urban project, which deals with conservation and rehabilitation of historic buildings and areas, entails an ensemble of measures and interventions that foresee an exchange of resources (financial, transfer of land, property rights, property shares) among the different actors with a stake on a delimited spatial area. These actors can be government bodies, local landowners, private investors, civil society organisations, among others.

Public-private integration cannot come into being by chance or by law. In this sense PPP arises from the following conditions:

- direction or approach towards a “soft regulation”, i.e. preference to act through agreements rather than by authority;
- making the most of the private sector, also for activities of general interest (the so-called horizontal subsidiarity);
- strong and effective local capacity to deal with urban management;¹
- capacity to plan in a strategic and coordinated manner.

In order to ensure the involvement of the private sector in these kinds of projects, the Public Authority can support its participation with the development or implementation of ad-hoc administrative, economic and fiscal tools. Specifically, it should ensure that the operation generates profits (therefore that the capital gains surpass the obligations and charges) and regulates the process in such a manner that the distribution of charges and profits is equitable.

According to the UN, Public Private Partnerships which aim at financing, designing, implementing and operating public sector facilities and services will have three main characteristics, namely:

¹ The development of an adequate contractual capacity for the Local Administration is the key factor for implementing operations that are feasible, transparent and able to rise the consensus.
a) long term (sometimes up to 30 years) service provisions; 
b) the transfer of risks to the private sector; and  
c) different forms of long-term contracts drawn up between legal entities and public authority.

Three types of PPPs are most frequently witnessed internationally, which allocate project risks in different manners, and these are:

- **Asset Transfers** (whereby government sells assets - *privatises* - to the private sector\(^2\));
- **Contracting of Services** (whereby government outsources service delivery);
- **Private Financing** (whereby assets or initiatives are funded by the private sector under some permutation of Design/ Build/ Buy/ Own/ Lease/ Develop/ Operate/ Maintain/ Transfer elements).

A further characterization, which refers to the “nature” of the agreement between the two parties involved, distinguishes Institutionalized PPPs and Contractual PPPs.

Institutional PPPs are usually a joint venture (JV) between public and private sector stakeholders to carry out PPP projects by sharing the risks and to provide public services on a long term basis (a typical example is the so called Urban Transformation Company), or other typology which base their implementation through service contracts, management contracts, lease contract and agreements.

On the other hand, contractual PPPs fall under the concession model, in which case a facility is given by the concerned public sector unit to a private sector partner which usually designs, constructs and operates the PPP project for a given period of time.

Each PPP option implies varying levels of responsibility and risks to be assumed by the private operator, together with differences in structures and contract forms.

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### Prerequisites of PPP Options

<table>
<thead>
<tr>
<th>Option</th>
<th>Political Commitment</th>
<th>Cost Recovery Tariffs</th>
<th>Regulatory Framework</th>
<th>Information Base</th>
<th>Government Capacity for Contracting, Management, and Analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service Contract</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
<td>Moderate</td>
</tr>
<tr>
<td>Management Contract</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Low</td>
<td>Moderate</td>
</tr>
<tr>
<td>Lease</td>
<td>Moderate</td>
<td>High</td>
<td>High</td>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td>Concession</td>
<td>High</td>
<td>High</td>
<td>High</td>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td>Build–Operate–Transfer and variations</td>
<td>High</td>
<td>Variable</td>
<td>High</td>
<td>High</td>
<td>High</td>
</tr>
</tbody>
</table>

*Source: Heather Skilling and Kathleen Booth, 2007.*

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**Examples of institutional PPP are the following:**

**JOINT VENTURES**

Joint ventures are an alternative to full privatization in which the infrastructure is co-owned and operated by the public sector and private operators.

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\(^2\) The main difference between PPP and privatization is that in the former there is no permanent transfer of ownership of the assets to the private partner and moreover, the public sector agency remains accountable for providing services of the required quality.
 SERVICE CONTRACTS

Under a service contract, the government (public authority) hires a private company or entity to carry out one or more specified tasks or services for a period, typically 1–3 years. The public authority remains the primary provider of the infrastructure service and contracts out only portions of its operation to the private partner.

 MANAGEMENT CONTRACTS

A management contract expands the services to be contracted out to include some or all of the management and operation of the public service (i.e., utility, hospital, port authority, etc.). Although ultimate obligation for service provision remains in the public sector, daily management control and authority is assigned to the private partner or contractor. In most cases, the private partner provides working capital but no financing for investment.

 LEASE CONTRACTS

Under a lease contract, the private partner is responsible for the service in its entirety and undertakes obligations relating to quality and service standards. Except for new and replacement investments, which remain the responsibility of the public authority, the operator provides the service at his expense and risk. The duration of the leasing contract is typically for 10 years and may be renewed for up to 20 years. Responsibility for service provision is transferred from the public sector to the private sector and the financial risk for operation and maintenance is borne entirely by the private sector operator. In particular, the operator is responsible for losses and for unpaid consumers’ debts. Leases do not involve any sale of assets to the private sector.

Examples of Contractual PPP are the following:

 CONCESSIONS

A concession makes the private sector operator (concessionaire) responsible for the full delivery of services in a specified area, including operation, maintenance, collection, management, and construction and rehabilitation of the system. Importantly, the operator is now responsible for all capital investment. Although the private sector operator is responsible for providing the assets, such assets are publicly owned even during the concession period. The public sector is responsible for establishing performance standards and ensuring that the concessionaire meets them.

 DEVELOPER FINANCING

In the Developer Finance-based projects the private partner (usually a real estate developer) finances the construction or expansion of a public facility in exchange for the right to build residential/commercial/industrial facilities. The developer contributes the capital and gains the right to receive future income for a limited time-period or in perpetuity.

 BUILD–OPERATE–TRANSFER AND SIMILAR ARRANGEMENTS

Build–Operate–Transfer (BOT) and similar arrangements are a kind of specialized concession in which a private firm or consortium finances and develops a new infrastructure project or a major component according to performance standards set by the government. The distinction between a BOT-type arrangement and a concession—as the term is used here—is that a concession generally involves extensions to and operation of existing systems, whereas a BOT generally involves large "greenfield" investments requiring substantial outside finance, for both equity and debt.
These models, developed for basic infrastructure projects, can be an interesting alternative in conservation, development and management of heritage properties projects with a tourist aim.

Several formula of the latter model of Contractual PPP exist, their peculiarity are listed below.

**Build, Operate and Transfer (BOT).** Under this category, the private partner is responsible to design, build, operate (during the contracted period) and transfer back the facility to the public sector. The private sector partner is expected to bring the finance for the project and take the responsibility to construct and maintain it. The public sector will either pay a rent for using the facility or allow it to collect revenue from the users. At the end of the franchise period, the public partner can assume operating responsibility for the facility, contract the operations to the original franchise holder, or award a new contract or franchise to a new private partner.

**Lease, Operate and Transfer (LOT).** Under this type a facility which already exists and is under operation, is entrusted to the private sector partner for efficient operation, subject to the terms and conditions decided by mutual agreement. The contract will be for a given but sufficiently long period and the asset will be transferred back to the government at the end of the contract.

**Build, Own, Operate (BOO) or Build, Own, Operate and Transfer (BOOT).** This is a variation of the BOT model, except that the ownership of the newly built facility will rest with the private party during the period of contract. This will result in the transfer of most of the risks related to planning, design, construction and operation of the project to the private partner. The public sector partner will however contract to ‘purchase’ the goods and services produced by the project on mutually agreed terms and conditions. In the latter case (BOOT), however, the facility / project built under PPP will be transferred back to the government department or agency at the end of the contract period, generally at the residual value and after the private partner recovers its investment and reasonable return agreed to as per the contract.

**Design, Build, Finance and Operate (DBFO) or Design, Build, Finance, Operate and Maintain (DBFOM).** In these ones the private party assumes the entire responsibility for the design, construct, finance, and operate or operate and maintain the project for the period of concession. These are also referred to as “Concessions”. The private participant to the project will recover its investment and return on investments (ROI) through the concessions granted or through annuity payments etc. It may be noted that most of the project risks related to the design, financing and construction would stand transferred to the private partner. The public sector may provide guarantees to financing agencies, help with the acquisition of land and assist to obtain statutory and environmental clearances and approvals and also assure a reasonable return as per established norms or industry practice etc., throughout the period of concession.

<table>
<thead>
<tr>
<th>Own</th>
<th>Conceive</th>
<th>Design</th>
<th>Build</th>
<th>Operation &amp; Maintenance</th>
<th>Financial Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Design-Bid-Build</td>
<td>Public</td>
<td>Public</td>
<td>Private by fee contract</td>
<td>Public</td>
<td>Public</td>
</tr>
<tr>
<td>Design-Build</td>
<td>Public</td>
<td>Public</td>
<td>Private by fee contract</td>
<td>Public</td>
<td>Public</td>
</tr>
<tr>
<td>Build-Operate-Transfer (BOT)</td>
<td>Public</td>
<td>Public</td>
<td>Private by fee contract</td>
<td>Public</td>
<td>Public</td>
</tr>
<tr>
<td>Design-Build-Finance-Operate (DBFO)</td>
<td>Public</td>
<td>Public or Private</td>
<td>Private by fee contract</td>
<td>Public, Public/Private, or Private</td>
<td></td>
</tr>
<tr>
<td>Build-Own-Operate (BOO)</td>
<td>Private</td>
<td>Public or Private</td>
<td>Private by contract (concession)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>


*Synthesis of the characteristics of some Contractual PPP*
D.1.2. HOW TO CHOOSE THE MODEL?

Selecting an appropriate PPP option is based on a diagnosis of:

- PPP options available;
- technical constraints and goals of the sector;
- legal and regulatory constraints;
- institutional issues;
- commercial, financial, and financing requirements and constraints;
- interest of the market, and
- special requirements of the sector.

It is generally assumed that a government authority can select a model among others, or, in given circumstances, can decide to substitute one with another. However we have to consider in Kurdistan the complexity of decision making processes, the asymmetrical distribution of information among actors, the presence of externalities which constitute sometimes the core of public action, the high degree of indeterminateness of policies’ and programs’ objectives, some ambiguity of public interest, the dependence to contextual factors and many others.

At this stage we can identify some critical aspects and criteria for the choice of the preferred option and its success: its features, actors’ interests, public problem setting, public action incrementalism, integration among instruments and their contextualization.

The model features and dimensions: In this analysis and evaluation the characteristics of effectiveness, efficacy, equity, manageability, legitimacy and political feasibility are of primary importance so that each option can be described and evaluated.

Social actors’ interests: the reason of tool choice is evident in the advantages and disadvantages that a model typically displays in a tool network and in social groups of policy takers. To find, for each actor or group, objectives and expectations, economic, political, symbolic costs and benefits is part in the decision and the implementation of a specific model.

Public problem setting: Considerable incremental dynamics, which are incomprehensible for a linear decision making model, affect option choice. The preference for a plurality of actors in choosing and following given courses of action can radically influence the public debate over a problem, also by circulating ad hoc information and by purposely elaborating particular strategic or interpretative frames. The policy process can be variously linked to instruments. In fact each tool implies a set of actors, defines rules that influence public participation and the affirmation of democratic values, having an effect on the definition of public problems and policy objectives. Furthermore, it must be noted that several instruments are aimed at influencing problem setting.

Public action incrementalism: Actual problem solving processes are adaptive and incremental, frequently moving away from what was established in the design phase and not mechanically implementing the function that were expected to by the government and the involved social actors. This happens not only because of scarce or insufficient knowledge, or because the elimination of unwanted side-effects is economically or politically too costly, but also because the policy impacts, the social costs and benefits are conjunctly induced.

Integration: Governments rarely decide to utilize a single and exclusive instrument to pursue one goal. On the contrary, when dealing with multiple mechanisms of action with the same public policy, sometimes mixes or packages of tools are developed. For each instrument we can observe the interrelations with others, as well as formal and procedural compatibility.
The context: the analysis approach has to consider the relevance of local context in structuring public action, its characteristics (number of involve actors, density of the links among them, modes of interaction) and of the interactive resources it has or can produce in terms of social and institutional capital.

D.2. PPP IN THE CULTURAL HERITAGE AND TOURISM SECTORS

Public-private partnerships (PPPs) have been successfully implemented in a large number of basic infrastructure projects and in the provisioning of public services; this model has been found to achieve better cost-efficiencies and improved delivery of customer services under certain circumstances. The PPP model has also been applied for the development of heritage properties in a few cases, but the basic incentives for the private partner in most of these implementations have remained limited to the philanthropic/goodwill aspects, availability of tax concessions, advertising opportunities or real-estate prospects, with limited transfer of operational risks. Evolving a comprehensive model with private partner-led management of an entire heritage property has not been easy, and most proposals have not quite addressed the concerns regarding “site-capture” and commercialisation raised by cultural and citizens’ constituencies.

From here we’ll focus our analysis only at considerable projects which, for the amount of capital investments, associated risks, length of time, require a full involvement of private funds. Considering that two models seem to be the more interesting: Developer Financing and Build-Operate-Transfer.

The first model which we can refer to is the Developer Financing. The “Developer Financing” approach has been seen in the recent past in a number of projects with significant “real-estate” or commercial components, where real-estate development and providing commercial services at market-determined rates to tourists and visitors have been incorporated as the basic incentives for private investors. It is these private economic incentives that are converted by the Government into ensuring the long-term availability of adequate funds for capital (one-time) and revenue (recurring) expenditure required for the upkeep of the cultural property in question. The contract period is long (typically 99 years), and the project involves physical handing over of cultural assets and the adoption of the “free market policy” by the private partner in pricing of consumer or visitor services. These arrangements are obviously suitable only in the case of cultural properties with very limited historical value but which are capable of attracting large “tourist” volumes.

Adopting this approach therefore requires taking up measures to avoid abuse so that the “public good” objective is not dwarfed by the private interest

The Build-Operate-Transfer (BOT) model, developed for basic infrastructure projects, can offer the basis of one possible solution that can address conservation, development and management project in heritage properties, which have a tourist development purpose.

BOT model, generally speaking, allows for collection of a pre-determined toll by the private investor from individual users on per-use basis over the duration of the contract. The private operator in return has the responsibility to ensure the availability of a “good quality” asset to the consumers for their use. The specifications of the asset are specified in advance, and it is handed over in good condition to the Government at the lapse of the contract period which then takes up the responsibility for maintenance of the asset after the contract period. Depending upon the financial strength of the project, the private partner collects from or pays to the government a pre-determined amount at periodic intervals of time during the course of the contract. A bidding process is normally used to select the private operator, and the contracting party is the one which fulfils the technical conditions and one that takes the least amount of money/ pays the maximum amount of money to the government.

In its application to the re-qualification and management of heritage monuments for tourist purposes, the private operator would be allowed to collect user fees and expenses. The private operator would simultaneously develop and maintain the restored historic building as per an agreed, pre-determined
conservation development and management plan. He could be asked to pay a license fee at prescribed
tervals during the currency of the contract, and appropriate guarantees could be taken to ensure
continuity of revenues to the government in case of default.
The advantage with transferring merely the right to charge user-fees/expenses for a limited period (under
the proposed agreement) as against transferring the rights of possession and use (as would be required in
case of a short-/long-term lease) is that both title and right of possession of the heritage buildings remain
unaffected in the proposed model, and disputes regarding possession and problems with frequent grant of
permanent or temporary injunctions on the heritage property are substantially avoided, thus addressing
the public concerns relating to possible “site-capture” or “seizure” by the private partner.
This approach would be especially useful for “low or mid-value” heritage buildings in those cases where the
sum total of annual revenues, appropriately discounted, are of the same order as the investments required
under a conservation plan over the planned time-frame of the project.

D.3. Step sequence for setting up a PPP project in Erbil Citadel

In order to arrive at the best possible agreement with a private partner for the tourist services
development of the Citadel it’s requested to the local authority and the Government to follow the following
step-sequence.

- **Step 1:** Preparation and identification of needs
- **Step 2:** Public awareness and stakeholder Involvement
- **Step 3:** Defining the Procurement Process
- **Step 4:** Bidding Phase
- **Step 5:** Drafting and signature of a Concession Agreement
- **Step 6:** Public Audit and monitoring

**Step 1: Preparation and identification of needs**

The first step is to identify an historic urban area that ought to be re-qualified and that this decision is
agreed by the concerned public authorities. Once the area has been identified and agreed it is
recommended to define the scope of the re-qualification project.
A key requirement for the successful elaboration and implementation of the project is that the process has
firm political commitment at national and local level and that this support is backed with the appropriate
financial, technical and human resources. In addition, it is recommended to inform and involve local leaders
about the process and its importance. Awareness raising and education activities to political leaders and
elected representatives might be needed at this stage in order to gain political support.
In order to support the public authority in the next bidding process it is recommended to select a
Consultancy team which will work out a pre-feasibility study on the reconversion project and draft the
Request for Proposal for the bidding phase.

