

# ICOMOS

## **2021 Addendum Evaluations of Nominations of Cultural and Mixed Properties**

**ICOMOS report for the World Heritage Committee**

44<sup>th</sup> extended session, Fuzhou (China) / Online meeting, 16 – 31 July 2021

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**UNESCO**

World Heritage Convention  
World Heritage Committee

**2021**

**Addendum**

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and Mixed Properties**

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**ICOMOS International Secretariat**

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# World Heritage List Nominations received by 1<sup>st</sup> February 2020<sup>1</sup> and minor boundary modifications received by 1<sup>st</sup> February 2021

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<sup>1</sup> Nominations for which Technical Evaluation Missions were organised between December 2020 and January 2021, as per request of the Extraordinary Session of the World Heritage Committee (Decision 14 EXT.COM 4 point 6)

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## **IV Cultural properties**

### **A Arab States**

Deferred nomination

### **B Asia – Pacific**

New nomination

### **C Europe – North America**

New nominations

Creation/modification of buffer zones

### **D Latin America and the Caribbean**

New nomination

Extension

Creation/modification of buffer zones



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# As-Salt – The Place of Tolerance and Urban Hospitality (Jordan)

## No 689rev

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### Official name as proposed by the State Party

As-Salt – The Place of Tolerance and Urban Hospitality

### Location

As-Salt Greater Municipality  
Al-Balqa Governorate  
Jordan

### Brief description

The city of As-Salt, capital of the Al-Balqa Governorate, is built upon the slopes and valleys of three closely-spaced hills in the Balqa highland of west-central Jordan, about 30 kilometres northwest of Amman. An important settlement in the area, it was once a prominent trading link between the eastern desert and the west. During the last 60 years of the Ottoman period, the As-Salt region became wealthy through the arrival and settlement of merchants from Nablus, Syria, and Lebanon who made their fortunes on trade, banking, and farming. This prosperity attracted skilled craftsmen and As-Salt was transformed from a modest rural settlement into a thriving town with a distinctive townscape and architecture.

The urban morphology of the historic urban core is characterised by large public buildings and family residences constructed of local yellow limestone, as well as a network of interlinked stairways, alleyways, public squares and spaces, and streets. These tangible characteristics of the nominated property are complemented by cultural traditions of tolerance between Muslim and Christian communities, as demonstrated by their lack of physical segregation, and by particular traditions of hospitality, including the social welfare system known as *Takaful Ijtimai* and the provision of hospitality in *Madafas* (guest houses, known locally as *Dawaween*). These tangible and intangible aspects emerged through a melding of rural traditions and bourgeois merchants' and tradespeople's practices during the 'Golden Age' of As-Salt's development between the 1860s and the 1920s.

### Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a *group of buildings*.

## 1 Basic data

### Included in the Tentative List

18 November 1993

13 January 2004

2 April 2015

### Background

This is a deferred nomination. The first nomination for "The Old City of As-Salt" was examined by the Bureau of the World Heritage Committee, which adopted the following decision at its 19<sup>th</sup> session (Paris, 1995):

*The Bureau decided to defer this proposed nomination until such times as the State Party is in a position to confirm that appropriate protective measures, based on the Plan of Action of 1990, have been adopted and are being effectively implemented.*

A second nomination dossier was submitted in 2016 for "As-Salt Eclectic Architecture (1865-1925), Origins and Evolution of an Architectural Language in the Levant." It was a serial nomination of eight components oriented around twenty-two buildings. That nomination was examined by the World Heritage Committee at its 41<sup>st</sup> session (Krakow, 2017). In Decision 41 COM 8B.13, the World Heritage Committee deferred the nomination to allow the State Party to:

- Develop a comparative analysis including similar properties in the Levant and in the area of influence of the Ottoman Empire,*
- Redefine the criteria, in order to demonstrate what makes this architectural heritage important or exceptional among other historic cities in the region, as the cradle of a new amalgamated expression of different styles,*
- Modify the boundaries of the nominated property, in order to be read as parts of a coherent whole,*
- Further elaborate on the definition of the Outstanding Universal Value of this architectural heritage, in order to be considered an exceptional case in the process of modernisation.*

The State Party was encouraged to seek the advice of ICOMOS, and initial discussions occurred in November 2017. In March 2018, the State Party produced a 'Vision' document outlining a substantial change to the nomination's overall approach. ICOMOS conducted desk reviews on the basis of that document, and an Advisory Mission was undertaken in May 2018. An ICOMOS Advisory Report was provided to the State Party in July 2018. The present revised nomination was submitted by the State Party in 2020 for consideration by the World Heritage Committee.

### Consultations and Technical Evaluation Mission

Desk reviews have been provided by ICOMOS International Scientific Committees, members, and independent experts.

An ICOMOS technical evaluation mission visited the property from 3 to 10 December 2020.

### **Additional information received by ICOMOS**

A letter was sent to the State Party on 29 September 2020 requesting additional information about the revisions made to the previous nomination proposal, comparative analysis, legal protection, various aspects of the management system, and state of conservation. Additional information was received from the State Party on 23 November 2020.

An Interim Report was sent to the State Party on 25 January 2021 requesting further information on the comparative analysis, the characteristics of interchange or fusion of cultures, intangible heritage, and aspects of the management system, including the demolition of intrusive buildings, planned new developments, the status of conservation plans for individual buildings, and the source of stone for future conservation purposes. Further information was received from the State Party on 28 February 2021. All responses received from the State Party have been incorporated into the relevant sections of this report.

### **Date of ICOMOS approval of this report**

18 March 2021

## **2 Description of the property**

Note: The nomination dossier and additional information contain detailed descriptions of this property, its history and its state of conservation. Due to limitations on the length of evaluation reports, this report only provides a short summary of the most relevant aspects.

### **Description and history**

The revised nomination for As-Salt is oriented around the specific urban and social history of the city, including both tangible and intangible dimensions. The city of As-Salt is built upon the slopes and valleys of the closely-spaced Al Qala'a, Al Jad'a, and Al Salalem hills in the Balqa highland of west-central Jordan, about 30 kilometres northwest of Amman. Now the capital of the Al-Balqa Governorate, As-Salt was a prominent frontier Ottoman trading centre between the mid-19<sup>th</sup> and early 20<sup>th</sup> centuries, linking the eastern desert and the west.

The city's urban core includes approximately 650 significant historic buildings. Its urban setting and morphology include intricate networks of public stairways, alleyways, squares, and streets. At its centre is Sahat Al-Ain, the city's main square. The visual setting and the panoramic views from many locations are also significant elements of the urban ensemble.

The architectural and urban fabric of As-Salt's historic urban core is linked to the tangible and intangible characteristics that were established during the city's 'Golden Age' from the 1860s to the 1920s. The architecture of the historic buildings in the nominated property demonstrates the economic transformation of As-Salt during this period, including new building typologies and technical know-how, as reflected in urban residences, mosques, churches, schools, and hospitals.

A number of the 19<sup>th</sup>-century residences in the nominated property exhibit a blend of European Art Nouveau and Neo-Colonial styles combined with local traditions in a mixture of vernacular regional and high-style architecture. Housing types such as the central-hallway 'three-bay' house were imported from neighbouring cities such as Damascus, Beirut, Nablus, and Jerusalem, where they had already developed, as well as from large Ottoman Anatolian cities and Europe. Substantial townhouses and multi-storey residences are prominent in the nominated property. The urban landscape expresses the integration of a new urbanism and architectural language introduced by the migrating merchants and facilitated by the different reforms by Ottoman officials and European Christian missionaries.

Skilled Palestinian stonemasons, builders, carpenters, and other tradespeople were largely responsible for the new constructions. They introduced modern styles whilst also incorporating the cultural traditions of architecture in the Levant. A distinctive yellow limestone was obtained from nearby quarries, and stone blocks from ancient buildings were reused. The colour and texture of the stone is a feature in the city, and its workability enabled the characteristic built forms and decorative elements. Other typical materials include glazed ceramic tiles and coloured window glass.

For many centuries As-Salt was a small but regionally important rural village at the crossroads of several of the region's main cities. In the 19<sup>th</sup> century, the Ottoman Empire decided to extend its sovereignty to the southern limits of its Arab provinces. The series of reforms (*Tanzimat*) transformed the village, leading to the rise of economic, social, and healthcare institutions as well as schools, public buildings, mosques, and many shops. The various Ottoman reforms and an intensified security brought economic prosperity, which encouraged urban merchants from nearby cities in Palestine, Syria and Lebanon to migrate here and open businesses, thereby transforming As-Salt into a prosperous city. Traded products included livestock, wool, butter, dried yogurt, grains, grapes, raisins and a plant known as 'kali', an ingredient in soap making. As-Salt also benefited from its position on the Syrian pilgrimage route to Mecca and the opening of the road from Damascus to Medina at the turn of the 19<sup>th</sup> century. Its population grew from 4,000 in 1868 to 20,000 in 1913. The Municipality was established in 1887.

Encouraged by the stability of the Ottoman Empire, the new middle-class population invested in building large family homes that changed the architectural character and morphology of As-Salt. This period also saw the reconfiguration of Sahat Al-Ain and changes along Al-Khader and Hammam streets, two of the town's main thoroughfares.

The emergence of local cultural traits and practices came about through a fusion of the cultures of local people and the in-migrating merchants. Europeans also arrived in greater numbers. Merchant activities drew Transjordan into the regional economy of Ottoman Syria and the

Mediterranean world and generated huge fortunes through trade, banking, and farming. Christian missionaries were another major catalyst of change, introducing new forms of education and medicine and constructing buildings. An Anglican Church was built in 1867, and French missionaries built the Latin Church in 1869-1870. A culture of tolerance developed, demonstrated by aspects such as the lack of physical segregation of the Muslim and Christian communities, guest houses (*Madafas*), systems of social and financial support between families (*Takaful Ijtimai'*), and the uses of shared spaces.

The prosperity of As-Salt declined after 1921 when the newly founded Emirate of Transjordan established its capital at Amman. This transfer of power left vacant sites, empty buildings, and houses in poor repair as As-Salt's economy reverted to one based on agriculture. Now an agricultural market and an administrative centre, the city has then witnessed rapid urban development since the 1980s.

### **Boundaries**

The nominated area totals 24.68 hectares, and is enclosed by a single buffer zone of 71.12 hectares. The property boundary accords with the historic urban core of As-Salt, and with the zoning established by the As-Salt City Core Special Regulations. ICOMOS notes that the boundary is based on the location of the nominated property's proposed tangible attributes as well as natural and urban morphological factors.

The single continuous buffer zone established by the State Party surrounds the perimeter of the nominated property and includes the three hills that overlook the historic city centre. ICOMOS considers that the buffer zone provides an additional layer of protection for the nominated property, including protection of significant aspects of the immediate setting, and also accords with provisions of the management system, particularly in relation to development controls.

ICOMOS considers that the boundary and buffer zone are well-defined and appropriate.

### **State of conservation**

The As-Salt City Development Unit of the As-Salt Greater Municipality has completed physical condition assessments for approximately 20 percent of the historic buildings in the nominated property. The condition assessment classification of the buildings has a four-step scale of very good, good, poor or neglected. Specific condition problems have been recorded.

Physical condition assessments have also been conducted for public urban stairways, sidewalks, streets, squares, and spaces within the nominated property. Drainage issues, intrusive plants, graffiti, exposed pipes and electrical wires, and damaged surfaces have been recorded. Needed maintenance, repair, and conservation works are noted, utilising the geographic information system (GIS) that has been developed for the city. The

State Party estimates that this work will take a further 5 to 7 years to complete.

Although As-Salt has experienced rapid urban development since the 1980s, the State Party considers that the general condition of most of the historic buildings and urban fabric in the nominated property is good, or at least acceptable. Based on the information provided, ICOMOS concurs that this is the case for many elements, but also notes that the state of conservation varies across the full extent of this urban area. Problems in the buildings include surface cracks, cracked lintels, leakage, humidity problems, rising damp, peeling and discolouration of the yellow limestone, disrepair of doors and windows, rusty balconies, and so on. A number of key historic buildings have been maintained in good condition, such as the Anglican Church complex, but others have suffered from vacancy and damage, such as the Fakhoury House and Hattar House. These conditions are recorded and acknowledged by the State Party, and have been incorporated into the planning for conservation works.

Historically there were stone quarries on the slopes of the Al-Salalem area (now closed). The State Party has advised that suitable stone for future conservation purposes is available from the *Dair Allah* in the *Ghore* area and from the *Mafraq* region.

### **Factors affecting the property**

ICOMOS considers that the main factors affecting the property are infrastructure projects and new development, population pressures (particularly in the buffer zone), gentrification of the historic city centre associated with the loss of intangible heritage practices and traditions, and seismic risk. Transportation, mobility, and access are key challenges for the nominated property. Visitor management is currently not a problem, but could become an issue should the nominated property be inscribed on the World Heritage List.

The city's rapid urban development since the 1980s has put pressure on the historic fabric and its integrity through urban encroachments, demolitions, and insensitive adaptations or additions. As-Salt Greater Municipality has graded and designated the city's historic buildings and implemented urban heritage regulatory tools through the As-Salt City Development Projects Unit, including the City Core Special Regulations, which were endorsed in 2014. New projects within the nominated property and its buffer zone go through a design review process coordinated by the As-Salt City Development Projects Unit.

To reduce the visual impact of the network of overhead electrical cables, the As-Salt Greater Municipality signed a Memorandum of Agreement with the Jordanian Electric Power Company in 2016 to bury the cables within the nominated property. A similar agreement has been made with the Jordan Telecom Group (Orange Jordan) regarding telecommunications infrastructure in the nominated property.

As-Salt is located in an area of extremely high seismic risk. The State Party is well aware of this and has advised that relevant anti-seismic engineering and design principles are taken into account in the creation of conservation programmes. ICOMOS considers that the urban morphology of As-Salt poses heightened challenges for emergency responses, and recommends that the system for managing risks (seismic, flooding, fire) be further developed, including evacuation plans and capacity building.

### 3 Proposed justification for inscription

#### Proposed justification

The nominated property is considered by the State Party to be of Outstanding Universal Value as a cultural property for the following reasons:

- As-Salt has specific attributes of tangible and intangible or living heritage that together demonstrate characteristics of tolerance and joint habitation between Muslim and Christian communities, urban hospitality, and urban social welfare.
- The intangible characteristics of urban hospitality are demonstrated in the density of settlement, the creation and use of shared space, the buildings known as *Madafas*, systems of social and financial support between families and with visitors known as *Takaful Ijtimai'*, and a lack of segregated neighbourhoods based on religion.
- The *Madafas* and social customs of hospitality and cooperation represent a fusion between local Bedouin systems and urban in-migrating bourgeois merchants linking the city and its hinterland.
- The architecture of As-Salt demonstrates cultural exchanges of technical know-how that resulted in a specific mix of vernacular regional and higher-class architectural styles.
- An interesting urban morphology has evolved, made up of public spaces, roads, stairways, and alleyways that link the city's neighbourhoods and respond to the sloping topography of the city.

#### Comparative analysis

The comparative analysis is presented in two parts: a comparison with three sites within the geo-cultural region; and a comparison with one site outside the region. The comparisons include two World Heritage properties and other sites with a broadly comparable combination of proposed Outstanding Universal Value and attributes.

The comparative analysis first compares the nominated property with Nablus, Beirut, and Jerusalem (Old City of Jerusalem and its Walls, 1981, criteria (ii), (iii) and (vi)). It then compares it with Mostar (Old Bridge Area of the Old City of Mostar, Bosnia and Herzegovina, 2005, criterion (vi)) on the basis that, like As-Salt, it was on the frontier of

the Ottoman Empire and has various shared characteristics of religious tolerance.

The State Party provided comparisons between As-Salt and each of these cities in relation to various parameters: intensity and forms of manifestation of tolerance and joint habitation; continuity of traditions of tolerance and joint habitation; absence of segregated neighbourhoods; urban hospitality; links between urban morphology and the socio-urban welfare systems; architectural significance; and urban morphology. Additional information provided by the State Party also compared the state of conservation of the urban fabric of the city with others, particularly Beirut and Nablus.

The State Party has also provided additional comparative information about the transformations to other small towns in the region due to the Ottoman reforms. The towns of Kerak, Madaba and Ajlun are discussed. These share some common characteristics with As-Salt, but on a lesser scale due to the later introduction of Ottoman reforms and economic activity.

ICOMOS considers that the additional information provided by the State Party has helped to clarify the comparative analysis. ICOMOS notes the historical importance of the nominated property in the context of the development of a Transjordanian identity. It was one of the first hinterland towns to be reached by the modernising wave of the industrial revolution and the related administrative reforms of the late 19<sup>th</sup> century in the Levant, and was the capital of Transjordan before this was moved to Amman.

In conclusion, ICOMOS considers that the comparative analysis is sufficient to position the nominated property within its historical and geo-cultural contexts.

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ICOMOS considers that the comparative analysis justifies consideration of the nominated property for the World Heritage List.

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#### Criteria under which inscription is proposed

The property is nominated on the basis of cultural criteria (ii) and (iii).

Criterion (ii): *exhibit an important interchange of human values, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design;*

This criterion is justified by the State Party on the grounds that the nominated property demonstrates a significant interchange of human values in the period from the 1860s to the 1920s between the cities in the Levant and between urban and hinterland areas. The social, economic, cultural and physical transformations of the city were an outcome of Ottoman reforms that positioned As-Salt as a southern urban frontier for trade and cultural exchange. These exchanges built the prosperity of As-Salt, and involved the circulation of urban bourgeois migrants, Ottoman officials, and European Christian missionaries, and a 'fusion' of



rural and in-migrating urban characteristics that are expressed in the tangible and intangible attributes of As-Salt.

ICOMOS acknowledges that As-Salt demonstrates these various exchanges within the Levant during this period of its history. The tangible attributes of the urban centre of the city –architecture, urban morphology, and public spaces –demonstrate the transformations resulting from the Ottoman reforms, and the influx of new urban traders and craftspeople.

ICOMOS recommends that research continues into the important dimension of the ‘fusion’ of rural Bedouin traditions and the early modernism that created As-Salt’s ‘Golden Age’.

Criterion (iii): *bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared;*

This criterion is justified by the State Party on the grounds that the nominated property demonstrates an exceptional example of the continuation of traditions and cultural traits within the historic urban core that are associated with its ‘Golden Age’ period (1860s to 1920s). The State Party considers that these traditions and traits are demonstrated in historic buildings, stairways, and public spaces, as well as in continuing traditions of joint habitation and urban hospitality that were established at that time. While these social characteristics can also be found in other Levantine cities of this period, the State Party contends that the nominated property is distinctive in terms of the different forms of cooperation across religions and the absence of segregated neighbourhoods. The continuing forms of *Madafas* (guest houses, or *Dawaween*) are an example provided by the State Party. The cultures of tolerance, hospitality, and social welfare practiced by the Bedouin peoples of the region were common throughout the area and have contributed to the construction of a modern Trans-Jordanian identity.

Additional information provided by the State Party has usefully clarified that these traditions are associated with the tangible characteristics of the historic city centre. These are based on three major threads: the intensity of the manifestations of tolerance and co-habitation; the continuity of some of these traditions in the present; and the absence of segregated neighbourhoods. The dense urban morphology, networks of shared spaces and other tangible aspects of the city are related to the development and continuity of these traditions.

ICOMOS considers that the focus of this criterion on the testimony of a particular social and cultural milieu from the 19<sup>th</sup> century to the present day is appropriate. The described characteristics of the dense urban morphology, together with the cultural traditions of shared welfare are inter-related. The lack of segregation between Muslims, Christians, and various ethnicities occurred in other cities in the Levant and in the Arab region that were part of the Ottoman Empire during this period, but was more

pronounced for As-Salt. Intangible traditions shared by Muslims and Christians in As-Salt include: the sharing of religious festivals and rituals; sharing of food, resources and breast feeding; shared veneration of local saints and prophets; and, shared business and municipal roles. Continuing research is recommended to better understand these intangible traditions, including their relationships with the tangible elements.

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ICOMOS considers that criteria (ii) and (iii) have been justified.

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## **Integrity and authenticity**

### **Integrity**

The State Party considers that the nominated property is of sufficient size to express the proposed Outstanding Universal Value. The relevant tangible features that occur within the boundary include historic buildings dating from the 1860s to the 1920s, the networks of stairways and public spaces of the urban morphology, and the main intangible characteristics that speak to tolerance and urban hospitality, which are continuing.

ICOMOS considers that the nominated property demonstrates sufficient integrity in relation to the continuity of the historic urban fabric, including the landscape setting, the network and hierarchy of stairways that organise the vertical movement between lower and upper levels, the presence of open spaces that support a multi-faith society, and the residential and religious buildings. The integrity is affected by intrusive buildings and empty plots within the urban fabric that affect the property’s visual and cultural/intangible qualities. In response, the Municipality of As-Salt’s programme of works includes conservation of historic buildings and public spaces, landscaping, restoration of slopes, and demolition of some intrusive buildings located in the historic city centre. Some of these projects have already been completed, such as the removal of buildings in front of the As-Salt Great Mosque and the construction of a public space in Al-Ain square. Tall buildings have been removed in the vicinity of the Latin Church and near Al-Maydan square, part of the Oqba bin Nafe’ plaza development project.

ICOMOS considers that the integrity of the nominated property remains vulnerable to the pressures of new urban development, and recommends that rigorous Heritage Impact Assessment processes in line with the ICOMOS HIA guidance document are introduced as a priority.

### **Authenticity**

The State Party considers that the form and design of the architectural and urban elements of As-Salt meet the requirements of authenticity, despite various contemporary projects and adaptive reuses. The distinctive yellow stone distinguishes many historic buildings within the larger urban core, and the retention of

the networks of public spaces, alleyways, and stairways contributes to the authenticity of the nominated area.

ICOMOS considers that, despite many alterations, the authenticity of the structure, materials, form, and design of the historic buildings and urban fabric is satisfactory, although the urban plan is not clearly readable in some areas due to unsympathetic developments.

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ICOMOS considers that the integrity and authenticity of the nominated property are satisfactory, although they are vulnerable due to the impacts of new developments and deterioration of the historic fabric. Future loss of intangible cultural heritage practices and traditions are also potential areas of vulnerability.

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#### **Evaluation of the proposed justification for inscription**

Exchanges of additional information has assisted the further refinement of the justification of Outstanding Universal Value presented by the State Party. Although continued research could strengthen some arguments presented, particularly in relation to the local Bedouin cultural traditions that have contributed to the cultural interchanges of As-Salt. ICOMOS considers that the comparative analysis is satisfactory. Criteria (ii) and (iii) have been demonstrated, and the requirements of authenticity and integrity have been met.

#### **Attributes**

The attributes that contribute to the Outstanding Universal Value of the nominated property include urban bourgeois residences such as central-hallway 'three-bay' houses, 'Bilad al Sham' (Levant) townhouses and local Salti multi-storey residences, mosques, churches, schools, and hospitals, especially those that merged regional influences with imported stylistic and material trends; urban amenities such as the web of stairways and alleyways, public squares, streets, nodes, and panoramic lookouts. Attributes related to urban hospitality and tolerance include *Madafas*, and the dense urban proximity of various functions, shared urban entrances, verandas, semi-private spaces, and urban nodes in front of buildings and along stairways. Intangible traditions include shared religious and cultural festivals, as well as everyday practices of food sharing, dress and a traditional board game (*Al Manqala*) played in the city squares.

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ICOMOS considers that the revised focus of the nominated property has provided a stronger basis for presenting the Outstanding Universal Value of As-Salt. The identification of attributes supports the justification for inscription, however continued research in relation to the local Bedouin cultural traditions that have contributed to the cultural interchanges of As-Salt is recommended.

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## **4 Conservation measures and monitoring**

### **Conservation measures**

A Conservation Management Plan provides overarching policies for the conservation of the built elements of the nominated property. Its fourth policy addresses the systems for maintaining and repairing public spaces and introducing new services and infrastructure. Several strategies are proposed, including developing guidelines for continuous maintenance and repair works, provision of services, and urban design; developing a monitoring plan for the urban fabric and public areas; facilitating coordination between the Municipality and infrastructure providers; and preparing capacity building programmes. In 2013-2014, the As-Salt Building Pathology Manual and the Manual for the Conservation of the Historic Centre of As-Salt were produced. ICOMOS notes that some of these initiatives have already commenced, and stresses the importance of having such measures in place.

Decades of work have created the basis for the documentation of the historic fabric of the city, and the State Party has provided detailed descriptions of studies and conservation projects carried out since the early 1990s. These include major restoration and adaptive reuse projects for individual historic buildings such as the Small Mosque, Touqan House, Mouasher House, Qaqish House, and Abu Jaber building; cleaning and repair of façades, including Sahat Al-Ain and the Great Mosque; work on the paths, stairways, and façades along Hammam Street; and renovation of the main city square. The Municipality has purchased several historic buildings with the aim of conserving them, and is in an ongoing dialogue with private owners to establish partnerships.

ICOMOS notes that there is a clear intention and commitment by both local and national authorities to conserve the historical characteristics of the nominated property, and of As-Salt generally. The conservation measures will require sustained implementation, funding, local and national government support, and partnerships with private owners. A number of restoration and interpretation projects are underway. In continuing to plan such projects, it will be essential to address the conservation of the less pretentious as well as the most outstanding and iconic buildings and urban fabric. These include the modest surviving 'farm' houses, a rare but important testimony to the long history of As-Salt.

The State Party has confirmed that Conservation Plans are being prepared for each of the twenty-two most significant historic buildings, including plans for renovation and/or adaptive reuse. These are currently at different points in their development. ICOMOS considers that these are important for the long-term conservation of these buildings, and encourages their timely completion.

The Conservation Management Plan has been substantially updated from the version that had accompanied the previous nomination. It provides a detailed understanding and assessment of the nominated property and current conditions, and reviews previous

conservation projects. The factors affecting the state of conservation are described and analysed.

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ICOMOS considers that there is an evident commitment for the conservation of the tangible elements of As-Salt. Improvements are evident in relation to studies and documentation of the elements of the nominated property. Many important conservation projects have already been completed, and others are underway and/or planned.

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### **Monitoring**

A proposed monitoring system includes indicators and monitoring responsibilities. Proposed indicators are oriented to measuring the state of conservation of historic buildings and public spaces (streets, alleyways, stairways). Indicators have also been devised to measure visitor pressures. ICOMOS notes that the proposed monitoring system is not yet fully operational.

ICOMOS also considers that, while the monitoring system is generally adequate for the proposed tangible attributes of the nominated property, further development of the monitoring system is needed to take into account the proposed intangible attributes by means of key indicators.

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ICOMOS considers that the conservation measures are appropriate, but will require sustained implementation, funding, local and national government support, and partnerships with private owners. The monitoring arrangements are not yet fully operational. ICOMOS considers that the monitoring indicators are generally adequate for the tangible attributes, but appropriate key indicators are missing for the intangible attributes.

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## **5 Protection and management**

### **Documentation**

Studies to document As-Salt's architectural heritage were initiated in 1984 and 1990, followed by several land survey and restoration projects that were initiated by foreign and local institutions. A geographic information system (GIS) database details plot parcels, building surveys, ownerships, materials, dates of construction, and current uses. Approximately 4,400 buildings have been surveyed (including all historic buildings and newer buildings in the city's core area), and a conservation manual has been developed.

The As-Salt City Development Projects Unit has completed the production of measured drawings for about 75 buildings (Grades 1 and 2) and has plans to finish all of the more than 650 historic buildings within the next five years. Since the early 1990s, measured drawings have been produced for other tangible elements such as historic stairways, streets, squares, and panoramic lookouts through an urban conservation project funded by the Japan International Cooperation Agency. Publications featuring the existing documentation and condition assessments have been produced by the Municipality.

ICOMOS considers that these documentation processes are essential baseline tools for managing the nominated property. ICOMOS notes that the documentation of important views has commenced and recommends that consideration be given to assessing the impacts on these views in the planning of all proposed developments.

The State Party has also provided information about projects aimed at documentation and inventorying of aspects of the intangible cultural heritage of As-Salt, including traditions of food and dress, speciality shops, markets and shopping streets, and a traditional board game known as '*Al Manqala*'. Some of these are linked to the development of local tourism products, and others are oriented at youth engagement.

### **Legal protection**

Two national laws provide protection for the nominated property. The Law of Architectural and Urban Protection (N° 5, 2005) is the primary national law for the protection of cultural heritage in Jordan. Administered by the Ministry of Tourism and Antiquities, it provides protection of architectural and urban heritage, regulates the conservation processes and the conditions for conservation work, and specifies required documentation, such as municipal registers of historic buildings.