**Step 2: Public awareness and stakeholder involvement**

The early involvement of all stakeholders in the PPP process helps develop an enabling environment. The
stakeholders provide valuable information on the points of concern, the performance expectations, and
potential risks. This input is also critical to assess whether key business assumptions of the proposed PPP
(in particular tariffs/fees) are realistic and enforceable. Avoiding consultation invites the risk of later
opposition, which slows or derails the process. Ongoing consultation with stakeholders is important at
every stage.
Consultation with potential bidders and partners is also critical to ensure that the proposed PPP design
meets their requirements. Otherwise, there is a risk that the PPP design includes an unrealistic combination
of (politically) desirable features (high-level service, low prices, no redundancies, no subsidies, and short

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concession periods) that will make the project unattractive to bidders or unsustainable. Collecting informal feedback from the market during the preparation stage is therefore critical.

**STEP 3: DEFINING THE PROCUREMENT PROCESS**

Some initial decisions need to be made regarding the procurement and the bid evaluation process. The choice of procurement method will depend on the government’s budget, capacity, desire to encourage innovation, need for high-level inputs, vulnerability to corruption, and objectives of the PPP project. Three main options, distinguished by the level of competition they create, are available: (i) unsolicited proposals or direct negotiations (“sole sourcing”), (ii) competitive negotiations, and (iii) competitive bidding.

**Unsolicited Proposals or Direct Negotiations**
When confronted with an unsolicited proposal, the government has three options:
- direct negotiations to the offeror;
- purchase the project concept then competitively tender among a range of bidders; and
- offer original proponent a predefined advantage in recognition of the value of the original proposal (bonus system) and open-up bidding.

Entering into a sole-source process can save government time and money and may alert government to an unrealized opportunity for PPP. However, sole sourcing can encourage corruption through lack of transparency, and the cost benefits to competitive bidding are lost. Government has to be confident of its negotiation skills and its information to ensure that a sole-source deal is advantageous. The government needs to ascertain that procurement laws and/or rules permit it to award such a contract based on direct negotiations.

**Competitive Negotiations**
Competitive negotiations entail inviting a small group of bidders to a structured negotiation. This arrangement is quicker and less expensive than full competitive process and can yield good prices. The selection of bidders to participate can be nontransparent and may not yield the best bidder pool.

**Competitive Bidding**
Competition is expected to provide transparency in the process and avoid corruption, and provide a mechanism for selecting the best-value proposal based on criteria set. Of course, the advantages of competition are seen only if there is sufficient interest to generate multiple bidders.

**STEP 4: BIDDING PHASE**

Selection of the private participants the public authority agency promoting the PPP Project may involve the following stages:

**Request for Qualification (RFQ)**
Where projects are likely to cost substantially and be complex both commercially and technologically, it is always necessary to have a layered bidding process whereby unfit bidders are disqualified through an initial round of screening that focuses primarily on the capabilities, experience and track record of the bidder well before financial bids are called/opened.

The prequalification documents usually contain:
- project information, such as the key characteristics of the project and the operating context (such as an information memorandum);
- instructions to bidders outlining the anticipated bid process and evaluation criteria; and
- a list of the documents required of the prospective bidders to demonstrate their suitability for the project.
Request for proposals (RFP)

In order to generate adequate response, the promoter must make available details of the project with clarity, cost estimation, status of statutory and environmental clearances, tariff/toll/user charge formula, concession period, and opportunities for commercial development and the readiness to start the project. Details (though not the amount, which depends on the bids), of Viability Gap Funding, annuity payable etc., also may be made known. Restrictive clauses, if any, like the status of assets (land acquisition, encroachments, age of plant and machinery, etc.) and cultural heritage restoration guidelines also may have to be given.

The evaluation and selection phases will follow the international standards.

**STEP 5: DRAFTING AND SIGNATURE OF A CONCESSION AGREEMENT**

PPP projects are best implemented through standardized arrangements that constitute a stable policy and regulatory regime where private capital derives greater comfort and seeks the least possible risk premium. Model Concession Agreements (MCAs) would be used for providing a stable regulatory and policy framework, ensuring that the complex problems relating to PPP projects and the conflicting interests of the partners of such arrangements are adequately addressed up front.

The MCA also seeks to achieve an appropriate balance of risks and obligations shared between the partners. Apart from spelling out the policy and the regulatory framework of the infrastructure sector concerned, the MCA also deals with aspects such as the mode of financing the projects, mitigating and unbundling of risks, allocation of risks and rewards, reduction of transaction costs, force majeure and termination etc.

A concession agreement should be structured in such a manner as to cover all possible causes of later adjustments, leaving minimum room for renegotiation. A key lesson learnt from international experiences is that governments often get overenthusiastic to get private sector participation by offering excessively permissive terms to the project company. This needs to be avoided.

In the following paragraphs we will outline a broad Model Concession Agreement (MCA).

**STEP 6: MONITORING AND PUBLIC AUDIT**

A successful PPP depends in large part on the capacity of the government to keep the contract on track. This entails setting clear requirements of the partnership, monitoring the performance of all parties to the contract, reporting on results, and enforcing contract provisions that are not met.

To this regard is strongly recommended the establishment of a Contract monitoring unit within the public authority promoting the PPP. In some cases, a separate unit can be developed within government to receive and verify reports on progress against the contract terms. This unit may be located within the sectoral ministry or in a more independent ministry such as finance. To accomplish contract monitoring, the contract has to contain explicit details on the targets, acceptable procedures of measuring performance results, and the reporting regime. The unit, in addition, has to develop a procedures manual for verifying performance against the contract and for responding to any contract deviations.

The scope of the public audit will include a verification of the PPP arrangement to ensure that the public authority has effectively put in place a sound system to oversee the efficiency and competence of the project implementation including construction, quality management, compliance with contractual conditions, and integrity of the provision of the targeted public service strictly in terms of the established norms and contract conditions.

The main objective of the audit of PPP projects is to provide a reasonable assurance to all stakeholders about the wisdom, faithfulness, integrity, economy, efficiency and effectiveness of the PPP arrangement and to ensure that the infusion of the private sector agency into the project has resulted in improving the value for money for the public sector.

The aim is to cover all aspects of the project contracting and execution, but without impacting the freedom and innovations built into the arrangement. Further, unlike in the case of monitoring audit, this audit will
be on validity of total project cost, economy and efficiency of operations of the entity as seen from the public participant’s point of view and most of all on achieving the objectives (results) of the partnership. Broadly speaking, the audit of PPPs may cover the aspects of the project indicated hereunder:

- The data, records, analysis and the decision process of the public authority to prefer the PPP route to execute the project instead of undertaking it directly.
- Documents and files leading to the formulation, appraisal and approval of the project.
- The process of identifying the private sector partner, requests for proposals, bidding and tendering process of the contract with due diligence to fairness, transparency and objectivity.
- In-depth analysis of the project documents including the shareholders’ agreement, concession agreement, operation and maintenance agreement etc., total project cost, financing arrangements (including cash flow, ROI/ERR/DCF), justification for the viability gap funding, contract period etc.
- Accounts documents, bills, records and schedules relating to the construction, and oversight arrangements.
- Value for money considerations and safeguarding the public interest. - Operation and maintenance of the assets, tariff/toll/user-charges collection and accounting and revenue sharing arrangements, escrow accounts.
- Quality and standards of the service, customer protection, dispute resolution and asset transfer arrangements etc.
- End of the project operations including valuation of residual assets, decommissioning, dispute resolution mechanism, etc.

**D.4. FORMULATING A MODEL CONCESSION AGREEMENT**

As stated above a Model Concession Agreements (MCAs) would be used for providing a stable regulatory and policy framework, ensuring that the complex problems relating to PPP projects and the conflicting interests of the partners of such arrangements are adequately addressed up front.

The underlying principles of this legal/contractual framework are as follows:

- The MCA must be within the capabilities of the local authority to oversee its functioning, i.e., core and sensitive functions must remain with the local authority, while activities and risks that are best administered/managed by the licensee should be left to be managed by the private partner,
- The MCA must be able to address the concerns of various stakeholders in the cultural property management process like the Central Government, the general public, the private licensee, conservation advocacy networks, and various other smaller groups like existing tourist guides, so that conflict is minimised to the maximum possible extent, and excessive litigation that could derail the hand-holding process can be avoided, and
- The annuity model under the MCA must be as clear as possible by taking into account all possible sources of contractual friction, so as to avoid future disputes with the licensee since almost all such disputes will have spillover effects on the visitors to the monument.

The local authority will also need to have a well-conceived and comprehensive “Conservation, Development and Management Plan” (CDMP) for the area in place before the start of negotiations/bidding process. This plan will be transferred to the responsibility of the private partner. The private partner is expected to make investments so as to maximise his revenues from the value-added services, but his revenues in turn depend largely on the state of conservation of the monument. If the execution of the CDMP is not transferred to the private partner, then it is essentially being asked to take the operational risk without being able to maximise his revenues by ensuring the quality and timeliness of conservation.

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3 The model being proposed is therefore similar to that adopted in the case of basic infrastructure, where the quantum and quality parameters of the asset to be constructed are decided in advance, and the private partner is entrusted with execution of works.
The private partner thus has an in-built incentive for timely completion of the infrastructure and appropriate maintenance of the same to ensure maximization of asset usage and therefore the maximisation of (toll) revenues.

In the proposed model, fees and expenses for basic visitor services can be fixed by the Government (subject to enhancement every year in specific amounts and against development and maintenance of the monument in known quantities against fixed time frames), while fees and charges for the value-added visitor services be fixed by the licensee as per the prevailing market conditions. Some of the value-added visitor services could be capped to a reasonable figure, instead of being completely market-determined, and these can be calculated as a multiple of the prevailing (normal, day-time) basic entrance fee. As such, the likelihood of commercial overuse would be substantially controlled within the proposed contractual framework, barring the acceptable levels of commercialisation that would take place in the case of souvenir and memorabilia shops and restaurant areas.

These provisions regarding commercial use can be monitored and audited on a regular basis by a group of government officials and non-government conservation experts, which arrangement should be sufficiently inclusive so that it does not become merely an extension either of the government or of the private partner.

The investments envisaged under the CDMP together with the existing and future visitor flows and revenue forecasts shall form the basis for determining the appropriate contract period of the partnership agreement.

The essential elements to be included in the Model Concession Agreement are:

- The parties to the agreement;
- Interpretation: Sets forth the definitions of important terms and providing guidance on the interpretation of the contract’s provisions;
- The scope, territorial jurisdiction, and duration of the agreement;
- The objective of the contract;
- The “Conservation, Development and Management Plan” (CDMP);
- Circumstances of commencement, completion, modification, and termination of contract;
- The rights and obligations of the contractor;
- The rights and obligations of the government;
- The requirement for performance bonds to provide security for government if the construction and/or the service delivery falls below standards;
- Insurance requirements to provide security for the insurable matters;
- Government warranties;
- Private sector warranties;
- Consequences to a change in law;
- Service quality, and performance and maintenance targets and schedules;
- The identification of regulatory authorities, if any, and the extent of their roles and authority;
- The responsibilities of the contractor and the government with regard to capital expenditures;
- The form of remuneration of the contractor and how it will be covered, whether from fixed fee, fixed fee plus incentives, or another arrangement;
- How key risks will be allocated and managed;
- The contractor’s rights and responsibilities with regard to passing through or entering public or private property;
- Reporting requirements;
- Procedures for measuring, monitoring, and enforcing performance;
- Procedures for coordinating investment planning;
- Responsibility for environmental liabilities;
- Procedures for resolving disputes;
- Delay provisions describing what is and is not an excuse for a delay in construction or operations;
• Force majeure conditions and reactions;
• Procedures to be followed when either party to the PPP contract wishes to change any material portion (variation) of the contract;
• Indemnification circumstances;
• The rights of each party to any intellectual property brought to the project or created during the project, including the steps to be taken to protect the intellectual property of third parties, such as information technology software manufacturers;
• Conflict of interests and dispute resolution;
• Description of the conditions under which either party may terminate the contract, the processes to be undertaken in that regard, and the consequences to each party of a termination;
• The circumstances that may permit either the government or any financial institution to “step in” to the contract to protect its rights under the PPP contract;
• Consequences of a change in the ownership or key personnel of the private partner;
• Mechanisms whereby the parties to the PPP contract will interact with each other going forward;
• Requirement that each party comply with all laws pertaining to the project, including obtaining environmental, zoning, planning, and other permits;
• Conditions by which public sector employees are employed by the private sector contractor, including any restrictions on terminations or redundancies for operational reasons.

D.5. CASE STUDIES

D.5.1. PUBLIC AND PRIVATE FUNDS FOR URBAN REHABILITATION: THE AL OMRAINE GROUP EXPERIENCE, MOROCCO

Al Omrane Group was born in 2004. Placed under the supervision of the Ministry of Housing, Urban Planning and Regional Planning, Al Omrane is today a national reference in the field of slum improvement, prevention of sub-standard settlements and social housing. The main mission of Al Omrane Group is nowadays identified with the national programme Cities without Slums (2004-2012), launched by Royal Directive. Al Omrane is a major player in sustainable development and a key instrument of public authorities’ strategy for decent housing, poverty reduction and urban inclusion.

Al Omrane intervenes within a global vision of human development and social integration. The Group implements its expertise in its action against slums, by associating technical approach with social assistance and proximity tools. It draws its experience from that of ANHI, an agency dedicated to slums clearance and prevention.

The achievements reached so far are:

• Specific contractual framework, associating the State, local governments and public operators (City Contracts). These are contractual mechanism that governs its implementation at local level. More than a standard document, it represents a real binding contract, specific to each local government. Its objective is to define the conditions of financing and implementation of the programme and specify the tasks of every intervening party. For every city, the contract indicates: (i) the areas of intervention, (ii) the nature of operations to be realized, (iii) the social assistance measures and (iv) the financial contribution of each partner.
• Public financial support: Solidarity Fund for Housing (FSH) fed with a tax of 12 USD per tonne of cement.
• Mobilization of funding from international agencies (World Bank, USAID, AFD, UE, Cities Alliance).
• Mobilization of public land to the benefit of Cities without Slums.
• Intensification of social housing offer by encouraging public/private partnership (programmes of social housing units at 16,800 and 30,000 USD tax-free).
• Dynamization of the social housing market by the creation of the Guarantee Fund (FOGARIM) to facilitate access to credit to low-income or irregular income households, and by the extension of current micro-credit mechanisms to social housing.

• Three forms of field intervention are envisaged:
  • Relocation of slum households on equipped land parcels for the construction of houses under the responsibility of the household itself (80% of cases).
  • Relocation via access to a low-cost housing units, intended in priority to elderly, single-parent households and other vulnerable populations.
  • Restructuring and in situ upgrading.

Even if ‘new town’ is the most identifiable activities run by Al Omran Group, it must be noted also its direct intervention in rehabilitation of medinas. The Al Omrane Group has been involved, with funding from the Minister of Housing, Urbanism and Spatial Planning, through various programs of rehabilitation, programs of urban and architectural upgrade of historic centres. It focuses its action at improving conditions for habitability of resident households, through specific preservation programs of historic centres. Its involvement in this sector goes beyond the upgrade of old buildings threatened by destruction or managing the re-housing of involved households. It aims at restoring the memory of places, by rehabilitating their heritage and by eliminating the factors that contribute to their degradation. It aims also at improving the activities through specific actions.

Within the heart of the medina of Fez, for example, Al Omran began the restoration of ‘Triangle Historique’, an area that holds the oldest heritage buildings of the city and that retains its memory, as the madrassah Cheratine. This space is spread over 15 hectares. Al Omran leads rehabilitation operations of the medinas together with their inhabitants and residents on the basis of inventories and architectural studies, in order to retain their original features.

Here follows a list of projects completed or ongoing, implemented by Al Omrane.