The Cities, Villages and Buildings Planning Law (N° 79, 1966), administered by the Ministry of Municipal Affairs, provides for the establishment of planning authorities and processes, including the regulation of construction. This law does not establish specific arrangements for heritage buildings/sites, although does provide for the development of regional and structural plans that can include heritage conservation. In practice, this provision has not been utilised. A third national law, the Antiquities Law (N° 21, 1988), which applies to moveable and non-moveable antiquities dating prior to 1750 CE, is not generally applicable to the nominated property.

The Ministry of Tourism and Antiquities supported the development of special regulations for four historic towns in Jordan, including As-Salt, with funding provided by the World Bank. The As-Salt City Core Special Regulations apply to the nominated property and the buffer zone and provide for the grading and designation of historic buildings and guidelines for conservation and new design. A five-level grading scheme for historic buildings has been established by the Municipality, and policies for retention and intervention are applied to each grading level. Special Conservation Areas and Special Development Corridors have been identified. The delineation of the nominated property boundary accords with the boundary of Zone 'A' (City Core) in the Salt City Core Development Control Map; within Zone 'A' are further zones ('B' and 'C'). Each zone establishes permitted land uses and associated regulations. The As-Salt City Development Projects Unit was established by the As-Salt Greater Municipality to coordinate conservation and safeguarding efforts and establishes the management system for the nominated property.

Additional information provided by the State Party in November 2020 indicates that a design review board within the As-Salt City Development Unit of the As-Salt Greater Municipality enables the review of proposed interventions such as conservation projects, adaptive reuse, and infill development. In some cases, the design review board requires a heritage impact assessment and/or environmental impact assessment. The State Party advises that the Municipality and its Development Unit are planning to expand the design review board to include additional national experts, and to develop criteria for conducting heritage and/or environmental impact studies. ICOMOS considers that the development of a Heritage Impact Assessment process that is clearly aligned with the proposed Outstanding Universal Value of the nominated property is of importance. The requirement for Heritage Impact Assessments should be fully integrated into the legal protection regime and management system of the property.

There is a mixture of public and private ownership of the buildings in the nominated property. Apart from four buildings now owned by the Ministry of Tourism and Antiquities and the As-Salt Greater Municipality (the Abu Jaber, Qaqish, Touqan, and Mismar houses), the heirs of the merchants have largely kept the historic mansions and villas in family hands.

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ICOMOS considers that the legal protection and measures in place are adequate.

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### **Management system**

The management system has been described in the Conservation Management Plan and clarified in the additional information provided by the State Party in November 2020.

The As-Salt Greater Municipality is the central actor in the management system, particularly through the establishment of the As-Salt City Development Projects Unit. The Unit is housed in one of As-Salt's key historic buildings, the Jaghbeer House. It has developed permitting processes for demolitions, alterations, and conservation and rehabilitation works within the nominated property and the buffer zone. Development proposals require the approval of the Municipality. The Services and Maintenance department within the Unit is charged with the maintenance, protection, and improvement of the elements located in the public realm.

A local planning committee has been established by the Municipality to assist with decisions such as building permits, designation of historic buildings, and public realm improvements. All recommendations from the city's Development Projects Unit are presented to the local Municipal planning committee. The Al-Balqa Governorate also has a planning committee, as does the national government through the Higher Planning Council, where zoning and planning proposals of the Municipality are approved and enforced.

A Conservation Management Plan dated September 2019 was submitted with the revised nomination. Ten specific policies are indicated, each with detailed strategies for implementation. These deal with recognition of the specific significance of As-Salt, historical research (including oral history), building conservation, maintenance and enhancement of public spaces, conservation beyond the property, interpretation, tourism management, financial resources, awareness raising and education, and capacity building.

The third policy focuses on the protection and conservation of historic buildings. It is envisaged that further development of this policy will detail the approaches to protection, stabilisation, conservation, rehabilitation, adaptive reuse, and new additions to historic buildings. Proposed strategies include preparing conservation guidelines for different forms of conservation interventions; understanding historical contexts and conservation techniques; establishing requirements for the work of conservation professionals and institutions; creating capacity-building programmes for Municipal staff; and creating a Technical Heritage Design Review Committee within the Municipality to review applications. ICOMOS notes that some of these initiatives have already commenced while others have not.

ICOMOS considers that the implementation of the Conservation Management Plan should be advanced as a priority, including a timeline and indication of resources for its implementation. ICOMOS also considers that the State Party should consider applying the approaches of the UNESCO Recommendation on the Historic Urban Landscape (2011) when further developing the management system, plans, strategies, and actions.

### **Visitor management**

Promoting heritage tourism is an objective of the As-Salt Greater Municipality. Although visitor pressure is currently not a major factor affecting the property, tourism is a relatively recent focus, and it is expected that tourism numbers will increase should As-Salt be inscribed on the World Heritage List. One of the overarching policies outlined in the Conservation Management Plan concerns presenting and interpreting the nominated property to visitors. Strategies include creating a general vision for interpretation, and developing content.

Two museums have been identified by the State Party as supporting the presentation and interpretation of the nominated property. The Historic Old As-Salt Museum in the former Abu Jaber House presents the social history of the city during its Golden Age (1860s-1920s) and serves as a starting point for visitors to the city. An archaeological museum located in the historic Touqan House focuses on the archaeology of As-Salt and its hinterland.

An eco-museum concept developed with the support of the Japan International Cooperation Agency is being implemented, with three trails (themed as 'harmony', 'educational', and 'daily life') led by local guides and

involving home visits. These trails would benefit from upgraded signage, information, and guiding.

The Municipality has increased the number of parking spaces outside the historic urban core for coaches and private vehicles. The Oqba bin Nafe' plaza development project is close to completion and should support improved service facilities, parking, and public spaces, although accessibility is an ongoing challenge for visitors to the historic city centre. A project to upgrade the bus terminal (near the edge of the buffer zone at the entrance to the city) has been planned but has not yet been financed.

A Tourism Awareness plan has been prepared, and the As-Salt Tourism Distinctive Destination Plan (2018-2020) has been funded by the United States Agency for International Development (USAID) to enhance tourism products and services. These aim to attract new visitors, upgrade visitor amenities, and create an image for the city based on its heritage and modern-day hospitality. The plans have included community engagement and incentives for private owners of historic buildings, along with increased youth career opportunities in tourism.

ICOMOS considers that, while current visitor facilities and interpretation are limited, a viable framework for visitor management and interpretation is under development. ICOMOS recommends the current tourism strategy work be completed, and an overarching interpretation plan that can guide the setting of priorities be developed. In the continued implementation of the eco-museum concept, attention should be paid to maintaining the privacy of residents to avoid them abandoning the historic city centre.

### **Community involvement**

The State Party estimates there are between 80,000 and 95,000 inhabitants in the nominated property and buffer zone, amounting to approximately 65 to 78 percent of the 125,000 to 150,000 inhabitants of the city of As-Salt. The Greater Municipality, which includes other nearby villages and towns, has a population of about 190,000.

Additional Information provided by the State Party in November 2020 notes that community engagement is facilitated by a local planning committee (*Lajnah Mahaliyah*) made up of local community representatives. Local residents are consulted prior to decisions on development, planning or zoning. Scoping sessions are held at the neighbourhood level to ensure community participation.

There is evidence of support for the conservation of key buildings by private owners. The local community has been involved in the development of the nomination of this property to the World Heritage List. Community members and business leaders are involved in the implementation of the eco-museum concept for sharing the intangible heritage of the city, including handcrafts, traditional food, games, rituals, and other aspects of daily life.

### **Evaluation of the effectiveness of the protection and management of the nominated property**

ICOMOS considers that the legal protection is adequate. The management system seems appropriate and the commitment of the As-Salt Greater Municipality is evident. However, some of the management strategies and tools are yet to be developed. ICOMOS notes that there are insufficient provisions for the intangible cultural heritage aspects of the nominated property. The tools and framework developed for the implementation of the UNESCO Recommendation on the Historic Urban Landscape could be usefully applied in the further development of the management approach.

Visitor management and interpretation are the subject of new and continuing projects. The involvement of communities in the development of the nomination and the ongoing management of the nominated property is noted.

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ICOMOS considers that the current legal protection is adequate, and that the management system seems appropriate but needs to be further developed and fully implemented according to the proposals outlined in the Conservation Management Plan. Policy development for intangible cultural heritage is currently insufficiently addressed in the Conservation Management Plan and its associated policies.

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## **6 Conclusion**

The State Party has developed a substantially different rationale for the nomination of As-Salt to the World Heritage List. This considers the core of historic city centre, its topography and its intangible heritage. During the city's 'Golden Age' (1860s to the 1920s), local cultural traits and practices emerged from a fusion between local Bedouin cultures and migrating bourgeois merchants drawn to As-Salt from nearby Levantine cities of Palestine, Syria, and Lebanon after the Ottomans extended their rule. The revised nomination therefore represents a significant shift in focus.

Based on exchanges with the State Party and the additional information that has been provided, ICOMOS considers that the comparative analysis justifies consideration of the nominated property for the World Heritage List, and that criteria (ii) and (iii) have been demonstrated.

ICOMOS considers that the conditions of integrity and authenticity of the nominated property are satisfactory, although the integrity is vulnerable due to the impacts of new development and deterioration of the historic fabric. Future loss of intangible cultural heritage practices and traditions are also potential areas of vulnerability.

The legal protection is adequate. The requirement for Heritage Impact Assessments should be fully integrated into the legal protection regime and management system.

The management system seems appropriate, though some elements are yet to be further developed and implemented. ICOMOS has provided recommendations to improve the management of the property, particularly in relation to the documentation and safeguarding of intangible cultural heritage, which is insufficiently addressed in the Conservation Management Plan and its associated policies.

Key monitoring indicators for the intangible attributes need to be developed, and the resulting complete monitoring system needs to be made fully operational.

ICOMOS notes the commitment to the conservation of the tangible elements of the nominated property through studies and projects conducted over the past 20 years, and the activity now occurring to develop sustainable tourism and interpretation strategies.

## 7 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that As-Salt – The Place of Tolerance and Urban Hospitality, Jordan, be inscribed on the World Heritage List on the basis of **criteria (ii) and (iii)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

The city of As-Salt became the capital of Transjordan and a thriving trade centre during the late Ottoman period, experiencing a 'Golden Age' between the 1860s and the 1920s. The effects of the Ottoman '*Tanzimat*' reforms brought enhanced security, administrative structures and trade. As-Salt became central to trade networks between the eastern desert and the west, and grew in wealth through the arrival and settlement of merchants from Nablus, Syria, and Lebanon who made their fortunes on trade, banking, and farming. This prosperity attracted skilled craftsmen and As-Salt was transformed from a modest rural settlement into a thriving town with a distinctive townscape and architecture.

The city features large public buildings and private residences characterised by a central hallway and three bays, constructed of yellow limestone. These demonstrate a mix of vernacular and modern architectural influences, and skilful craftsmanship. Adapted to the steep folded topography, the urban morphology of the historic urban core is characterised by network of interlinked stairways, alleyways, public squares and spaces, and streets. The result is a dense urban fabric connecting the city's resident neighbourhoods with public spaces and streets. These tangible characteristics have

shaped the urban cultures of the city, including distinctive cultural traditions of tolerance between people of different cultural groups and religions. Muslim and Christian communities share many traditions, demonstrated by a lack of physical segregation between them. These traditions of hospitality are understood to reflect a fusion of local cultures and the incoming bourgeois traders during the 'Golden Age' of As-Salt's development, and include the social welfare system known as *Takaful Ijtimai'* and the provision of hospitality in *Madafas* (guest houses, known locally as *Dawaween*).

The cultures of tolerance, hospitality, and social welfare practiced by the Bedouin peoples of the region were common throughout the area and have contributed to the construction of a modern Trans-Jordanian identity.

**Criterion (ii):** The historic centre of As-Salt demonstrates distinctive intercultural exchanges that resulted in transformations of the Levant in the late Ottoman period. These included flows of culture, people, skills, traditions and wealth within and between the cities of the region and beyond, and between diverse cultural and religious groups that comprised the urban population from the city's 'Golden Age' to the present. These cultural exchanges involved the local Bedouin peoples, incoming merchants, craftspeople and traders, Ottoman officials and Christian missionaries. Together, the city's architectural forms and building techniques, urban morphology, shared traditions and uses of public spaces, and the development of the places and practices of urban hospitality and mutual welfare demonstrate these intercultural exchanges. These are understood to represent a combination of local customs and new urban social norms.

**Criterion (iii):** As-Salt's historic urban core is an exceptional example of the urban form and cultural traditions associated with the city's 'Golden Age' period (1860s to 1920s). The city thrived and transformed as a result of the Ottoman '*Tanzimat*' reforms, demonstrated by the relatively intact urban fabric, stairways, and public spaces, as well as the large public buildings and private residences characterised by a central hallway and three bays, constructed of yellow stone. The urban form reflects and supports the traditions of joint habitation of Christian and Muslim communities, and specific forms of urban hospitality, many of which are continuing. As-Salt is distinctive in terms of its cultural practices of cooperation across religions and the absence of segregated neighbourhoods. Although these traits are not unique within the Levant, As-Salt is exceptional because of the intensity of these manifestations and the close connections between the cultural traditions and the urban fabric and forms. The particular urban tradition of providing *Madafas* (guest houses, also known as *Dawaween*) is an example of these characteristics, combining tangible and intangible attributes.

## Integrity

As-Salt demonstrates integrity in relation to the continuity of the historic urban fabric, including the historic buildings, landscape setting, the network and hierarchy of stairways that organise the vertical movement between lower and upper levels, the presence of open spaces that support a multi-faith society, and the residential and religious buildings. The property is of adequate size, and its boundary and buffer zone are appropriately delineated. The spirit and feeling of the place reside in both the tangible (buildings, houses, churches, mosques, *Madafas*, urban nodes, steps) and intangible attributes (close habitation of different cultural and religious groups, shared uses of public spaces, traditions of social welfare between neighbours). The integrity is vulnerable to development pressures, and has been affected by intrusive buildings and empty plots within the urban fabric that affect the property's visual and intangible qualities.

## Authenticity

The historic urban centre of As-Salt meets the conditions of authenticity through the continuity of the different elements of the city's architecture and urban morphology, and in the continuing aspects of the traditions of hospitality. The authenticity of the structure, materials, form, and design of the historic buildings and urban fabric is satisfactory despite development and adaptive reuse projects. The distinctive yellow stone distinguishes many historic buildings within the larger urban core, and the authenticity is supported by the retention of the networks of public spaces, alleyways, and stairways. The strong visual and topological contribution of the setting and the continuity of use of many of the public buildings and spaces are important aspects of the authenticity of the property.

## Protection and management requirements

Two national laws provide protection for the property. The Law of Architectural and Urban Protection (N° 5, 2005) is the primary national law for the protection of cultural heritage in Jordan; the Cities, Villages and Buildings Planning Law (N° 79, 1966) provides for the establishment of planning authorities and processes, including the regulation of construction. Implementation of protection is provided through the City Core Special Regulations which were endorsed by the Ministry of Municipalities and Rural Affairs, the Higher City Planning Council of Jordan, and the As-Salt Greater Municipality in September 2014. These provide regulations for urban spaces, designation and grading of historic buildings, guidelines for conservation and new interventions, and guidelines for the design and enhancement of public spaces.

There is a long-standing commitment to the conservation of the tangible and intangible attributes of As-Salt through the efforts of the As-Salt Greater Municipality. The management system has been established, led by the As-Salt City Development Projects Unit, established in 2005 by the Municipality. The main mission of this office is to

coordinate efforts for the safeguarding, conservation, and management of the historic city.

The Municipality is continuing a programme to fully document the attributes of Outstanding Universal Value, and record their state of conservation. The Conservation Management Plan is a satisfactory beginning, and the establishment of regulations and guidance for change, alteration and conservation works are under preparation. Important conservation and adaptive reuse projects have been completed, and others are underway and/or planned. Site-specific conservation plans are being completed for twenty-two of the city's historic buildings as a basis for their conservation or adaptive reuse. Many of the essential management strategies and tools are yet to be developed, and the incorporation of provisions for the intangible cultural heritage aspects require greater attention. Visitor management and interpretation are the subject of new and continuing projects. The development of the nomination and the ongoing management of the property have involved the city's communities.

## Additional recommendations

ICOMOS further recommends that the State Party give consideration to the following:

- a) Deepening the documentation of the intangible attributes, including the traditions shared by Muslim and Christian communities, and the *Madafas* and other social and financial systems of support within the communities,
- b) Conducting an assessment of significant views within the property and buffer zone with the intention of ensuring that these are adequately incorporated into the planning of all new development proposals,
- c) Completing the survey of the physical condition of historic buildings and other tangible attributes within the property and the buffer zone,
- d) Completing the production of measured drawings for the historic buildings in the property so that there is a strong baseline documentation available for management and conservation decisions, including setting priorities for conservation works and expenditures,
- e) Advancing as a priority the implementation of the Conservation Management Plan, including a timeline and indication of resources for its implementation,
- f) Establishing Heritage Impact Assessment processes in line with the ICOMOS HIA guidance document that give priority to the Outstanding Universal Value of the property in the assessment of development proposals, and ensuring these processes are fully integrated into the legal protection regime and management system of the property,

- g) Developing further the risk management system to manage seismic, flood, and fire risks, including evacuation plans as well as capacity building to ensure the effectiveness of the system,
- h) Developing a new policy and associated strategies and actions within the Conservation Management Plan for the intangible cultural heritage of the property,
- i) Developing as a priority implementation plans for the strategies oriented to the maintenance and repair of the tangible elements of the property,
- j) Continuing to develop partnerships with private owners to ensure that buildings are maintained and repaired,
- k) Developing a detailed interpretation strategy for the property, with clear timeframes and priorities for implementation,
- l) Developing detailed plans for mobility, accessibility, and transportation that take into account the visual qualities of the city and the constraints of the stairways and public spaces,
- m) Working with communities and local authorities to develop strategies, tools, and incentives to maintain the cultural practices of the city and avoid the possible gentrification of the historic urban core,
- n) Fully implementing the proposed monitoring system after augmenting it to include monitoring the proposed intangible attributes by means of key indicators,
- o) Applying the approaches of the UNESCO Recommendation on the Historic Urban Landscape (2011) when further developing the management system, plans, strategies, and actions;





Map showing the boundaries of the nominated property and its buffer zone



## **IV Cultural properties**

### **A Arab States**

Deferred nomination

### **B Asia – Pacific**

New nomination

### **C Europe – North America**

New nominations

Creation/modification of buffer zones

### **D Latin America and the Caribbean**

New nomination

Extension

Creation/modification of buffer zones



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## **Dholavira: A Harappan City (India) No 1645**

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### **Official name as proposed by the State Party**

Dholavira: a Harappan City

### **Location**

Village Dholavira  
Tehsil Bhachau  
Kachchh district  
Gujarat  
India

### **Brief description**

The ancient city of Dholavira, the southern center of the Harappan Civilization, is sited on the arid island of Khadir in the Great Rann of Kachchh in the State of Gujarat. Occupied between ca. 3000-1500 BCE, the archaeological site comprises a fortified city and a cemetery.

The city, strategically located between two seasonal streams for harnessing scarce water, comprises the Castle, the Bailey, the Ceremonial Ground, the walled Middle Town and the Lower Town. The entire city is fortified by a wall with bastions at regular intervals. Gates of various configurations, together with streets and houses of different grades, depicts a stratified social order. A sophisticated water management system, including wells, water tanks, reservoirs, drains and dam witnesses the ingenuity and struggle of the Dholavira people for survival and thriving on this harsh island.

Outside the city to the west is the cemetery, of which the great majority of the burials are memorial in nature, testifying to the unique view held by the local people to death. Bead processing workshops and artifacts of various kinds such as copper, shell, stone, jewelry of semi-precious stones, terracotta, gold, ivory and other materials have been found during the 13 field sessions of archaeological excavation between 1989 and 2005, exhibiting the art and technological achievement of the time. Evidence for inter-regional trade with other Harappan cities, as well as with cities in the Mesopotamia region and the Oman peninsula have also been discovered.

### **Category of property**

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a *site*.

## **1 Basic data**

### **Included in the Tentative List**

15 April 2014.

### **Background**

This is a new nomination.

### **Consultations and Technical Evaluation Mission**

Desk reviews have been provided by ICOMOS International Scientific Committees, members and independent experts.

An ICOMOS technical evaluation mission visited the property from 17 to 23 December 2020.

### **Additional information received by ICOMOS**

A letter was sent to the State Party on 24 September 2020 requesting further information about the justification for inscription and comparative analysis, integrity, conservation, boundaries and management.

An Interim Report was provided to the State Party on 27 January 2021, summarising the issues identified by the ICOMOS World Heritage Panel. Further information was requested in the Interim Report including: the property area, the buffer zone, the legal protection of the quarry sites, tourism management, heritage impact assessments, and further research.

Additional information was received from the State Party on 11 November 2020 and on 25 February 2021 and has been incorporated into the relevant sections of this evaluation report.

### **Date of ICOMOS approval of this report**

18 March 2021

## **2 Description of the property**

Note: The nomination dossier and additional information contain detailed descriptions of this property, its history and its state of conservation. Due to limitations on the length of evaluation reports, this report only provides a short summary of the most relevant aspects.

### **Description and history**

So far, there are more than 1,000 Harappan sites discovered in the world. The nominated property is the sixth largest of all. It is the centre of the southern part of the Harappan Civilization and one of the few best preserved urban settlements in South Asia dating from the 3<sup>rd</sup> to mid-2<sup>nd</sup> millennium BCE. The nominated property consists of the archaeological remains of the fortified city of Dholavira and a cemetery located to the west of the city. Within the city there is the Castle in the south. The Bailey is attached to the Castle from west. The Ceremonial Ground is on the north of the Castle, and further north is the walled Middle Town. The Lower Town is on the east of the Middle Town. The entire city is

enclosed by a fortified wall in rectangular layout. Stone was the main building material for the fortifications, building foundations and plinths, combined with mud-bricks and mud mortar.

The city is located between two seasonal streams, the Mansar in north and Manhar in south, for harnessing scarce water. The city is fortified with a wall running on all four sides, except two openings near the northeast and southwest corners, possibly for taking water from the streams into the city; the wall is reinforced by bastions at certain intervals. The orientation is tilted a few degrees counter-clockwise of the cardinal directions. All the other walls, streets and buildings in the city follow this orientation. The lengths of the walls in the city, and streets dividing spaces follow certain ratios such as 1:1, 1:2, and 5:7, reflecting the long-lasting tradition of Harappan city planning.

The Castle nests on the tallest mound in the city, and is heavily fortified, with the imposing north gate being at a commanding height over the Ceremonial Ground, the Middle Town and the Lower Town. In the thickness of the wall the gate consists of two elevated chambers flanking a sunken passageway. A large ten-lettered gypsum inscription is found in the western chamber with the width equal to the width of the passageway, suggesting that this inscription may originally be inlaid on a large wooden board and placed on the lintel of the doorway. There are other gates with similar forms in the castle walls for accessing the Bailey on the west and other parts of the city. A Broadway running east-west divides the Castle into two parts. A network of drains is found for collecting and carrying rain water to the reservoir in the western part of the Bailey. Bead-workshop, water tanks, a step well, and houses of various stages are found in the Castle.

The Bailey shares its eastern wall with the Castle. A number of workshops and houses are found in the east part. The west part is the reservoir for storing rain water collected from the Castle, and in the southeast part is located a large granary.

The rectangular Ceremonial Ground is a relatively flat area originally annexed to the Castle as a residential area, but later cleared for carving out the open space.

The Middle Town is fortified with gates linking to the Lower Town and other parts of the city. A grid street system divides the Town into square units within which houses and workshops are constructed. The streets are ranked according to their width as the arterial streets (4.2-5.8 m), sub streets (3.2-3.5 m), lanes (1.2-1.7 m) and by-lanes.

The Lower Town is not circulated by wall, but is protected by the city wall. An arterial street runs from the Middle Town eastward through the east gate to the Lower Town, and continues to the east end of the town. An N-S arterial street crisscrosses the E-W street to form the grid pattern. The organization system of the streets is the same as the

one in the Middle Town. A workshop for mass bead processing was found in the Lower Town.

The water system of the city, in addition to the rain water collection system in the Castle and Bailey, comprises a dam on the Manhar Stream for collecting the water, a series of reservoirs to the east and north of the Castle, and drains in the Middle and Lower towns.

Outside the city to the west is the Cemetery, which occupies more than 50 hectares. Exclusive of Harappan period, the burials are classified into 6 types, namely rectangular memorials, cairns, composite graves, fractional burials, inhumation, and hemispherical monuments. Except a few fractional burials in which parts of human remains were found, and 1 inhumation, all the constructions are cenotaphs.

Rich artifacts have been obtained from the excavation campaigns, these include ceramics from all 7 historical stages, around 12,000 beads in various shapes together with processing tools such as 1,588 drill bits of erenite, a signboard with 10 large gypsum signs, hundreds of seals and sealings, stone columns and other architectural elements, nearly one thousand weights made of 55 materials, copper, gold, silver, lead and other metal objects, terracotta figurines, shell artifacts, stone bangles and other lapidary items.

The occupation of the site spans 1,500 years beginning in c. 3000 BCE, and is divided into 7 stages. Stages I-III (3000-2500 BCE) are the Dholavira culture; Stages IV and V (2500-2000 BCE) correspond to the Harappan culture; Stage VI (1950-1800 BCE) corresponds to the late Harappan cultural; and Stage VII (1500-1450 BCE) corresponds to the post Harappan culture. The site was un-occupied briefly between 2000 BCE and 1950 BCE and again for a longer period between 1800 BCE and 1500 BCE.

The remains of the settlement of Stage I (c. 3000-2900 BCE) lie buried beneath the Castle. It was enclosed by a massive wall, and formed the nucleus on which the subsequent settlements of the later stages expanded into a fully-fledged city. The idea of town planning, evidence of copper making, stone dressing, bead making, shell working and ceramics, and use of the standardized bricks and stones, are the features of this stage.

During Stage II (c. 2900-2800 BCE) the fortification walls were reinforced by a massive brick masonry wall from the inner side. A residential area appeared to the north of the settlement. Pottery forms and artifacts diversified as well as increased in both quantity and quality.

Stage III (c. 2800-2500 BCE) witnesses the most extensive expansion of the site. The walled settlement was further reinforced and transformed into the Castle. The Bailey was added to it from the west. In the north, the residential area of Stage II was flattened to form a multipurpose ground. Further north, the extensive walled

Middle Town was established. Large scale reservoirs were created on the east, south and west of the Castle. An outer fortification wall was built to surround the entire city. The Cemetery appeared outside the city to the west during this period.

During Stage IV (c. 2500-2100 BCE) no change on the layout and construction of the city was found, except the sudden stop of decoration of buildings and constructions using colored clay, suggesting that there was a change of power or belief system. The ten-signed inscription of unusually large size was found. All the classical Harappan elements such as pottery, seals, weights, beads, metal items, ivory, shell, faience, steatite, clay and stone were found in abundance. Local pottery types other than Harappan's were also found.

Stage V (c. 2100-2000 BCE) witnesses the decline of the city, as demonstrated by the lack of maintenance of the city, such as the low quality of repair work of the buildings in the city, and the water structures that were damaged during the mid of the Stage V were never repaired to be functioning again. Toward the end of this Stage, an earthquake devastated the city, causing it to be abandoned for a short period of time.

Stage VI (c. 1950-1800 BCE) is a transforming period when the one-time city shrank into a small town, confined to the Castle, the Bailey and Ceremonial Ground. A wall of different construction than previous stages was raised on the north of the Ceremonial Ground to delimit the settlement. New types of ceramics and other items from other regions have been found.

Stage VII (c. 1500-1450 BCE) shows the arrival of a new settler after 300 years of vacancy with totally different architectural form. This circular form of houses that they built can still be seen in a greater part of rural India. There is no urban planning. The site was never occupied after Stage VII.

### **Boundaries**

The nominated property has an area of 103 ha. ICOMOS requested the State Party to clarify the rationale behind the boundary demarcation in order to confirm that all the archaeological resources pertaining to Dholavira City are included in the property area. Additional information provided by the State Party in February 2021 explains that two archaeological surveys of entire Khadir Island were conducted in 1968-1969 and 1987-1989 respectively, both by the Archaeological Survey of India. Based on the results of these surveys all the archaeological remains that contribute to the value of the nominated property are included in the proposed property area. The State Party confirms that there are some archaeological sites outside the proposed property boundaries, such as the ancient quarry sites some 4 km to the northeast of Dholavira City. However, these sites are not contemporary with Dholavira, and as they do not contribute to the values of the nominated property, they are not included in the nomination.

ICOMOS considers that the proposed property boundary covers all the identified attributes demonstrating the proposed Outstanding Universal Value of the site, and is adequate for the protection of the property.