**Rehabilitation of Medinas**

Completed projects:

• Urban renewal of the medina of Oujda
• Urban renewal of the medina of Chefchaouen
• Rehabilitation of a block of Medina Azemmour
• Rehabilitation of Dar El Baroud Medina of Tangier

Projects in progress:

• Urban renewal of the medina of Guazzane
• Urban renewal of the medina in Safi
• Urban renewal of the medina of Azemmour
• Urban renewal of the medina of Meknès
• Urban renewal of the medina of Chefchaouen

**Rehabilitation of Ksour and Kasbahs**

Completed projects:

• Protection and rehabilitation of Ksar Targa
• Protection and rehabilitation of Kasbah Moulay Abdelkrim
• Protection and rehabilitation of Ksar Jrane
Three kinds of interventions distinguish the Group participation:

1. Rehabilitation of historic buildings.
2. Redevelopment of public spaces.
3. Actions on derelict housing.

1. REHABILITATION OF HISTORIC BUILDINGS

The interventions involving buildings with architectural, historical and cultural interest are limited due to the lack of compatibility with the missions and the business of the Group. They require an expertise on traditional techniques and use of original materials and rely on skills of Moroccan craftsmen. They are implemented in coordination with Inspections des Monuments Historiques, which guarantee the good performance of the work.

2. REGENERATION OF PUBLIC SPACES

The most typical intervention based on huge investments. Three types of projects are undertaken:

- Wide projects: they concern the regeneration of the medina and its integration into the urban environment (spatial planning, land use, green areas, etc.)
- Renovation projects: interventions on the major city axes (paving roads, cleaning of the facades, storefronts etc.).
- Upgrading projects: road works, drainage, public lighting, etc.

3. ACTIONS ON DERELICT HOUSING

Complex operations which foresee three types of operations:

- Demolition of buildings threatening the safety of residents and users of public roads and relocation outside the medina.
- Reinforcement of damaged houses in order to consolidate the structures: either directly by the operator (problem of project management and legal liability), or by the households involved, thanks to direct assistance and guidance of the operator.
- Setting up of supervision of other constructors.

Figures 1-2: Rehabilitation of historic buildings in old districts (medinas) in Morocco (from the brochure of the Groupe Al Omrane: Réhabilitation des médinas – contribution d’Al Omrane)
D.5.2. A PROJECT FOR THE REHABILITATION AND TOURIST REUSE OF AN ANCIENT VILLAGE: THE SEXTANTIO COMPANY, ITALY

This case study provides an interesting example of how to match private investment and public benefit, by restoring and bringing back to life an abandoned historic small village, through specific agreement with local authorities and other institutions.

This experience has created the condition for the development of a form of hospitality that takes the name of ‘Albergo Diffuso’ (Dispersed Hotel). Its main components are distributed in different buildings, all located in the same village/town. The term ‘dispersed’ denotes a structure that is horizontal, and not vertical like the one pertaining to traditional hotels, which often do not constitute a pleasant sight, reminding us of blocks of flats. The Dispersed Hotels satisfy the tourists’ demand of stays in renowned and famous areas and towns, of contact with residents and local people rather than only with other tourists, and of the traditional comforts offered in hotels, such as room service or a restaurant. This form of hospitality has shown to be very efficient for the valorization of towns and villages that are artistically or architecturally peculiar and interesting; it is possible to valorize old and dismissed buildings and, at the same time, avoid to solve the problems of hospitality only through the construction of new structures.

From 2000 to 2005, the Sextantio Company has purchased real estate for about 3,500 sqm inside the historical centre of Santo Stefano di Sessanio\(^4\) (about 35% of its total surface). This includes a few of the small village’s most distinguished buildings within the city’s perimeters, plus 1,000 sqm inside neighbouring small villages.

Some of these buildings form part of a Dispersed Hotel, while others were restored to be sold as private homes. The entire complex consists of 36 rooms, native arts and crafts workshops, a wine cellar selling local products and wines, a restaurant serving typical dishes of the Abruzzo mountains, a wellness centre, an excursion centre and a conference room.

\(^4\) Santo Stefano di Sessanio is a fortified medieval village rising on a pre-existent Italic-Roman site. It is located at an altitude of 1250 metres deep in the heart of the Apennine mountains near L’Aquila inside the Gran Sasso & Monti della Laga National Park, in Abruzzo Region, Italy.
The project focused on the integral restoration and maintenance of the historical and architectural heritage of the small village.

For the conservation of its architectural and historical patrimony, Sextantio has commissioned the definition of the small village’s stylistic and architectural features to guarantee a correct re-introduction of original material, especially where missing. ‘Replacements’ are introduced using authentic antique elements that have been recovered from outlying areas and that share the same stylistic and historical features of those being replaced. In planning new spaces and new uses, the historical and architectural features of each single environment was taken into account and wholly respected. Learning about the original use of every single space before the abandonment, which was identified through meticulous in situ investigations, through archive studies and by delving into the historical recollections of the local elders, was the preliminary basis prior to any and all hypothesis of re-conversion that, where possible, were to preserve and safeguard the original. The worksite was subject to the supervision of an archaeologist specialised in medieval archaeology.

The project has blocked any unsuitable new construction, through agreements with the local council and the national park to “prevent any new building in the village and protect the surrounding areas from unsympathetic development.”

Figures 5-8: Rehabilitation of historic buildings and adaptation for tourist-related reuse in the village of Santo Stefano di Sessanio (Italy). Views of the village, a room of the dispersed hotel and a handicraft shop (photos from: http://www.sextantio.it).
Annex E
Glossary
ANNEX E – Glossary

E.1. General Terms

**Agha** – also *Aga* as a title for a civil or military officer, or often part of such title, was placed after the name of certain military functionaries in the Ottoman Empire. At the same time some court functionaries were entitled to the *agha* title. [Wikipedia]

**Awkaf/Awqaf** – also *Waqf/Wakf* is an inalienable religious endowment in Islamic law, typically denoting a building or plot of land for Muslim religious or charitable purposes. The donated assets are held by a charitable trust. [Wikipedia]

**Hammam** – Turkish public bath.

**Madrassa** – variously transliterated (*madrasah, madarasas, medresa, madrassa, madraza, madarsa, medrese*, etc.) means any type of educational institution, whether secular or religious (of any religion). [Wikipedia]

**Qalat** – also *Qelat, Kalat, Kalaat, or Kelat*, a fortified place or fortified village. [Wikipedia]

**Tanzimât** – The *Tanzimât*, meaning *reorganization* of the Ottoman Empire, was a period of reformation that began in 1839 and ended with the First Constitutional Era in 1876. The *Tanzimât* reform era was characterized by various attempts to modernize the Ottoman Empire, to secure its territorial integrity against nationalist movements and aggressive powers.

**Tell** – also *tel* is a type of archaeological mound created by human occupation and abandonment of a geographical site over many centuries. A classic tell looks like a low, truncated cone with a flat top and sloping sides. [Wikipedia]

**Thikir** – also *Dhikr/Zikr*, is an Islamic devotional act, typically involving the repetition (mostly refer to reciting or chanting) of the Names of God, supplications or formulas taken from *hadith* texts and verses of the *Qur'an*. *Dhikr* is usually done individually, but in some Sufi orders it is instituted as a ceremonial activity. At the same time, *dhikr* encompasses a broader meaning in the Islamic sources, including when God is the one who performs *dhikr*. [Wikipedia]

**Usta** – is a master mason. [HCECR’s website]

E.2. Architecture-related Terms

**Barrel vault** – a simple continuous vault, typically semicircular in cross section. [CRMP 2011]

**Bay** – a unit of form in architecture, which can refer to the number vertical divisions of the exterior or interior surfaces of a building or to the individual volumes of space defined by structural elements, for example columns or piers. [CRMP 2011]

**Beit Araby plan** – a house plan, typical of the Bilad Es-Sham and cities such as Damascus, in which the rooms are disposed with the long sides presented to a fully enclosed courtyard. An *iwans* is frequently present and faces north. Such a plan is only represented by a minority of houses in the Citadel, in which the two-room plan is the norm and any *iwans* which are present can face in any direction. [CRMP 2011]

**Bilad Es-Sham** – Greater Syria, or the area which in which in the Ottoman period Damascus (Sham) was the principal city, consisting of the modern countries of Israel, Jordan, the Lebanon, Syria and parts of south-eastern Turkey. [CRMP 2011]
Canted corner – corner which is cut off at an angle. [CRMP 2011]

Cavetto moulding – a concave moulding with a cross section that approximates a quarter circle. [CRMP 2011]

Closet – very small room which may be vaulted and which may have been used for sanitary purposes. [CRMP 2011]

Cove – a concave-profile moulding. [CRMP 2011]

Crittall windows – steel windows manufactured by the UK company Crittall Windows Ltd, the leading manufacturer of steel windows in the first half of the 20th century. [CRMP 2011]

Curtain-fastening niche – small rectangular niches set within a larger niche which contain a horizontal wooden bar. They normally occur in opposed pairs in the lateral walls of earlier-Ottoman-period rooms, but are also found in the soffits of iwan arches, at the springing or just above. [CRMP 2011]

Cusping – the point of intersection of two ornamental arcs or curves, such as the inner points of a trefoil. Adjective: cusped. [CRMP 2011]

Dais – a low raised platform at the end of a room. [CRMP 2011]

Dendrochronology – a scientific dating methodology based on the measurement of variations in the successive annual growth rings of trees or old timber. [CRMP 2011]

Earlier-Ottoman period – construction period before c. 1880; the use of the term does not carry any connotation of Turkish ethnicity, but merely refers to the period when Iraq formed part of the Ottoman empire. [CRMP 2011]

Earlier-Ottoman-period end-wall niches – a set of niches consisting of gabled niches separated by tiers of small rectangular niches. [CRMP 2011]

End-stop – construction detail to achieve the transition from curved corner to a pointed corner. [CRMP 2011]

End-wall niches – niches in the narrow end of a room furthest from the entrance. [CRMP 2011]

False English bond – a brick bond in which one or more courses of stretchers alternate with brick courses of shorter reused, which give the impression of headers but which are in fact broken bricks. [CRMP 2011]

Fenestration – set of windows. [CRMP 2011]

Fireplace niche – hooded fireplaces in the Citadel consist of a triangular plaster hood in front of a semi-circular niche. Few fireplaces survive intact, but niches provide evidence of the former existence of fireplaces. [CRMP 2011]

Flat arch – an arch which is lower and flatter than a segmental arch. [CRMP 2011]


Flying room – an isolated room situated on the roof. [CRMP 2011]

Four-centred arch – a pointed arch made up of circular arcs from four different circles. [CRMP 2011]

Gabled niche – niche with a triangular arch with straight sides formed of a single brick on each side, usually diagnostic of the earlier-Ottoman period. [CRMP 2011]

Garderobe – a structure used for sanitary purposes; in the citadel, garderobes are usually located at stairheads or on the roof and were jetted out from the wall. [CRMP 2011]

Gypsum shelf – a shelf usually located at high level, designed for the display or brassware or ceramics. The design varies according to the period of the building. [CRMP 2011]

Hour-glass pattern – a pattern of decorative brickwork with a downward-pointing and an upward-pointing triangle meeting at the points. [CRMP 2011]
I-beam – iron or steel girder having a cross section resembling the letter “I”. [CRMP 2011]

Iwan – a room with only three walls, the fourth side being an open arch. [CRMP 2011]

Jack arches – narrow arches supported on parallel “I” beams, used for floor or roof construction. [CRMP 2011]

Jetty – a projection supported on beams or jack arches which supports a wall set forward from the wall below. [CRMP 2011]

Kafes – a “cage” window grille formed of diagonally-set canes. [CRMP 2011]

Koşk – a secondary room designed for relaxation, which may be situated on the roof and sometimes has a shanasheel window. [CRMP 2011]

Late-Ottoman period – construction period c. 1880 – 1918; the use of the term does not carry any connotation of Turkish ethnicity, but merely refers to the last period when Iraq formed part of the Ottoman empire. [CRMP 2011]

Loggia – open-sided arcaded gallery. [CRMP 2011]

Muqarnas – honeycomb-like architectural ornamentation formed by the intricate corbelling of squinches, brackets, and inverted pyramids. [CRMP 2011]

Ogee arch – an arch with a pointed apex, formed by the intersection of two “S” curves. [CRMP 2011]

Opposed – architectural features such as windows or niches which are placed directly opposite each other in a regular pattern. [CRMP 2011]

Pavilion vault – a rectangular vault vaulted on all four sides with pendentives at the four corners. [CRMP 2011]

Pendentive – a triangular section of vaulting between the rim of a dome and each adjacent pair of arches or walls that support it. [CRMP 2011]

Post-Ottoman period – construction period from the disappearance of the Ottoman empire in Iraq in 1918 – c. 1960; in fact few new houses in the Citadel were constructed after 1930 until the period of squatter occupation. [CRMP 2011]

Qa’a – large, formal, reception room. [CRMP 2011]


Scallop shell – fan-shaped bivalve shell with a radiating fluted pattern, which in the Citadel often provides the pattern for the decorative heads of arched niches in the grandest mansions of the late-Ottoman period, either in moulded plasterwork or a painted pattern. [CRMP 2011]

Scalloped – having the edge or border cut or marked with segments of circles. [CRMP 2011]

Shack – a structure built by squatters, usually characterised by rough-and-ready construction using whatever material was available, mostly reused historic bricks, but also mud bricks, concrete blocks, tin cans and even parts of motor vehicles. [CRMP 2011]

Shanasheel window – projecting oriel window. In the Citadel, such windows had multiple openings and were constructed of timber or of timber covered with zinc sheet. [CRMP 2011]

Segmental arch – an arch in which the curve is a less than semicircular segment of a circle. [CRMP 2011]

Shouldered arch – flat arch with corbel-like projects projecting into the aperture under the head. [CRMP 2011]

Sibat – a first-floor room which spans over a street. [CRMP 2011]

Sirdab – a cellar or basement. [CRMP 2011]

Sofa – the formal reception room in an Ottoman building. [CRMP 2011]
Soffit – the underside of a structural component, such as a beam, arch, staircase, or cornice. [CRMP 2011]

Spandrel – the triangular spaces between the exterior curve of an arch and a rectangular frame enclosing it. [CRMP 2011]

Springing of an arch – the point at which the side of an arch changes from the vertical side to the curve of the arch itself. [CRMP 2011]

Square-headed niche – a niche which is square or rectangular in profile, often indicative of an earlier-Ottoman date and always so when the niches are arranged in two tiers. [CRMP 2011]

Squinch – a section of vaulting set diagonally across the interior angle between two walls to provide a transition from a square to a circular base on which to construct a dome. [CRMP 2011]

Stratigraphy – used in the Block Studies, the term is used in the context of “vertical archaeology”, to assess the relative date of walls in relation to the evidence provided by the way that a later wall can be shown to butt up against an earlier wall. Adjective – stratigraphically. [CRMP 2011]

Straight joint – a vertical joint between sections of a wall, usually indicating that they were built at different dates. [CRMP 2011]

Takiya – (also takya) a hostel for dervishes, but in the Citadel more typically a house of a religious leader used for religious meetings. [CRMP 2011]

Tarma – a projecting portico or verandah. [CRMP 2011]

Trestle-sawn – the direction of saw-marks on a plank indicate how it was converted from a baulk. If the saw marks change direction along its length, it will have been sawn from a baulk supported on a single trestle, as the baulk will have been tilted in the opposite direction halfway through the sawing process. [CRMP 2011]

Tympanum – the solid space within an arched doorhead and the open doorway below. [CRMP 2011]

Ventilation windows – small windows set near the top of a wall, the purpose of which was to improve air-circulation and cool the room rather than provide light. [CRMP 2011]

E.3. Heritage conservation-related terms

Adaptation
Adaptation means modifying a place to suit the existing use or a proposed use. [Burra 1999]

Authenticity
Depending on the nature of the cultural heritage, its cultural context, and its evolution through time, Authenticity judgments may be linked to the worth of a great variety of sources of information. Aspects of the sources may include form and design, materials and substance, use and function, traditions and techniques, location and setting, and spirit and feeling, and other internal and external factors. The use of these sources permits elaboration of the specific artistic, historic, social, and scientific dimensions of the cultural heritage being examined. [Nara 1994]

Archaeological heritage
The “archaeological heritage” is that part of the material heritage in respect of which archaeological methods provide primary information. It comprises all vestiges of human existence and consists of places relating to all manifestations of human activity, abandoned structures, and remains of all kinds (including subterranean and underwater sites), together with all the portable cultural material associated with them. [Lausanne 1990]

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

3) sites: the combined works of man and nature, being areas which are partially built upon and sufficiently distinctive and homogeneous to be topographically definable and are of conspicuous historical, archaeological, artistic, scientific, social or technical interest. [Grenada 1985]

Buffer zone
For the purposes of effective protection of the nominated property, a buffer zone is an area surrounding the nominated property which has complementary legal and/or customary restrictions placed on its use and development to give an added layer of protection to the property. This should include the immediate setting of the nominated property, important views and other areas or attributes that are functionally important as a support to the property and its protection. The area constituting the buffer zone should be determined in each case through appropriate mechanisms. Details on the size, characteristics and authorized uses of a buffer zone, as well as a map indicating the precise boundaries of the property and its buffer zone, should be provided in the nomination. [WHC/OG 2011]

Compatibility
Compatibility requires that treatment materials do not have negative consequences. [EP/STOA 2001]
The characteristics of materials used in restoration work (in particular new materials) and their compatibility with existing materials should be fully established. This must include long-term impacts, so that undesirable side-effects are avoided. [ISCARSAH 2003]

Compatible use
Compatible use means a use which respects the cultural significance of a place. Such a use involves no, or minimal, impact on cultural significance. [Burra 1999]

Conservation (preservation)
Conservation is the process of managing change to a significant place in its setting in ways that will best sustain its heritage values, while recognising opportunities to reveal or reinforce those values for present and future generations. [EH 2008]
Conservation means all the processes of looking after a place so as to retain its cultural significance. Preservation means maintaining the fabric of a place in its existing state and retarding deterioration. [Burra 1999]
NOTE: Conservation and preservation are used as generic terms, the former is more common in the UK and Australia (and its translation in other European languages, i.e. French and Italian) while the latter is preferably adopted in the USA.