The buffer zone initially proposed by the State Party in the nomination dossier is of 148 ha. The boundary is delimited 300 metres from the boundary of the property area, following the prescription of Ancient Monuments and Archaeological Sites and Remains Act (AMASR Act 2010). Of the buffer zone, the first 100 metres from the property boundary is the Prohibited Area, and the further 200 metres is the Regulated Area.

The additional information from the State Party in February 2021 indicates that the buffer zone has been extended by the Government of Gujarat, covering the entire west strip of the Khadir Island with total area of 4,865 ha, within which are located the ancient quarry sites, the potential port site and a check dam site in the upstream part of Manhar Stream that may relate to the nominated property. A copy of the notification with the map showing the boundary of the extended buffer zone is annexed to the letter.

ICOMOS welcomes the State Party's initiative to extend the buffer zone. ICOMOS notices, however, that as the extended part has not yet been granted legal provision for the protection of archaeological remains, it does not currently offer protection to the archaeological remains in the extended area, nor does it offer an additional layer of protection to the wider setting at this stage.

### **State of conservation**

The documentation and cataloguing of the cultural materials and artefacts found during excavations were performed by the excavation and exploration section and museum and antiquity section of the Archaeological Survey of India, as well as the documentation of conservation interventions.

The nominated property is overall in good condition, due to the conservation interventions conducted simultaneously with the 13 archaeological excavation campaigns between 1989 and 2005, as well as the subsequent annual conservation programme up to the present. The interventions include pointing the masonry with lime mortar, dismantling and resetting of loose, dislodged, or collapsed masonry, coping the wall top with watertight materials, desilting of reservoirs, removal of vegetation, and levelling the ground for improving surface water discharge. Protective measures include construction of dwarf wall with chain link fencing on top, building a culvert over Manhar Stream for accessing the site, laying PCC pathway in front of the East Gate, and providing an iron gate to the nominated property. The archaeological remains that have undergone conservation interventions include the fortification structures, the gates, the reservoirs and water tanks, and other structural remains and workshops of the Castle, the Bailey, the Middle Town and the Lower Town.

Based on the information provided by the State Party and the observations of the ICOMOS technical evaluation mission, ICOMOS considers that the state of conservation of the nominated property is good.

#### **Factors affecting the property**

Based on the information provided by the State Party in the nomination dossier as well as the Disaster Management Plan, which is a part of the Site Management Plan, and the observations of the ICOMOS technical evaluation mission, ICOMOS considers that the main factors affecting the property are natural disasters such as earthquake, cyclones and occasional downpours, as well as tourism visitations.

The nominated property is located in a highly sensitive seismic zone. Severe earthquakes were recorded in the past. The most recent strike was more than 7 on Richter scale one in 2001, which caused partial collapse of two gate pillars of Stage VII.

The site is located in the desert region with average annual rainfall less than 25 mm. Cyclones and monsoon rainfalls occasionally hit the site in the form of downpours, causing surface erosion and the silting up of excavated parts, such as reservoirs and drains. However, such events are extremely rare in the past. A drainage system has been installed in sensitive parts of the site to address this problem, however, close monitoring and maintenance should be undertaken to ensure its functionality.

Being located in hot and arid zone, the surface temperature of the site in summer months often exceeds 40°C. Therefore, most visitations occur in winter months from November to February of the subsequent year when the temperature is lower. This has caused uneven distribution of visitation, which may put added pressure on the site. In its additional information letter in February 2021, the State Party has confirmed that as currently the number of visitors is low, visitation does not pose any threat to the preservation of the site.

In the future, a significant increase in the number of visitors is expected due to 3 factors: the Ministry of Tourism has declared the nominated property an Iconic Tourist Site of India; the construction of a new road linking Khadir Island to Bhuj, the district capital and closest airport, which will reduce the time to drive to Dholavira from 6 hours to 1.5 hours; and World Heritage status, should the site be inscribed on the World Heritage List. Adverse impact on the archaeological remains may occur due to increased visitation. The Visitor Management Plan has been developed, and is being implemented. In the plan, however, strategy or policy for preventing the nominated property from adverse impact by large number of visitors is not included. Furthermore, the carrying capacity has not been established for the nominated property as a whole and for vulnerable areas within the site.

There are other minor factors affecting the property, including vegetation growth, slow deterioration of exposed materials, vandalism and looting. These threats are under control by the site management authority.

### **3 Proposed justification for inscription**

#### **Proposed justification**

The nominated property is considered by the State Party to be of Outstanding Universal Value as a cultural property for the following reasons:

- The nominated property is one of the very few best preserved and *in situ* urban settlements in South Asia dating from the 3<sup>rd</sup> to mid-2<sup>nd</sup> millennium BCE.
- Dholavira is one of the very few large Harappan settlements where an entire sequence spanning the history of Harappan cities is observed.
- The nominated property testifies the interchange of human values through its city planning, construction protocol and cultural uniformity with other Harappan cities during its initial and prosperous phases, the internal trade with other Harappan cities and external trades with the Magan (modern Oman peninsula) and Mesopotamian regions.
- The configuration of the city of Dholavira, during its heydays, is an outstanding example responding to a stratified society having the principle qualities of planned and segregated urban residential areas based on possibly differential occupational activities.

#### **Comparative analysis**

The comparative analysis is presented in three parts: comparisons with contemporary archaeological sites of national importance in India, comparisons with important Harappan sites in other countries, and comparison with contemporary World Heritage sites as cradles of early civilizations of the world.

The comparison with sites of national importance in India is seen to show that the nominated property is set apart from 6 other sites of Harappan culture through its urban planning and water management system, its rich artefacts and remains, its stratified society and the presence of funerary monuments.

Comparison with other Harappan cities in the South-Asian sub-continent shows that one of the unique features that makes the nominated property stands out from other Harappan cities is its multi-layered defence system. In addition to the overall city walls, the Castle, the Bailey and Middle Town are also fortified, with uniquely configured and planned gateways. The water management of the city, particularly one that used a sophisticated draining system and a dam for harnessing surface water, coupled with a series of reservoirs for storage, is the most advanced known from the Harappan Civilization. The



large quantity of diversified commodities produced in Dholavira and the trade with neighbouring regions testify to the strategic role it played in Harappan culture. The extensive use of stone for both city construction and burial is unique among Harappan cities.

In comparing Dholavira with representative sites of other contemporary civilization in the world, the State Party argues that the Harappan city of Dholavira distinguishes itself as a unique property that significantly demonstrates the attributes of urban planning with fortification and defence mechanisms, a stratified society reflected in architecture and planning, architectural design in terms of gateways and residential areas, a water management system, art and technology, interregional trade and supply of raw materials.

In its letter of September 2020, ICOMOS requested the State Party to better contextualize the history of the property in order to reinforce the comparative analysis. The State Party responded in the additional information letter in November 2020 with a detailed comparison in terms of town planning, components of the city and features, water management system, weights and measures, craft activities, and evidence of disposal of dead. In particular, further comparison was made with Lothal, another contemporary Harappan site in the region. These additional comparisons, together with the information from the nomination dossier, illustrate clearly both the similarity and distinctness of the nominated property in comparison with other contemporary Harappan cities.

ICOMOS considers that the comparative analysis adequately demonstrates the essential role the nominated property plays as the centre of the southern part of the Harappan Civilization. Dholavira City contributes significantly to the overall understanding of this civilization.

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ICOMOS considers that the comparative analysis justifies consideration of this property for the World Heritage List.

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#### **Criteria under which inscription is proposed**

The property is nominated on the basis of criteria (ii), (iii) and (iv).

Criterion (ii): *exhibit an important interchange of human values, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design;*

This criterion is justified by the State Party on the grounds that the cultural uniformity of the nominated property with other contemporary Harappan cities was achieved through contact with other Harappan settlements; the idea of town planning introduced from the Sindh Region, which further influenced other nearby settlements like Surkotada, and Junjira in Gujarat, demonstrated interchange of human values; and the activities of mass production of crafts, intensive trade with other regions,

and controlling of its vast hinterland testified the interactions among peoples.

While acknowledging the existence of the trade between the nominated property and cities of other civilizations, ICOMOS considers that there is insufficient evidence to show how Dholavira would have influenced its two trading partners or vice versa. ICOMOS considers that this criterion has not been justified.

Criterion (iii): *bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared;*

This criterion is justified by the State Party on the grounds that the nominated property covers the entire time span of Harappan Civilization from the 3<sup>rd</sup> to the 2<sup>nd</sup> millennium BCE. The rich items unearthed illustrate the idea of city planning, stratified society, ways of life, art, and technologies in architectural design and construction, burial structures, production such as manufacturing of pillar elements and beads, water management, metallurgy, and trade.

ICOMOS considers that the nominated property being occupied for more than 1,500 years, witnesses the entire trajectory of Harappan Civilization. It not only showcases the common features of typical cities of the Harappan Civilization, but also demonstrates its own particular characteristics, such as the strategic location for harnessing scarce water on this arid island, for controlling raw materials, and for facilitate trading; the sophisticated and advanced water management system; the preconceived town planning, the multi-layered defensive system; extensive use of stone in construction; techniques for stone element processing; the scale of bead manufacturing; and the unique burial tradition, which contribute significantly to a wider understanding of the whole picture of Harappan Civilization. ICOMOS considers that this criterion is justified.

Criterion (iv): *be an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history;*

This criterion is justified by the State Party on the grounds that the city planning and configuration of fortification adapting to local geographic and geomorphological conditions, as demonstrated by the siting of the city, the orientation, ratios and proportions of the buildings and constructions, and placement of both settlements and workshops within the city, are outstanding examples of the Harappan Civilization.

ICOMOS considers that while the adaptation of town planning to local conditions was a common practice for all Harappan cities, the preconceived city planning of Dholavira, with its multi-layered fortifications, sophisticated water reservoirs and drainage system, and the extensive use of stone as a building material, together differentiate it from other Harappan cities. As a result,

Dholavira can be seen as an outstanding example of Harappan urban planning. ICOMOS considers that this criterion is justified.

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ICOMOS considers that the nominated property meets criteria (iii) and (iv), and that criterion (ii) has not been justified.

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### **Integrity and authenticity**

#### **Integrity**

The integrity is based on the completeness of the Dholavira City and associate cemetery outside the city. The State Party considers that all the necessary attributes of the nominated property, such as proto-historic systems of urban planning, water management systems, architectural elements and design, traditional knowledge of art and technology, are preserved *in situ*. All the components and elements that contribute to the potential Outstanding Universal Value of the property are within the nominated area and are intact in all respects.

The State Party has expanded the buffer zone from 148 ha to 4,865 ha, covering the entire west strip of the Khadir Island. This initiative demonstrates the State Party's recognition of the importance of the wider setting of the nominated property.

ICOMOS considers that all the essential attributes are within the nominated property area. ICOMOS commends the State Party for extending the buffer zone to include the ancient quarry sites and other archaeological sites, and ensuring their protection, as being important contextual elements for the understanding of the nominated property. ICOMOS considers that the conditions of integrity have been met.

#### **Authenticity**

The authenticity of the nominated property is based on the truthfulness and completeness of the attributes that convey its potential Outstanding Universal Value, which include the overall form and design, materials, location and setting of the Dholavira City. Because the site has never been occupied after 1500 BCE, the historical landscape remains largely unchanged, with the location of the site, the spatial relationship between the city and the two seasonal streams, as well as between the city and the cemetery, the town planning, and the elements parts of the sites all being authentically preserved. The past conservation practices have respected the principle of minimal intervention in general.

ICOMOS considers that the excavated remains along with the sub-surface remains of the city of Dholavira are authentically preserved.

ICOMOS considers that the conditions of integrity and authenticity have been met.

### **Evaluation of the proposed justification for inscription**

ICOMOS considers that the comparative analysis justifies the consideration of this nominated property to the World Heritage List.

ICOMOS considers that the nominated property meets criteria (iii) and (iv), but that criterion (ii) has not been demonstrated.

ICOMOS considers that the conditions of integrity and authenticity have been met.

#### **Attributes**

The attributes that contribute to the proposed Outstanding Universal Value of the nominated property are: the strategic location of the Dholavira City for water harnessing, for accessing raw materials and for trading; the layout of the city and the spatial relationship between the city and the cemetery that reflect the Harappan planning tradition and social stratification; the water management system in the city as indicator of the technological advancement; and all the underground and above ground archaeological evidence of the fortification walls, the Castle, the Bailey, the Ceremonial Ground, the Middle Town, the Lower Town, the series of reservoirs, the dam, and the Cemetery.

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ICOMOS considers that the attributes have been carefully identified and support the proposed Outstanding Universal Value.

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## **4 Conservation measures and monitoring**

### **Conservation measures**

Conservation interventions have been conducted since the beginning of the archaeological excavation in 1989 and continued after the completion of the excavation to the present. As a result, the unearthed parts of the site have been consolidated and stabilized, and in some parts, reconstructed for both conservation and interpretation purposes. The conservation interventions have been carried out following the internationally accepted principles such as minimum intervention. All the interventions have been well documented.

Parts of the excavated areas have been back-filled for protecting the fabrics from weathering.

Protective drains and drain pipes have been installed to prevent surface erosion and silting up of the reservoirs, water tanks and other low-lying areas of the site from rainfalls.

The Conservation Plan has been developed as a part of the Site Management Plan in which an extensive list of conservation interventions is provided. ICOMOS requested the State Party to provide further information on the funding and human resources available for

undertaking these activities. The State Party responded in the additional information in November 2020, confirming that sufficient fund and human resources have been allocated by the Archaeological Survey of India, and the conservation activities will be undertaken according to the annual plan as prescribed in the conservation plan.

ICOMOS considers that the current conservation measures are adequate for the protection of the site.

### **Monitoring**

The monitoring system established by the State Party links directly to the conditions of the attributes that testify the values of the site. The indicators are grouped into 5 categories, including the state of conservation, conservation works, visitor management, research and development, and buffer zone development. While the main institutional monitoring body is the Vadodara Circle and Bhuj Sub-Circle office of Archaeological Survey of India, Ministry of Tourism and Ministry of Environment and Forest jointly monitor the development associated with tourism and wildlife. The frequency of data collection is mainly quarterly, but adjustable to specific events such as monsoon rainfall or other urgent matters.

ICOMOS considers that while the current system is adequate to monitor the main aspects of the site, an instrumental monitoring system should be installed at key parts of the site to improve the focus and precision of monitoring, as well as to alert the site staff to any unauthorized access at earliest possible opportunity to prevent looting. Careful monitoring of the site drainage is also essential to inform the site staff on the effectiveness of this preventive measures, based on which regular maintenance and further improvement can be made. Capacity building for the site staff is recommended so that the daily monitoring and maintenance could be performed by site personnel. Streamlining of the monitoring system with the Periodic Reporting questionnaire would also be useful.

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ICOMOS considers that the current conservation activities and monitoring schemes are suitable, but could be improved through instrumental monitoring and capacity building.

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## **5 Protection and management**

### **Documentation**

All the archaeological explorations and excavations were recorded by the Indian Archaeological Review, an annual record of conservation works maintained by the Archaeological Survey of India (ASI), and are downloadable from the ASI website. These reports not only recorded the archaeological activities, but also served as inventory of the items unearthed from the site. Starting from 2000, in addition to archaeological excavation reports conservation reports are also compiled annually up to 2018. The inventory, records and archives are stored at the office

of the Senior Conservation Assistant at the Bhuj Sub-circle office, the Superintending Archaeologist at the ASI Vadodara Circle office and Archaeological Survey of India Headquarters in New Delhi.

The State Party has conducted a series of research on unearthed artefacts, such as bead drilling techniques, ernestite drill bits, lithic implements and ceramics. Non-destructive techniques like GPR, multispectral drone survey have already been conducted for documentation and better understanding the site. In future, non-destructive surface studies employing geophysical techniques may be undertaken, and excavation may be conducted in specific areas based on the outcome of such surveys.

ICOMOS considers that a future research strategy should be established to better relate research to where further understanding of the archaeological sites in the buffer zone is needed.

### **Legal protection**

The nominated property enjoys the top level of legal protection. It has been designated as an "ancient monument" of national importance on 27<sup>th</sup> August 2003 by Gazette Notification no. 776 of 2003-04, Regd. No. D.L- 33004/99. It is protected by 5 heritage laws and a conservation policy at national level. These are: the Ancient Monuments and Archaeological Sites and Remains Act 1958 (AMASA) , amended in 2010; Ancient Monuments and Archaeological Sites and Remains Rules 1959 (AMASR); AMASR 2011; the Antiquities and Art Treasures Act 1972; the Antiquities and Art Treasures Rules 1973; the National Monuments Authority (Appointment, Functions and Conduct of business) Rule 2011, and the National Conservation Policy 2014. Based on these legal instruments, the property area is delineated, and is protected by a Prohibited Area measuring 100 metres in all directions from the boundary of the property area, and a Regulated Zone of 200 metres in all directions from the boundary of the Prohibited Area is demarcated. The Prohibited Area and Regulated Area together form the buffer zone of the nominated property.

The additional information from the State Party in February 2021 indicates that the buffer zone has been extended by the Government of Gujarat. In the official notification for the extension of the buffer zone it states that the buffer zone overlaps with Kachchh (Kutch) Desert Wildlife Sanctuary. It further states that in the said buffer area, the existing provisions for obtaining necessary approvals from the competent authority shall remain the same.

ICOMOS in its Interim Report also requested the State Party to provide detailed information on the latest legal status of the ancient quarry sites to the northeast of the nominated property. The State Party responded that the proposal had been made on January 2021 by the Ministry of Culture representing the Central Government to declare the two quarry sites as being of national importance, in order to put them under protection of the

Ancient Monuments and Archaeological Sites and Remains Act 1958. Currently the proposal is under two-month public consultation. Once the process is complete, official notification will be issued.

ICOMOS considers that the current legal protection for the nominated property area is adequate. ICOMOS welcomes the initiative of the State Party to extend the buffer zone. ICOMOS notices that currently no new legal provision for the protection of archaeological remains has been granted to the extended part of the buffer zone. Therefore, ICOMOS recommends the State Party to declare the extended part of the buffer zone as Regulated Zone under the Ancient Monuments and Archaeological Sites and Remains Act 1958 (AMASA), amended in 2010, in order to ensure that any development in this area is subject to approval by competent authority. Alternatively, a new legal provision at national or state level should be developed and granted to the extended area in order to offer adequate legal protection to the cultural heritage within the area.

ICOMOS also welcomes the State Party's effort on declaring the ancient quarry sites under national legal protection, and urges the State Party to approve the proposal at the earliest possible time.

#### **Management system**

The nominated property is owned by the Archaeological Survey of India (ASI), an attached office and organization under the Ministry of Culture. ASI plays the essential role in the management, protection, conservation, maintenance, and monitoring of the property.

The buffer zone is managed by a number of stakeholders, including the Archaeological Survey of India and its local branch, Ministry of Environment and Forest and its local branch, Ministry of Tourism and its local branch, local governments at the state, district and village levels, and a tourism company.

Noticing that progress has been made on site management since the submission of the nomination dossier and the ICOMOS technical evaluation mission, and that the buffer zone has been expanded, with new legal statutes are being granted to the two ancient quarry sites, ICOMOS requested in its Interim Report an update on the management mechanism of the nominated property and buffer zone. The State Party replied in the additional information letter in February 2021, indicating that the proposed property area and extended buffer zone are managed by the Regional Apex Committee and Local Level Committee. A copy of the notification by the Government of Gujarat on the constitution of the two committees as well as their roles and responsibilities was provided. According to the notification, the Regional Apex Committee is chaired by the Chief Secretary, Government of Gujarat, with Regional Director (West), ASI as the Member Secretary. The members are the heads of relevant central government ministries and local government departments. The committee meets twice a

year to monitor and review the critical management issues and policies of the property area and of the buffer zone, and decide and resolve infrastructures issues such as road, water supply, electricity, sanitation, and tourism infrastructures in the nominated property and buffer zone. The Local Level Committee is chaired by the Kachchh District Magistrate, with Superintending Archaeologist Vadodara Circle (ASI) as the Member Secretary. The members are the Regional Director (West), ASI, Kachchh District Development Officer, Field expert(s), and local community representative. This committee meets once every month to address issues related to overall site management, conservation intervention, capacity building, visitor access, facility development and land ownership.

The 3-year Site Management Plan dated 2020, approved and implemented by the Archaeological Survey of India, includes 7 parts. After introduction and description of the significance of the site, the conservation plan, Visitor Management Plan and Disaster Management Plan are provided, and mechanism of buffer zone management is proposed. Finally, implementation strategies are proposed, with a list of actions to be conducted in the next 3 years.

The conservation plan is developed based on a detailed and comprehensive condition survey, with a list of pragmatic actions to be undertaken. The centre of the Visitor Management Plan is the control of visitor movement within the property in order to curb the adverse impact of the visitors on the sensitive parts of the archaeological site. Three alternative routes are proposed based on the time the visitors wish to be on site. Pathways for regulating visitor movement and protecting the fabric are proposed. The Disaster Management Plan identifies four major natural hazards and one human induced hazard: earthquake, progressive decay, torrential rains, wind, and stepping of visitors. Measures for mitigating hazards are proposed. The implementation strategies are proposed with actions to be taken in the next 3 years, mainly concentrated on the conservation intervention, control of visitor movement, site amenity, and interpretation. To date, some of the proposals of the Site Management Plan have been implemented, as reflected in the related sections of this report.

At present, a minimum staff of one senior conservation assistant, one archaeological assistant, one foreman, three monument attendants, three security guards armed and unarmed (8 positions), two cleaning staff, four casual workers on work-charged basis, are permanently posted at the site to ensure that daily maintenance and security of the property is in place.

ICOMOS considers that the current participatory management mechanism is overall adequate for the protection of the proposed Outstanding Universal Value of the nominated property. ICOMOS considers, however, that the management system could be enhanced through the development of a legal instrument or management guidelines for the site management committees to ensure

the protection of the archaeological remains in the extended area of the buffer zone. Heritage Impact Assessment should be incorporated into the decision making process. Furthermore, the Site Management Plan has been approved and implemented only by the Archaeological Survey of India, one of the stakeholders of the management committees.

ICOMOS is concerned that these management issues, if unaddressed, may contribute to the vulnerability of archaeological remains in the extended buffer zone in relation to infrastructure development and tourism. Guidelines for development and conservation need to be drafted for the extended buffer zone. This is particularly important in respect of controlling infrastructure development, while supporting appropriate improvements to the livelihood of the local community.

### **Visitor management**

A Visitor Management Plan is incorporated as a part of the Site Management Plan. According to the plan, new facilities will be constructed, and a full-fledged site museum is proposed to be constructed for displaying all the artefacts excavated from the site. The site has been declared by the Ministry of Tourism as an Iconic Tourist Site, which brings financial support from the central government to the State. Recommendations on regulating visitor movement at the site, interpretation, training of tourist guide, promoting awareness are proposed. Based on the information from the ICOMOS technical evaluation mission and additional information received from the State Party in February 2021, some of the proposals have already been implemented at the time of drafting of the current evaluation.

Currently, tourism facilities have been located in the Archaeological Survey of India facilities at the entrance of the site. These include a site museum, which also serve as interpretation and education centre, a cafeteria, a parking lodge, a washroom, dustbins, rain shelters, and water points. Signage and benches have been installed on site. Movable wooden barricades have been put in place at the vulnerable locations like staircase to the entrance at Eastern Gate, and remains at Castle and Bailey, in order to prevent visitors from stepping on. The pathway for visitation has been paved to keep visitors from wondering freely on site, but upgrading is needed. A brochure with trilingual movement plans is provided, together with site map and signage, to ensure that visitors are informed of the vulnerability of the site and stay on the designated tracks. The movement plans offer visitors three options depending on the time they wish to spend on site, i.e. 2, 4 and 6 hours.

As mentioned in the additional information letter received from the State Party to ICOMOS Interim Report, the new museum and other facilities, as proposed in the Visitor Management Plan, are to be constructed in a 10-acre plot of land, outside the boundary of the nominated property to the east, which has been allocated by the Government of Gujarat to the Archaeological Survey of India. The State

Party stresses that these developments will be subject to the legal provisions, and prior to their execution, Heritage Impact Assessment will be carried out to ensure that neither visual impact nor any damage to any potential archaeological deposit is caused. Furthermore, the proposed museum and infrastructure building will follow the vernacular traditions and materials.

ICOMOS considers that the current Visitor Management Plan is adequate. Envisaging a significant increase of visitor number in future, ICOMOS considers that carrying capacities should be established for the entire site, and for the sensitive parts of the site. Based on these, policies and measures for controlling the number of visitors within safe levels should be developed.

### **Community involvement**

Currently annual events are held to engage the local village residents. School children are brought to the site for various activities. International days are celebrated to develop a sense of community as well as to promote engagement with the site and the custodians and create awareness. Local people have been involved in the excavation and conservation campaigns, and routine site works. Mechanism for community involvement is in place through the establishment of the two management committees and prescription of the Site Management Plan.

ICOMOS considers that the current community involvement is encouraging. ICOMOS recommends that the local residents be provided capacity building opportunity in terms of tour guides or homestay management so that the population can benefit more from the development of the site.

### **Evaluation of the effectiveness of the protection and management of nominated property**

The archaeological exploration, excavation, and conservation interventions have been well documented. The legal protection of the property area, the Prohibited Area and the Regulated Area is adequate. The management of the property area is effective, with sufficient fund and human resources. The committees for managing the property area and buffer zone have been established, with major stakeholders as the members, and the roles and mandates have been clearly set out. The current visitor management is adequate. And the local communities benefit from the conservation, management and tourism development of the site.

ICOMOS considers, however, that legal provision should be developed and granted to the extended area of the buffer zone. Alternatively, the current Regulated Area should be enlarged to the extended area in order to bring the existing legal protection to this area. Guidelines for development and conservation need to be drafted for the extended buffer zone and adopted by the management committees, with Heritage Impact Assessment mechanism incorporated into the management system of the property. Carrying capacity for the nominated property as a whole and for the sensitive parts should be

established, based on which policies and measures should be developed to prevent adverse impact from tourism in future. A long-term research strategy should be developed in order to better understand the values of the archaeological sites in the extended buffer zone. Capacity building should be made to the local residents so that they can have the skills to benefit more from the site development, and contribute to the conservation of the site.

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ICOMOS considers that the current protection and management is overall adequate, however improvements should be made in terms of legal protection and management mechanisms that apply to the extended buffer zone.

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## 6 Conclusion

ICOMOS considers that Dholavira, the southern centre of the Harappan civilization, contributes significantly to an understanding of the urban planning achievements of this early human civilization.

While sharing the common features of typical cities of the Harappan Civilization, such as standardization of ceramics, seals and sealings, cubical weights, chert blades, shell artefacts, and metallurgy, Dholavira demonstrates its particular characteristics, such as outstanding water harnessing and management techniques, extensive use of stone for construction, preconceived town planning, multi-layered defensive systems, stratified social order, extensive scale and quality of bead manufacturing, and unique burial traditions. Evidence of trade with the Mesopotamia region and the Oman Peninsula has been discovered. The information obtained from Dholavira enriches significantly our existing knowledge of Harappan civilization. Being one of the key representative sites of this civilization, Dholavira showcases how people in this region lived, thrived and adapted to this environmentally harsh but resource rich place 5,000 years ago, and exemplifies the wisdom of these people in the South-Asian sub-continent.

The nominated property meets criteria (iii) and (iv), and conditions of integrity and authenticity.

The main threats to the site are earthquake, occasional heavy rainfall and potential impact from visitors. The nominated property is in good state of conservation. The legal protection is adequate for the property area, Prohibited Area, and Regulated Area. The participatory management committees have been established. The current visitor management is satisfactory. The local residents benefit from the site development.

ICOMOS considers that protection and management of the nominated property would be enhanced by the development of legal provision for the archaeological remains in the extended area of the buffer zone as well as of guidelines for development and conservation needs; Heritage Impact Assessments should be integrated in the

management mechanism; carrying capacity for the tourism management; long-term research strategy; instrumental monitoring system; and capacity building for the site staff and local residents should also be developed.

## 7 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that Dholavira: a Harappan City, India, be inscribed on the World Heritage List on the basis of **criteria (iii) and (iv)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

Dholavira: a Harappan city, is one of the very few well preserved urban settlements in South Asia dating from the 3<sup>rd</sup> to mid-2<sup>nd</sup> millennium BCE. Being the 6<sup>th</sup> largest of more than 1,000 Harappan sites discovered so far, and occupied for over 1,500 years, Dholavira not only witnesses the entire trajectory of the rise and fall of this early civilization of humankind, but also demonstrates its multifaceted achievements in terms of urban planning, construction techniques, water management, social governance and development, art, manufacturing, trading, and belief system. With extremely rich artefacts, the well preserved urban settlement of Dholavira depicts a vivid picture of a regional centre with its distinct characteristics, that also contributes significantly to the existing knowledge of Harappan Civilization as a whole.

The property comprises two parts: a walled city and a cemetery to the west of the city. The walled city consists of a fortified Castle with attached fortified Bailey and Ceremonial Ground, and a fortified Middle Town and a Lower Town. A series of reservoirs are found to the east and south of the Citadel. The great majority of the burials in the Cemetery are memorial in nature.

The configuration of the city of Dholavira, during its heyday, is an outstanding example of planned city with planned and segregated urban residential areas based on possibly differential occupational activities, and a stratified society. Technological advancements in water harnessing systems, water drainage systems as well architecturally and technologically developed features are reflected in the design, execution, and effective harnessing of local materials. Unlike other Harappan antecedent towns normally located near to rivers and perennial sources of water, the location of Dholavira in the island of Khadir was strategic to harness different mineral and raw material sources (copper, shell, agate-carnelian, steatite, lead, banded limestone, among others) and to facilitate internal as well as external trade to the Magan (modern Oman peninsula) and Mesopotamian regions.

**Criterion (iii):** Dholavira is an exceptional example of a proto-historic Bronze Age urban settlement pertaining to the Harappan Civilization (early, mature and late Harappan phases) and bears evidence of a multi-cultural and stratified society during the 3<sup>rd</sup> and 2<sup>nd</sup> millennia BCE. The earliest evidence can be traced back to 3000 BCE during the early Harappan phase of the Harappan Civilization. This city flourished for nearly 1,500 years, representing a long continuous habitation. The excavated remains clearly indicate the origin of the settlement, its growth, zenith and the subsequent decline in the form of continuous changes in the configuration of the city, architectural elements and various other attributes.

**Criterion (iv):** Dholavira is an outstanding example of Harappan urban planning, with its preconceived city planning, multi-layered fortifications, sophisticated water reservoirs and drainage system, and the extensive use of stone as a building material. These characteristics reflect the unique position Dholavira held in the entire gamut of Harappan Civilization.

#### Integrity

The ancient Harappan city of Dholavira was discovered in 1968 and excavated for 13 field seasons between 1989 and 2005. The unearthed excavations were simultaneously preserved and conserved, and display all physical attributes contributing to the Outstanding Universal Value of the property, that is to say the proto-historic systems of urban planning, water management systems, architectural elements and design, traditional knowledge of art and technology preserved *in situ*. All the attributes that convey the Outstanding Universal Value of the property are located in the property area. Physical evidence of the entire 1,500 years of inhabitation are spanning from pre-Harappan to post-Harappan stages. The excavated remains at Dholavira, to a large extent, illustrate attributes associated with industrial activities (e.g. bead manufacturing) and are indicative of the sophisticated life and exploitation of natural resources for nearly 1,500 years, trade, interregional relations and exchanges, the physical manifestations of these are largely found *in situ*. Conservation measures and consolidation of few areas have been carried out to prevent deterioration and have also been stabilized for ensuring preservation of its physical attributes. Guidelines for development and conservation need should be developed in the extended buffer zone.

#### Authenticity

The archaeological remains of the city of Dholavira include fortifications, gateways, water reservoirs, ceremonial ground, residential units, workshop areas, and cemetery complex, all clearly representing the Harappan culture and its various manifestations. The urban planning is evident from the *in situ* remains of the city that demonstrate systematic planning. The authenticity of the archaeological site is preserved through minimum interventions and scientific conservation principles and methods and in maintaining the exposed structures in

their original configurations and *in situ* conditions and no additions or alterations have been made to the structural remains.

The excavated remains bear testimony to the style of construction, contextual evidence for architectural elements, and layout of a bead manufacturing workshop, that have been retained *in situ* to preserve their authenticity. The evidence of the configuration of the city, which has been well documented and preserved during excavation works, also bears testimony of the extensive planning, understanding of ratios and proportions and principles, alignment of the entire city in relation to cardinal directions, water harvesting, storm water drains, craftsmanship. These features are preserved extensively due to their construction in stone masonry with mud brick cores, and architectural features are in a good state of conservation.

#### Management and protection requirements

The archaeological site of Dholavira is protected and managed by the Archaeological Survey of India, an attached office and organization under the Ministry of Culture, Government of India. The property is protected by national level laws that is to say the Ancient Monument and Archaeological Sites and Remains Act 1958 (AMASR), amended therein in 2010; Ancient Monument and Archaeological Sites and Remains Rules of 1959; Ancient Monument and Archaeological Sites and Remains Rules of 2011 and The Antiquities and Art Treasures Act 1972 and Rules 1973. Decisions pertaining to its conservation, maintenance and management are governed by the National Conservation Policy for Monuments, Archaeological Sites and Remains 2014. Being designated as an "ancient monument" of national importance, the ancient site of Dholavira is protected by a Prohibited Area measuring 100 meters in all directions from the limits of the protected monument, and further beyond it, a Regulated Area of 200 meters in all directions, from the limits of the Prohibited Area. All activities in the areas adjacent to the ancient site of Dholavira remain subject to prohibition and regulation in the respect prohibited and regulated areas as per provisions of the Ancient Monuments and Archaeological Sites and Remains Rules 2011. The buffer zone covers the entire west strip of the Khadir Island, which ensures the protection of the wider setting of the property. The buffer zone, of which parts cover three Prohibited and Regulated Areas, overlaps with Kachchh (Kutch) Desert Wildlife Sanctuary which is protected by Forest Act (Wildlife Protection Act 1972). The Government of India is in the process of listing the ancient quarry sites in the buffer zone as of national importance.

The property area and buffer zone are managed by the Regional Apex Committee and Local Level Committee, with major stakeholders as the member. These participatory mechanism ensures the dialogue among different interest groups. The Site Management Plan has

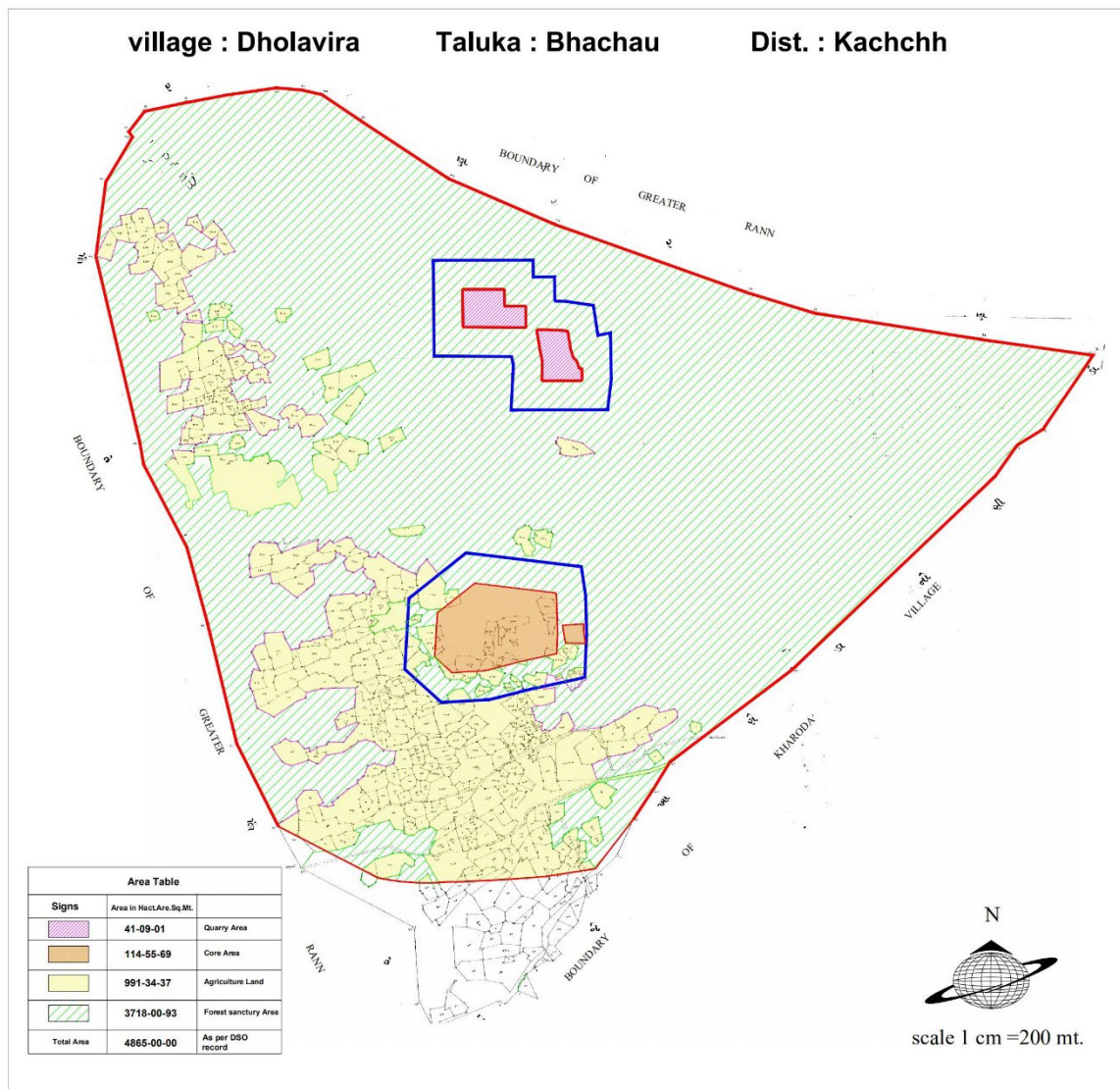
been approved and implemented by the Archaeological Survey of India.

#### **Additional recommendations**

ICOMOS further recommends that the State Party give consideration to the following:

- a) Submitting a set of maps that follow the standard specified in Paragraph 132 and Annex 5 of the *Operational Guidelines for the Implementation of the World Heritage Convention* showing the expanded buffer zone. These maps should clarify that the 10-acre plot of land allocated by the State Government of Gujarat to the Archaeological Survey of India for constructing the museum and tourism amenities is not a part of the World Heritage property,
- b) Declaring the ancient quarry sites in the buffer zone as of national importance,
- c) Extending the Regulated Area, or granting a new legal provision, to the extended buffer zone for the protection of the archaeological remains and settings in this area,
- d) Developing guidelines for development and conservation needs in the extended buffer zone,
- e) Developing a long-term research strategy for the property and its buffer zone in order to better understand the values of the known archaeological sites in the extended buffer zone and to identify further areas of archaeological potential,
- f) Incorporating Heritage Impact Assessment mechanism into the decision making process of the management system,
- g) Installing an instrumental monitoring system for a more robust monitoring,
- h) Undertaking capacity building for site staff on conservation techniques and monitoring skills,
- i) Establishing carrying capacity for the entire site, as well as for sensitive areas of the site,
- j) Developing visitor number control policies and measures based on the established carrying capacity for anticipated increased visitation,
- k) Undertaking capacity buildings for local residents so that they can have the necessary skills to contribute to the conservation of the site, and to benefit more from the site development;





Map showing the boundaries of the nominated property and its revised buffer zone  
(February 2021)



## **IV Cultural properties**

### **A Arab States**

Deferred nomination

### **B Asia – Pacific**

New nomination

### **C Europe – North America**

New nominations

Creation/modification of buffer zones

### **D Latin America and the Caribbean**

New nomination

Extension

Creation/modification of buffer zones



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## Grobiņa archaeological ensemble (Latvia) No 1637

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### Official name as proposed by the State Party

Grobiņa archaeological ensemble

### Location

Grobiņa Municipality  
Latvia

### Brief description

Grobiņa archaeological ensemble is seen to represent one of the early overseas migrations of the settler communities coming across the Baltic Sea from present-day Scandinavia to the east Baltic region, where they settled in the 7<sup>th</sup> century alongside local Curonian people and peacefully coexisted with them for 200 years.

Consisting of the underground remains of a settlement equipped with a defence system including a hillfort, and surrounded by four burial grounds bearing evidence of burial practices and traditions of both local and foreign origin, Grobiņa developed between the 7<sup>th</sup> and 9<sup>th</sup> centuries into a permanent settlement of agrarian character. Archaeological remains found in Grobiņa as well as more than 2000 artefacts acquired through archaeological excavations bear evidence of interaction and cross-cultural exchange between settlers and Curonians.

Grobiņa is considered to be the Scandinavians' first known overseas expansion experience, which determined processes and developments that took place in the later Viking Age over a vast area.

### Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a serial nomination of five *sites*.

## 1 Basic data

### Included in the Tentative List

22 May 2017

### Background

This is a new nomination.

It was previously a part of a transnational serial nomination of "Viking Age Sites in Northern Europe" which was deferred by the World Heritage Committee (Decision 39 COM 8B.22).

The World Heritage Committee,

1. Having examined Documents WHC-15/39.COM/8B and WHC-15/39.COM/INF.8B1,
2. Defers the examination of the nomination of the Viking Age Sites in Northern Europe, Denmark, Germany, Iceland, Latvia and Norway, to the World Heritage List in order to allow the States Parties to:
  - a) Explore further the full scope, scale and nature of Viking Age sea and river migration and trade routes, and the settlements that these routes engendered through:
    - i) Definition of the main parameters of time, space and cultural terms related to the migrations;
    - ii) Mapping of the major migration and trade routes and of the surviving evidence for Viking trade settlements along these routes;
    - iii) Selection of the routes where significant remains survive which illuminate migration and trade and the key facets of influence and cultural exchange.
  - b) Define a nomination strategy, that might include one or more series, which could allow key aspects of the Viking Age migrations to be reflected on the World Heritage List, and allow future nominations to be accommodated;
  - c) On the basis of this further work, submit a new serial nomination.
3. Considers that any revised nomination would need to be considered by an expert mission to the sites;
4. Recommends that the States Parties consider inviting ICOMOS to offer advice and guidance in the framework of the Upstream Process.

### Consultations and Technical Evaluation Mission

Desk reviews have been provided by ICOMOS International Scientific Committees, members and independent experts.

An ICOMOS technical evaluation mission visited the property from 14 to 18 December 2020.

### Additional information received by ICOMOS

A letter was sent to the State Party on 24 September 2020 requesting further information about the proposed justification for inscription, the boundaries and buffer zones, management and development projects.

An Interim Report was provided to the State Party in January 2021 summarising the issues identified by the ICOMOS World Heritage Panel.

Additional information was received from the State Party on 5 November 2020 and further clarifications on 26 February 2021 and have been incorporated into the relevant sections of this evaluation report.

### Date of ICOMOS approval of this report

18 March 2021

## 2 Description of the property

Note: The nomination dossier and additional information contain detailed descriptions of this property, its history and its state of conservation. Due to limitations on the length of evaluation reports, this report only provides a short summary of the most relevant aspects.

### Description and history

Grobiņa archaeological ensemble, located in the town of Grobiņa and its surroundings in the south-western part of Latvia, consists of archaeological remains of a settlement, which developed on the banks of the river Ālande, with an adjacent hillfort and four burial grounds, situated at a short distance to the north, south and east, with evidence of burial practices and traditions that are seen to testify to the cross-cultural exchange in the 7<sup>th</sup>-9<sup>th</sup> century between local Curonian people and the settler communities coming across the Baltic Sea from present-day Scandinavia (Gotland and Lake Malar area in inland Sweden).

The nomination dossier recognises cultural diversity of settler communities that arrived in Grobiņa from across the Baltic Sea. However, these people are all referred to as 'Scandinavians', a term which is a much later construct. In the 7<sup>th</sup> century, multiple chiefdoms existed in what is currently known as Scandinavia.

The nominated property comprises five components.

The first component stretches along the right (north) bank of the Ālande river and consists of Grobiņa hillfort (*Skābarža kalns*) and the remains of a part of the settlement.

The hillfort, erected on a hill with artificially steepened slopes, included a ditch and a flat-topped rampart. Only 1% of the total area of the hillfort has been excavated. The hillfort was populated already in the 3<sup>rd</sup>-4<sup>th</sup> century and bears evidence of occupancy up until the 13<sup>th</sup> century, when the form of the ramparts was changed. It is unclear whether the hillfort was part of the settlement's fortification system at some point or was always separated from the settlement.

The layout of the settlement is still unknown as the entire identified cultural layer of the settlement, extending over 20 ha on both sides of the river, is yet to be dated. Only part of the settlement has been nominated and this section can be attributed to the period from the 2<sup>nd</sup>-4<sup>th</sup> century up to the 9<sup>th</sup>-10<sup>th</sup> century. Nothing survives above ground and the surface is currently covered by modern infrastructure.

The remaining four components are all burial grounds.

South of the hillfort lies Smukumi burial ground (component 4); the only component of the nominated property located on the south bank of the Ālande river. It includes both cremation and inhumation flat graves that can be attributed to settler and local communities, respectively. Cremation burials date to the 7<sup>th</sup>-9<sup>th</sup> century, while the date of inhumation graves is not known.

Priediens burial ground (component 2) is located east of the settlement. A site with evidence of both local and settler burial traditions, it has originally comprised an estimated 2000 burial mounds, and flat graves covering an area of 2 ha located in the northeast corner of the component. In the studied mounds and graves, both cremation and inhumation burials have been identified. The mounds date to the 7<sup>th</sup>-9<sup>th</sup> century, while burials in flat graves to the 3<sup>rd</sup>-7/8<sup>th</sup> century and 10<sup>th</sup>-13<sup>th</sup> century. Among the grave goods, an engraved stone stele typical for the 6<sup>th</sup>-7<sup>th</sup> century Gotland, but very rare outside the island, is of note.

Located east of Priediens, Atkalni burial ground (component 3) has evidence of Curonian flat graves that can be dated to the period between the 3<sup>rd</sup> and the 13<sup>th</sup> century. There is no indication of burials other than of the local population.

The northernmost component of the nominated property, Porāni (Pūrāni) burial ground (component 5), is situated at a distance from the present-day town of Grobiņa. Nearly 50 mounds have been identified at Porāni, with both cremation and inhumation burials. They are believed to have belonged to the settler communities that arrived from overseas. There are no indications of graves of the local population.

Among a variety of artefacts unearthed from the mounds and graves, some bear evidence of cross-cultural influences in terms of the finds' form and decoration. The artefacts discovered in Grobiņa archaeological ensemble have been removed from the sites and are stored currently in Liepāja Museum and National History Museum in Latvia, as well as in the Institute of Archaeology in St. Petersburg in Russian Federation.

ICOMOS notes that some 10-15 km further away from Grobiņa archaeological ensemble, two other burial sites – Tāšu Jāči and Durbes Sauslauki – with settler burial mounds and flat graves dating to the 7<sup>th</sup>-9<sup>th</sup> century have been discovered. In the letter sent in February 2021, the State Party clarified that they have not been included as components of the nominated property, as they are situated at a distance and not within the immediate surrounding territory of Grobiņa.

It is also to be noted that the above ground remains of Grobiņa archaeological ensemble have been affected and in some parts destroyed by military activities during two world wars, and the impact of modern development and economic activity. Both of these impacts have precluded the whole of the settlement and the whole of cemetery areas from being nominated (see Boundaries)

The history of the spatial development of the nominated property remains unclear at this stage of research, as the cultural layer of the settlement is still largely unexplored. There is therefore paucity of archaeological evidence that would allow for precise pronouncements with regard to the settlement's layout, its function, conclusive dating, as well as its social fabric and the ethnocultural background of its inhabitants. Since the ethnic identity of the residents

of Grobiņa's settlement and hillfort in the period from the 7<sup>th</sup> to the 9<sup>th</sup> centuries is yet to be confirmed, it is not certain whether the two communities lived in an effective way together. Only archaeological evidence from two nominated burial grounds testify directly to cultural interaction between Curonians and settlers. In additional information sent in November 2020, the State Party clarified that quite often, archaeological evidence from settlements is unable to provide the answer regarding the ethnocultural belonging of the inhabitants; it must be seen in a wider context of the archaeological sites in the vicinity. In the letter sent in February 2021, the State Party further explained that in the case of Grobiņa, the small distances between the components of the property, especially the proximity of Curonian and Scandinavian burial sites, show that the communities lived close to each other and kept contact.

Furthermore, the evidence of the function of Grobiņa is inconclusive. In the absence of indications for the settlement participating in the long-distance trade in the pre-Viking Age, it is suggested in the nomination dossier that Grobiņa in the 7<sup>th</sup>-9<sup>th</sup> century had an agrarian character. In the letter sent in February 2021, the State Party further emphasised that the location of the settlement, away from major waterways, was not conducive for Grobiņa to develop into an international trade centre.

From the 1<sup>st</sup> millennium AD, around the 2<sup>nd</sup>-4<sup>th</sup> century local groups that can be identified with Curonian culture started settling on the banks of the river Ālande. In the 7<sup>th</sup> century, the area, though not densely populated, enjoyed already presence of a steady, permanent population. Archaeological sources dated to the 7<sup>th</sup>-9<sup>th</sup> century (the period referred to as 'pre-Viking Age' in the nomination dossier) provide evidence of a culturally-mixed population – local Curonian people and settler communities that traversed the Baltic Sea from present-day Scandinavia and reached the interior using Ālande – residing in the territory. In this period, the river played an important role, serving as the main transportation route that connected inland regions with the Baltic Sea.

After 200 years of evidence of coexistence, the archaeological material from the post-9<sup>th</sup> century Grobiņa no longer shows signs of settler communities' presence. During the Viking Age (which in the nomination dossier refers to the period from the 8<sup>th</sup>/9<sup>th</sup> to the 11<sup>th</sup> century), Grobiņa remained a Curonian centre, with material evidence coming from the settlement and the burial grounds alike. The 13<sup>th</sup> century saw the arrival of Roman Catholic Christianity to the area. At that time, a stone castle, erected near the hillfort, became the centre of what would in the 17<sup>th</sup> century become a town of Grobiņa, functioning until present days. Still in the 17<sup>th</sup> century, a millpond was constructed on the river, and in modern times, a small cape jutting out into the river from the ruins of the 13<sup>th</sup>-century castle towards the hillfort was artificially added.

## Boundaries

The area of the five components totals 25,35 ha, with three buffer zones totalling 97,79 ha.

The hillfort is situated on a small peninsula at the southeast limit of the millpond on the Ālande river. It borders the settlement on the east. The boundary of the component follows the shape of the peninsula and at the height of the settlement is delimited in the north by Saules Street and in the south by the river. At the eastern end, the delimitation follows the border of the archaeologically proven cultural layer. Smukumi burial ground is a square area around the present-day Smukumi farm. Its western boundary runs along Barta street. The rest of the boundary is not distinguishable on the ground. The boundary of Priediens burial ground follows Zviedu, Saules, Zirgu and Priedulāju streets. The riverbed constitutes the southern boundary of this component. In the southwest and northeast part of the site, the boundary cuts through land plots. Atkalni burial ground is located on a slight elevation in the landscape above the river, east of Priediens. The boundary does not follow any permanent features clearly visible in the landscape. In the south and southwest, it follows the land plots, but otherwise it cuts through the terrain. The east and west boundaries of Porāni burial ground follow Skuju street and a small local access road. The rest of the boundary does not follow any visible features.

In additional information received by ICOMOS in November 2020, the State Party explained that the boundaries of the components of the nominated property have been established based on the outstanding value of the preserved archaeological remains, i.e. their heritage, scientific, educative, and aesthetic values, use, as well as the level of conservation and likelihood of discovering cultural values in the still unexplored cultural layers. The intended purpose of the archaeological remains – in terms of scientific research, education and tourism development – was also taken into consideration.

There are three buffer zones protecting the nominated property. Grobiņa hillfort with the settlement and Smukumi burial ground share a buffer zone. Similarly, Priediens and Atkalni burial grounds are situated within one buffer zone. The third buffer zone is created for Porāni burial ground.

In additional information received in November 2020, the State Party explained that, in defining the buffer zones, it considered: the necessity to preserve the cultural landscape of a monument and the structure of historical layout; visual perceptibility of a monument from the main vistas and the view towards the cultural landscape from the nominated sites; likelihood of discovering archaeological evidence in the future; access to the nominated property; as well as spatial development priorities in line with the development programme and spatial plan of the local municipality.

The buffer zones provide extra protection to the nominated property through strict regulations for the land use within them. Specific measures for landscape preservation also apply in selected sections of the buffer zones.

ICOMOS considers that the rationale and justification of the boundaries of both the component parts and the different buffer zones remains unclear. It notes that the State Party only included within the boundaries of the nominated property those portions where the archaeological remains have survived, while excluding some already excavated areas where losses have occurred. Accordingly, a small excavated section north of the proposed boundary of Priediens burial ground has been excluded from the nominated property. However, originally the burial ground of Priediens probably also stretched further southeast than the component of the nominated property and may have been larger in the southwest corner of the proposed site, as well.

ICOMOS also notes that the full extent of the large Smukumi flat graves burial ground has not been scientifically established. The main share of the identified burial ground, situated to the west of Barta street, has been excluded from the nominated property, as it had been excavated and largely destroyed. Industrial buildings currently cover the area.

The whole identified extent of the settlement has also not been included in the nominated property or its buffer zones. An area located between today's Barta and Nica streets has been left outside both the core zone and the buffer zones. It includes the cultural layer of the settlement dated to the latter part of the 7<sup>th</sup> century, which was excavated in the 1950s.

#### **State of conservation**

The earliest research and archaeological excavations at Grobiņa were conducted in the mid-19<sup>th</sup> century. There are no records of these earliest studies. More systematic research has been undertaken by different teams of multiple nationalities since late 1920s, particularly in the areas of Priediens, Smukumi and Porāni burial grounds, as well as on the site of the hillfort. First archaeological studies at Atkalni burial ground took place only in the 1980s. Since the 1950s, the territory of the settlement has been under archaeological investigation. First, narrow trenches have been executed. More regular studies using non-destructive geophysical methods have been taking place on the settlement since 2010. In 2016, archaeological works undertaken on the hillfort included geological drilling on the rampart. With some breaks, research and archaeological excavations are being conducted in Grobiņa up until present. In the letter sent in February 2021, the State Party confirmed that further research planned for the years 2021-2025 will include the area of the settlement.

Based on the information provided by the State Party and the observations of the technical evaluation mission, ICOMOS considers that the state of conservation of the surviving below ground elements of the nominated

property is good. However, the above ground remains have been affected and in some parts destroyed by military activities during two world wars, and modern development and economic activity. Natural erosion and use of land for agriculture have further contributed to some damage, especially in the area of burial grounds. Visually the core area of the nominated property – the settlement with the hillfort – has seen some changes. The hill on which the hillfort was erected is presently covered with vegetation. The hillfort was used since the Middle Ages for economic activity and defence needs of the nearby 13<sup>th</sup>-century stone castle. As a result, the shape of the rampart has been changed. It is now wider and lower than it was originally. No constructions, which might have existed on the rampart, have been preserved. As only 1% of the total area of the hillfort has been excavated, the area has good scientific potential. No above ground evidence of the settlement has been preserved.

With regard to the burial grounds, they have all been partly damaged either due to gravel extraction (Smukumi), as a result of military activities (Priediens and Porāni), or due to more recent economic activity and developments, such as: industrial buildings built over the western section of Smukumi burial ground (excluded from the nominated property); farm existing in the nominated section of this burial ground; horse grazing at Priediens burial ground; ongoing cultivation of land at Atkalni burial ground.

The burial grounds have been archaeologically investigated only to a small degree. At Priediens, about 5% of burial mounds have been excavated and a small portion of flat graves. Hundreds of burial mounds are still visible on the ground. Several mounds have been reconstructed using information on their shape and structure obtained from excavations. At Atkalni, due to the nature of flat graves, there is no above ground evidence of the burials. Only about 10% of the area has been investigated archaeologically. At Porāni, only a small portion of the burial ground has been excavated. Despite some mounds being levelled, the deposits underground have not necessarily been affected. Today the whole area is forested. The nominated area of Smukumi, a small fraction of the original burial ground, is currently a farm. There is no above ground evidence of the graves. A large section of this component, west of its current western boundary, has been excluded from the nominated property due to its destruction.

#### **Factors affecting the property**

Based on the information provided by the State Party and the observations of the technical evaluation mission, ICOMOS considers that development pressures and the ongoing economic activity have little to no impact on the nominated property itself, but present a threat in terms of potential visual impacts on the integrity of the nominated property. In this regard, ICOMOS notes the potential future urban development along Skuju street – boundary of the Porāni burial ground – which may eventually lead to negative changes in landscape of the nominated property. Among other minor development pressures with potential to affect the property, sources of risk include ongoing



agricultural activities (Atkalni burial ground), which can impact buried features, and the use of the land for horse grazing (Priediens burial ground), which in the long term may lead to soil surface degradation. Measures have been taken to limit the expansion of cultivable land. Expansion of the area used for pasture is, however, permissible.