Conservation of historic towns
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. [Washington 1987]

Criteria for selection of World Heritage Sites
To be included on the World Heritage List, sites must be of outstanding universal value and meet at least one out of ten selection criteria. These criteria are explained in the Operational Guidelines for the Implementation of the World Heritage Convention which, besides the text of the Convention, is the main working tool on World Heritage. The criteria are regularly revised by the Committee to reflect the evolution of the World Heritage concept itself. [WHC/G]

Cultural heritage (general)
The cultural heritage may be defined as the entire corpus of material signs—either artistic or symbolic - handed on by the past to each culture and, therefore, to the whole of mankind. As a constituent part of the affirmation and enrichment of cultural identities, as a legacy belonging to all humankind, the cultural heritage gives each particular place its recognizable features and is the storehouse of human experience.
The preservation and presentation of the cultural heritage are therefore a corner-stone of any cultural policy. [UNESCO 1996]

Cultural heritage (within the WHC)

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. [WHC 1972]

Cultural landscape

Cultural landscapes are cultural properties and represent the “combined works of nature and of man” designated in Article 1 of the Convention. They are illustrative of the evolution of human society and settlement over time, under the influence of the physical constraints and/or opportunities presented by their natural environment and of successive social, economic and cultural forces, both external and internal. They should be selected on the basis both of their Outstanding Universal Value and of their representativity in terms of a clearly defined geo-cultural region and also for their capacity to illustrate the essential and distinct cultural elements of such regions. The term “cultural landscape” embraces a diversity of manifestations of the interaction between humankind and its natural environment. Cultural landscapes often reflect specific techniques of sustainable land-use, considering the characteristics and limits of the natural environment they are established in, and a specific spiritual relation to nature. Protection of cultural landscapes can contribute to modern techniques of sustainable land-use and can maintain or enhance natural values in the landscape. The continued existence of traditional forms of land-use supports biological diversity in many regions of the world. The protection of traditional cultural landscapes is therefore helpful in maintaining biological diversity. [WHC/OG 2011]

Cultural significance

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. The term cultural significance is synonymous with heritage significance and cultural heritage value. Cultural significance may change as a result of the continuing history of the place. Understanding of cultural significance may change as a result of new information. [Burra 1999]

Cultural tourism

Cultural tourism encompasses all those experiences absorbed by the visitor to a place that is beyond their own living environment. It thrives on the discovery and enjoyment of the local culture and society, landscapes, values and lifestyles, museums and heritage places, visual and performing arts, traditions and cuisine of the local population or host community. Cultural tourism is a vital component of the public awareness of cultural heritage. [ICTC 1999]

Diagnosis

Diagnosis is the process of individuation and determination of the causes of damage and decay. It is based on historical, qualitative and quantitative approaches; the qualitative approach being mainly based on direct observation of the structural damage and material decay as well as historical and archaeological research, and the quantitative approach mainly on material and structural tests, monitoring and structural analysis. [ISCARSAH 2003]

Fabric

Fabric means all the physical material of the place including components, fixtures, contents, and objects. Fabric includes building interiors and sub-surface remains, as well as excavated material. Fabric may define spaces and these may be important elements of the significance of the place. [Burra 1999]
Historic and architectural areas

‘Historic and architectural (including vernacular) areas’ shall be taken to mean any groups of buildings, structures and open spaces including archaeological and paleontological 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. [Nairobi 1976]

Historic towns (within the WHC)
(i) towns which are no longer inhabited but which provide unchanged archaeological evidence of the past; these generally satisfy the criterion of authenticity and their state of conservation can be relatively easily controlled;
(ii) historic towns which are still inhabited and which, by their very nature, have developed and will continue to develop under the influence of socio-economic and cultural change, a situation that renders the assessment of their authenticity more difficult and any conservation policy more problematical;
(iii) new towns of the twentieth century which paradoxically have something in common with both the aforementioned categories: while their original urban organization is clearly recognizable and their authenticity is undeniable, their future is unclear because their development is largely uncontrollable. [WHC/OG 2011]

Historic Urban Landscape
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. [HUL 2011]

Infill
Real estate development which aims to maintain the character of an older area by adding new buildings that are architecturally similar to those already there. (In Getty Research - Art & Architecture Thesaurus Online) [LB 2011]

Intangible heritage
Intangible cultural heritage is the practices, expressions, knowledge and skills that communities, groups and sometimes individuals recognize as part of their cultural heritage. Also called living cultural heritage, it is usually expressed in one of the following forms: oral traditions; performing arts; social practices, rituals and festive events; knowledge and practices concerning nature and the universe; and traditional craftsmanship. [WHC/G]

Integrated conservation
By “integrated conservation” of the cultural heritage of monuments and sites is meant the whole range of measures aimed at ensuring the perpetuation of that heritage, its maintenance as part of an appropriate environment, whether man made or natural, its utilisation and its adaptation to the needs of society. [COE 1976]

Integrated planning
Integrated planning (as opposed to sectoral planning) is a process involving the drawing together of level and sector specific planning efforts which permits strategic decision-making and provides a synoptic view of resources and commitments. Integrated planning acts as a focal point for institutional initiatives and resource allocation. In the context of integrated (or comprehensive) planning, economic, social, ecological and cultural factors are jointly used and combined to guide land- and facility-use decisions towards sustainable territorial development. [CEMAT 2002]

Integrity
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. [WHC/OG 2011]

**Interpretation**
Interpretation refers to the full range of potential activities intended to heighten public awareness and enhance understanding of cultural heritage site. These can include print and electronic publications, public lectures, on-site and directly related off-site installations, educational programmes, community activities, and ongoing research, training, and evaluation of the interpretation process itself. [Ename 2008]

**Landscape**
“Landscape” means an area, as perceived by people, whose character is the result of the action and interaction of natural and/or human factors. [ELC 2000]

**Maintenance**
Routine work regularly necessary to keep the fabric of a place in good order. [EH 2008]

**OWHC**
The Organization of World Heritage Cities was established in 1993 to develop a sense of solidarity and a cooperative relationship between World Heritage cities, particularly in view of the implementation of the Convention. The organization thus facilitates an exchange of knowledge, management techniques and financial resources for the purpose of protecting monuments and sites. There are over two hundred World Heritage cities to date. [WHC/G]

**Place**
Place means site, area, land, landscape, building or other work, group of buildings or other works, and may include components, contents, spaces and views (Article 1.1). The concept of place should be broadly interpreted. The elements described in Article 1.1 may include memorials, trees, gardens, parks, places of historical events, urban areas, towns, industrial places, archaeological sites and spiritual and religious places. [Burra 1999]

**Presentation**
Presentation more specifically denotes the carefully planned communication of interpretive content through the arrangement of interpretive information, physical access, and interpretive infrastructure at a cultural heritage site. It can be conveyed through a variety of technical means, including, yet not requiring, such elements as informational panels, museum-type displays, formalized walking tours, lectures and guided tours, and multimedia applications and websites. [Ename 2008]

**Preventive conservation**
Similarly to medicine, prevention in conservation works on two main levels. On a general level, preventive approach implies an appropriate heritage management. Since risks occur at different scales, on a second level, the purpose of preventive conservation consists in an early identification of possible damage, in avoiding the progression of a damage or in reducing of negative effects caused by damage. [Sprecomah 2007/08]

**Reconstruction**
Reconstruction means returning a place to a known earlier state and is distinguished from restoration by the introduction of new material into the fabric. New material may include recycled material salvaged from other places. This should not be to the detriment of any place of cultural significance. [Burra 1999]

**Rehabilitation**
Rehabilitation is usually carried out in order to extend a building’s life and/or its economic viability. It may involve more adaptation than conservation, but will still preserve most of the building's original features. It may involve upgrading, some modification, remodelling, rebuilding or retrofitting, and some repairs. It may be done to the exterior as well as the interior of the building. It may be referred to as major or minor. According to the usage of the word over the past few years, rehabilitation projects fall somewhat short of renovation projects in extent and/or cost of work. (National Research Council of Canada, 1982). [LB 2011]
Repair
Work beyond the scope of maintenance, to remedy defects caused by decay, damage or use, including minor adaptation to achieve a sustainable outcome, but not involving restoration or alteration. [EH 2008]

Restoration
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. [Venice 1964]

Restoration means returning the existing fabric of a place to a known earlier state by removing accretions or by reassembling existing components without the introduction of new material. [Burra 1999]

To return a place to a known earlier state, on the basis of compelling evidence, without conjecture. [EH 2008]

Retreatability
Retreatability requires that the present conservation treatment will not preclude or impede future treatments. [EP/STOA 2001]

Reversibility/Reversible
A reversible intervention means capable of being reversed so that the previous state is restored. [EH 2008]

Revitalization
Describes the process of economic, social, and cultural redevelopment of an area or street. Often the buildings in these areas are of heritage merit despite their state of neglect prior to revitalization. (In The Heritage Canada Foundation - Preservation Strategy No.3, 1983). A process of economic, social and cultural redevelopment of a civic area or neighbourhood. Heritage area revitalization concentrates on historic buildings and other heritage resources to achieve economic, social and cultural objectives. (In Heritage BC - http://www.heritagebc.ca/resources/guides-tips-1/terms-definitions) [LB 2011]

Setting
Setting means the area around a place, which may include the visual catchments. [Burra 1999]

The surroundings in which a place is experienced, its local context, embracing present and past relationships to the adjacent landscape. [EH 2008]

Significance of a place
The significance of a place embraces all the diverse cultural and natural heritage values that people associate with it, or which prompt them to respond to it. These values tend to grow in strength and complexity over time, as understanding deepens and people’s perceptions of a place evolve. In order to identify the significance of a place, it is necessary first to understand its fabric, and how and why it has changed over time; and then to consider: who values the place, and why they do so; how those values relate to its fabric their relative importance; whether associated objects contribute to them; the contribution made by the setting and context of the place; how the place compares with others sharing similar values. [EH 2008]

Sustainable Tourism
Sustainable Tourism relies on the development and delivery of quality visitor experiences that do not degrade or damage any of the property’s natural or cultural values and visitor attraction. [ICTC 1999]

Tentative List
The first step a country must take is making an ‘inventory’ of its important natural and cultural heritage sites located within its boundaries. This ‘inventory’ is known as the Tentative List, and provides a forecast of the properties that a State Party may decide to submit for inscription in the next five to ten years and which may be updated at any time. It is an important step since the World Heritage Committee cannot consider a nomination for inscription on the World Heritage List unless the property has already been included on the State Party’s Tentative List. [WHC/G]
Value
An aspect of worth or importance, here attached by people to qualities of places. [EH 2008]
The positive characteristics attributed to heritage places and objects by legislation, governing authorities, and/or other stakeholders. These characteristics are what make a site significant, and they are often the reason why society and authorities are interested in a specific cultural site or object. In general, groups within society expect benefits from the value they attribute to the resource. *(Getty Conservation Institute Glossary for Iraq Course 2004).* [LB 2011]

Vernacular architecture
The built vernacular heritage is important; it is the fundamental expression of the culture of a community, of its relationship with its territory and, at the same time, the expression of the world’s cultural diversity. Vernacular building is the traditional and natural way by which communities house themselves. It is a continuing process including necessary changes and continuous adaptation as a response to social and environmental constraints. [CIAV 1999]

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ARABIC-ENGLISH DICTIONARY:

Annex F

UNESCO Recommendation on the Historic Urban Landscape
PROPOSALS CONCERNING THE DESIRABILITY OF A STANDARD-SETTING INSTRUMENT ON HISTORIC URBAN LANDSCAPES

OUTLINE

Source: 35 C/Resolution 42

Background: Following the series of debates on the conservation of the historic urban landscape and the desirability of a standard-setting instrument on this subject held at the Executive Board at its 179th and 181st sessions, at the World Heritage Committee from its 29th to 34th sessions, and at the General Assembly of States Parties to the World Heritage Convention at its 15th session, the General Conference at its 35th session (16 October 2009) decided that existing UNESCO standard-setting instruments relating to urban heritage should be supplemented through a new Recommendation on the Historic Urban Landscape. It invited the Director-General to submit to its next session a final report on the elaboration of such a new standard-setting instrument in the form of a Recommendation (35 C/Resolution 42).

Purpose: This document presents the above mentioned final report with a final draft text of a Recommendation on the Historic Urban Landscape, including an elaboration on the working method applied to arrive at this new standard-setting instrument, for adoption by the General Conference at its 36th session, so that the question of the conservation of the historic urban landscape may be regulated at the international level by a Recommendation.

Decision required: paragraph 12.
I. BACKGROUND

1. Following the series of debates on the conservation of the historic urban landscape that were held at the World Heritage Committee since its 29th session (Durban, 2005) and at the General Assembly of States Parties at its 15th session (UNESCO, 2005), which recommended that the General Conference adopt a new Recommendation to complement and update the existing ones on the conservation of the historic urban landscape, the Executive Board at its 181st session (UNESCO, 2009) examined the preliminary study on the technical and legal aspects relating to the desirability of a standard-setting instrument on the subject. It recommended that the General Conference decide at its 35th session on the action to be taken for the elaboration of a new standard-setting instrument on the conservation of the historic urban landscape in the form of a Recommendation (181 EX/Decision 29).

2. At its 35th session (16 October 2009) the General Conference decided that existing UNESCO standard-setting instruments relating to urban heritage should be supplemented through a new Recommendation on the Historic Urban Landscape and invited the Director-General to submit to its next session a final report on the elaboration of such a new standard-setting instrument in the form of a Recommendation (35 C/Resolution 42).

3. The final draft text of the new proposed Recommendation on the Historic Urban Landscape, which was adopted on 27 May 2011 at the Intergovernmental Meeting of Experts on the Historic Urban Landscape (category II) at UNESCO Headquarters, is included in Annex I to this document.

II. WORKING METHOD

4. At its 181st session the Executive Board considered that new challenges have emerged and approaches have been developed concerning the conservation of historic urban landscapes, and acknowledged that the existing standard-setting instruments, which provide the principles and norms making up the UNESCO legal framework covering urban conservation, may not adequately address the matter. In particular, it asked for development and inclusion of policies and strategies that involve the close participation of local communities and groups of people concerned, taking into account their own traditions, disciplines and practices with regard to conservation, as well as the intangible dimensions of heritage and all aspects of cultural diversity and identity of local communities, as an integral component of the historic urban landscape.

5. After the adoption of the Declaration on the Conservation of Historic Urban Landscapes (Resolution 15 GA 7) at the 15th session of the General Assembly of States Parties (UNESCO, 2005), the World Heritage Centre started setting out a comprehensive programme of thematic and regional expert meetings (category VI), financed through extrabudgetary resources (The Netherlands and France), to receive expert input on concepts, definitions and approaches to historic urban landscapes as potential content material for a new UNESCO Recommendation on the subject. In total nine expert meetings have been organized by the World Heritage Centre and its partners, being in Jerusalem (June 2006), Paris (September 2006), Saint Petersburg (Russian Federation, February 2007), Olinda (Brazil, November 2007), Chandigarh (India, December 2007), Paris (November 2008), Zanzibar (United Republic of Tanzania, December 2009), Rio de Janeiro (Brazil, December 2009) and Paris (February 2010).

6. All expert meetings resulted in a broad support for the ongoing review process concerning approaches and tools for historic urban landscape conservation. Subsequently, their detailed recommendations on process and actions were included in Document 181 EX/29, which was submitted to the 181st session the Executive Board (March 2009), as well as the Preliminary study on the technical and legal aspects relating to the desirability of a standard setting instrument on the conservation of the historic urban landscape, which was submitted to the 35th session of the General Conference (October 2009).
7. In addition to the organization of expert meetings, for this review process the World Heritage Centre involved the three Advisory Bodies ICOMOS, ICCROM and IUCN, and established partnerships with other United Nations organizations, multilateral and regional development banks and agencies, and professional institutions and networks for them to provide inputs into the process.

8. Following the adoption of Resolution 35 C/42 by the 35th session of the General Conference, a first draft text of the Recommendation accompanied by a preliminary report was prepared by the Director-General and submitted to the Member States on 23 August 2010, at least 14 months before the 36th session of the General Conference, in accordance with Article 10.1 of the rules of procedure concerning recommendations and conventions.

9. In conformity with the Rules of Procedure concerning recommendations to Member States and international conventions covered by the terms of Article IV, paragraph 4, of the Constitution, Member States were asked to make comments and observations on that preliminary report as well as the first draft text of the Recommendation to be discussed at an Intergovernmental Meeting of Experts (category II). This category II Expert Meeting took place at UNESCO Headquarters from 25 to 27 May 2011.

III. SUMMARY REPORT CATEGORY II EXPERT MEETING, 25-27 MAY 2011

10. In pursuance of General Conference Resolution 35C/42 an Intergovernmental Meeting of Experts on the Historic Urban Landscape took place at UNESCO Headquarters from 25 to 27 May 2011. In addition to 18 partner organizations in this process (included in Annex II to this document), a total of 55 Member States participated in the category II Expert Meeting. Comments and observations on the first draft text, which had been received by 30 Member States in writing by 25 December 2010, had been incorporated by the Secretariat into a compilation report and a revised draft text, which were discussed and refined during the expert meeting. On Friday 27 May a final draft text of a new UNESCO Recommendation on the Historic Urban Landscape was adopted by the expert meeting. This final draft text is proposed for adoption by the 36th session of the General Conference and is included in Annex I to this document.

11. Also discussed at the expert meeting was a glossary of definitions, to be annexed to the Recommendation should it be adopted, as well as an Action Plan for implementation of the Historic Urban Landscape recommendation by Member States, elements of which have been included in the Draft Resolution below.

IV. DRAFT RESOLUTION

12. The General Conference may wish to adopt the following draft resolution:

   The General Conference,

   1. Taking note of the final report on the elaboration of a standard-setting instrument on the historic urban landscape in the form of a Recommendation,

   2. Recognizing the significance of the historic urban landscape approach as an innovative way to preserve heritage and manage historic cities,

   3. Commends the international partner organizations which have contributed to the review process and supported UNESCO over the last six years in its task to set forth principles and guidelines for the conservation of the historic urban landscape in support to Member States and local communities;

4. **Recommends** that Member States take the appropriate steps to: adapt this new instrument to their specific contexts; disseminate it widely across their national territories; facilitate its implementation through the formulation and adoption of supporting policies; and to monitor its impact on the conservation and management of historic cities;

5. **Further recommends** 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:

   (a) to undertake comprehensive surveys and mapping of the city’s natural, cultural and human resources;

   (b) 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;

   (c) to assess the vulnerability of these attributes to socio-economic pressures and impacts of climate change;

   (d) 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;

   (e) to prioritize actions for conservation and development;

   (f) 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;

6. **Decides** to adopt the Recommendation on the Historic Urban Landscape which is annexed to this resolution.
ANNEX

The Draft text of the new proposed Recommendation on the Historic Urban Landscape, as adopted on 27 May 2011 at the Intergovernmental Meeting of Experts on the Historic Urban Landscape (category II) at UNESCO Headquarters, including a Glossary of Definitions.

RECOMMENDATION ON THE HISTORIC URBAN LANDSCAPE

Revised Draft

PREAMBLE

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,

Further 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,

Also considering that urbanization is proceeding at 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,

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 standard-setting documents, including conventions, recommendations and charters, exists on the subject of the conservation of historic areas,¹ all of which remain valid,

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 last UNESCO recommendation on historic areas in 1976 (i.e. the 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 session’s agenda as item […]

Having decided at its thirty-fifth session that this issue should be addressed through a Recommendation to Member States,

Adopts, [this … day of November 2011], the present Recommendation. The General Conference recommends that Member States adopt the appropriate legislative institutional framework and measures, with a view to apply the principles and norms set out in this Recommendation in the territories under their jurisdiction.

The General Conference 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. Now, more than half of the world’s population 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

¹ In particular the 1972 UNESCO Convention concerning the Protection of the World Cultural and Natural Heritage, the 2005 UNESCO Convention on the Protection and Promotion of the Diversity of Cultural Expressions, the 1962 UNESCO Recommendation concerning the Safeguarding of the Beauty and Character of Landscapes and Sites, the 1968 UNESCO Recommendation concerning the Preservation of Cultural Property Endangered by Public or Private Works, the 1972 UNESCO Recommendation concerning the Protection, at National Level, of the Cultural and Natural Heritage, the 1976 UNESCO 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 International Charter for 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, as well as the 2005 Vienna Memorandum.

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 inter-relationships 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 related to heritage preservation, recognizing 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 for 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 aims 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. They also identify a number of specific threats to the conservation of historic areas and provide general principles, policies and guidelines to meet such challenges.

15. The historic urban landscape approach reflects the fact that 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, collective memory, and to the environment.

16. In the past decades, due 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 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, 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 aiming 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 in 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-term. Special emphasis should be placed on the harmonious, integration between the historic urban fabric and contemporary interventions. 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 landscape and other heritage values, and their associated features.

(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, national/federal, regional – 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 of all stakeholders and coordinated from both an institutional and sectorial viewpoint.

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 the mediation and negotiation between conflicting interests and groups.

(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 aiming 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 aim to build capacities and support 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 investments 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 to adapt the implementation of this Recommendation to regional contexts 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 underrepresented 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 organisations and foundations, should be encouraged to develop methodologies which take into account the historic urban landscape approach and to harmonise them with their assistance programmes and projects pertaining to urban areas.

ANNEX 1 TO THE REVISED RECOMMENDATION: GLOSSARY OF DEFINITIONS

Historic Area/City (taken from UNESCO 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 (taken from 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 (taken from SUIT, European Union)

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.
– The 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 is 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 (taken from IUCN and 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, Para 9)

Setting (taken from 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 (taken from 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.
PROPOSALS CONCERNING THE DESIRABILITY OF A STANDARD-SETTING INSTRUMENT ON HISTORIC URBAN LANDSCAPES

ADDENDUM

This document presents the Annex II mentioned in paragraph 10 of document 36 C/23.

ANNEX II

List of Member States and partner organizations to the category II expert meeting (25-27 May 2011), UNESCO Headquarters

Member States

1. Afghanistan
2. Algeria
3. Angola
4. Argentina
5. Belgium
6. Canada
7. China
8. Colombia
9. Costa Rica
10. Czech Republic
11. Denmark
12. Djibouti
13. Dominican Republic
14. Egypt
15. El Salvador
16. Eritrea
17. Estonia
18. Finland
19. France
20. Germany
21. Grenada
22. Guatemala
23. Honduras
24. Hungary
25. India
26. Israel
27. Italy
28. Japan
29. Kenya  
30. Kuwait  
29. Kenya  
30. Kuwait  
31. Lao People’s Democratic Republic  
32. Latvia  
33. Lebanon  
34. Liberia  
35. Lithuania  
36. Malta  
37. Mexico  
38. Netherlands  
39. Norway  
40. Pakistan  
41. Philippines  
42. Poland  
43. Portugal  
44. Qatar  
45. Republic of Korea  
46. Saint Lucia  
47. Saint Vincent and the Grenadines  
48. Senegal  
49. Spain  
50. Sudan  
51. Switzerland  
52. Turkey  
53. Ukraine  
54. United Kingdom of Great Britain and Northern Ireland  
55. Venezuela (Bolivarian Republic of)

Associate Member

Curaçao

Partner organizations

1. Aga Khan Trust for Culture (AKTC)  
2. Inter-American Development Bank (IADB)  
3. International Association of Impact Assessment (IAIA)  
4. International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM)  
5. International committee for documentation and conservation of buildings, sites and neighbourhoods of the modern movement (Docomomo)  
6. International Council on Monuments and Sites (ICOMOS)  
7. International Federation of Housing and Planning (IFHP)  
8. International Federation of Landscape Architects (IFLA)  
9. International Society of City and Regional Planners (ISoCaRP)  
10. International Union of Architects (UIA)  
11. J. Paul Getty Foundation  
12. Organisation for Economic Co-operation and Development (OECD)  
13. Organization of World Heritage Cities (OWHC)  
14. UCLG-Culture  
15. United Nations Environment Programme (UNEP)  
16. United Nations Human Settlements Programme (UN-Habitat)  
17. World Bank  
18. World Monuments Fund
Annex G

Other relevant international documents
List of International Documents Included

1990. Charter for the Protection and Management of the Archaeological Heritage, Lausanne, ICOMOS.
1999. Charter on the Built Vernacular Heritage, Mexico, ICOMOS.
2005. Xi’an Declaration on the Conservation of the Setting of Heritage Structures, Sites and Areas, Xi’an (China), ICOMOS.
2008. Charter for the Interpretation and Presentation of Cultural Heritage Sites (The Ename Charter), Québec (Canada), ICOMOS.
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;
The relationship between the town or urban area and its surrounding setting, both natural and man-made; and

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.
CHARTER FOR THE PROTECTION AND MANAGEMENT OF THE ARCHAEOLOGICAL HERITAGE (1990)

Prepared by the International Committee for the Management of Archaeological Heritage (ICAHM) an approved by the 9th General Assembly in Lausanne in 1990.

INTRODUCTION

It is widely recognised that a knowledge and understanding of the origins and development of human societies is of fundamental importance to humanity in identifying its cultural and social roots.

The archaeological heritage constitutes the basic record of past human activities. Its protection and proper management is therefore essential to enable archaeologists and other scholars to study and interpret it on behalf of and for the benefit of present and future generations.

The protection of this heritage cannot be based upon the application of archaeological techniques alone. It requires a wider basis of professional and scientific knowledge and skills. Some elements of the archaeological heritage are components of architectural structures and in such cases must be protected in accordance with the criteria for the protection of such structures laid down in the 1966 Venice Charter on the Conservation and Restoration of Monuments and Sites. Other elements of the archaeological heritage constitute part of the living traditions of indigenous peoples, and for such sites and monuments the participation of local cultural groups is essential for their protection and preservation.

For these and other reasons the protection of the archaeological heritage must be based upon effective collaboration between professionals from many disciplines. It also requires the co-operation of government authorities, academic researchers, private or public enterprise, and the general public. This charter therefore lays down principles relating to the different aspects of archaeological heritage management. These include the responsibilities of public authorities and legislators, principles relating to the professional performance of the processes of inventiorisation, survey, excavation, documentation, research, maintenance, conservation, preservation, reconstruction, information, presentation, public access and use of the heritage, and the qualification of professionals involved in the protection of the archaeological heritage.

The charter has been inspired by the success of the Venice Charter as guidelines and source of ideas for policies and practice of governments as well as scholars and professionals.

The charter has to reflect very basic principles and guidelines with global validity. For this reason it cannot take into account the specific problems and possibilities of regions or countries. The charter should therefore be supplemented at regional and national levels by further principles and guidelines for these needs.
DEFINITION AND INTRODUCTION

Article 1
The "archaeological heritage" is that part of the material heritage in respect of which archaeological methods provide primary information. It comprises all vestiges of human existence and consists of places relating to all manifestations of human activity, abandoned structures, and remains of all kinds (including subterranean and underwater sites), together with all the portable cultural material associated with them.

INTEGRATED PROTECTION POLICIES

Article 2.
The archaeological heritage is a fragile and non-renewable cultural resource. Land use must therefore be controlled and developed in order to minimise the destruction of the archaeological heritage.

Policies for the protection of the archaeological heritage should constitute an integral component of policies relating to land use, development, and planning as well as of cultural, environmental and educational policies. The policies for the protection of the archaeological heritage should be kept under continual review, so that they stay up to date. The creation of archaeological reserves should form part of such policies.

The protection of the archaeological heritage should be integrated into planning policies at international, national, regional and local levels.

Active participation by the general public must form part of policies for the protection of the archaeological heritage. This is essential where the heritage of indigenous peoples is involved. Participation must be based upon access to the knowledge necessary for decision-making. The provision of information to the general public is therefore an important element in integrated protection.

LEGISLATION AND ECONOMY

Article 3.
The protection of the archaeological heritage should be considered as a moral obligation upon all human beings; it is also a collective public responsibility. This obligation must be acknowledged through relevant legislation and the provision of adequate funds for the supporting programmes necessary for effective heritage management.

The archaeological heritage is common to all human society and it should therefore be the duty of every country to ensure that adequate funds are available for its protection.

Legislation should afford protection to the archaeological heritage that is appropriate to the needs, history, and traditions of each country and region, providing for in situ protection and research needs.

Legislation should be based on the concept of the archaeological heritage as the heritage of all humanity and of groups of peoples, and not restricted to any individual person or nation.

Legislation should forbid the destruction, degradation or alteration through changes of any archaeological site or monument or to their surroundings without the consent of the relevant archaeological authority.
Legislation should in principle require full archaeological investigation and documentation in cases where the destruction of the archaeological heritage is authorised.

Legislation should require, and make provision for, the proper maintenance, management and conservation of the archaeological heritage. Adequate legal sanctions should be prescribed in respect of violations of archaeological heritage legislation.

If legislation affords protection only to those elements of the archaeological heritage which are registered in a selective statutory inventory, provision should be made for the temporary protection of unprotected or newly discovered sites and monuments until an archaeological evaluation can be carried out.

Development projects constitute one of the greatest physical threats to the archaeological heritage. A duty for developers to ensure that archaeological heritage impact studies are carried out before development schemes are implemented, should therefore be embodied in appropriate legislation, with a stipulation that the costs of such studies are to be included in project costs. The principle should also be established in legislation that development schemes should be designed in such a way as to minimise their impact upon the archaeological heritage.

SURVEY

Article 4.

The protection of the archaeological heritage must be based upon the fullest possible knowledge of its extent and nature. General survey of archaeological resources is therefore an essential working tool in developing strategies for the protection of the archaeological heritage. Consequently archaeological survey should be a basic obligation in the protection and management of the archaeological heritage.

At the same time, inventories constitute primary resource databases for scientific study and research. The compilation of inventories should therefore be regarded as a continuous, dynamic process. It follows that inventories should comprise information at various levels of significance and reliability, since even superficial knowledge can form the starting point for protectional measures.

INVESTIGATION

Article 5.

Archaeological knowledge is based principally on the scientific investigation of the archaeological heritage. Such investigation embraces the whole range of methods from non-destructive techniques through sampling to total excavation.

It must be an overriding principle that the gathering of information about the archaeological heritage should not destroy any more archaeological evidence than is necessary for the protectional or scientific objectives of the investigation. Non-destructive techniques, aerial and ground survey, and sampling should therefore be encouraged wherever possible, in preference to total excavation.

As excavation always implies the necessity of making a selection of evidence to be documented and preserved at the cost of losing other information and possibly even the total destruction of the monument, a decision to excavate should only be taken after thorough consideration.
Excavation should be carried out on sites and monuments threatened by development, land-use change, looting, or natural deterioration.

In exceptional cases, unthreatened sites may be excavated to elucidate research problems or to interpret them more effectively for the purpose of presenting them to the public. In such cases excavation must be preceded by thorough scientific evaluation of the significance of the site. Excavation should be partial, leaving a portion undisturbed for future research.

A report conforming to an agreed standard should be made available to the scientific community and should be incorporated in the relevant inventory within a reasonable period after the conclusion of the excavation.

Excavations should be conducted in accordance with the principles embodied in the 1956 UNESCO Recommendations on International Principles Applicable to Archaeological Excavations and with agreed international and national professional standards.