Among the environmental pressures, climate change is of note. Erosion and soil surface degradation can negatively impact on the nominated property. Trees uprooted as a result of strong winds may disturb underground archaeological evidence. The risk of floods exists particularly for the components situated at the river, i.e. the hillfort with the settlement and Priediens burial ground.

Illegal digs by treasure hunters presently do not seem to represent a major threat to the property, despite the fact that the sites constituting the nominated series are not fenced and access to them is not controlled. As archaeological sites of Grobiņa are located along busy roads or in urban areas, some level of protection is automatically provided. Unrestrained access to the monuments is, however, linked to the risk of anthropic pressures resulting from the increasing tourism in Grobiņa. The numbers of visitors to the sites have grown exponentially in the last decade. The potential influx of tourists and the damaging impact of the increase in numbers of visitors to the property may need to be considered.

### 3 Proposed justification for inscription

#### Proposed justification

The nominated property is considered by the State Party to be of Outstanding Universal Value as a cultural property for the following reasons:

- Between the 7<sup>th</sup> and 9<sup>th</sup> centuries, Grobiņa developed into what is considered the earliest and one of the most impressive permanent Scandinavian overseas settlements of agrarian character.
- It marks the first experience of Scandinavian overseas expansion and is a unique and well-preserved evidence of the outset of the Viking Age overseas activity.
- Grobiņa bears a unique and exceptional testimony to 200 years of peaceful coexistence and cross-cultural exchange between two ethnically different communities – local Curonians and settlers coming from the present-day Scandinavia.
- Grobiņa is where settlers acquired invaluable experience for further expansion overseas, which determined later processes and developments that took place in the Viking Age over a vast area.

#### Comparative analysis

The comparative analysis is presented along two criteria: the time period and the cultural horizon within which the nominated property is situated. Accordingly, comparisons are drawn among cultural landscapes and archaeological sites from the 7<sup>th</sup> to the 9<sup>th</sup> centuries, which testify to the so-called 'Scandinavian expansion'. The focus of the comparative analysis is on the development of Scandinavian diaspora in the pre-Viking Age as a result of overseas colonisation, with sites testifying to cross-cultural interaction between local populations and settler communities. An additional factor considered within the broad thematic and chronological frame is the agrarian and permanent character of the settlements.

Within this framework, the comparative analysis is presented in three parts: comparisons with properties inscribed on the World Heritage List, with sites on the Tentative Lists, and with key sites outside the Lists, within the vast area where Scandinavian presence can be associated with the Viking expansion.

Taking the chronological and thematic criteria together as points of reference, the State Party concluded that there are presently no sites on the World Heritage List that would represent Scandinavian overseas expansion as early as the 7<sup>th</sup> century, attested for Grobiņa. From the properties on the World Heritage List, only the Archaeological Border Complex of Hedeby and the Danevirke bears evidence of vestiges from the pre-Viking Age. Notwithstanding, Hedeby was a trading town rather than an agrarian settlement as Grobiņa. All the sites on the Tentative Lists used for comparison fall outside the established chronological timeframe and are nominated for different values. The key Eastern Way sites considered are within the same chronological timeframe as Grobiņa, bearing evidence to Scandinavian presence as early as around 8<sup>th</sup>/9<sup>th</sup> century, and can be compared in terms of historical and cultural values, but only Salme has evidence of Scandinavian burials dated as early as to the 7<sup>th</sup> century. Salme, however, was a stopover place, rather than a permanent settlement.

The State Party included in the comparative analysis also a list of key sites in northern Europe from the second half of the 1<sup>st</sup> millennium, mostly trading centres and urban emporia, which started developing in the 7<sup>th</sup> century. There is a number of such places on the south coast of the North Sea, for e.g. Wijnaldum, Dongjum, Dorestad or Bremen-Mahndorf, all in Germany, or Dankirke, Lejre and Ribe, in Denmark. Grobiņa is seen to stand apart from these sites by its agrarian character. The State Party further included a list of well-known Viking urban settlements on the Scandinavian peninsula, which fall within the chronological horizon of Grobiņa, or even pre-date the settlement, such as Kaupang, Norway (a trading centre from the early 8<sup>th</sup> century), Uppåkra, Sweden (large Scandinavian settlement dated to the 5<sup>th</sup> century), Gamla Uppsala, Sweden (a 5<sup>th</sup>-century religious centre), or Birka and Hovgården, Sweden (one of the most complete and undisturbed examples of a Viking trading settlement of the 8<sup>th</sup> to 10<sup>th</sup> centuries), inscribed on the World Heritage List

in 1993 (criteria (iii), (iv)). Notwithstanding a different character of some of these sites, being located within the Vikings' core area, they are not seen to match the key thematic parameter of the comparative analysis – factor: overseas settlement.

ICOMOS notes that the proposed exceptionality of the nominated property is primarily justified through the comparative analysis by the early dating of the nominated series, while the features and values identified for the nominated property have not been considered and compared with the relevant features of other selected sites to demonstrate the outstanding character of Grobiņa.

Since the 'Scandinavian expansion' is formally considered to have begun around the 8<sup>th</sup>/9<sup>th</sup> century, the 7<sup>th</sup> century Grobiņa pre-dates this organised mass migration and colonisation by a century. However, the reason for settler communities moving across the Baltic Sea in the 7<sup>th</sup> century is not yet known. Throughout the comparative analysis, the emphasis is put on the difference between the pre-Viking Age and the Viking Age, but ways in which this difference is visible in the material culture are not discussed. The State Party seemingly connects the two periods by suggesting that Grobiņa functioned as a bridge, a model for future activities and developments associated with the Viking-Age expansionism. However, the impact of Grobiņa on later processes and developments is not reflected in the comparative analysis.

In additional information sent in November 2020, and reiterated in February 2021, the State Party explains that the nominated components were territorially connected, complemented each other, and the material evidence testified to the diverse nature of the interaction between the two groups; all of which can be considered a model applied later in other locations reached by Scandinavian settlers during the Viking Age. The State Party also elaborated that during the pre-Viking Age, Grobiņa was mainly an agricultural settlement that interacted with various contact networks. At the outset of the Viking Age, long-distance trade started to flourish, and at that time the settlers in Grobiņa also attempted to join the wider international arena, which is supported by individual finds of the 9<sup>th</sup>-century dirham coins found at Priediens burial ground, as well as several dirham deposits in the surroundings of Grobiņa. Due to its location, Grobiņa was unfit to develop into a major long-distance trade centre. However, it was involved in the communication and exchange of information and knowledge. Thus, Grobiņa was known by communities in the wider Scandinavian sphere of influence. In the letter sent in February 2021, the State Party further reiterated that Grobiņa preceded urban networks and multicultural centres across the Baltic and North Seas, and along the route towards the Black Sea.

ICOMOS considers that the comparative analysis does not provide details with regard to specific ideas or novel approaches that later settler communities took from Grobiņa and successfully transferred to other regions in

the later period. And as the reasons for peoples' migration to the east coast of the Baltic Sea in the pre-Viking Age are unclear, a direct link between 7<sup>th</sup> century Grobiņa and the Viking-Age expansionism is rather premature interpretation at this stage.

ICOMOS also considers that the State Party did not fully explore earlier (5<sup>th</sup>-6<sup>th</sup> century) evidence of contacts between Scandinavians and local communities in the southern and eastern Baltic Sea region, which could have included permanent settlements. Grobiņa seems to have been one of many examples of a widespread phenomenon of Scandinavian settlers migrating and founding colonies in the lands south and east of the Baltic Sea coast before the Viking Age but no evidence has been provided to justify it being called the earliest.

ICOMOS also considers that the comparative analysis currently does not justify the manner in which the components of the nominated property were selected. Grobiņa settlement, which is the key factor for comparative analysis, is the least known element of the nominated property. Its structure is not yet known, while its function and precise dating not confirmed. It is preserved only in the form of archaeological deposit. Moreover, of the five components, only two burial grounds demonstrate cross-cultural exchange between local population and settler communities. Atkalni and Porāni do not directly demonstrate cultural interaction. The State Party explained in additional information sent in November 2020 that the components of the serial nomination, situated all in close proximity, complemented each other. In the letter sent in February 2021, the State Party further emphasised the importance of small distances between the components of the nominated series to argue that this proximity facilitated contact between Curonians and settlers, who were ultimately buried side-by-side, as the evidence from Smukumi and Porāni burial grounds show. The State Party indicated that the nominated series should be seen as one complex and interpreted in light of evidence from all components considered together, not separately. In the same letter, the State Party also explained that the proximity of components and their perceived complementarity led to the exclusion of the burial grounds of Tāšu Jāči and Durbes Sauslauki, situated at a distance of 10-15 km from Grobiņa. However, the relation of these two burial grounds to Grobiņa archaeological ensemble is not known; whether their existence in the vicinity of Grobiņa may add to the possible interpretation of the history of the area cannot therefore be ruled out at this stage.

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ICOMOS considers that the comparative analysis does not justify consideration of this property for the World Heritage List.

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### Criteria under which inscription is proposed

The property is nominated on the basis of cultural criterion (iii).

Criterion (iii): *bear a unique or at least exceptional testimony to a cultural tradition or to a civilisation which is living or which has disappeared;*

This criterion is justified by the State Party on the grounds that Grobiņa is the earliest and most impressive Scandinavian overseas settlement, which bears an outstanding testimony to the peaceful coexistence and interaction of the local Curonian population and the Scandinavian settler communities over 200 years in the pre-Viking Age. Dating to the 7<sup>th</sup> to 9<sup>th</sup> century, it is the earliest evidence of the Scandinavian overseas expansion before the official beginning of the Viking Age. The diverse and dynamic nature of the interaction between ethnically and culturally different peoples in Grobiņa represents the first invaluable overseas experience that Scandinavian settlers acquired outside their homelands, which they later used to colonise a vast area, and which determined the processes and developments characteristic of the Viking Age.

ICOMOS notes that the State Party interprets influx of settler communities to Grobiņa as a prelude to the Viking-Age expansionism and colonisation, which spread over a vast territory from 8<sup>th</sup>/9<sup>th</sup> century onwards. In additional information sent in November 2020, the State Party explained that the move of settler communities away from the area after 200 years should not be interpreted as unsuccessful colonisation, and Grobiņa could be seen as a model for later expansionism, since living alongside and even among different peoples in terms of their ethnicity and culture provided the settlers with general lived experience which they used during the Viking Age.

ICOMOS considers that the early dating of the property is of significance, although it has not been proved that Grobiņa was the earliest overseas settlement. The legacy of the 200 years of interaction between Curonians and settler communities in Grobiņa, and the impact it had on later Scandinavian expansion, including on the form and structure of later settlements along the Scandinavian migration routes or the routes themselves, in the Viking Age is uncertain. Features conveying this particular aspect of the property are not specified so as to provide evidence to support the justification of criterion (iii). The Viking-Age expansion was characterised by varied types of colonisation, which engendered different responses by local populations, depending on the lifestyle and forms of social organisation, cultures and linguistic traditions of the indigenous communities. The reasons for the Scandinavian migration to the east Baltic region in the pre-Viking Age is yet to be well understood, thus a direct link between pre-Viking Age Grobiņa and the Viking-Age expansionism has not been justified.

ICOMOS further considers that the archaeological nature of the nominated property supports the serial approach in principle, however, the rationale for selection of sites is not clear. The chronological horizon established by the State Party for the nominated property is the 7<sup>th</sup>-9<sup>th</sup> century. Yet, the State Party included among the components of the nominated property sites whose dating is inconclusive as they bear testimony to a long period of occupation extending over several centuries.

Among the components of the serial nomination, the State Party also included elements that do not directly demonstrate the cross-cultural interchange between the different groups of peoples. The most prominent is the settlement where so far no evidence has been forthcoming to demonstrate who lived there – whether settlers or local people or both. Both Atkalni and Porāni burial grounds only relate to single populations.

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ICOMOS does not consider that the criterion (iii) has been justified.

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### Integrity and authenticity

#### Integrity

Although the riverine setting of the settlement has been mostly preserved and the riverbed has remained largely unchanged since the pre-Viking Age (except for a millpond artificially created on the Ālande river in the 17<sup>th</sup> century, which resulted in the water levels in this part to rise), the landscape of pre-Viking Age Grobiņa has changed over the centuries, with most of the sites of the property presently nestled within contemporary urban infrastructure, which disturbs visual integrity of the nominated series.

Due to modern developments, the relationships between components have been often lost, which detracts from visual integrity of the whole.

Furthermore, integrity of individual component parts has been partly compromised both in the case of the settlement with the hillfort component and the burial grounds included in the nominated property. Lack of wholeness of the settlement as a key site of the nominated series is of note. The nominated part of the settlement constitutes only a portion of the original site that extended on both sides of the river. The adjacent hillfort with the defence system has been affected by later developments, in result of which the shape of the rampart changed over time. The four cemeteries are the best preserved components of the nominated property. However, even in their case the completeness of the sites is partly lacking, as shown by Smukumi burial ground where large part of the original flat grave cemetery has been built over by industrial buildings, which led to its exclusion from the nominated property.

The physical condition of the components varies. The value of the nominated property as a whole lies primarily in the cultural layers, which have not been much disturbed. The state of conservation of some of the above ground remains can be considered as vulnerable, with part of the evidence no longer visible or intelligible. Of the 20ha of the settlement's cultural layer detected, the section included in the nominated property, directly adjacent to the hillfort, is the part least affected by modern development, with dating to the relevant period confirmed. The archaeological deposits of the settlement appear to be intact but the above ground remains of the site are hardly preserved. The settlement history around the hillfort has so far not been scientifically investigated but depends on few dates. As the structure and function of the settlement is not known at this stage, and there is currently no evidence of cultural hybridity in the settlement, there is a great chance that the picture of Grobiņa will change, or at least become more nuanced, through future research projects.

What remains of the burial grounds has been generally included in their entirety in the nominated area but for small sections of Priediens burial ground and a large damaged portion of Smukumi. The original extent of Smukumi burial ground is not known. The boundaries of the component have seemingly been drawn up artificially around the farm, where it is known that the burial field existed. Smukumi is a vital component of the nominated property but its integrity is currently fragile. With no indication yet of the extent of Smukumi, the State Party has decided to establish a large buffer zone, covering a substantial area east of Barta Street to the north from Smukumi farm.

ICOMOS further notes that the State Party did not include in the nominated property settler burial grounds of Tāšu Jāči and Durbes Sauslauki. Their relation to Grobiņa archaeological ensemble is currently unclear. ICOMOS considers that more research on these sites may throw light on the historical interpretation of Grobiņa by providing a broader context for the nominated series, without which the integrity of the property may be compromised.

#### Authenticity

The authenticity of the nominated property is based on the evidence within the archaeological layers, as well as on the form and design of archaeological remains – i.e. the graves, the settlement and the hillfort.

The archaeological deposit is largely preserved intact. However, due to the varied historical events, urban development and more recent economic activities, the above ground elements at all sites constituting the nominated series have been partly damaged. Some burial mounds have been levelled (Porāni), large areas which originally had flat graves were built over (Smukumi). No above ground evidence of the settlement is preserved. The wooden elements of the hillfort are not preserved and the shape of the rampart has changed over time. The burial ground sites are currently covered with vegetation, with

some parts growing forests, and others turned into meadows used for pastures. Small sections are farm lands where cultivation is ongoing. All of these impact adversely on the ability of the series to convey its meaning.

ICOMOS considers that the conditions of authenticity of some component sites are fragile, and in other cases the conditions are not fully met.

At Smukumi burial ground, it is currently extremely fragile. The original extent of the site is not known, and the nominated portion is but a small fragment of the once large area covered with flat graves. The cultural layer of the settlement has not been investigated in large part and its dating is inconclusive. The nominated portion of the settlement is of small size in comparison to the 20ha cultural layer detected. The form and the design of the settlement are unknown at this stage and not much can be said about the function of the place. Not much is also known about the social fabric of pre-Viking Age Grobiņa based on the remains of the settlement. Currently, knowledge of Grobiņa in the 7<sup>th</sup>-9<sup>th</sup> century is based primarily on the information sourced from burial grounds, and especially the artefacts discovered during excavations.

The findings tell the story of interactions between the inhabitants of the place and offer a strong base for understanding the history of the property. However, they have been removed from the sites and are kept in museums away from Grobiņa.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity for the series as a whole, and for the individual component parts have not been met.

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#### **Evaluation of the proposed justification for inscription**

ICOMOS considers that within the proposed framework, the comparative analysis does not justify consideration of the nominated property for the World Heritage List.

ICOMOS considers that the cultural criterion (iii) has not been demonstrated and that the conditions of integrity and authenticity of the property have not been met. The current state of knowledge and research on Grobiņa archaeological ensemble does not allow it to justify the proposed Outstanding Universal Value.

#### **Features**

Features of the nominated property include the above ground elements of the archaeological vestiges constituting the series, i.e. the shape and the structure of the hillfort, the settlement, and the burial mounds found within the property; flat graves do not leave evidence on the ground. Features related to the archaeological deposits below the ground include the cultural layer of the hillfort and the settlement, the underground structures of the graves, as well as the related unexcavated artefacts contained within.

The riverine setting of Grobiņa contributes to the values of the nominated property. More than 2,000 varied artefacts acquired through archaeological excavations additionally support them.

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ICOMOS considers that no specific features have been identified by the State Party that could convey the pre-eminence of Grobiņa as an early Scandinavian settlement or the influence it had on later Viking-Age expansion.

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## **4 Conservation measures and monitoring**

### **Conservation measures**

Conservation measures are in place and they are programmed. They focus on basic maintenance and regular monitoring. Archaeological sites need attention in terms of preserving the natural environment. The day-to-day care for the features of the nominated property relies mainly on the private owners. Basic maintenance, including grass moving and removal of waste, is done when needed. The State Party noted that private ownership of the majority of sites constituting the nominated series prevents the Municipality from taking more decisive steps in directly investing in the development of the sites, and thus ensuring quality maintenance of the property. Moreover, there are insufficient financial resources for conservation and development of the nominated series at the moment.

### **Monitoring**

A group of volunteers from among public and private sector stakeholders, including private land owners and tourist industry representatives, monitors the general state of the nominated property monthly. More specific factors that are monitored by the Grobiņa Municipality Council and the National Heritage Board include building activity, erosion, extent of agriculture activity, obstruction of views and numbers of visitors. Monitoring frequencies are annual or once in three years, depending on the factor. Illegal treasure hunting digs are being recorded.

ICOMOS notes that it is not clear what baseline data was used as a point of reference for monitoring purposes. It is further not known how the monitoring and the indicators inform the conservation measures established to preserve the property's values, authenticity and integrity. Besides units of measurement, no limits to acceptable changes or threats are provided to inform actions.

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ICOMOS considers that the short-term conservation measures are appropriate to preserve the sites. Regular maintenance is in place, and the state of the nominated property is monitored. However, the baseline data which is used as a reference point for the monitoring activities should be clarified so that it can properly inform pro-active conservation measures in the long-term. Financial resources are insufficient at the moment to guarantee the maintenance of the nominated property in the long-term.

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## **5 Protection and management**

### **Documentation**

The documentation of the nominated property's components and inventories created since 1920s are kept in several institutions around Latvia. The National History Museum of Latvia in Riga holds the oldest records of the sites (reports, photographs and measurements) collected by the Board of Antiquities of Latvia in 1920s-1930s, as well as the most recent archaeological documentation produced as a result of excavations and geomagnetic surveys conducted in the current century. This baseline documentation can be helpful in assessing the changes to the state of the monuments through the years and, together with the documentation of the state of conservation of the nominated property kept in the Monument Documentation Centre at the National Heritage Board of Latvia in Riga, constitutes the primary source of information for conservation and management purposes. Further materials from the research undertaken on the sites in the 1950s are stored in the Institute of Latvian History of the University of Latvia in Riga. Some of the archaeological excavations have not been published.

The archives of the Monument Documentation Centre also include maps of the sites at different time periods, records of geodetic measurements and spatial planning documentation, as well as aerial photos.

Finds unearthed during excavations from 1920s until now are stored in the National History Museum of Latvia, and the Liepāja Museum. Some artefacts as well as the documentation from V. Petrenko's excavations in the 1980s are kept by the Institute of Archaeology in Saint Petersburg in Russia.

ICOMOS notes that stray surface finds collected by the land owners from the territories of the components of the nominated property are not being inventoried and remain in the possession of the finders.

### **Legal protection**

All components of the nominated property are considered monuments of national significance since 1998. They are protected under the Law on Protection of Cultural Monuments since 1992. Cabinet Regulation No 474 of 26 August 2003 'Regulations regarding the Registration, Protection, Utilisation and Restoration of Cultural Monuments, the Right of First Refusal of the State and the Granting of the Status of an Environment-Degrading Object' further applies. Specific requirements to protect the buffer zones are set out in the 1997 Law on Protection Zones.

In line with the laws and related regulations, the use of the territory within the property and the buffer zones must be carried out without endangering the structure and appearance of the monuments. Any activity, construction or transformation of the terrain, including archaeological research, can be done only with the permission from the National Heritage Board, provided that such works do not

physically threaten archaeological monuments, nor interfere with the visual perception of the visible remains. According to the Law on Protection of Cultural Monuments, private owners of the monuments of national significance and the buffer zones need to consent to any activity, including economic activity, that had been permitted by the National Heritage Board within the boundaries of their properties. Archaeological supervision may need to be required when carrying out digs and other approved activities within the buffer zones, depending on the area considered.

Several long-term spatial planning instruments and landscape development plans further regulate building activities in and around the territory of Grobiņa archaeological ensemble. Grobiņa Region Spatial Planning for 2014-2025 includes Regulation No 13 on "Land-use and Building Regulations and Graphic Section of the Grobiņa Municipality Spatial Plan for 2014-2025", which describes functional zoning of the town of Grobiņa and the associated conditions for land use. Grobiņa Municipality Landscape Plan 2014-2030 and Town of Grobiņa Landscape Development and Management Plan pay special attention to the preservation of the landscape around the nominated series. Currently binding Grobiņa archaeological ensemble Development and Management Plan 2019-2025 stipulates further restrictions and conditions of use of the property.

Grobiņa Municipality falls under the jurisdiction of the Kurzeme Planning Region. In additional information sent in November 2020, the State Party clarified that Kurzeme Planning Region, a public entity under the Ministry of Environmental Protection and Regional Development, carries out planning and coordination concerning the development of the Kurzeme Planning Region and ensures cooperation between region's local municipalities and other government institutions. However, it is not directly involved in the preservation or development of the nominated series.

#### **Management system**

Grobiņa Municipality Council is the local administrative body responsible for coordination of management of the property, including ensuring preservation of heritage and development of the nominated series. The Council oversees the work of the site manager. The manager further supervises a working group, composed of varied public and private sector stakeholders, including land owners and tourist industry representatives, tasked with the monitoring of the property. The working group functions on a voluntary basis. Financial resources for preservation and development of the nominated property are insufficient. At the moment minimal funding is secured annually from the Grobiņa Municipality budget for basic maintenance of the sites.

Two other bodies at the national level further ensure proper management and protection of the property. The National Heritage Board is responsible for drafting laws and regulations related to the preservation of Grobiņa heritage. It is also the authority granting permits for any

activity, work or research that can be carried out within the property and its buffer zones.

The Cooperation Council for Conservation and Development of Grobiņa Archaeological Heritage is tasked with promotion of preservation, protection and development of the archaeological heritage of Grobiņa. The Council is composed of the representatives from Grobiņa Municipality Council, the National Heritage Board, Liepāja City Council/Liepāja Museum, Latvian National Commission for UNESCO, Latvian Association of Local and Regional Governments, as well as the National History Museum of Latvia.

The Cooperation Council for Conservation and Development of the Archaeological Heritage of Grobiņa Municipality drafted Grobiņa archaeological ensemble Development and Management Plan 2019-2025, which was approved by the Grobiņa Municipality Council in 2019. The plan was prepared with Grobiņa archaeological ensemble becoming a World Heritage site in mind. Until recently, Development and Management Plan of Grobiņa archaeological ensemble for 2015-2020 was in place.

ICOMOS considers that the administrative hierarchy between the Municipality Council, the Cooperation Council and the National Heritage Board is not entirely clear. The representatives of the Municipality Council and the National Heritage Board sit at the Cooperation Council. However, while the Cooperation Council, which carries responsibilities at the national level, drafted the newest Development and Management Plan of Grobiņa archaeological ensemble, it still needed approval of the Municipality Council, which is a local government organ.

Despite a number of risks linked to environmental pressures, risk preparedness does not seem to get adequate attention in the management plan. The focus is on the monitoring of the situation rather than specific measures that can be actively undertaken or planned to mitigate the risks. Environmental Impact Assessment is conducted before major infrastructure projects. Heritage Impact Assessment has not been part of the process thus far.

#### **Visitor management**

The nominated serial property is accessible free of charge. There is no control over the number of visitors. Two tourism information centres help coordinate the visitors around Grobiņa. A 'Guided Tour of Grobiņa archaeological ensemble' is provided as a service. Printed tourist information in Latvian and English, including a tourist roadmap, is available at a number of points around the Municipality. Tours with professional guides are also available in both languages. Since 2012, an NGO Tourism Club OGA, a local youth initiative, runs an Active Tourism Centre in Grobiņa, providing interpretation of the nominated series under the theme 'Curonian Viking Settlement'.

The awareness of the history of the series is also being raised through a number of cultural events and archaeological festivals organised in the city. The Municipality is planning a range of scientific events, including international seminars and symposiums with historians and archaeologists to disseminate knowledge on the pre-Viking Age history of Grobiņa.

In recent years, new tourist infrastructure has been added, including information boards, fifteen rest areas and three installations where visitors can learn about the nominated series and its history. A recreational complex has been created at the bank of river Ālande, in the vicinity of the 13<sup>th</sup>-century castle, with a wooden pedestrian promenade providing good views on the hillfort. Walking paths have been constructed between the sites. In the additional information sent in November 2020 the State Party provided a list of projects that have commenced or are planned within the nominated property and its buffer zones, including renovations and new developments. Outside the buffer zone, the State Party plans to construct a Living History Centre, which would include exhibition space and an information centre. Some finds from the sites that are currently exhibited in the local museum in Liepāja could possibly be deposited and exhibited in it.

Tourism development in the Municipality is guided by the Grobiņa Municipality Tourism Development Plan 2019-2023. A concept for interpretation and promotion of the archaeological heritage of Grobiņa is in the works; to be completed by 2022.

ICOMOS notes the emphasis on presenting Vikings and Viking history re-enactments as part of promotion of the nominated series. ICOMOS considers that interpretive measures should balance the genuine qualities of Grobiņa's pre-Viking Age archaeological sites against a layer of modern constructs and events that refer to the following Viking Age, in order to primarily contribute positively to an understanding of the significance of the place, including the role of Curonians in the 7<sup>th</sup>-9<sup>th</sup> century history of Grobiņa.

#### **Community involvement**

The State Party has been actively raising awareness about the archaeological remains of the nominated series to help people appreciate the value of Grobiņa and understand the need to protect the sites.

Only a small part of the property (Grobiņa hillfort) is owned by Grobiņa Municipality. The rest of the land within the series and the buffer zones is privately owned. The mixed land ownership means that proper management of the different components as a whole may be complicated. The day-to-day care of the components of the nominated property depends on the private owners. They are supporting the nomination of Grobiņa archaeological ensemble and are well informed about their responsibilities and the limits of actions within the boundaries of the nominated property. In additional information sent in November 2020, the State Party elaborated that it plans to further improve cooperation

with land owners by jointly agreeing on means of communication, responsibilities and engagement in the development and management of the nominated series. Establishment of a dedicated society or an association of Grobiņa archaeological ensemble is also considered.

#### **Evaluation of the effectiveness of the protection and management of nominated property**

The system of protection of the nominated property has been implemented and works by ensuring adequate protection of all the components and buffer zones. The legislative and regulatory measures at national and local levels are appropriate to ensure the survival of the nominated component parts and protect them against immediate negative impacts. The present state of conservation of the component parts varies considerably but the ongoing monitoring, in which local population is actively involved, ensures proper maintenance of the sites. The current management arrangements ensure effective cooperation at all levels.

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ICOMOS considers that the protection and the management system for the nominated property are adequate. The property is well maintained and its state of conservation regularly monitored. For the monitoring indicators to inform the conservation measures, acceptable limits to changes and threats should be established. Adequate financial resources should be secured for appropriate long-term maintenance of the nominated property.

ICOMOS also considers that Heritage Impact Assessment should precede implementation of development projects which are planned within the nominated property and its buffer zones. The stray finds collected by the land owners should be inventoried and included in museum collections.