MAINTENANCE AND CONSERVATION

Article 6.

The overall objective of archaeological heritage management should be the preservation of monuments and sites in situ, including proper long-term conservation and curation of all related records and collections etc. Any transfer of elements of the heritage to new locations represents a violation of the principle of preserving the heritage in its original context. This principle stresses the need for proper maintenance, conservation and management. It also asserts the principle that the archaeological heritage should not be exposed by excavation or left exposed after excavation if provision for its proper maintenance and management after excavation cannot be guaranteed.

Local commitment and participation should be actively sought and encouraged as a means of promoting the maintenance of the archaeological heritage. This principle is especially important when dealing with the heritage of indigenous peoples or local cultural groups. In some cases it may be appropriate to entrust responsibility for the protection and management of sites and monuments to indigenous peoples.

Owing to the inevitable limitations of available resources, active maintenance will have to be carried out on a selective basis. It should therefore be applied to a sample of the diversity of sites and monuments, based upon a scientific assessment of their significance and representative character, and not confined to the more notable and visually attractive monuments.

The relevant principles of the 1956 UNESCO Recommendations should be applied in respect of the maintenance and conservation of the archaeological heritage.

PRESENTATION, INFORMATION, RECONSTRUCTION

Article 7.

The presentation of the archaeological heritage to the general public is an essential method of promoting an understanding of the origins and development of modern societies. At the same time it is the most important means of promoting an understanding of the need for its protection.

Presentation and information should be conceived as a popular interpretation of the current
state of knowledge, and it must therefore be revised frequently. It should take account of
the multifaceted approaches to an understanding of the past.

Reconstructions serve two important functions: experimental research and interpretation.
They should, however, be carried out with great caution, so as to avoid disturbing any
surviving archaeological evidence, and they should take account of evidence from all
sources in order to achieve authenticity. Where possible and appropriate, reconstructions
should not be built immediately on the archaeological remains, and should be identifiable as
such.

PROFESSIONAL QUALIFICATIONS

Article 8.

High academic standards in many different disciplines are essential in the management of
the archaeological heritage. The training of an adequate number of qualified professionals in
the relevant fields of expertise should therefore be an important objective for the
educational policies in every country. The need to develop expertise in certain highly
specialised fields calls for international co-operation. Standards of professional training and
professional conduct should be established and maintained.

The objective of academic archaeological training should take account of the shift in
conservation policies from excavation to in situ preservation. It should also take into
account the fact that the study of the history of indigenous peoples is as important in
preserving and understanding the archaeological heritage as the study of outstanding
monuments and sites.

The protection of the archaeological heritage is a process of continuous dynamic
development. Time should therefore be made available to professionals working in this field
to enable them to update their knowledge. Postgraduate training programmes should be
developed with special emphasis on the protection and management of the archaeological
heritage.

INTERNATIONAL CO-OPERATION

Article 9.

The archaeological heritage is the common heritage of all humanity. International co-
operation is therefore essential in developing and maintaining standards in its management.

There is an urgent need to create international mechanisms for the exchange of information
and experience among professionals dealing with archaeological heritage management. This
requires the organisation of conferences, seminars, workshops, etc. at global as well as
regional levels, and the establishment of regional centres for postgraduate studies. ICOMOS, through its specialised groups, should promote this aspect in its medium- and
long-term planning.

International exchanges of professional staff should also be developed as a means of raising
standards of archaeological heritage management.

Technical assistance programmes in the field of archaeological heritage management should
be developed under the auspices of ICOMOS.
As the cultural heritage is a unique expression of human achievement; and
As this cultural heritage is continuously at risk; and
As recording is one of the principal ways available to give meaning, understanding, definition
and recognition of the values of the cultural heritage; and
As the responsibility for conserving and maintaining the cultural heritage rests not only with
the owners but also with conservation specialists and the professionals, managers, politicians
and administrators working at all levels of government, and with the public; and
As article 16 of the Charter of Venice requires, it is essential that responsible organisations
and individuals record the nature of the cultural heritage.

The purpose of this document is therefore to set out the principal reasons, responsibilities,
planning measures, contents, management and sharing considerations for the recording of
the cultural heritage.

DEFINITIONS OF WORDS USED IN THIS DOCUMENT:

Cultural Heritage refers to monuments, groups of buildings and sites of heritage value,
constituting the historic or built environment.

Recording is the capture of information which describes the physical configuration, condition
and use of monuments, groups of buildings and sites, at points in time, and it is an essential
part of the conservation process.

Records of monuments, groups of buildings and sites may include tangible as well as
intangible evidence, and constitute a part of the documentation that can contribute to an
understanding of the heritage and its related values.

THE REASONS FOR RECORDING

1. The recording of the cultural heritage is essential:
   a) To acquire knowledge in order to advance the understanding of cultural
      heritage, its values and its evolution;
   b) To promote the interest and involvement of the people in the preservation of the
      heritage through the dissemination of recorded information;
   c) To permit informed management and control of construction works and of all
      change to the cultural heritage;
   d) To ensure that the maintenance and conservation of the heritage is sensitive to
      its physical form, its materials, construction, and its historical and cultural significance.

2. Recording should be undertaken to an appropriate level of detail in order to:
   a) Provide information for the process of identification, understanding,
      interpretation and presentation of the heritage, and to promote the involvement of the public;
b) Provide a permanent record of all monuments, groups of buildings and sites that are to be destroyed or altered in any way, or where at risk from natural events or human activities;

c) Provide information for administrators and planners at national, regional or local levels to make sensitive planning and development control policies and decisions;

d) Provide information upon which appropriate and sustainable use may be identified, and the effective research, management, maintenance programmes and construction works may be planned.

3. Recording of the cultural heritage should be seen as a priority, and should be undertaken especially:

a) When compiling a national, regional, or local inventory;

b) As a fully integrated part of research and conservation activity;

c) Before, during and after any works of repair, alteration, or other intervention, and when evidence of its history is revealed during such works;

d) When total or partial demolition, destruction, abandonment or relocation is contemplated, or where the heritage is at risk of damage from human or natural external forces;

e) During or following accidental or unforeseen disturbance which damages the cultural heritage;

f) When change of use or responsibility for management or control occurs.

RESPONSIBILITY FOR RECORDING

1. The commitment at the national level to conserve the heritage requires an equal commitment towards the recording process.

2. The complexity of the recording and interpretation processes requires the deployment of individuals with adequate skill, knowledge and awareness for the associated tasks. It may be necessary to initiate training programmes to achieve this.

3. Typically the recording process may involve skilled individuals working in collaboration, such as specialist heritage recorders, surveyors, conservators, architects, engineers, researchers, architectural historians, archaeologists above and below ground, and other specialist advisors.

4. All managers of cultural heritage are responsible for ensuring the adequate recording, quality and updating of the records.

PLANNING FOR RECORDING

1. Before new records are prepared, existing sources of information should be found and examined for their adequacy.

a) The type of records containing such information should be searched for in surveys, drawings, photographs, published and unpublished accounts and descriptions, and related documents pertaining to the origins and history of the building, group of buildings or site. It is important to search out recent as well as old records;

b) Existing records should be searched for in locations such as national and local public archives, in professional, institutional or private archives, inventories and collections, in libraries or museums;

c) Records should be searched for through consultation with individuals and organisations who have owned, occupied, recorded, constructed, conserved, or carried out research into or who have knowledge of the building, group of buildings or site.

2. Arising out of the analysis above, selection of the appropriate scope, level and methods of recording requires that:
a) The methods of recording and type of documentation produced should be appropriate to the nature of the heritage, the purposes of the record, the cultural context, and the funding or other resources available. Limitations of such resources may require a phased approach to recording. Such methods might include written descriptions and analyses, photographs (aerial or terrestrial), rectified photography, photogrammetry, geophysical survey, maps, measured plans, drawings and sketches, replicas or other traditional and modern technologies;

b) Recording methodologies should, wherever possible, use non-intrusive techniques, and should not cause damage to the object being recorded;

c) The rationale for the intended scope and the recording method should be clearly stated;

d) The materials used for compiling the finished record must be archivally stable.

**CONTENT OF RECORDS**

1. Any record should be identified by:

   a) The name of the building, group of buildings or
   b) A unique reference number;
   c) The date of compilation of the record;
   d) The name of the recording organisation;
   e) Cross-references to related building records and reports, photographic, graphic, textual or bibliographic documentation, archaeological and environmental records.

2. The location and extent of the monument, group of buildings or site must be given accurately - this may be achieved by description, maps, plans or aerial photographs. In rural areas a map reference or triangulation to known points may be the only methods available. In urban areas an address or street reference may be sufficient.

3. New records should note the sources of all information not obtained directly from the monument, group of buildings or site itself.

4. Records should include some or all of the following information:

   a) The type, form and dimensions of the building, monument or site;
   b) The interior and exterior characteristics, as appropriate, of the monument, group of buildings or site;
   c) The nature, quality, cultural, artistic and scientific significance of the heritage and its components and the cultural, artistic and scientific significance of:

      • the materials, constituent parts and construction, decoration, ornament or inscriptions
      • services, fittings and machinery,
      • ancillary structures, the gardens, landscape and the cultural, topographical and natural features of the site;
   d) The traditional and modern technology and skills used in construction and maintenance;
   e) Evidence to establish the date of origin, authorship, ownership, the original design, extent, use and decoration;
   f) Evidence to establish the subsequent history of its uses, associated events, structural or decorative alterations, and the impact of human or natural external forces;
   g) The history of management, maintenance and repairs;
   h) Representative elements or samples of construction or site materials;
   i) An assessment of the current condition of the heritage;
j) An assessment of the visual and functional relationship between the heritage and its setting;

k) An assessment of the conflicts and risks from human or natural causes, and from environmental pollution or adjacent land uses.

5. In considering the different reasons for recording (see Section 1.2 above) different levels of detail will be required. All the above information, even if briefly stated, provides important data for local planning and building control and management. Information in greater detail is generally required for the site or building owner's, manager's or user's purposes for conservation, maintenance and use.

**MANAGEMENT, DISSEMINATION AND SHARING OF RECORDS**

1. The original records should be preserved in a safe archive, and the archive's environment must ensure permanence of the information and freedom from decay to recognised international standards.

2. A complete back-up copy of such records should be stored in a separate safe location.

3. Copies of such records should be accessible to the statutory authorities, to concerned professionals and to the public, where appropriate, for the purposes of research, development controls and other administrative and legal processes.

4. Up-dated records should be readily available, if possible on the site, for the purposes of research on the heritage, management, maintenance and disaster relief.

5. The format of the records should be standardised, and records should be indexed wherever possible to facilitate the exchange and retrieval of information at a local, national or international level.

6. The effective assembly, management and distribution of recorded information requires, wherever possible, the understanding and the appropriate use of up-to-date information technology.

7. The location of the records should be made public.

8. A report of the main results of any recording should be disseminated and published, when appropriate.
INTRODUCTION

The built vernacular heritage occupies a central place in the affection and pride of all peoples. It has been accepted as a characteristic and attractive product of society. It appears informal, but nevertheless orderly. It is utilitarian and at the same time possesses interest and beauty. It is a focus of contemporary life and at the same time a record of the history of society. Although it is the work of man it is also the creation of time. It would be unworthy of the heritage of man if care were not taken to conserve these traditional harmonies which constitute the core of man’s own existence.

The built vernacular heritage is important; it is the fundamental expression of the culture of a community, of its relationship with its territory and, at the same time, the expression of the world’s cultural diversity.

Vernacular building is the traditional and natural way by which communities house themselves. It is a continuing process including necessary changes and continuous adaptation as a response to social and environmental constraints. The survival of this tradition is threatened world-wide by the forces of economic, cultural and architectural homogenisation. How these forces can be met is a fundamental problem that must be addressed by communities and also by governments, planners, architects, conservationists and by a multidisciplinary group of specialists.

Due to the homogenisation of culture and of global socio-economic transformation, vernacular structures all around the world are extremely vulnerable, facing serious problems of obsolescence, internal equilibrium and integration.

It is necessary, therefore, in addition to the Venice Charter, to establish principles for the care and protection of our built vernacular heritage.

GENERAL ISSUES

1. Examples of the vernacular may be recognised by:
   a) A manner of building shared by the community;
   b) A recognisable local or regional character responsive to the environment;
   c) Coherence of style, form and appearance, or the use of traditionally established building types;
   d) Traditional expertise in design and construction which is transmitted informally;
   e) An effective response to functional, social and environmental constraints;
The effective application of traditional construction systems and crafts.

2. The appreciation and successful protection of the vernacular heritage depend on the involvement and support of the community, continuing use and maintenance.

3. Governments and responsible authorities must recognise the right of all communities to maintain their living traditions, to protect these through all available legislative, administrative and financial means and to hand them down to future generations.

PRINCIPLES OF CONSERVATION

1. The conservation of the built vernacular heritage must be carried out by multidisciplinary expertise while recognising the inevitability of change and development, and the need to respect the community’s established cultural identity.

2. Contemporary work on vernacular buildings, groups and settlements should respect their cultural values and their traditional character.

3. The vernacular is only seldom represented by single structures, and it is best conserved by maintaining and preserving groups and settlements of a representative character, region by region.

4. The built vernacular heritage is an integral part of the cultural landscape and this relationship must be taken into consideration in the development of conservation approaches.

5. The vernacular embraces not only the physical form and fabric of buildings, structures and spaces, but the ways in which they are used and understood, and the traditions and the intangible associations which attach to them.

GUIDELINES IN PRACTICE

1. Research and documentation

Any physical work on a vernacular structure should be cautious and should be preceded by a full analysis of its form and structure. This document should be lodged in a publicly accessible archive.

2. Siting, landscape and groups of buildings

Interventions to vernacular structures should be carried out in a manner which will respect and maintain the integrity of the sitting, the relationship to the physical and cultural landscape, and of one structure to another.

3. Traditional building systems

The continuity of traditional building systems and craft skills associated with the vernacular is fundamental for vernacular expression, and essential for the repair and restoration of these structures. Such skills should be retained, recorded and passed on to new generations of craftsmen and builders in education and training.

4. Replacement of materials and parts

Alterations which legitimately respond to the demands of contemporary use should be effected by the introduction of materials which maintain a consistency of expression, appearance, texture and form throughout the structure and a consistency of building
5. Adaptation

Adaptation and reuse of vernacular structures should be carried out in a manner which will respect the integrity of the structure, its character and form while being compatible with acceptable standards of living. Where there is no break in the continuous utilisation of vernacular forms, a code of ethics within the community can serve as a tool of intervention.

6. Changes and period restoration

Changes over time should be appreciated and understood as important aspects of vernacular architecture. Conformity of all parts of a building to a single period, will not normally be the goal of work on vernacular structures.

7. Training

In order to conserve the cultural values of vernacular expression, governments, responsible authorities, groups and organisations must place emphasis on the following:

   a) Education programmes for conservators in the principles of the vernacular;

   b) Training programmes to assist communities in maintaining traditional building systems, materials and craft skills;

   c) Information programmes which improve public awareness of the vernacular especially amongst the younger generation.

   d) Regional networks on vernacular architecture to exchange expertise and experiences.

CIAV:

Madrid, January 30, 1996,
Jerusalem, March 28, 1996
Santo Domingo, August 26, 1998.

The Charter of Krakow 2000

PRINCIPLES FOR CONSERVATION AND RESTORATION OF BUILT HERITAGE

Recognising the contribution of individuals and institutions who, in the course of three years, have participated in the preparation of the International Conference on Conservation "Krakow 2000" and its Plenary Session "Cultural Heritage as the Foundation of the Development of Civilisation",

We, the participants of the International Conference on Conservation "Krakow 2000", conscious of the profound meanings associated with cultural heritage, submit the following principles to those responsible for heritage as a guideline for the efforts to safeguard such properties.

PREAMBLE

Acting in the spirit of the Charter of Venice, taking note of the international recommendations and urged on by the process of European unification, at the turn of the new millennium, we are conscious of living within such a framework, in which identities, in an ever more extensive context, are becoming characterised and more distinct. Europe today is characterised by a cultural diversity and thus by the plurality of fundamental values related to the mobile, immobile and intellectual heritage, the different meanings associated with it and consequently also conflicts of interest. This obliges all those responsible for safeguarding cultural heritage to become increasingly attentive to the problems and choices they need to face in pursuing their objectives.