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## **6 Conclusion**

The nominated property brings evidence of one of the early overseas migrations of the settler communities from present-day Scandinavia to the east Baltic lands, where the newcomers settled in the 7<sup>th</sup> century alongside local Curonian people and peacefully interacted with them, burying their dead side-by-side. The cultures did not merge but evidence of cross-cultural exchange has been found, especially in the rich collection of grave goods unearthed in Grobiņa during archaeological excavations. The Scandinavian community disintegrated after two centuries. With its early dating, Grobiņa archaeological ensemble is presented as the place announcing Scandinavian expansion, which officially started around 8<sup>th</sup>/9<sup>th</sup> century, and a settlement that shaped processes and developments that were characteristic of the Viking Age. The 200-year experience of interaction with ethnically and culturally different people that the Scandinavians enjoyed in Grobiņa is seen as providing the foreign settler communities with knowledge and tools that later enabled them to colonise vast areas during the Viking Age.

ICOMOS considers that the current state of knowledge and research on Grobiņa archaeological ensemble and its context is not sufficiently well advanced to justify the proposed Outstanding Universal Value. The reasons for settlers' migration to the east coast of the Baltic Sea in the pre-Viking Age are unclear. Whether their communities occupied the same settlement in Grobiņa as the local population is yet to be confirmed. How to understand the settlement's function within the surrounding area, considering large numbers of graves of both population groups located in the vicinity, including burial grounds of Tāšu Jāči and Durbes Sauslauki, requires further investigation. More research, especially on the settlement and perhaps further burial grounds in addition to an analysis of a wider geohistorical and sociocultural context of the nominated series, might possibly throw more light on how Grobiņa was settled, developed and functioned in the 7<sup>th</sup> to the 9<sup>th</sup> century; how it related to other sites within the migration process as a whole; and on the influence it might have had on later Scandinavian overseas activity.

ICOMOS notes that the recommendation of the World Heritage Committee, following the deferral of the serial nomination for Viking sites, which suggested a study of the scope, scale and nature of Viking-Age migration and trade routes as well as the settlements that these routes engendered, have not been considered by the State Party. Such a study would have helped to better understand the wider context of Grobiņa, especially in terms of the spheres of influence and of cultural exchange networks existing in the period under consideration and later. Without a broader context to the migrations of people from today's Scandinavia into other regions in the 7<sup>th</sup>-9<sup>th</sup> century and before, a direct link between this phenomenon and the Viking-Age expansionism is at this stage not demonstrated.

ICOMOS considers that the comparative analysis in its present form does not justify inscription of Grobiņa archaeological ensemble on the World Heritage List. Focusing on the chronology and the theme of 'Scandinavian expansion', it does not delve deep enough into the migration routes and trading links that were being built up in the centuries when Grobiņa was flourishing to allow an understanding of how it might have engaged with that social and economic expansion or influenced its development. The comparative analysis does not present the possible ideas or solutions that the settlers might have learnt from local populations or developed at Grobiņa to transfer later to other regions. ICOMOS considers that the early dating of the site is significant but Grobiņa's lasting impact on the later settlements, or overseas migration of Scandinavian settlers in general, is uncertain at this stage. Exceptionality of Grobiņa beyond the chronology of the site as well as the outstanding character of this archaeological heritage beyond regional significance have not been demonstrated.

ICOMOS considers that the cultural criterion (iii) has not been justified. The nomination dossier allows to see the 200 years of Grobiņa's history of contacts with the Scandinavian communities as a continuous settlement

process in the eastern Baltic area more than an element of an expansion that covered a vast territory in the next centuries.

ICOMOS further considers that the serial approach is justified but the selection of sites is unclear. The State Party included among the components sites whose dating is inconclusive, as they bear testimony to a long period of occupation extending over several centuries, as well as elements that do not directly demonstrate the cross-cultural interchange between the different groups of peoples.

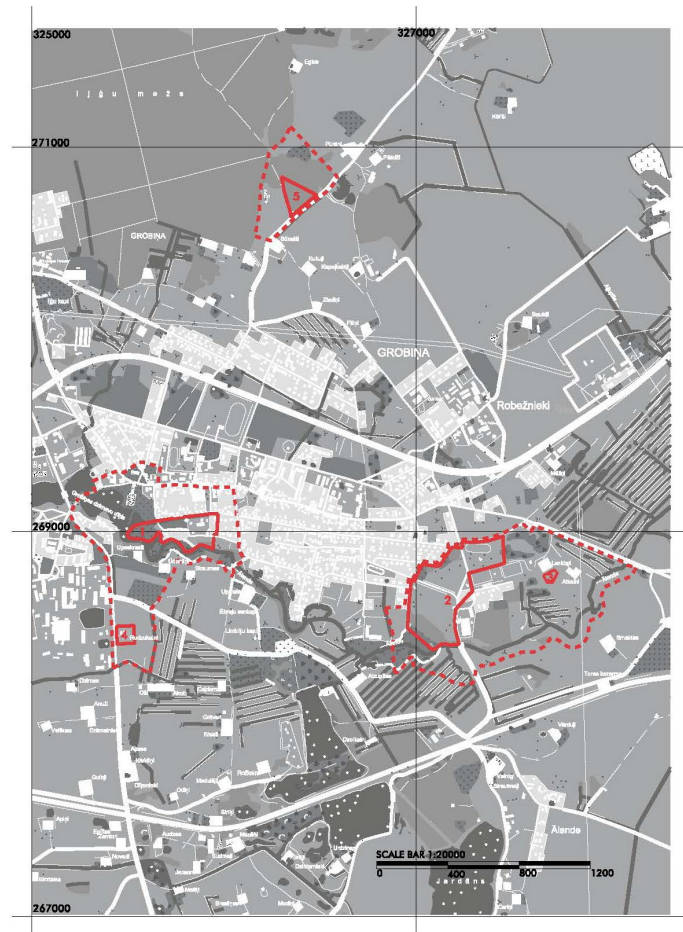
Given the level of uncertainty with regard to the archaeological vestiges of the settlement – its state of preservation, the questions regarding its layout, function and social fabric in the 7<sup>th</sup>-9<sup>th</sup> century – as well as the issue of wholeness of other components, in particular Smukumi burial ground, ICOMOS considers that the conditions of integrity and authenticity have not been satisfied for the property to express the proposed Outstanding Universal Value.

## 7 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that Grobiņa archaeological ensemble, Latvia, should **not be inscribed** on the World Heritage List.





Map 4.  
Components of Grobiņa archaeological ensemble and its buffer zones.

- |  |   |
|--|---|
| 1 Grobiņa hillfort (Skābarža kalns) and settlement | <span style="border: 1px solid red; display: inline-block; width: 15px; height: 15px;"></span> nominated property |
| 2 Priediens burial ground                          |   |
| 3 Atkalni burial ground                            | <span style="border: 1px dashed red; display: inline-block; width: 15px; height: 15px;"></span> buffer zone       |
| 4 Smukumi burial ground                            |   |
| 5 Porāni (Pūrāni) burial ground                    |   |

Map showing the boundaries of the nominated components and their buffer zones



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## **Gdańsk Shipyard (Poland) No 1629**

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### **Official name as proposed by the State Party**

Gdańsk Shipyard – the birthplace of “Solidarity” and the symbol of the Fall of the Iron Curtain in Europe

### **Location**

Pomorskie Voivodeship  
Gdańsk Urban County  
Poland

### **Brief description**

The nominated Gdańsk Shipyard, located in the city of the same name, close to the Baltic Sea, includes a portion of the former Gdańsk Lenin Shipyard. It was created after World War II with the merging of the historical Imperial and Schichau Shipyards and re-planned in the Communist era. The nominated area is also associated with the birth of the independent self-governing trade union “Solidarity” in 1980 and was a site of anti-communist protests by its members. Outside the perimeter of the former shipyard it includes Solidarity Square with a Monument to the Fallen Shipyard Workers of December 1970, and a wall with commemorative inscription plaques. Over a span of two decades, the protest movement led to political changes in Poland that are seen to have contributed to the fall of the Iron Curtain and the former Eastern Bloc of communist countries.

### **Category of property**

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a *site*.

## **1 Basic data**

### **Included in the Tentative List**

A site under the name of “Gdańsk - Town of Memory and Freedom” was included in the Tentative List of Poland on 4 November 2005.

### **Background**

Under the present configuration, this is a new nomination.

However, ICOMOS has examined in previous years two nominations focused on the heritage of Gdańsk.

In 1997-1998 the State Party submitted the nomination “Gdansk: The Main Town, the Motława Side Channel, and the Vistula Mouth Fortress”. However, the nomination was withdrawn before the World Heritage Committee Session.

In 2005, the State Party submitted a serial nomination “Gdańsk – The Site of Memory and Freedom”. ICOMOS recommended not to inscribe the site on the World Heritage List and the nomination was withdrawn before the World Heritage Committee Session in 2007.

### **Consultations and Technical Evaluation Mission**

Desk reviews have been provided by ICOMOS International Scientific Committees, ICOMOS members and independent experts.

An ICOMOS technical evaluation mission visited the property from 10 to 12 January 2021.

### **Additional information received by ICOMOS**

ICOMOS received additional information from the State Party via its mission expert on the inventory and the legal protection of the Shipyard buildings, the provisions of existing spatial plans, the management process and involvement of the stakeholders, the architectural concepts and the master plans for the redevelopment of the Shipyard.

An Interim Report was provided to the State Party on 29 January 2021 summarising the issues identified by the ICOMOS World Heritage Panel.

Additional information was received from the State Party on 26 February 2021, and has been incorporated into the relevant sections of this evaluation report.

### **Date of ICOMOS approval of this report**

18 March 2021

## 2 Description of the property

Note: The nomination dossier and additional information contain detailed descriptions of this property, its history and its state of conservation. Due to limitations on the length of evaluation reports, this report only provides a short summary of the most relevant aspects.

### Description and history

Located in the northern part of the city of Gdańsk, along the Martwa Wisła River, near the coast on the Baltic Sea, the nominated property includes within its boundaries a portion of the former Gdańsk Lenin Shipyard. This is a large-scale shipbuilding facility which extended along the Martwa Wisła River and on Ostrów Island, formed by the River and the Kaszubski Canal. According to the nomination dossier, in the communist era it was the largest shipyard in Poland and one of the largest in the world. In the 1960s and 1970s, it employed about 17,000 people and launched some 30 vessels per year. Altogether, over its period of operation between 1947 and 1996, the Shipyard launched more than 1,000 vessels.

The part of the Gdańsk Lenin Shipyard being nominated encompasses buildings, facilities, structures, a network of internal streets, railway tracks, slipways, storage areas, and open spaces. They are deemed to reflect communist planning and the main functions of a large-scale industrial shipbuilding facility; as well as its associations with the birth of the “Solidarity” movement and its largely peaceful struggle for liberty.

The nomination dossier identifies precisely what are considered to be the most important buildings or spaces which are associated with specific events or relevant figures of “Solidarity”. However, given the extent of the events and the ongoing research, the nomination dossier considers that all buildings and spaces included in the nominated property are potentially related to aspects of the Gdańsk Lenin Shipyard workers’ struggle for liberty.

The nomination also includes a memorial area: Solidarity Square with a Monument to the Fallen Shipyard Workers of December 1970, and Wall with commemorative Inscription Plaques.

The Square is on municipal land outside the Shipyard; however, because of the events that took place there it is deemed to be integral to the significance of the nominated property, as are the Monument and the Wall. Commemorations and State ceremonies are often held at the Square.

The Gdańsk Lenin Shipyard resulted from the transformation of two historical shipyards – the Imperial Shipyard and the Schichau Shipyard – which were eventually merged into one facility after World War II.

Gdańsk holds a strategic position on the Gulf of Gdańsk along the southern coast of the Baltic Sea, at the mouth of the Vistula River: this favoured maritime trade, fishing and shipbuilding. Gdańsk benefited from the commercial traffic

of the Hanseatic League and the construction of vessels is documented in Gdańsk from the late Middle Ages onwards. Efforts to develop large-scale shipbuilding were first initiated by the Prussian Kingdom, of which Gdańsk became part, in 1793.

The Royal Naval School was established in 1817, and the Royal Corvette Naval Base in 1844. Over the subsequent decades, the facility was expanded and further developed into the Royal, then Imperial Shipyard, with the construction of slipways and the necessary infrastructure. In 1890 the Schichau Shipyard was established as a privately-owned shipbuilding facility. The Shipyards in Gdańsk (known as Danzig at the time) built warships but also passenger and commercial vessels. In the early 20<sup>th</sup> century, the Imperial Shipyard also constructed some of the earliest German submarines (from U-2 to U-4 and then from U-9 to U-12), and continued to do so throughout and until the end of World War I.

With the defeat of the German Empire in World War I, the Free City of Gdańsk was established in 1919 under the protection of the League of Nations, and the Gdańsk Shipyard was prohibited from building military vessels.

With the invasion of Poland by Nazi Germany in 1939, Gdańsk and a large part of Poland was occupied by Germany, whilst the eastern part was occupied by the USSR. The Shipyard operations focused on submarines and employed forced labourers and prisoners.

Allied aerial bombardments towards the end of the war caused heavy damage to the Gdańsk Shipyards, further worsened by intentional demolition (by Nazi forces) and spoliation (by USSR forces).

After World War II, the two shipyards were restored to use by the new Polish government and in 1947 they were merged into one state-owned enterprise. Shipbuilding at the Gdańsk Lenin Shipyard flourished again, specialising in fishing vessels, and in the 1960s was ranked among the five major shipyards globally, in terms of launched tonnage.

Expansion works were carried out initially in the early 1950s with the construction of a new slipway and a Pontoon Bridge to connect to the Island of Ostrów. In the 1970s modernisation works were implemented at the slipways and new cranes were added. Operations continued in the 1980s with the production of training and sailing vessels.

In 1958, a short and violently opposed strike was triggered by bad working conditions. The second wave of strikes began in December 1970 in Gdańsk Shipyard, due to an increase in food prices. This unrest spread to other shipbuilding facilities along the Baltic coast. The strike was suppressed by armed troops, with 27 workers killed.

Ten years later, in August 1980, another strike began at the Shipyard; workers demanded the improvement of working conditions, the establishment of free trade unions and the erection of a Monument to the Fallen Shipyard Workers of the December 1970 strike. The “Gdańsk Agreement”,

including 21 requests by the workers, was signed with government representatives on 31 August 1980 and on 16 December 1980 the Monument to the Fallen Shipyard Workers was erected near Gate n° 2.

In the subsequent months the workers movement became the nationwide Solidarity Trade Union, which operated legally until the introduction of martial law in Poland, on 13 December 1981 (which lasted until 1983). Repression was severe, "Solidarity" was outlawed, and many activists arrested or interned: by 1986 the membership had dropped to 4,000. A strike at Gdańsk Shipyard was ended after two days by the intervention of the Motorized Reserves of the Citizens' Militia (ZOMO).

It was only in 1989 that "Solidarity" was legalised, after a wave of strikes in 1988, and the Polish military authorities' increasing awareness that a compromise needed to be sought, given the changed political and economic context in the Soviet Union.

At the end of the 1980s, the Gdańsk Shipyard filed for bankruptcy and state subsidies were withdrawn. In 1996 it was declared bankrupt and from 1998 onwards it was sold bit by bit to private investors.

In 1999 the Solidarity Centre Foundation was created and in 2007 the European Solidarity Centre (ESC) was established as a cultural institution. In the following years the premises for the ESC were built within the perimeter of the proposed nominated property, following an international architectural competition.

The Shipyard premises were originally separated from the city by fences. With the cessation of shipbuilding activity, the area gradually became connected to the town and most of the fences have been demolished, although some sections are preserved.

A large-scale programme for the redevelopment of the former shipyard area has been envisioned to turn it into a multi-functional neighbourhood. The so-called "Young City" has been designed to integrate with the rest of the town and some developments have already been carried out.

### **Boundaries**

The nominated property has an area of 52.94 ha, and a buffer zone of 135.37 ha. Nobody lives within the nominated property at the moment, whilst the buffer zone has 3,000 inhabitants.

The boundaries of the nominated property include buildings, facilities and open spaces, in addition to a stretch of the Martwa Wisła River. This area is said to reflect the operations of the two historic facilities – the Imperial Shipyard and the Schichau Shipyard – of the Gdańsk Shipyard complex, as well as the associations with the emergence and protests of the "Solidarity" movement.

The buffer zone encompasses a portion of Ostrów Island, to the north and north-east; to the west, it covers the railway that separated the Gdańsk Lenin Shipyard from the town. To the south the boundary follows the limits of the Gdańsk Shipyard and coincides with the boundary of the nominated property at Solidarity Square.

Without an understanding of what could be the potential attributes (see discussion below in the Integrity and authenticity section), ICOMOS considers that it is unclear where the boundaries should be. However, ICOMOS notes that the boundaries have been drawn tightly and some of the areas related to the use of the shipyard in Communist times have been excluded.

ICOMOS notes also that the buffer zone is tight to the south, where it coincides with the delimitation of the nominated property at Solidarity Square. In addition, the buffer, to the north and east, excludes views towards the nominated Shipyard.

### **State of conservation**

Based on the information provided by the State Party and the observations of the ICOMOS technical evaluation mission, ICOMOS considers that the state of conservation is uneven. Some buildings owned by public institutions or managed by charitable foundations to serve cultural purposes are in a good or satisfactory state of preservation. However, the majority of the buildings and facilities that were previously used for industrial purposes, including the architectural and technical monuments dating back to before the First World War, are in urgent need of repair and conservation. At the time of the technical evaluation mission, only a few buildings had been rehabilitated for contemporary re-use.

ICOMOS notes that, given the number and size of the halls and production buildings in the nominated area, their rehabilitation would be a challenging undertaking. Interventions need to integrate respect for conservation principles whilst meeting technical requirements and finding a sustainable function. The operation would need huge investment, taking into consideration the scale of the area.

The current plans for the redevelopment rather than conservation of this nominated area, and the addition of new developments, will cause significant changes to its character and do not appear to be in line with the aim of preserving the cultural significance of the nominated property.

### **Factors affecting the property**

Based on the information provided by the State Party and the observations of the ICOMOS technical evaluation mission, ICOMOS considers that the main factors affecting the nominated property are plans by private initiatives to redevelop the nominated property and its buffer zone, through re-functionalisation and rehabilitation of existing buildings and the insertion of new construction projects into currently open spaces.

The vision for the area is to transform the decommissioned Gdańsk Lenin Shipyard premises into the “Young City”, a contemporary multifunctional waterfront high-rise city, which would be integrated into the existing town.

The planned new development of taller modern residential and commercial buildings is very close to the listed historical building stock in the area between the Shipyard and the city, on open spaces between the old industrial buildings. The current concepts and plans would disrupt or block the view from the surrounding road and rail routes to the historic Shipyard architecture. The planned new constructions will seriously disturb the view of the Shipyard from the waterfront and the visual relationships between the historic (and listed) buildings and shipbuilding facilities.

The envisaged physical and functional change will also radically modify the character of the area and the sense of place that conveys associations with “Solidarity” and its struggle.

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ICOMOS considers that the rationale for delineating the boundaries of the nominated property and of the buffer zone is not fully clear and appears too tightly drawn. The state of conservation is uneven, with several buildings lying unused and in a poor state of conservation. The major factors affecting the property are plans for the complete physical and functional redevelopment of the nominated property and its buffer zone, with a considerable volume of new high-rise buildings that existing planning provisions currently allow.

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### 3 Proposed justification for inscription

#### Proposed justification

The nominated property is considered by the State Party to be of Outstanding Universal Value as a cultural property for the following reasons:

- The Gdańsk Shipyard technological ensemble, with buildings, facilities, structures, docks, slipways and related infrastructure and spaces, as the physical workplace of a large-scale workforce, is an exemplar of communist planning.
- The Gdańsk Shipyard witnessed the emergence of the “Solidarity” trade union movement and reflects the associations with the decade-long peaceful occupation strikes and negotiations between the “Solidarity” movement and the Communist state representatives to obtain freedom of association. These events reflect aspirations of universal significance, they accelerated political change that led to Poland’s freedom from Communism, and are said to have caused a domino effect in Eastern Europe leading to the fall of the Iron Curtain, and the “unification of Europe”.

Although this justification is focused on the role of the “Solidarity” trade union as a “liberation movement” and not on its relation to conflict, ICOMOS notes that some of the issues raised by the nomination are similar to those identified in the reflection on sites associated with negative or divisive memories of recent conflicts. These include the way memories evolve, the co-existence and persistence of conflicting memories, the time perspective that needs to be reached before memories can be crystallised through official designations, the association of memories with local, national, or regional identities, and the difficulties in defining groups to which memories belong.

This aspect is particularly important because when a site is inscribed on the World Heritage List, a Statement of Outstanding Universal Value is adopted by the World Heritage Committee. If the value, meaning and significance of a site is likely to change, as memories evolve because historical interpretations are not yet consolidated, it is very difficult to crystallise that value in a statement that is expected to remain valid indefinitely.

These key issues are further elaborated in the sections below.

#### Comparative analysis

The comparative analysis has been developed at the global level around the two themes of the proposed justification for inscription which have been considered separately: the significance of the technological and architectural ensemble illustrating a significant stage in human history; and the struggle for freedom from authoritarian regimes. However, it should be noted that the main focus of the comparative analysis has been the associative dimension of the nominated property rather than its technological or architectural significance. The period considered for the comparison covers the 20<sup>th</sup> century and, for the technological aspects, also the second half of the 19<sup>th</sup> century.

These parameters for the comparison include the perceived universality and significance of the association, the significance of the technological and architectural ensembles where workers were engaged in freedom struggle and civil resistance against an authoritarian regime, and the nature of the direct or tangible link with physical features of the nominated property. Selected comparatives include sites with similar associations, in term of events and ideas, and technological and industrial sites such as shipyards, mines and steelworks.

The comparative analysis has examined properties within the Polish territory and throughout all regions of the world that are inscribed on the World Heritage List, are included in the Tentative Lists of States Parties, or exhibit comparable values and attributes.

The theme for comparison that revolves around technological values shows that a number of shipyards with similar patterns of technological history and comparable size, facilities and structures still survive

throughout the world and particularly in Europe. At some of them, workers' protests and strikes occurred, including in the 1970s.

In this regard, ICOMOS considers that neither the comparative analysis nor the remainder of the nomination has demonstrated how the shipyard layout, architecture, distribution of functions and operation would differ from any other large-scale industrial shipyards and therefore able to reflect, through tangible features, "communist planning". Nor has the comparative analysis or the nomination dossier demonstrated how this type of planning might reflect or contribute through its tangible features the actions or impact of "Solidarity".

For the second theme, the comparative analysis has compared sites with associations with liberation movements on the World Heritage List, on Tentative Lists and on neither of these Lists. It acknowledges that the rise of freedom was a key human value in the 20<sup>th</sup> century – and that the second half of the twentieth century was an era of great global freedom movements. It notes that several sites exist in Tentative Lists and throughout the world that are associated with movements and struggles for freedom, and a number of them were non-violent movements as was the case for "Solidarity". It concludes, though, that the combination of what are considered to be universally significant 20<sup>th</sup> century European values – namely solidarity, freedom and democracy – and the proposed attributes represented by the Shipyard facilities associated with those values, is not represented on the World Heritage List and that there are no other comparable sites throughout the world, as none of these events and movements were rooted in state-controlled large-scale industrial sites and none necessarily in authoritarian regimes.

ICOMOS observes that the comparative analysis has sought to demonstrate the uniqueness of the site; however, it has not demonstrated to what extent this is exceptional as there remains a difficulty in positioning the actions of "Solidarity" within the wider 20<sup>th</sup> century context and, given the comparatively short length of time since they occurred, of establishing their significance. In ICOMOS's view, this difficulty relates to the fact that the nomination dossier aims at memorialising events for which the understanding and interpretations are still developing and evolving, with some of the protagonists of these events being still alive. If interpretations are continuing to evolve, then it becomes difficult for comparisons to be made in any meaningful way. While the Shipyard may reflect the interpretation that is now being suggested in a way that is not matched elsewhere, any assessment of the significance of the place has to take cognisance of the value of the activities that the place represents – and, in ICOMOS's view, it is too early to make a judgment, as the periods in history that might be allocated to the second half of the 20<sup>th</sup> century have yet to be defined, within which ultimately comparisons will need to be undertaken.

ICOMOS also notes that the nomination dossier explains that the 1980 "Solidarity" strike was not an isolated event. It was preceded by and closely related to the 1970 protests, when the first independent trade union was founded and opposed by the Polish regime. The strike initiated by "Solidarity" in August 1980 was also widely supported by strikes at other shipyards and industrial plants across Poland. Repeated waves of protests occurred in other countries of the Eastern Bloc from the 1950s onwards. Moreover, other external factors may have contributed to the pre-conditions necessary for "Solidarity" to succeed in obtaining what was sought by its workers in 1980: such as the *détente* policy of the 1970s, internal political and economic changes in the USSR, and the election of the Polish Cardinal Karol Wojtyła as Pope of the Catholic Church in 1978.

ICOMOS further observes that the "Autumn of Nations", in several countries of the former Eastern Bloc, was preceded by protests and struggles in previous decades, which may have prepared the ground for the revolutionary wave at the end of the 1980s. It appears difficult to select only the actions of "Solidarity" as the key factor in, or the most important symbol of, what happened throughout Europe.

ICOMOS notes as well that powerful associations with struggles for freedom in the former Eastern Bloc are conveyed at other places, and this has been partly revealed by the comparative analysis, so the nominated property is not unique in this regard; the site of the Berlin Wall and its surviving vestiges is certainly an example, and others exist.

ICOMOS furthermore observes that the justification for inscription of the Shipyard does not focus only on its association with the struggle for freedom and self-determination of the Polish workers and people and other countries in the former Eastern Bloc, it goes beyond this to credit "Solidarity" with a major role in the "fall" of the Iron Curtain and the end of the Cold War and edges further, by associating this "fall" with the "unification of Europe".

The comparative analysis aims to show that the Shipyard and its associations stand apart from several other sites on Tentative Lists and elsewhere that are associated with movements and struggles for freedom (including non-violent movements), as the events associated with the Shipyard had a greater and wider impact on the course of history. In ICOMOS's view, undertaking these comparisons in effect means assessing the relative value of the impact of events at the Gdańsk Shipyard in relation to the impacts on history of other movements. This raises two questions: firstly, there is an issue in relation to how far the Shipyard could be seen to illustrate not just the actions of "Solidarity" but the end of the Cold War and the "unification of Europe" – what features of the Shipyard reflect these changes; secondly, these events are still recent history, with some question whether the Cold War has ended, and memories are still evolving, which means the absence of a long-term perspective. Such assessment thus cannot be based on a shared

understanding of the impact of events at a wider than local level in any meaningful way, and maybe even prove to be divisive.

Other locations might be cherished by the people of the countries of the former Eastern Bloc as illustrative of their regained right of self-determination and their role in the fall of the Iron Curtain or the “Unification of Europe”; singling out only “Solidarity” and its actions at the Gdańsk Shipyard appear limitative and may be sensitive. Equally, questions arise about whether the nomination’s message may be seen as universal for countries where Communism remains an officially-practiced ideology. This nomination may also trigger divisiveness, if one considers that there may be people from the former Eastern Bloc – still alive – that shared the Communist ideology and have found themselves on the side of the “losers” with the collapse of the system and subsequent events.

More time is needed before it is possible to set the events in Gdańsk into a wider global historical framework. Moreover, the consequent international changes brought about by the actions of “Solidarity” are not evidenced in the features of the Shipyard: no tangible or direct links have been identified.

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ICOMOS considers that the comparative analysis has not succeeded in demonstrating how the nominated property could now be seen as an outstanding example of communist planning that could reflect events which have changed the course of history. ICOMOS considers that it is too early to assess the impact of events at the Shipyard on global history. The analysis has not justified consideration of the nominated property for the World Heritage List.

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#### **Criteria under which inscription is proposed**

The property is nominated on the basis of cultural criteria (iv) and (vi).

*Criterion (iv): be an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history;*

This criterion is justified by the State Party on the grounds that the Gdańsk Shipyard would be an outstanding example of a large-scale, communist state-owned, industrial production ensemble which would illustrate the fall of Communism in Central and Eastern Europe, the end of the Cold War and the “unification of a democratic Europe”. These are events that are deemed by the State Party to form a significant stage in human history.

ICOMOS considers that the Gdańsk Shipyard, as a technological and architectural ensemble resulting from several stages of construction and adaptation dating back to the mid-19<sup>th</sup> century until the end of the 1980s, illustrates, in its layout, material substance, and design, the periods of its construction and subsequent transformations. To a certain extent, it also reflects its

function, taking into account that much equipment is no longer present.

In terms of the nominated property reflecting “communist planning”, ICOMOS considers that the nomination dossier does not offer explanations to clarify in what ways the layout, architecture, distribution of functions and organisation of the operation would differ from any other large-scale industrial shipyard.

Moreover, little detail is offered in the nomination dossier about how the communist planning would have prompted the actions of “Solidarity” or how it might reflect the impact of “Solidarity” on historical events. How the nominated Shipyard or its communist planning might be said to tangibly or directly illustrate or reflect the fall of Communism or the end of the Cold War and the “unification of Europe” has not been set out.

The history of the Gdańsk Shipyard as a technological and architectural ensemble and that of the “Solidarity” trade union are part of two historical narratives, in two different contexts. The link proposed by this nomination therefore appears to be one based on proximity rather than on substantial elements and cannot support the justification of criterion (iv).

At the global level, questions also arise as to whether the Cold War, its impacts and implications, can be seen as having ended, and, if so, precisely what were the triggers that led to its demise, and what might be defined as the period in history to which it relates. Given the proximity of events in the 1980s, and the diverse range of views on those events and their impacts, it is not clear how parameters might be defined to establish a stage in human history to which they relate, particularly when, with a perspective more distant in time, certain aspects might be seen as still persisting.

Finally, the justification proposed is not in line with the rationale of criterion (iv), as it refers to association of the nominated property with events and ideas rather than a tangible illustration of a period of history, which in turn is difficult to define as such, it being too recent as explained above.

The additional information provided by the State Party in February 2021 holds that the Gdańsk Shipyard would be an outstanding example of a preserved historical industrial complex in its own right. In this regard, ICOMOS observes that this is not the reason for which it has been nominated nor the reason given to justify criterion (iv), as explained above.



Criterion (vi): *be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance. (The Committee considers that this criterion should preferably be used in conjunction with other criteria);*

This criterion is justified by the State Party on the grounds that the nominated property, with its buildings and open spaces, is directly and tangibly associated with events and ideas of outstanding universal significance. Peaceful occupation strikes and negotiations between the “Solidarity” trade union and the Polish Communist state to achieve freedom of association took place at the nominated property. The 1980 events are held to have led to the independence of Poland from Soviet influence and to have triggered democratic change in other countries in the former Eastern Bloc, leading to the fall of the Iron Curtain and the “unification of Europe”.

ICOMOS acknowledges that the “Solidarity” trade union, supported by the former Western Powers – particularly the United States, NATO and the Catholic Church – played a key role in the opposition to the Communist regime in Poland. The events that took place at the Gdańsk Shipyard were significant factors in the changes that took place in that country one decade later. However, extending the role of “Solidarity” to define it as the principal and direct cause of the fall of the Iron Curtain appears problematic and over-generous.

According to other interpretations, the fall of these regimes and of the Iron Curtain would be linked to several underlying, indirect and direct causes in the various European contexts.

The USSR was already in decline at the time of the emergence of “Solidarity”: its economic model was under question internally, its military capacities undermined by the Arms Race and its failure in Afghanistan, and its technical and organisational competence was further undermined by the accident at Chernobyl. Weak public finances, an unprecedented economic crisis, long-lasting shortages, an ageing regime incapable of reforming itself, the decaying Soviet system set the stage for such movements as “Solidarity” in the former Communist bloc countries to blossom. This situation ultimately led to the collapse of the former Soviet consortium. Mikhail Gorbachev’s attempts to reform the Soviet system from the inside with “Glasnost” and “Perestroika” is likely to have unleashed forces that he could not contain in the Soviet Union. Furthermore, he did not intervene, as his predecessors had done, to hamper the processes that were taking place in some countries of the former Eastern Bloc in 1989.

ICOMOS also notes that other events might be evoked as representative of the dramatic changes which occurred in the former Eastern Europe. In the collective imagination of the Western European perspective, the fall of the Berlin Wall represents a powerful symbol. However, it is understood that other locations, symbols and places are

cherished by the people of other countries of the former Eastern Bloc as illustrative of their own regained right of self-determination and their role in the “Unification of Europe”.

But over and above these “facts”, there remains the issue of historical interpretation and how much time is needed to set events into their global context and define what does or does not have outstanding universal significance. At the global level, questions arise about what might be the universality of the nomination’s message for countries where Communism is still an adopted ideology.

ICOMOS considers that insufficient time has elapsed to allow the events of the 1980s to be set into a wider historical context.

ICOMOS further considers that whilst the nomination provides an account of the links between the Shipyard facilities and “Solidarity”, it does not demonstrate how its buildings, open spaces and the “communist planning” are directly and tangibly associated with, or reflect, the purported global significance of “Solidarity”.

The additional information sent in February 2021 by the State Party reiterates arguments to demonstrate the influence of “Solidarity” and its role as a “*shaping force that impacted the course of the events in the 20<sup>th</sup> century*”. ICOMOS notes that differing and varying views and understanding exist of the scope and causes of these events. Furthermore, ICOMOS’s evaluation has focused on the capacity of the property to demonstrate direct and tangible links with these events.

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ICOMOS considers that neither of the cultural criteria has been demonstrated. The nomination has not shown how the Gdańsk Shipyard could be seen as an outstanding example of a large-scale industrial facility based on communist planning that is capable of illustrating the purported global impact of “Solidarity”. Nor has the nomination demonstrated the direct and tangible association between the nominated property and the fall of the Iron Curtain, the end of the Cold War, and the “unification of Europe”.

Additionally, it is difficult to evaluate recent events and the scope of their impact on recent history or to define recent “periods of history” in the absence of a sufficient time perspective. Currently, there are differing and varying views on the impact of “Solidarity”’s actions and on whether other events also contributed to the fall of the Iron Curtain or on whether the Cold War and its implications can be considered to have ended.

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## **Integrity and authenticity**

### **Integrity**

According to the State Party, the nominated property covers most of the area of the two historic shipyards that were merged into the Gdańsk Shipyard after World War II. The complex of preserved facilities and

structures would convey the sense of an integral spatial whole illustrating the Shipyard as a communist large-scale industrial production facility, which would illustrate the emergence and struggle of the “Solidarity” trade union. The nominated property is considered to encompass all attributes needed to represent the proposed Outstanding Universal Value: key buildings, structures, facilities, streets, yards, slipways, open spaces, and a portion of the Martwa Wisła River. The nomination dossier also acknowledges a potential threat to the integrity of the property with proposed development pressures. The current planning provisions are favourable to this type and scale of development within the nominated property and in its immediate setting. A buffer zone has been delineated to control development in a sensitive area. Heritage protection designations for historic buildings have been issued and a Strict Conservation Area has been established.

ICOMOS observes that the nomination dossier gives an account of the links between buildings and some spaces of the nominated shipyard with the activities of “Solidarity”. However, direct associations between the impact of “Solidarity” on the noted events and the tangible aspects of the nominated property have not been clearly set out. Therefore, it is difficult to define what would be the potential attributes that could satisfy integrity. As mentioned in previous sections, there is no shared agreement yet on whether the fall of the Iron Curtain could be linked primarily to the Shipyard and thus whether attributes in the nominated property would be sufficient.

In terms of the physical remains, a number of buildings and facilities suffer from lack of use and basic maintenance, and some have been lost over the last three decades of abandonment, including a good part of the equipment.

ICOMOS notes that the area has lost, to a great extent, its original function – shipbuilding and related activities – and the nominated former industrial complex and its immediate setting awaits being converted into a new urban sector. Existing redevelopment plans will disturb the coherence and the physical and spatial integrity of the Shipyard as well as its integrity as a site for memorialisation.

#### Authenticity

The State Party considers that the nominated property conveys in a credible, clear, direct and tangible way the associations with the “Solidarity” movement and its role in events of outstanding universal significance in relation to human rights, freedom and democracy. They consider that the sources of information provided document the authenticity of the association. In addition, the spatial layout of the Shipyard is seen to be authentic with its buildings, structures and equipment clearly conveying the sense of a large-scale communist-controlled production facility, where thousands of workers sought better conditions of life. Finally, from a tangible perspective, the State Party considers that the ensemble of preserved structures, buildings, equipment and open spaces and arrangements

reflect more than a hundred years of evolution of shipyard technology and architecture from the 1850s to the 1980s.

ICOMOS considers that the facilities from the founding phase of the two shipyards (Imperial Shipyard, Schichau Shipyard), in the 19<sup>th</sup> century and before the First World War, have been modified over the generations by war damage, reconstruction measures, ongoing modernization and adaptations, and additional expansions and dismantling. This also applies, to a lesser extent, to more recent buildings from the inter-war and post-war periods in the 20<sup>th</sup> century.

The characteristic skyline of the Shipyard has been partially preserved. The typical materials used in industrial production facilities contribute to reflecting the sense of an historically-evolved shipbuilding facility. However, the original function has been largely lost in the nominated area and in the buffer zone, along with much equipment, with the exception of a few buildings.

Regarding the intangible dimensions and the associations with “Solidarity”, ICOMOS observes that the understanding of the associations with the “Solidarity” trade union, its strikes and demands, is primarily cultivated by the institutions that maintain the memory of “Solidarity”. The role of “Solidarity” in the fall of the Iron Curtain, the end of the Cold War and the “unification of Europe”, cannot be directly and explicitly read and understood at the Shipyard. Clear links between the influence of “Solidarity” on the course of history at the global level and tangible aspects of the nominated property are not set out and it is therefore difficult to understand how the proposed Outstanding Universal Value is conveyed by which attributes.

Furthermore, sources of information and other historical interpretations than those presented in the nomination dossier on the factors and causes that led to the fall of the Iron Curtain, the end of the Cold War and the “Unification of Europe” suggest a much more complex interrelation of underlying, indirect and direct factors for these dramatic changes, in which the role of “Solidarity” would play a less prominent role. Serious arguments point to other catalysts that include: the internal economic decline of the Soviet Union because of technological and systemic weaknesses, and the pressure of the arms race with the United States. From this angle, the Soviet intervention in Afghanistan, in 1979, may be the turning point of the “imperial overstretch” which led to the events of 1989. *Détente* policy and the Conference on Security and Cooperation in Europe (CSCE) process can also be interpreted as factors in the disintegration of the former Communist bloc, symbolized for instance in the Helsinki Conference of 1975. Under these perspectives, historic forces such as the Reagan & Bush administrations, or General Secretary Gorbachev, would play a larger role than the “Solidarity” movement, as executors of a relatively peaceful and orderly transition to post-communism.

The residual sense of place and character of a large-scale production facility that can still be perceived today at the nominated property, and its associations, are likely to be seriously further eroded by the planned re-functionalisation and urban regeneration of the area. At the moment, proposals for large-scale redevelopment exist, with large-size new buildings being proposed. The scale of these developments is likely to distort the spatial layout and the skyline of the Shipyard and it also poses challenges to the capacity of the site to convey the memories associated with it. The character of the nominated property as an industrial place will be superseded by the new life and the new functions that are to be injected into this mostly disused area.

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In conclusion, ICOMOS considers that the requirements of integrity and authenticity have not been met in terms of the Gdańsk Shipyard being able to tangibly reflect the proposed justification for inscription. Additionally, the current envisaged developments are likely to have a considerable negative impact on the nominated property.

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#### **Evaluation of the proposed justification for inscription**

The Gdańsk Shipyard is nominated essentially as a place associated with the “Solidarity” trade union movement. This is presented as a liberation movement that is seen to have led to Poland’s freedom from the Communist regime, to the fall of the Iron Curtain, to the end of the Cold War and to the eventual “unification of Europe”, all of which are reflected in the nominated part of the Shipyard.

ICOMOS considers that the comparative analysis has not succeeded in demonstrating how the nominated property is an outstanding example of communist planning that reflects the events it is said to be associated with and as such it has not justified consideration of the nominated property for the World Heritage List. Additionally, ICOMOS considers that neither of the cultural criteria has been demonstrated. The nomination has not shown how the Gdańsk Shipyard could be seen as an outstanding example of a large-scale industrial facility based on communist planning that illustrates through direct and tangible associations the purported global impact of “Solidarity”, in terms of the fall of the Iron Curtain, the end of the Cold War and the “unification of Europe” as part of an important stage in history.

Additionally, it is difficult to evaluate recent events and the scope of their impact on recent history. Currently, there are differing and varying views on the impact of “Solidarity”’s actions and on whether other events contributed to the fall of the Iron Curtain or on whether the Cold War and its implications can be considered to have ended. ICOMOS considers that more time is needed before it is possible to set the events in Gdańsk into a wider global historical framework and to understand how they might contribute to a defined stage in history.

In terms of integrity, ICOMOS observes that the nomination dossier gives an account of the links between buildings and some spaces of the nominated shipyard

with the activities of “Solidarity”. However, direct associations between the impact of “Solidarity” on the noted events and the tangible aspects of the nominated property have not been clearly set out. Therefore, it is difficult to define what would be the potential attributes that could satisfy integrity.

However, a number of buildings and facilities suffer from lack of use and basic maintenance, and some have been lost over the last three decades of abandonment, including a good part of the equipment. The area has lost, to a great extent, its original function – shipbuilding and related activities – and the nominated former industrial complex and its immediate setting awaits being converted into a new urban sector. Existing redevelopment plans will disturb the coherence and the physical and spatial integrity of the Shipyard as well as its integrity as a site for memorialisation.

In terms of authenticity, ICOMOS considers that the role of “Solidarity” in the fall of the Iron Curtain, the end of the Cold War and the “unification of Europe” cannot be directly and explicitly read and understood at the Shipyard. Clear links between the influence of “Solidarity” on the course of history at the global level and tangible aspects of the nominated property are not set out and it is therefore difficult to understand how the proposed Outstanding Universal Value is conveyed by which attributes.

As mentioned in previous sections, there is no shared agreement yet on whether the fall of the Iron Curtain, the end of the Cold War and the “unification of Europe” can be linked primarily to the Shipyard and thus whether attributes in the nominated property would be sufficient or whether they would credibly convey the proposed justification for inscription.

The residual sense of place and character of a large-scale production facility that can still be perceived today at the nominated property is likely to be seriously further eroded by the scale of the planned re-functionalisation and urban regeneration of the area.

Furthermore, worldwide, questions also arise about what the universality of the nomination’s message might be for countries where Communism is still an adopted ideology.

#### **Features**

ICOMOS considers that the following features of the nominated property should be preserved as they express the historic – cultural significance of the Shipyard. The characteristic location of the nominated shipyard terrain at north of the old city centre of Gdansk and following about two kilometres the south bank of the Martwa Wisła stand for the continuity and tradition of this quarter. The lines of quays and piers opened by transversally and diagonally accessible slipways, basins and docks to the waterway mark a distinctive pattern. The connection by land from the city to the Island Ostrów is historically constitutive for the layout of the area. The east-west oriented internal work road of the former Imperial Shipyard is framed on

both sides by the brick masonry buildings of production halls and workshop buildings. The facilities from the founding phase of the two shipyards (Imperial Shipyard, Schichau Shipyard) in the 19<sup>th</sup> century and before the First World War have been shaped over the generations by war losses and reconstruction measures, ongoing modernization and adaptations or additional expansions and also dismantling measures. The remaining complex offers a kaleidoscope of the development stages of modern shipyard architecture (wide-span iron and steel or reinforced concrete structures) in the last hundred years up to 1980/90.

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ICOMOS considers that the comparative analysis has not demonstrated how the Gdańsk Shipyard would be an outstanding example of communist planning capable of illustrating the fall of the Iron Curtain, the end of the Cold War and the “unification of Europe”. Neither of the cultural criteria has been demonstrated. The nomination has not shown how the Gdańsk Shipyard can be seen as an outstanding example of a large-scale industrial facility based on communist planning that would illustrate the global impact of “Solidarity”. Nor has the nomination demonstrated the direct and tangible association between the nominated property and the fall of the Iron Curtain, the end of the Cold War and the “unification of Europe”.

The conditions of integrity and authenticity have not been fulfilled as neither the comparative analysis nor the criteria have been justified so it is difficult to establish whether and what attributes would be sufficient to convey the proposed justification for inscription and how they would support it.

The nominated property and buffer zone are also threatened by immense development pressures. In addition, the rationale for the delimitation of the boundaries of both the nominated property and its buffer zone is not fully clear.

Finally, ICOMOS considers the proposed justification for inscription is fundamentally problematic, as it refers to events that might be seen as divisive at the global level, and to the causes of these events, for which an historical interpretation and appraisal is yet to be made.

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## **4 Conservation measures and monitoring**

### **Conservation measures**

The responsibility for the maintenance and conservation of the buildings, the majority of which are privately owned, rests on their owners. As the area has lost its productive functions, apart from some buildings that have been given new cultural functions, most of them require conservation, both rehabilitation and new uses. As a result, currently no routine maintenance is carried out, although some repair works are being undertaken; for many of the buildings comprehensive interventions are expected in the near future. However, ICOMOS observes that the area was partly closed and abandoned after 1990 in the course of the democratisation of Poland. The area became largely

privatised and in some places was also cleared and redesigned; today is part of a large development and conversion area. The physical fabric of the property exhibits conditions that are similar to those of industrial heritage sites with decades of neglect or underinvestment and a critical lack of maintenance. Protected buildings and facilities of the nominated property are embedded in a huge urban development process with the potential to transform considerably the site and its surroundings.

### **Monitoring**

The monitoring system is being developed alongside the management plan, which was attached to the nomination dossier in draft form. The nomination dossier includes an outline of the monitoring system, its main areas of concern, key indicators, measurement method, periodicity and responsible body. It also explains that the basis for monitoring is already in place through established practices implemented by local and central authorities.

ICOMOS considers that a systematic and purposely designed monitoring system is needed for the Gdańsk Shipyard, given the pressures and the expectations for its redevelopment, with clear mechanisms, indicators, periodicity and responsible agencies. It is also important that the monitoring system helps prevent negative impacts.

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ICOMOS considers that currently the nominated property suffers, for the most part, from lack of maintenance due to the loss of function, with the exception of a few buildings which are in public ownership or open to the public. The nominated property and its buffer zone are earmarked for substantial urban redevelopment to integrate it into the life of the city and this could well be unsympathetic to conservation needs. ICOMOS considers that a systematic and purposely designed monitoring system is necessary for the nominated property, particularly to assess periodically its state of conservation and the impacts of proposed developments in the nominated property and in its buffer zone.

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## **5 Protection and management**

### **Documentation**

The technical evaluation mission has ascertained that inventories, recording and research have been systematically prepared and updated in the last 30 years by the heritage offices as well as by heritage-related institutions, e.g., the European Solidarity Centre. Numerous in-depth records and supplementary investigations form the scientific background for the complex protection procedures of the Shipyard.

### **Legal protection**

The nominated property and its buffer zone are subject to the provisions of the Act on the Protection and Care of Historical Monuments (23.7.2003) – hereinafter the Protection Act - as well as the Law on spatial planning and area development (2003) – hereinafter the Planning Act - regulating spatial policy for the municipality.

91.8% of the nominated property is in private ownership, whereas the buffer zone is 79.8% privately owned. This ownership profile makes protection and management of this former and now disused industrial area challenging.

The core of the nominated property, closely associated with "Solidarity", was declared a Monument of History in 2018. Parts of the Gdańsk Shipyard have been included in the Provincial (Voivodeship) Register of Monuments and administrative procedures to complete the protection of the extant part of the nominated property have been initiated. Additionally, several buildings have been included in the Regional Inventory of Monuments. A Strict Conservation Area encompasses the nominated property covering its immediate setting (50m from the boundary of the nominated property) as well as specific spaces, land plots and buildings; this area is to be incorporated into the local plans.

The buffer zone includes several buildings that are entered on the Register of Historic Monuments as well as in the Regional Inventory of Monuments.

According to the Protection Act, the care of a protected monument is exercised by its owners. No intervention can be carried out that alters the substance and appearance of monuments. Supervision of protected monuments is ensured by the Regional Monuments Inspector.

Conservation areas are established according to provisions of the Protection Act and are mandatorily included in spatial planning documents.

Relevant spatial planning instruments for heritage protection include studies of conditions and directions of spatial development (hereinafter "Study") and the local spatial development plans (hereinafter "Local Plan"). Respect for the conclusions of the Study is binding for all public authorities in the municipality. The Local Plan is an act of local law for the implementation of spatial planning policy. It regulates development, change and environmental and heritage protection. It sets out parameters for services, building density, land-use, and infrastructure.

Two local spatial development plans exist for the nominated property, dating back to 2004: MPZP n.1125 for Area of Gdańsk New City – North; and MPZP n. 1128 for Area of New City – Shipyard, Plac Solidarności. Whilst both local plans contain general provisions relating to principles for the protection of cultural heritage, no form of legal protection is introduced, e.g., conservation zones, protection of views and setting, or restrictions on volume and height parameters for new developments compatible with the heritage significance of the area.

The buffer zone is covered by the same two plans mentioned above, plus MPZP 0810 for Red Road, including several development areas. They contain provisions for the protection of the character of certain historic buildings but also include provisions for substantial building development within the portions of the buffer zone they cover.

## Management system

The overall management system for cultural heritage in Poland is multi-tiered and assigns responsibilities to the State, the regions, the districts and the municipalities through various Acts, defining their respective functions and tasks. The main authorities with regard to monument protection are the General and the Regional Conservators of Monuments.

With regard to World Heritage, there exists a Committee for Cultural World Heritage in Poland, providing expert opinions on the implementation of the World Heritage Convention, and a Centre for World Heritage has been established at the National Heritage Board of Poland (NID).

At the nominated property level, the nomination dossier and the draft management plan indicate that a steering committee, including the main stakeholders, will be established in the future, known as the Gdańsk Shipyard Heritage Council; however, its definitive composition is not presented.

The additional information transmitted by the State Party informs that a Management Plan Coordinator role was established in 2020. The function is entrusted to a dedicated task force in the NID.

The NID and the Stocznia Cesarska Development, one of the key owners of the shipyard, have signed a cooperation agreement, which includes arrangements for consultations on the development of the area.

In Poland, no specific provisions for the protection of World Heritage exist – protection and management rely on other existing instruments. Therefore, management plans for World Heritage properties are given the status of multilateral agreements between key stakeholders and are based on existing instruments, documents and on analyses of the specific situations at the properties. This is also the case for the nominated property.

According to the nomination dossier, the draft management plan has been prepared by the NID and co-authored by the authorities of the city of Gdańsk, the Regional Inspector of Monuments and by the owners of the Shipyard estates. The draft outlines the objectives and main priority actions to be implemented. The draft management plan clarifies the scale of the development that has been allowed in the local plans and envisages a dialogue process and negotiations with the owners of areas and buildings within the nominated property and buffer zone to achieve the redevelopment of the Shipyard that is sustainable and compatible with its heritage significance. Until a definitive management coordinator is appointed, NID acts as interim coordinator.

The draft management plan provides an account of the meetings and dialogue process that took place with stakeholders and rights holders throughout 2019.

The additional information reports that further consultations in 2020 and two stakeholder meetings were carried out and their outcomes have also been integrated into the final draft of the management plan. A workshop on a joint development strategy was carried out in August 2020, attended by 45 stakeholders' representatives. The outcome of the workshop outlines a concept for the development of the area as a basis for a development strategy.

A risk management plan is included among the actions scheduled in the management plan.

#### **Visitor management**

The nomination dossier states that at the time it was finalised there was no coherent presentation or interpretation programme for the nominated area, although initiatives and products existed. The European Solidarity Centre and the Museum of the Health and Safety Hall of the Gdańsk Shipyard are two facilities dedicated to the presentation and interpretation of the nominated property and its values. In particular the Solidarity Centre has a permanent exhibition on the actions of "Solidarity" and other opposition movements in Eastern Europe.

Guided tourist trails are offered by guides and cultural institutions.

The Gdańsk Tourist Organisation and associated coordinated local tourism operators are responsible for tourism infrastructure and promote the city of Gdańsk by providing information and tourism products. The main forms of tourism at Gdańsk include weekend, cultural and educational tourism.

At the moment only a few buildings and structures are accessible to the public, whilst access to open spaces is unrestricted in the nominated property.

#### **Community involvement**

Throughout 2019 and 2020 meetings with participants from a variety of institutions and actors, particularly the owners, were organised to keep them informed about the draft management plan and to discuss the future of the Gdańsk Shipyard and the current pressures.

Surveys and studies were carried out to understand the attitudes of Gdańsk's inhabitants towards the city, its inheritance and development. The latest survey has explored also the position of the inhabitants towards possible World Heritage nomination and the type of development that the former shipyard area should undergo. The outcomes have informed the drafting of the vision for the future of the nominated property.

The additional information sent in February 2021 reports that, in August 2020, a workshop was carried out with representatives of key stakeholders that outlined the concept for the development of the nominated area as a basis for a development strategy.

#### **Evaluation of the effectiveness of the protection and management of the nominated property**

Different protective designations apply to the nominated property and the State Party has planned their strengthening. A tested system for the implementation of legal protection exists in Poland, based on specialised legal and institutional frameworks for cultural heritage and on spatial planning.

However, despite this framework, the local plans currently in force covering the nominated property and the buffer zone allow significant building developments. Immense pressures exist for the transformation of the disused areas of the Shipyard into a new neighbourhood – the "Young City". Proposals on the table envisage a massive increase of built volumes, tall buildings and radical changes of use, to integrate the area into the city. Some proposals, considered particularly invasive ones, have been rejected; however, pressure from the private owners and investors remains high. Planning provisions favourable to development predate the acquired consciousness of the heritage significance of the area and the idea of nominating it for World Heritage listing.

No management structure or coordination committee among all relevant stakeholders and rights holders has been set up yet, and it is not clear when this will happen and what institutions and entities will be part of it.

The additional information transmitted by the State Party in February 2021 indicates that efforts have been made to establish dialogue and cooperation with the owners and key stakeholders. However, ICOMOS has received written information that not all owners associated with the property have been informed in a timely fashion about the submission of this nomination dossier and of the draft management plan. This suggests that negotiations and dialogue with the owners and investors do not seem to have reached the necessary level of maturity and agreement on a common, shared vision for the future of the nominated property.

The draft management plan has been prepared essentially by NID, a specialised institution subordinated to the Ministry of Culture. It appears to be a rather general document which has not been adopted yet. Despite being presented and discussed with key stakeholders in 2019 and in 2020, dialogue and negotiations concerning its content and provisions still seem to be needed. Neither the draft management plan attached to the nomination nor the additional information on the outcomes of stakeholders' meetings and workshops held in 2020 provide for unequivocal clarification on the way forward to solve the conflict raised by the proposed developments.

The management plan does not prescribe building dimensions, heights or materials, etc., which give priority to the existing listed properties. Nor has it made reliable statements on procedural issues, such as between the conservators and town planners involved and the private investors and their architects, as to how acceptable solutions can be developed. It is not clear whether the

provisions in the local plans can and will be modified to reduce the scale of the allowed development, nor is it clear what development has already been approved and is unlikely to be changed. The concept for development outlined in one workshop held in August 2020 has yet to be turned into an agreed strategy with clear parameters set out.

ICOMOS notes that the conservation of the former industrial site of the Gdańsk Shipyard, with its historic structures, poses considerable challenges, given the scale of the area and the volumes to be rehabilitated and for which viable functions are to be found. The sustainability of the whole operation will not easily be achieved, and the radical transformation of the area from an industrial, productive site into a residential and multi-functional quarter threatens the heritage significance of the nominated property.

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ICOMOS observes that planning provisions for large-scale developments at the nominated property and within its buffer zone pre-dated the nomination process. Some developments have already taken place, and some have already been approved. Legal protection designations have since been afforded to areas of the nominated property and its constituent buildings and structures. However, the immense pressures for massive building developments for the regeneration of the disused former industrial area will inevitably impact adversely the tangible and intangible heritage dimensions of the Shipyard. It will also detract from the ability to understand and appreciate its historic development, layout and associations.

No management coordination entity has been established yet and the management plan is in its final draft but has not been adopted yet; additionally, it does not seem to have reached the necessary level of maturity and consolidated agreement around its content.

ICOMOS considers that, now, given the pressures, the high volume of privately-owned property within the nominated property and its buffer zone, and the need for further dialogue between public institutions and landowners, neither the protection nor management instruments can guarantee effective outcomes in terms of conservation and protection.

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## 6 Conclusion

The nominated area of Gdańsk Shipyard ensemble has been presented primarily as a large-scale workplace reflecting associations of significant events, rather than for its architectural or technological significance. This workplace, as an example of communist planning, is deemed to have provided fertile ground for the emergence of the “Solidarity” trade-union movement which, after a decade of peaceful strikes and negotiations with the Communist state, accelerated the process of change and led to Poland’s freedom from Communism in 1989. These events are said to have triggered a domino

effect of democratic change across Eastern Europe and ultimately led to the fall of the Iron Curtain and the “Unification of Europe”. These rapid and monumental changes are presented in the nomination dossier as being of outstanding universal significance for the way they altered the course of world history.