Each community, by means of its collective memory and consciousness of its past, is responsible for the identification as well as the management of its heritage. Individual elements of this heritage are bearers of many values, which may change in time. The various specific values in the elements characterise the specificity of each heritage. From this process of change, each community develops an awareness and consciousness of a need to look after their own common heritage values.

This heritage cannot be defined in a fixed way. One can only define the way in which the heritage may be identified. Plurality in society entails a great diversity in heritage concepts as conceived by the entire community; therefore the tools and methods developed for appropriate preservation should be adapted to the evolving situations, which are subject to a process of continual change. The particular context of selecting these values requires the preparation of a conservation plan and a series of decisions. These should be codified in a restoration project according to appropriate technical and structural criteria.

Conscious of the profound values of the Charter of Venice and working towards the same aims, we propose the following principles for conservation and restoration of the built heritage in our time.
AIMS AND METHODS

1. The architectural, urban and landscape heritage, as well as artefacts, are the result of an identification with various associated moments in history and social-cultural contexts. The conservation of this heritage is our aim. Conservation can be realised by different types of interventions such as environmental control, maintenance, repair, restoration, renovation and rehabilitation. Any intervention implies decisions, selections and responsibilities related to the complete heritage, also to those parts that may not have a specific meaning today, but might have one in the future.

2. Maintenance and repairs are a fundamental part of the process of heritage conservation. These actions have to be organised with systematic research, inspection, control, monitoring and testing. Possible decay has to be foreseen and reported on, and appropriate preventive measures have to be taken.

3. The conservation of built heritage is implemented by the project of restoration, including the strategy to conserve in the long term. This `restoration project should be based on a range of appropriate technical options and prepared in a cognitive process of gathering knowledge and understanding of the building or site. This may include traditional and subsequent new materials, structural investigations, graphical and dimensional analysis and the identification of historical, artistic and socio-cultural significance. All pertinent disciplines have to participate in the restoration project and the co-ordination should be carried out by a person qualified and well trained in conservation and restoration.

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

DIFFERENT KINDS OF BUILT HERITAGE

5. Any intervention involving the archaeological heritage, due to its vulnerability, should be strictly related to its surroundings, territory and landscape. The destructive aspects of the excavation should be reduced as far as possible. At each excavation, the archaeological work must be fully documented.

As in all other cases, conservation work on archaeological finds must be based on the principle of minimum intervention. This must be done by professionals and the methodology and techniques used must be strictly controlled.

In the protection and public presentation of archaeological sites, the use of modern technologies, databanks, information systems and virtual presentation techniques should be promoted.

6. The purpose of conservation of historic buildings and monuments, whether in the urban or rural context, is to maintain their authenticity and integrity, including internal spaces, furnishings and decoration according to their original appearance. Such conservation requires an appropriate `project of restoration` that defines the methods and aims. In many cases, it also requires an appropriate use, compatible with the existing space and significance. Work on historic buildings must pay full attention to all the periods that are present.
7. **Architectural decoration, sculpture and artefacts** that are an integrated part of the built heritage should be preserved through a specific project connected to the general project. This presupposes that the restorer has the proper knowledge and training in addition to the cultural, technical and operating capacity to interpret the different analyses of the specific artistic fields. The restoration project must guarantee a correct approach to the conservation of the full setting, decoration or sculpture, with respect to traditional building crafts and their necessary integration as a substantial part of the built heritage.

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

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

9. **Landscapes** as cultural heritage result from and reflect a prolonged interaction in different societies between man, nature and the physical environment. They are testimony to the evolving relationship of communities, individuals and their environment. In this context their conservation, preservation and development focus on human and natural features, integrating material and intangible values. It is important to understand and respect the character of landscapes, and apply appropriate laws and norms to harmonise relevant territorial functions with essential values. In many societies, landscapes are historically related to urban territories and influences.

The integration of cultural landscape conservation, and the sustainable development of regions and localities with ecological activities, and the natural environment require awareness and understanding of the relationships over time. This involves making links with the built environment of the metropolis, city and town.

Integrated conservation of fossil and archaeological landscapes, and the development of a highly dynamic landscapes, involve social, cultural and aesthetic values.

10. Conservation/preservation techniques should be strictly tied to interdisciplinary scientific research on materials and technologies used for the construction, repair and/or restoration of the built heritage. The chosen intervention should respect the original function and ensure compatibility with existing materials, structures and architectural values. Any new materials and technologies should be rigorously tested, compared and understood before application. Although the in situ application of new techniques may be relevant to the continued well-being of original fabric, they should be continually monitored in the
light of the achieved results, taking into account their behaviour over time and the possibility of eventual reversibility.

Particular attention is required to improve our knowledge of traditional materials and techniques, and their appropriate continuation in the context of modern society, being in themselves important components of cultural heritage.

**MANAGEMENT**

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

Conservation of cultural heritage should be an integral part of the planning and management processes of a community, as it can contribute to the sustainable, qualitative, economic and social developments of that society.

**12.** The plurality of heritage values and diversity of interests necessitates a communication structure that allows, in addition to specialists and administrators, an effective participation of inhabitants in the process. It is the responsibility of communities to establish appropriate methods and structures to ensure true participation of individuals and institutions in the decision-making process.

**TRAINING AND EDUCATION**

**13.** Training and education in cultural heritage matters requires social involvement and integration into national systems of education at all levels. The complexity of a restoration project, or any other conservation intervention, involving historic, technical, cultural and economic aspects requires the appointment of a competent and well educated leader.

Education of conservators must be interdisciplinary and involve accurate study of architectural history, theory and techniques of conservation. This should assure the appropriate qualifications necessary to resolve research problems needed to carry out conservation and restoration interventions in a professional and responsible way.

The training of professionals and technicians in the conservation disciplines should take full account of evolving methodologies and technical knowledge, and be aware of the ongoing debate on conservation theories and policies.

The quality of craft and technical work during restoration projects should also be enhanced by improved vocational training.

**LEGAL MEASURES**

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

The redaction committee of this "CHARTER OF KRAKOW" used following terminological concepts:

a. **Heritage**: Heritage is that complex of man's works in which a community recognises its particular and specific values and with which it identifies. Identification and specification of heritage is therefore a process related to the choice of values.

b. **Monument**: A monument is an entity identified as of worth and forming a support to memory. In it, memory recognises aspects that are pertinent to human deeds and thoughts, associated with the historic time line. This may still be within our reach, even though not yet interpreted.

c. **Authenticity** means the sum of substantial, historically ascertained characteristics: from the original up to the current state, as an outcome of the various transformations that have occurred over time.

d. Identity is understood as the common reference of both present values generated in the sphere of a community and past values identified in its authenticity.

e. **Conservation**: Conservation is the complex of attitudes of a community that contributes to making the heritage and its monuments endure. Conservation is achieved with reference to the significance of the entity, with its associated values.

f. **Restoration**: Restoration is an operation directed on a heritage property, aiming at the conservation of its authenticity and its appropriation by the community.

g. **Project of restoration**: The project, resulting from the choice of conservation policies, is the process through which conservation of the built heritage and landscape is carried out.
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 irrevocably 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.
Since its establishment in 1965 as a worldwide organisation of heritage professionals dedicated to the study, documentation, and protection of cultural heritage sites, ICOMOS has striven to promote the conservation ethic in all its activities and to help enhance public appreciation of humanity’s material heritage in all its forms and diversity.

As noted in the Charter of Venice (1964) “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.” Subsequent ICOMOS charters have taken up that mission, establishing professional guidelines for specific conservation challenges and encouraging effective communication about the importance of heritage conservation in every region of the world.

These earlier ICOMOS charters stress the importance of public communication as an essential part of the larger conservation process (variously describing it as “dissemination,” “popularization,” “presentation,” and “interpretation”). They implicitly acknowledge that every act of heritage conservation—within all the world’s cultural traditions - is by its nature a communicative act.

From the vast range of surviving material remains and intangible values of past communities and civilisations, the choice of what to preserve, how to preserve it, and how it is to be presented to the public are all elements of site interpretation. They represent every generation’s vision of what is significant, what is important, and why material remains from the past should be passed on to generations yet to come.

The need for a clear rationale, standardised terminology, and accepted professional principles for Interpretation and Presentation* is evident. In recent years, the dramatic expansion of interpretive activities at many cultural heritage sites and the introduction of elaborate interpretive technologies and new economic strategies for the marketing and management of cultural heritage sites have created new complexities and aroused basic questions that remain from the past should be passed on to generations future.
are central to the goals of both conservation and the public appreciation of cultural heritage sites throughout the world:

- What are the accepted and acceptable goals for the Interpretation and Presentation of cultural heritage sites?
- What principles should help determine which technical means and methods are appropriate in particular cultural and heritage contexts?
- What general ethical and professional considerations should help shape Interpretation and Presentation in light of its wide variety of specific forms and techniques?

The purpose of this Charter is therefore to define the basic principles of Interpretation and Presentation as essential components of heritage conservation efforts and as a means of enhancing public appreciation and understanding of cultural heritage sites*.

**DEFINITIONS**

For the purposes of the present Charter, **Interpretation** refers to the full range of potential activities intended to heighten public awareness and enhance understanding of cultural heritage site. These can include print and electronic publications, public lectures, on-site and directly related off-site installations, educational programmes, community activities, and ongoing research, training, and evaluation of the interpretation process itself.

**Presentation** more specifically denotes the carefully planned communication of interpretive content through the arrangement of interpretive information, physical access, and interpretive infrastructure at a cultural heritage site. It can be conveyed through a variety of technical means, including, yet not requiring, such elements as informational panels, museum-type displays, formalized walking tours, lectures and guided tours, and multimedia applications and websites.

**Interpretive infrastructure** refers to physical installations, facilities, and areas at, or connected with a cultural heritage site that may be specifically utilised for the purposes of interpretation and presentation including those supporting interpretation via new and existing technologies.

**Site interpreters** refers to staff or volunteers at a cultural heritage site who are permanently or temporarily engaged in the public communication of information relating to the values and significance of the site.

**Cultural Heritage Site** refers to a place, locality, natural landscape, settlement area, architectural complex, archaeological site, or standing structure that is recognized and often legally protected as a place of historical and cultural significance.

problématiques et soulevé des questions élémentaires de première importance quant aux finalités de la conservation et l’appréciation du public des sites patrimoniaux à travers le monde :

- Quels sont les objectifs acceptables et acceptés pour l’Interprétation et la Présentation des sites patrimoniaux ?
- Quels principes devraient aider à déterminer quels moyens techniques et quelles méthodes sont appropriées dans des contextes culturels et patrimoniaux particuliers ?
- Quelles considérations éthiques et professionnelles pourraient aider à façonner l’interprétation et la présentation quelles que soient leurs formes et techniques spécifiques?

L’objectif de cette Charte est donc de définir les principes de base de l’interprétation et de la présentation en tant à la fois qu’éléments essentiels des efforts de conservation du patrimoine et outils essentiels à l’appréciation et à la compréhension par le public des sites culturels patrimoniaux."

**DEFINITIONS**

Pour la rédaction de la présente Charte, **L’interprétation** renvoie à l’ensemble des activités potentielles destinées à augmenter la conscience publique et à renforcer sa compréhension du site culturel patrimonial. Ceci peut inclure des publications, des conférences, des installations sur site, des programmes éducatifs, des activités communautaires ainsi que la recherche, la formation et l’évaluation permanente du processus même d’interprétation.

**La présentation** concerne plus spécifiquement une communication planifiée du contenu interprétatif par l’agencement d’informations de même nature, au moyen d’un accès physique au site culturel patrimonial. Elle peut être transmise par une variété de moyens techniques, comprenant indifféremment des éléments tels que des panneaux informatifs, une présentation de type muséale, des sentiers fléchés, des conférences, des visites guidées et des applications multimédia.

**Les équipements et services d’interprétation** renvoient à toutes installations physiques, équipements et espaces du site culturel patrimonial qui peuvent être utilisés spécifiquement pour les besoins de l’interprétation et de la présentation.

**Les interprètes du site** renvoient au personnel ou aux volontaires œuvrant sur le site culturel patrimonial qu’ils soient engagés de façon permanente ou temporaire pour la communication au public d’information concernant la valeur et la signification du site.

**Un site culturel patrimonial** renvoie à une localité, un paysage, une aire d’établissement, un complexe architectural, un site archéologique, ou une structure existante, reconnus ou souvent protégés légalement en tant que site de signification historique et culturelle.
### OBJECTIVES

In recognizing that interpretation and presentation are part of the overall process of cultural heritage conservation and management, this Charter seeks to establish seven cardinal principles, upon which Interpretation and Presentation—in whatever form or medium is deemed appropriate in specific circumstances—should be based.

**Principle 1: Access and Understanding**
**Principle 2: Information Sources**
**Principle 3: Attention to Setting and Context**
**Principle 4: Preservation of Authenticity**
**Principle 5: Planning for Sustainability**
**Principle 6: Concern for Inclusiveness**
**Principle 7: Importance of Research, Training, and Evaluation**

Following from these seven principles, the objectives of this Charter are to:

1. **Facilitate understanding and appreciation** of cultural heritage sites and foster public awareness and engagement in the need for their protection and conservation.
2. **Communicate the meaning** of cultural heritage sites to a range of audiences through careful, documented recognition of significance, through accepted scientific and scholarly methods as well as from living cultural traditions.
3. **Safeguard the tangible and intangible values** of cultural heritage sites in their natural and cultural settings and social contexts.
4. **Respect the authenticity** of cultural heritage sites, by communicating the significance of their historic fabric and cultural values and protecting them from the adverse impact of intrusive interpretive infrastructure, visitor pressure, inaccurate or inappropriate interpretation.
5. **Contribute to the sustainable conservation** of cultural heritage sites, through promoting public understanding of, and participation in, ongoing conservation efforts, ensuring long-term maintenance of the interpretive infrastructure and regular review of its interpretive contents.
6. **Encourage inclusiveness** in the interpretation of cultural heritage sites, by facilitating the involvement of stakeholders and associated communities in the development and implementation of interpretive programmes.
7. **Develop technical and professional guidelines** for heritage interpretation and presentation, including technologies, research, and training. Such guidelines must be appropriate and sustainable in their social contexts.

### OBJECTIFS

En reconnaissant que l’interprétation et la présentation sont partie intégrante du processus général de conservation et de gestion du patrimoine culturel, cette Charte vise à établir sept principes cardinaux sur lesquels l’interprétation et la présentation devraient être basées, quels que soient les moyens et formes les plus appropriés selon les circonstances.

**Principe 1 : Accès et compréhension**
**Principe 2 : Sources d’information**
**Principe 3 : Attention portée au contexte et à l’environnement**
**Principe 4 : Préservation de l’authenticité**
**Principe 5 : Organisation de la durabilité**
**Principe 6 : Attention portée à la participation**
**Principe 7 : Importance de la recherche, de la formation et de l’évaluation**

Comme suite à ces sept principes, les objectifs de cette charte sont :

1. **Faciliter la compréhension et l’appréciation** des sites culturels patrimoniaux et promouvoir la prise de conscience publique et l’engagement de la nécessité de leur protection et de leur conservation.
2. **Communiquer le sens** des sites culturels patrimoniaux à des audiences diverses par une reconnaissance approfondie et bien documentée de la signification, au moyen de méthodes reconnues d’analyses scientifiques et les recherches ainsi que des traditions culturelles vivantes.
3. **Sauvegarder les valeurs matérielles et immatérielles** propres aux sites culturels patrimoniaux dans leur environnement culturel, naturel et leur contexte social.
4. **Respecter l’authenticité** des sites culturels patrimoniaux en communiquant l’importance de leurs matériaux historiques et la portée de leurs valeurs culturelles et en les protégeant contre les effets adverses d’infrastructures d’interprétation mal venues, des pressions venant du public, d’une interprétation imprécise et inadéquate.
5. **Contribuer à la conservation durable** des sites culturels patrimoniaux par la promotion de la compréhension et de la participation du public des efforts de conservation en cours, en assurant la maintenance à long terme des équipements et services d’interprétation et une révision régulière de son contenu interprétatif.
6. **Encourager la participation** dans l’interprétation des sites culturels patrimoniaux en facilitant l’implication active des acteurs et communautés associées dans le développement et l’implémentation de programmes d’interprétation.
7. **Développer des normes techniques et professionnelles** pour l’interprétation et la présentation du patrimoine, incluant les technologies, la recherche et la formation. De tels normes doivent être appropriées et durables dans leur contexte social.
### PRINCIPLES

#### Principle 1: Access and Understanding

*Interpretation and presentation programmes should facilitate physical and intellectual access by the public to cultural heritage sites.*

1. Effective interpretation and presentation should enhance personal experience, increase public respect and understanding, and communicate the importance of the conservation of cultural heritage sites.

2. Interpretation and presentation should encourage individuals and communities to reflect on their own perceptions of a site and assist them in establishing a meaningful connection to it. The aim should be to stimulate further interest, learning, experience, and exploration.

3. Interpretation and presentation programmes should identify and assess their audiences demographically and culturally. Every effort should be made to communicate the site’s values and significance to its varied audiences.

4. The diversity of language among visitors and associated communities connected with a heritage site should be taken into account in the interpretive infrastructure.

5. Interpretation and presentation activities should also be physically accessible to the public, in all its variety.

6. In cases where physical access to a cultural heritage site is restricted due to conservation concerns, cultural sensitivities, adaptive re-use, or safety issues, interpretation and presentation should be provided off-site.

#### Principle 2: Information Sources

*Interpretation and presentation should be based on evidence gathered through accepted scientific and scholarly methods as well as from living cultural traditions.*

1. Interpretation should show the range of oral and written information, material remains, traditions, and meanings attributed to a site. The sources of this information should be documented, archived, and made accessible to the public.

2. Interpretation should be based on a well researched, multidisciplinary study of the site and its surroundings. It should also acknowledge that meaningful interpretation necessarily includes reflection on alternative historical hypotheses, local traditions, and stories.

3. At cultural heritage sites where traditional storytelling or memories of historical participants provide an

### PRINCIPES

#### Principe 1 : Accès et Compréhension

*Les programmes d’interprétation et de présentation devraient faciliter l’accès physique et intellectuel des sites culturels patrimoniaux auprès du public.*

1. Une interprétation et une présentation efficaces devraient enrichir l’expérience personnelle et accroître le respect et la compréhension du public et mettre en évidence l’importance de la bonne conservation du site culturel patrimonial.


3. Les programmes d’interprétation et de présentation devraient identifier et analyser leur public du point de vue démographique et culturel. Tous les efforts sont à déployer pour que l’interprétation et la présentation du patrimoine culturel communiquent effectivevment avec les divers auditoires d’un site.

4. La diversité des langues parlées par les visiteurs et les communautés en relation avec le site patrimonial devrait être prise en considération dans les équipements et les services d’interprétation.

5. Les programmes d’interprétation et de présentation devraient être accessibles à un large public, dans toute sa diversité, y compris les personnes à mobilité réduite.

6. Au cas où l’accès physique à un site culturel patrimonial est limité, pour des raisons de conservation, de sensibilités culturelles, d’aménagements adaptés ou d’exigences de sécurité, une interprétation et une présentation devraient être proposées en dehors du site.

#### Principe 2 : Sources d’Information

*L’interprétation et la présentation devraient reposer sur les preuves recueillies par les méthodes scientifiques et de recherche communément admises ainsi que sur les traditions culturelles vivantes.*


2. L’interprétation devrait être basée sur une étude multidisciplinaire approfondie du site et de son environnement. L’interprétation devrait également reconnaître et inclure les hypothèses historiques alternatives, les traditions et les histoires locales.

3. Dans les sites patrimoniaux où des récits ou les souvenirs d’acteurs historiques fournissent une
<table>
<thead>
<tr>
<th>Principle 3: Context and Setting</th>
<th>Principe 3 : Le Contexte et l'Environnement</th>
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<tbody>
<tr>
<td><strong>The Interpretation and Presentation of cultural heritage sites should relate to their wider social, cultural, historical, and natural contexts and settings.</strong></td>
<td><strong>L'interprétation et la présentation des sites patrimoniaux devraient mettre en lumière la relation plus large des sites avec leur contexte et leur environnement social, culturel, historique et naturel.</strong></td>
</tr>
<tr>
<td>1. Interpretation should explore the significance of a site in its multi-faceted historical, political, spiritual, and artistic contexts. It should consider all aspects of the site’s cultural, social, and environmental significance and values.</td>
<td>1. L’interprétation devrait explorer la signification d’un site sous tous ses aspects: historique, politique, spirituel et artistique. Elle devrait prendre en considération toutes les valeurs culturelles, sociales et environnementales du site.</td>
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<tr>
<td>2. The public interpretation of a cultural heritage site should clearly distinguish and date the successive phases and influences in its evolution. The contributions of all periods to the significance of a site should be respected.</td>
<td>2. L’interprétation publique d’un site culturel patrimonial devrait dater avec précision et faire la distinction entre les phases successives et les influences subies au cours de son évolution. Les différents apports historiques à la signification d’un site devraient être respectés.</td>
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<td>3. Interpretation should also take into account all groups that have contributed to the historical and cultural significance of the site.</td>
<td>3. L’interprétation devrait également prendre en considération tous les groupes qui ont contribué à la signification historique et culturelle du site.</td>
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<tr>
<td>4. The surrounding landscape, natural environment, and geographical setting are integral parts of a site’s historical and cultural significance, and, as such, should be considered in its interpretation.</td>
<td>4. Les paysages alentours, l'environnement naturel et le cadre géographique font partie intégrante des valeurs historiques et culturelles d’un site et, en tant que tels, devraient être pris en considération dans son interprétation.</td>
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<tr>
<td>5. Intangible elements of a site’s heritage such as cultural and spiritual traditions, stories, music, dance, theater, literature, visual arts, local customs and culinary heritage should be considered in its interpretation.</td>
<td>5. Les éléments immatériels d'un site patrimonial, tels que les traditions culturelles et spirituelles, les récits, la musique, la danse, le théâtre, la littérature, les arts visuels, les coutumes locales et le patrimoine culinaire devraient être pris en compte dans son interprétation.</td>
</tr>
<tr>
<td>6. The cross-cultural significance of heritage sites, as well as the range of perspectives about them based on scholarly research, ancient records, and living traditions, should be considered in the formulation of interpretive programmes.</td>
<td>6. La signification transculturelle des sites patrimoniaux ainsi que la coexistence des différents points de vue qui s’appuient sur la recherche, des faits anciens ou sur des traditions vivantes devraient se retrouver dans la formulation des programmes interprétatifs.</td>
</tr>
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**Principle 4: Authenticity**

The interpretation and presentation of cultural heritage sites must respect the basic tenets of authenticity in the spirit of the Nara Document (1994).

1. Authenticity is a concern relevant to human communities as well as material remains. The design of a heritage interpretation programme should respect the traditional social functions of the site and the cultural practices and dignity of local residents and associated communities.

2. Interpretation and presentation should contribute to the conservation of the authenticity of a cultural heritage site by communicating its significance without adversely impacting its cultural values or irreversibly altering its fabric.

3. All visible interpretive infrastructures (such as kiosks, walking paths, and information panels) must be sensitive to the character, setting and the cultural and natural significance of the site, while remaining easily identifiable.

4. On-site concerts, dramatic performances, and other interpretive programmes must be carefully planned to protect the significance and physical surroundings of the site and minimise disturbance to the local residents.

**Principle 5: Sustainability**

The interpretation plan for a cultural heritage site must be sensitive to its natural and cultural environment, with social, financial, and environmental sustainability among its central goals.

1. The development and implementation of interpretation and presentation programmes should be an integral part of the overall planning, budgeting, and management process of cultural heritage sites.

2. The potential effect of interpretive infrastructure and visitor numbers on the cultural value, physical characteristics, integrity, and natural environment of the site must be fully considered in heritage impact assessment studies.

3. Interpretation and presentation should serve a wide range of conservation, educational and cultural objectives. The success of an interpretive programme should not be evaluated solely on the basis of visitor attendance figures or revenue.

4. Interpretation and presentation should be an integral part of the conservation process, enhancing the public's awareness of specific conservation problems encountered at the site and explaining the efforts being taken to protect the site's physical integrity and authenticity.

5. Any technical or technological elements selected to become a permanent part of a site's interpretive infrastructure should be designed and constructed in a manner which ensures their sustainability.

**Principle 4 : Authenticité**

L'interprétation et la présentation des sites patrimoniaux doivent respecter leur authenticité dans l'esprit de la Déclaration de Nara (1994)

1. L’authenticité concerne aussi bien les communautés humaines que les vestiges matériels. La conception d'un programme d'interprétation patrimoniale devrait respecter les fonctions sociales traditionnelles d'un site, les pratiques culturelles et la dignité des résidents et des communautés associées.

2. L’interprétation et la présentation devraient contribuer à la conservation de l'authenticité d'un site culturel patrimonial par la communication de sa signification, sans avoir d'incidences adverses sur ses valeurs culturelles ou des altérations physiques irréversibles.

3. Tous les équipements et services d'interprétation visibles (tels que kiosques, sentiers, panneaux d'information) doivent s'intégrer harmonieusement dans le site, respecter son caractère, son environnement et ses valeurs culturelles et naturelles, tout en étant facilement repérables.


**Principle 5 : Caractère durable**

Le plan d'interprétation d'un site patrimonial doit être attentif à son environnement culturel et naturel. Son caractère durable à long terme est un objectif majeur, aux plans sociaux, financiers et environnementaux.

1. L’élaboration et la mise en œuvre d'un programme d’interprétation et de présentation devraient relever à part entière du plan général de programmation et de gestion d'un site patrimonial.

2. L'incidence possible d'un équipement d'interprétation et d'une fréquentation par de nombreux visiteurs sur les valeurs culturelles, les caractéristiques physiques, l'intégrité et l'environnement naturel d'un site fera l'objet d'études préalables approfondies.

3. L’interprétation et la présentation devraient servir un large éventail d'objectifs éducatifs et culturels. L'accroissement du nombre de visiteurs et des recettes de fréquentation ne devrait pas être le seul critère de succès d'un programme d'interprétation.

4. L’interprétation et la présentation devraient faire partie intégrante du processus de conservation, accroissant la conscience du public pour les problèmes de conservation rencontrés sur le site et expliquant les efforts faits pour protéger l’intégrité physique du site.

5. Tout élément technique ou technologique choisi pour être un élément permanent de l’infrastructure d’interprétation d’un site devrait être conceptualisé et construit de manière à assurer une maintenance.
a manner that will ensure effective and regular maintenance.

6. Interpretive programmes should aim to provide equitable and sustainable economic, social, and cultural benefits to all stakeholders through education, training and employment opportunities in site interpretation programmes.

**Principle 6: Inclusiveness**

The Interpretation and Presentation of cultural heritage sites must be the result of meaningful collaboration between heritage professionals, host and associated communities, and other stakeholders.

1. The multidisciplinary expertise of scholars, community members, conservation experts, governmental authorities, site managers and interpreters, tourism operators, and other professionals should be integrated in the formulation of interpretation and presentation programmes.

2. The traditional rights, responsibilities, and interests of property owners and host and associated communities should be noted and respected in the planning of site interpretation and presentation programmes.

3. Plans for expansion or revision of interpretation and presentation programmes should be open for public comment and involvement. It is the right and responsibility of all to make their opinions and perspectives known.

4. Because the question of intellectual property and traditional cultural rights is especially relevant to the interpretation process and its expression in various communication media (such as on-site multimedia presentations, digital media, and printed materials), legal ownership and right to use images, texts, and other interpretive materials should be discussed, clarified, and agreed in the planning process.

**Principle 7: Continuing Research, Training, and Evaluation**

Continuing research, training, and evaluation are essential components of the interpretation of a cultural heritage site.

1. The interpretation of a cultural heritage site should not be considered to be completed with the completion of a specific interpretive infrastructure. Continuing research and consultation are important to furthering the understanding and appreciation of a site’s significance. Regular review should be an integral element in every heritage interpretation programme.

2. The interpretive programme and infrastructure should be designed and constructed in a way that facilitates ongoing content revision and/or expansion.

3. Interpretation and presentation programmes and their physical impact on a site should be continuously efficace et régulière.

6. Les programmes d'interprétation devraient chercher à apporter un bénéfice juste et durable aux acteurs à travers l'éducation, la formation et la création d'emploi dans des programmes d'interprétation de sites.

**Principe 6 : Participation**

L'interprétation et la présentation des sites culturels patrimoniaux doivent être le résultat d'une collaboration efficace entre professionnels du patrimoine, communautés associées et autres acteurs.

1. L’expertise pluridisciplinaire des chercheurs, des experts en conservation, des autorités publiques, des gestionnaires et des interprètes de sites, des opérateurs touristiques et autres professionnels devraient être intégrée dans la formulation de programmes d'interprétation et de présentation.

2. Les droits traditionnels, les responsabilités et les intérêts des propriétaires et des communautés associées devraient être pris en compte et respectés dans l'élaboration des programmes d'interprétation et de présentation des sites.

3. Les projets d'expansion ou de révision des programmes d'interprétation et de présentation devraient être ouverts aux commentaires et à une implication du public. Chacun a le droit et la responsabilité de faire connaître ses opinions et ses perspectives.

4. En raison de l'importance de la propriété intellectuelle et des droits culturels traditionnels dans les démarches d'interprétation et du recours aux divers média (tels que les présentations multi média in situ, les supports électroniques et les imprimés), la propriété légale et le droit d'usage des images, textes et autres documents d'interprétation devraient être discutés, clarifiés et approuvés dans le processus de programmation.

**Principe 7 : Recherche, Formation et Evaluation**

L'interprétation des sites patrimoniaux est une entreprise progressive et évolutrice de compréhension et d'explication, qui requiert des activités continues de recherche, de formation et d'évaluation.

1. L'interprétation d'un site ne devrait pas être considérée comme aboutie au moment de la mise en fonction d'un équipement et de services d'interprétation spécifiques. Il importe qu'une recherche et des consultations continues fassent progresser la compréhension et l'appréciation des valeurs d'un site : elles devraient être des activités inhérentes à tout programme d'interprétation du patrimoine.

2. Les programmes et les équipements d'interprétation devraient être conçus et réalisés de manière à faciliter la révision de leur contenu et / ou leur expansion.

3. Un suivi permanent et une évaluation continue sont nécessaires pour analyser les programmes
monitored and evaluated, and periodic changes made on the basis of both scientific and scholarly analysis and public feedback. Visitors and members of associated communities as well as heritage professionals should be involved in this evaluation process.

4. Every interpretation programme should be considered as an educational resource for people of all ages. Its design should take into account its possible uses in school curricula, informal and lifelong learning programmes, communications and information media, special activities, events, and seasonal volunteer involvement.

5. The training of qualified professionals in the specialised fields of heritage interpretation and presentation, such as content creation, management, technology, guiding, and education, is a crucial objective. In addition, basic academic conservation programmes should include a component on interpretation and presentation in their courses of study.

6. On-site training programmes and courses should be developed with the objective of updating and informing heritage and interpretation staff of all levels and associated and host communities of recent developments and innovations in the field.

7. International cooperation and sharing of experience are essential to developing and maintaining standards in interpretation methods and technologies. To that end, international conferences, workshops and exchanges of professional staff as well as national and regional meetings should be encouraged. These will provide an opportunity for the regular sharing of information about the diversity of interpretive approaches and experiences in various regions and cultures.

4. Chaque programme d’interprétation et de présentation devrait être considéré comme une ressource éducative pour personne de tout âge. Sa conception devrait être prise en considération dans son usage possible dans les programmes scolaires, dans des programmes d’études informelles et des programmes d’éducation et de formation tout au long de la vie dans les média de communication incluant l’Internet, les activités spécifiques, les événements et l’implication saisonnière des volontaires.

5. La formation de professionnels qualifiés dans les domaines spécialisés de l’interprétation patrimoniale, comme la création de contenus, la gestion, les nouvelles technologies, les visites guidées et l’éducation, est un objectif essentiel. Par ailleurs, les programmes académiques de base en matière de conservation devraient inclure des modules de formation à l’interprétation et la présentation.

6. Des programmes de cours et de formation devraient être proposés, sur le site même, en vue de la formation continue et du perfectionnement du personnel chargé de la gestion du site et de son interprétation ainsi que des communautés associées et locales, ceci, afin de suivre les progrès et les innovations dans le domaine.

7. La coopération internationale et le partage d’expérience sont essentiels à l’élaboration et au maintien de normes dans les méthodes et les techniques d’interprétation. À ces fins, il conviendrait d’encourager l’organisation de conférences internationales, d’ateliers, de réunions au niveau national et local et l’échange des professionnels. Ceci afin d’offrir la possibilité d’un partage régulier d’informations sur la diversité des approches et des expériences d’interprétation dans les diverses régions et cultures du monde.