The reason for which this site is being put forward makes this nomination particularly challenging. Although the focus of the State Party is the perceived positive outcome of the action of “Solidarity” as a freedom movement rather than negative memories, ICOMOS has noted that the events with which “Solidarity” is associated might be considered divisive at the global level. Furthermore, even though this nomination does not focus on a conflict, some of the issues raised by this nomination are similar to those emerging for sites associated with negative or divisive memories of recent conflicts. These initial considerations have been confirmed throughout the evaluation process that ICOMOS has carried out.

Although extensive, the comparative analysis has not succeeded in demonstrating how the Shipyard layout, architecture, distribution of functions and operation would differ from any other large-scale industrial shipyards and therefore able to reflect, through tangible features, “communist planning”. Nor has the comparative analysis demonstrated how the nominated property would be an outstanding example of communist planning that would reflect the events it is said to be associated with and as such it has not justified consideration of the nominated property for the World Heritage List.

The comparison in the nomination dossier reveals that “Solidarity”, as a peaceful movement for freedom, was not a singularity. However, the State Party argues that the combination of what are considered to be universally significant 20<sup>th</sup> century European values – namely solidarity, freedom and democracy – and the features represented by the Shipyard facilities associated with those values, is not represented on the World Heritage List and that there are no other comparable sites throughout the world. ICOMOS considers that in its effort to prove the uniqueness of the nominated site, the State Party has not demonstrated to what extent this is exceptional as there remains a difficulty in positioning the actions of “Solidarity” within the wider 20<sup>th</sup> century context and in establishing their significance. In ICOMOS’s view, this difficulty derives from the ambitions of the nomination dossier to memorialise events for which the understanding and interpretations are still evolving, with some of the protagonists of these events still being alive. Any assessment of the significance of the place has to take cognisance of the value of the activities that the place represents – and, in ICOMOS’s view, it is too early to make a judgment, as the historical periods that might be allocated to the second half of the 20<sup>th</sup> century have yet to be defined, within which ultimately comparisons will need to be undertaken.

The comparisons have also revealed that the struggle of “Solidarity” was preceded and accompanied by other protests in Gdańsk, Poland and other countries of the former Eastern Bloc and that other places convey in a powerful manner the struggle for freedom in Eastern Europe, the site of the Berlin Wall being one key example. Other locations might be cherished by the people of the countries of the former Eastern Bloc as illustrative of their regained right of self-determination and their role in the fall of the Iron “Curtain” or the “Unification of Europe”, and singling out only “Solidarity” and its actions at the Gdańsk Shipyard appears limitative and may be sensitive.

Furthermore, these events are still recent history, with some question whether the Cold War has ended. In the absence of a longer-term perspective, any assessments of their impacts cannot be based in any meaningful way on a shared understanding at wider than local level, and such assessments might even prove divisive. More time is needed before it is possible to set the events at the Shipyard into a wider global historical framework.

ICOMOS considers that neither of the cultural criteria has been demonstrated. The Gdańsk Shipyard, as a technological and architectural ensemble resulting from several stages of construction and adaptation dating back to the mid-19<sup>th</sup> century illustrates, in its layout, material substance, and design, the periods of its construction and subsequent transformations. However, the nomination dossier clearly states that *“the place is [...] primarily significant not as either a building or a specific architectural or technological ensemble [...] but [...] as a large-scale industrial production ensemble that is an exemplar of communist planning”* and *“provided fertile ground for the emergence of the “Solidarity” trade union movement [...]”*. The Gdańsk Shipyard is therefore nominated essentially as a place of association with the “Solidarity” trade union.

With regard to criterion (vi), ICOMOS considers that the nomination has not demonstrated the direct and tangible association between the nominated property and the impact of “Solidarity” on historic events such as the fall of the Iron Curtain, the end of the Cold War and the “unification of Europe”. ICOMOS acknowledges that the nomination has linked specific places with specific actions of the “Solidarity” trade union, and recognises that “Solidarity”, supported by the Western powers, played a key role in the opposition to the communist regime in Poland. However, the tangible and direct association between the Gdańsk Shipyard and the above-mentioned historic events has not been clearly set out. Furthermore, ICOMOS considers that expanding the role of “Solidarity” to define it as the key and direct factor in the fall of the Iron Curtain, the end of the Cold War and the “unification of Europe” appears problematic and is challenged by different appraisals of these complex processes. Varying historical interpretations exist for the period of history to which this nomination relates, besides the one presented in the nomination dossier. Serious arguments point to the internal economic decline of the Soviet Union as a result of technological and systemic weaknesses, and the pressure of the arms race with the United States, as causes of the

fall of the Iron Curtain. From this angle, the Soviet intervention in Afghanistan in 1979 may be seen as the turning point of the “imperial overstretch” which led to the events of 1989. *Détente* policy and the Conference on Security and Cooperation in Europe (CSCE) process can also be interpreted as factors in the disintegration of the communist world, symbolized for instance in the Helsinki Conference of 1975. Under these perspectives, historical actors such as the Reagan & Bush administrations or General Secretary Gorbachev would play a larger role than the “Solidarity” movement, as executors of a relatively peaceful and orderly transition to post-communism. It is evident that narratives associated with these events appear to be still in the making and interpretations are likely to continue to change as further time passes. Therefore, it is difficult to evaluate recent events and the scope of their impact on recent history or even to define a recent stage in human history.

Neither the conditions of integrity nor those of authenticity have been met in relation to the ability of the property to reflect the proposed justification for inscription. In terms of integrity, ICOMOS observes that the nomination dossier gives an account of the links between buildings and some spaces of the nominated shipyard with the activities of “Solidarity”. However, direct associations between the impact of “Solidarity” on the noted events and the tangible aspects of the nominated property have not been clearly set out. Therefore, it is difficult to define what would be the potential attributes that could satisfy integrity. However, a number of buildings and facilities suffer from lack of use and basic maintenance, and some have been lost over the last three decades of abandonment, including a good part of the equipment. The area has lost, to a great extent, its original function – shipbuilding and related activities – and the nominated former industrial complex and its immediate setting awaits being converted into a new urban sector. Existing redevelopment plans will disturb the coherence and the physical and spatial integrity of the Shipyard as well as its integrity as a site for memorialisation.

In terms of authenticity, ICOMOS considers that the role of “Solidarity” in the fall of the Iron Curtain, the end of the Cold War and the “unification of Europe” cannot be directly and explicitly read and understood at the Shipyard. Clear links between the influence of “Solidarity” on the course of history at the global level and tangible aspects of the nominated property are not set out and it is therefore difficult to understand how the proposed Outstanding Universal Value is conveyed by which attributes.

As mentioned in previous sections, there is no shared agreement yet on whether the fall of the Iron Curtain, the end of the Cold War and the “unification of Europe” can be linked primarily to the Shipyard and thus whether the identified attributes in the nominated property would be sufficient or whether they would credibly convey the proposed justification for inscription.



The area has lost to a great extent its original function and the former industrial area awaits being converted into an urban sector through a large-scale urban regeneration programme, with plans that threaten the physical and spatial integrity of the Shipyard. The residual sense of place and character of a large-scale production facility that can still be perceived today at the nominated property is likely to be seriously further eroded by the scale of the planned re-functionalisation and urban regeneration of the area.

A range of protective designations apply to the nominated property and the State Party has planned their strengthening, and the protection system appears well tested. However, current valid local plans – predating the idea of a nomination of this area - covering the nominated property and its buffer zone allow significant building development. More than 90% of the built assets in the nominated property and almost 80% in the buffer zone are in private ownership. Some developments have already taken place, and some have been approved already. Legal protection designations have since been afforded to areas of the nominated property and its constituent buildings and structures. However, the immense pressures for massive building developments for the regeneration of the disused former industrial area will inevitably impact adversely the tangible and intangible heritage dimensions of the Shipyard. It will also detract from the ability to understand and appreciate its historic development, layout and associations.

A Management Plan Coordinator has been appointed and the function entrusted to a dedicated task force in the National Institute of Cultural Heritage (NID). However, no management structure or steering committee has been established yet; the management plan is in its final draft but has not been adopted yet; additionally, it does not seem to have reached the necessary level of maturity and consolidated agreement around its content. A cooperation agreement has been signed between NID and one of the owners of the historic shipyards. Stakeholder meetings on the management plan were held in July and September 2020 and one workshop aiming to build a coherent development strategy was held in August 2020. The outcomes of the workshop reflect the efforts made by the State authorities to establish dialogue and cooperation with the main stakeholders; however, they are not conclusive in terms of what could be the way forward, a common and agreed vision is yet to be achieved and how such a vision will be translated in terms of development proposals, how conflicts raised by current proposals be resolved in procedural terms, or whether the current planning provisions can or will be modified and the proposed development downsized.

Despite the progress reported, a management structure or coordination committee among all relevant stakeholders and rights holders and related mechanisms has not yet been set up and it is not clear when this will happen and what institutions and entities will be part of it. ICOMOS considers that, now, given the pressures, the high volume of privately-owned property within the nominated property and its buffer zone, and the need for further

dialogue between public institutions and landowners, neither the protection nor management instruments can guarantee effective outcomes in terms of conservation and protection.

Furthermore, ICOMOS has received written information that not all owners of plots within the nominated property have been informed in a timely fashion about the submission of this nomination dossier and of the draft management plan. This suggests that negotiations and dialogue with the owners and investors do not seem to have reached the necessary level of maturity and agreement on a common, shared vision for the future of the nominated property.

In principle, any nomination needs consensus and agreement from owners and key stakeholders, even more so for one submitted for memorial associations, as national messages of memorialisation need to be fully supported by stakeholders and rights holders. On this point, a letter from Lech Walesa – the leader of “Solidarity”, Nobel Prize laureate and former President of Poland - via the Board of Lech Walesa Institute, was received in February 2021. It expresses concerns about the way negotiations with the actual owners of the Shipyard would be carried out by the Polish Authorities and informs that Walesa’s interest in the international commemoration of the Gdańsk Shipyard as the birthplace of “Solidarity” exists insofar as the interests and rights of current owners are respected, and citizens consulted. ICOMOS also notes that the lack of such consensus by the owners could have practical implications, in terms of how the sustainability of the conservation of the nominated area – more than 52ha mostly in private ownership – might be guaranteed without the support and cooperation of the owners.

In summary, ICOMOS notes that serious issues emerge from this nomination. A key challenge arises from the fact that the events the nomination wishes to commemorate are still very recent, keeping in mind the dramatic changes and complex processes that these events triggered. Memories are still evolving, and historical interpretations differ as there is no consensus about whether “Solidarity” or other freedom movements and protests in the former Eastern Bloc countries can be seen as the decisive trigger for the fall of the Iron Curtain, the collapse of the Soviet empire and the end of the Cold War, and scholarship points towards several other factors and co-factors, as explained above. This poses challenges and risks with regard to the possibility of crystallising in a definitive manner the scale and scope of the impact of the “Solidarity” movement as it would be required for World Heritage recognition. This is founded on the notion of Outstanding Universal Value and on the need to adopt an agreed Statement of Outstanding Universal Value, which is expected to remain valid indefinitely, with very little room for subsequent modifications.

Finally, worldwide, questions also arise about what the universality of the nomination’s message might be for countries where communism is still an adopted ideology. However, this nomination may also be divisive within the

former Eastern Bloc, if one considers that there may be people from those countries – still alive - that shared the Communist ideals and ideology and have found themselves on the side of the “losers” with the collapse of the system and subsequent events.

There are also a number of technical weaknesses that ICOMOS has identified through the evaluation process and that have been illustrated above: the comparative analysis does not support consideration of the nominated property for the World Heritage List under the proposed justification for inscription. Neither of the proposed criteria (iv) and (vi) have been justified, in ICOMOS's view. Therefore, the conditions of integrity and authenticity have not been fulfilled. The proposed development to ensure the regeneration and integration of this former industrial area, now mostly out of use, threatens the heritage significance of the nominated property and its residual sense of place.

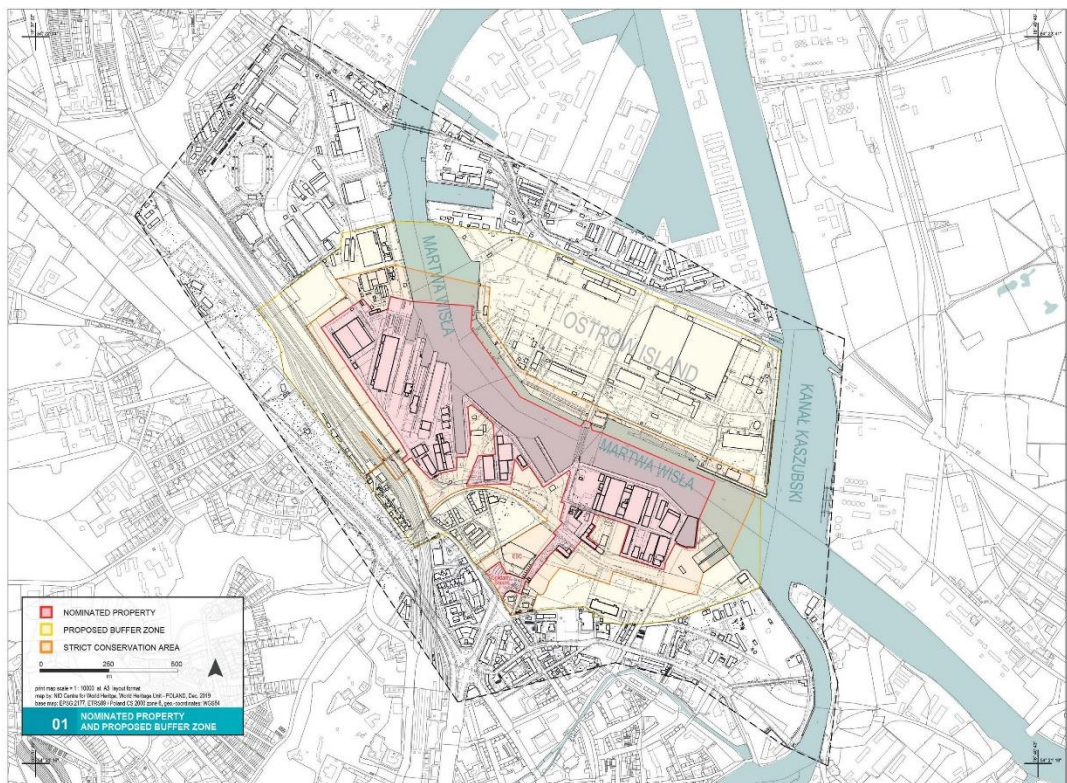
ICOMOS observes that the important inheritance of “Solidarity” has already received international recognition: for instance, the “Twenty-One Demands, Gdańsk, August 1980. The birth of the “Solidarity” trades union – a massive social movement” was included in the UNESCO Memory of the World Register in 2003, and “The historic Gdańsk Shipyard” was awarded a European Heritage Label in 2014 as the birthplace of “Solidarity”. ICOMOS however notes that the rationale of these programmes differs from the World Heritage Convention and responds to different requirements.

ICOMOS finally notes that the nature of the nomination, related to the memorialisation of and association with “Solidarity” as a liberation movement suggests that other programmes might be more suitable for the ‘Gdańsk Shipyard – the birthplace of “Solidarity” and the symbol of the fall of the Iron Curtain in Europe’ than the World Heritage Convention and its List.

## 7 Recommendations

### Recommendations with respect to inscription

Bearing in mind article 12 of the World Heritage Convention, which states that *“The fact that a property belonging to the cultural or natural heritage has not been included in either of the two lists mentioned in paragraphs 2 and 4 of Article 11 shall in no way be construed to mean that it does not have an outstanding universal value for purposes other than those resulting from inclusion in these lists”*, ICOMOS recommends that Gdańsk Shipyard – the birthplace of “Solidarity” and the symbol of the Fall of the Iron Curtain in Europe, Poland, should **not be inscribed** on the World Heritage List.



Map showing the boundaries of the nominated property and its buffer zone



## **IV Cultural properties**

### **A Arab States**

Deferred nomination

### **B Asia – Pacific**

New nomination

### **C Europe – North America**

New nominations

Creation/modification of buffer zones

### **D Latin America and the Caribbean**

New nomination

Extension

Creation/modification of buffer zones



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# Kladruby nad Labem (Czechia) No 1589bis

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## 1 Basic data

**State Party**  
Czechia

**Name of property**  
Landscape for Breeding and Training of Ceremonial Carriage Horses at Kladruby nad Labem

**Location**  
Pardubický Region

**Inscription**  
2019

### Brief description

The property is situated on the Elbe (Labe) River flood plain where there is sandy soil, ox bow lakes and the relic of a riparian forest. The structure and functional use of plots of land (pastures, meadows, forests, fields, park), network of paths, avenues, trees in regimented lines and arranged clusters as well as the solitary trees, the network of watercourses, ensembles of buildings in the farmsteads and the overall composition including functional relations and links between these components - all this fully serves the needs of breeding and training of the Baroque draught horses of the Kladruher breed which were used during the ceremonies at the Habsburg Imperial Court. The composition of the landscape is the evidence of the intentional artistic approach to the landscape. The property is a rare example of the synthesis of two types of cultural landscape - living and organically developing landscape where its key function dominates and the manmade landscape intentionally designed and created using the principles of the French and English landscape architecture which is an outstanding example of the specialised decorative farm - *ferme ornée*. The Imperial Stud Farm was founded in 1579 and its landscape has been used for this purpose since then.

**Date of ICOMOS approval of this report**  
18 March 2021

## 2 Issues raised

### Background

In 2019 the World Heritage Committee inscribed on the World Heritage List the Landscape for Breeding and Training of Ceremonial Carriage Horses at Kladruby nad Labem under criteria (iv) and (v). The Committee requested the State Party to finalize the expansion of the

buffer zone to the south of the property by including further land across the River Elbe where the boundaries of the buffer zone were too tight or coinciding with those of the nominated property. The present proposal for minor boundary modification intends to respond to that Committee's recommendation and to guarantee that the property is fully covered by an effective layer of protection in all directions.

### Modification

The proposed modification enlarges the buffer zone in the southern part to incorporate within it further land – precisely 257.8ha - across the Elbe river, with the aim to preserve the property from undesirable developments and from potential negative impacts on views, vistas and visual links. The portion of land added to the buffer zone has been carefully identified in the minor boundary modification proposal through a detailed description and the listing of the cadastral plots of land being incorporated. The buffer zone has been increased from 3,248ha as originally proposed to 3,505.8ha.

The expansion of the buffer zone has been carried out by Přelouč Municipal Office pursuant the Heritage Act n.20/87 as amended. The legal provision has come into effect on 25 August 2020, and it extends the protection regime that applies to the existing buffer zone to this newly added area. The protection regime of the buffer zone includes the preservation of the skyline and of long-distance vistas, the preservation of key features of these vistas on and from the property, the preservation of the height level of existing buildings as well as the regulation of potential new construction projects.

According to the Heritage Act, the legal implications for the protection of the buffer zone establish that the Přelouč Municipal Office issues its binding opinions on projects only after receiving the written opinion from the specialized regional body for heritage protection – the Pardubice Regional Office, which is a deconcentrated office of the National Heritage Institute. If requested, the Přelouč Municipal Office shall also discuss with the Regional Office its binding opinion before the process is finalized. Proponents of new projects are requested to present and discuss their proposals with the Pardubice Regional Office during their development, so as to ascertain whether protection requirements are being met.

Pursuant the Building Act no.183/2006 as amended, planning authorities are bound to follow the binding opinions of the Přelouč Municipal Office to issue planning consents within the buffer zone. However, a binding opinion from the specialized body for heritage protection is not compulsory for projects related to structures, terrain modifications and installations which have an overall height inferior to 10m, the highest point of which is less than 229m a.s.l. and which have a footprint inferior to 300sqm.

ICOMOS observes that for the protection mechanisms of the buffer zone to be effective, these should be tied to the need to ensure that activities within the buffer zone do not cause negative impacts on the Outstanding Universal Value of the property, rather than being based on quantitative indicators that do not seem related to the Outstanding Universal Value. Although the protection rationale for the buffer zone expansion focuses on protecting distant views and vista over or towards the property, it would be important that mechanisms are in place to verify whether any project can impact negatively on the attributes supporting the Outstanding Universal Value of the property. At the moment, it is not clear whether the requirements related to the dimensions of possibly proposed modifications suffice to rule out potential negative impacts.

ICOMOS therefore recommends that the State Party sets up as matter of urgency appropriate Heritage Impact Assessment mechanisms able to assess whether any type of project, within the property, its buffer zone and wider setting, can result in negative impact on the attributes supporting the Outstanding Universal Value of the property.

### **3 ICOMOS Recommendations**

#### **Recommendation with respect to inscription**

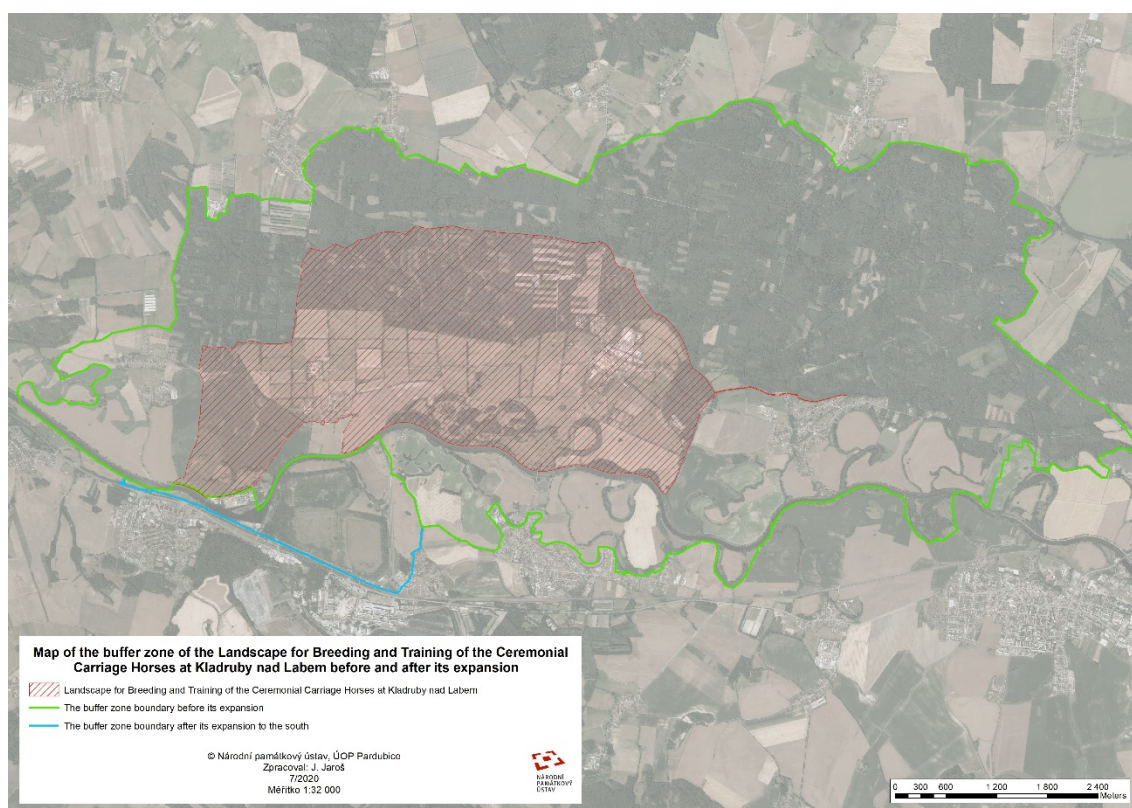
ICOMOS recommends that the proposed buffer zone for Landscape for Breeding and Training of Ceremonial Carriage Horses at Kladruby nad Labem, Czechia, **be approved.**

#### **Additional recommendations**

ICOMOS recommends that the State Party gives consideration to the following:

- a) Setting up as matter of urgency appropriate Heritage Impact Assessment mechanisms able to assess whether any type of project, within the property, its buffer zone and wider setting, can result in negative impact on the attributes supporting the Outstanding Universal Value of the property;





Map showing the revised boundaries of the buffer zone



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## Prehistoric Sites and Decorated Caves of the Vézère Valley (France)

### No 85bis

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#### 1 Basic data

##### State Party

France

##### Name of property

Prehistoric Sites and Decorated Caves of the Vézère Valley

##### Location

Communes of Les Eyzies de Tayac, Tursac, Montignac-sur-Vézère, Saint-Leon-sur-Vézère, Marquay, Manaurie-Rouffignac, Saint-Cirq-du Bugue;  
Department of the Dordogne;  
Nouvelle-Aquitaine region

##### Inscription

1979

##### Brief description

The Vézère valley contains 147 prehistoric sites dating from the Palaeolithic and 25 decorated caves. It is particularly interesting from an ethnological and anthropological, as well as an aesthetic point of view because of its cave paintings, especially those of the Lascaux Cave, whose discovery in 1940 was of great importance for the history of prehistoric art. The hunting scenes show some 100 animal figures, which are remarkable for their detail, rich colours and lifelike quality.

##### Date of ICOMOS approval of this report

18 March 2021

#### 2 Issues raised

##### Background

In 2006, the periodic report for Cycle 1 Section II pointed out that there was no buffer zone when the property was inscribed on the World Heritage List in 1979, and that it was necessary to create one.

From 2006 to 2011, the property's conservation situation was a matter of concern, and it was regularly examined by the World Heritage Committee (Decisions 30 COM 7B.6, 32 COM 7B.88, 33 COM 7B.100, 34 COM 7B.85 and 34 COM 7B.92); the essential issues were conservation problems in the main decorated cave and conservation management. In March 2009, the property was examined by an ICOMOS reactive monitoring mission. Following the closure of underground access to visitors, a project for a replica cave emerged. In accordance with section 172 of the *Operational*

*Guidelines for the Implementation of the World Heritage Convention*, the World Heritage Committee asked to be kept informed at all stages of this tourism project (35 COM 7B.92).

From 2013 to 2015, it seems that the state of conservation of the cave paintings had stabilised and was under control (37 COM 7B.74 and 39 COM 7B.77); the State Party was nevertheless asked to provide information and an impact assessment with regards to the various projects outside the property itself, i.e. the replica of part of the main cave, the access roads and the new vehicle parking areas.

In 2014, the periodic report for Cycle 2 Section II set out the results of the retrospective inventory, particularly as regards the clarification of the property boundaries. The boundaries were shown on a new map approved by the World Heritage Committee (38 COM 8D). However, the property still had no buffer zone.

The report on the property's state of conservation drawn up by the State Party (January 2015) provided an overview of the management of the property following the stabilisation of its state of conservation. The management measures presented comprised very restricted access to the decorated cave, scientific research into the factors involved in the deterioration of the state of conservation, the "sanctuarisation" of the Lascaux hill, and the creation of the "Lascaux IV" replica.

Decision 42 COM 8E in 2018 ratified the retrospective declaration of Outstanding Universal Value proposed by the State Party.

The need to define a buffer zone has long remained a matter of secondary importance, in light of the urgency and imperative need to solve the problems of the sustainable conservation of the property itself. A number of questions concerning the use of the nearby areas and their strict control did however arise, related on the one hand to the conservation of the property and its Outstanding Universal Value, and on the other hand to the communication of the Outstanding Universal Value to the general public and to local inhabitants, in particular by means of the construction of the Lascaux IV replica.

The definition of a buffer zone for the property reflects the application of the "*Code du patrimoine*" (2004) and the "LCAP" Law (2016) relating to the built and archaeological heritage and museums, and particularly the "*Site Patrimonial Remarquable*" scheme (SPR). These legal provisions refer to the requirements set out in the World Heritage Convention, calling on the authorities concerned to establish and manage a buffer zone around the properties inscribed on the World Heritage List, and pointing out the necessity of devising a management system and plan.

## Modification

The serial property is made up of 15 component parts that are separate but geographically close to each other, with a combined area of 105.73 ha. The State Party proposes a single buffer zone of 17,022 ha. It comprises the whole of the Vézère Valley from Montignac to Limeuil, and takes into account the Beunes Valleys.

The State Party has provided several maps indicating the proposed boundaries of the buffer zone, the protection mechanisms in force and the archaeological zones.

The proposed buffer zone corresponds to a clearly identified geographic unit around the Vézère River and its local water catchment area. Human occupation has been present there over a very long period of time. The archaeological potential identified up to now is entirely within the boundaries of the property and its buffer zone.

The State Party points out that the buffer zone perimeter must be defined in such a way as to enable control over human activities and the monitoring of physical factors that could affect the atmosphere underground in the decorated cave. More generally, the proposed buffer zone will ensure the sustainable conservation of the underground archaeological and heritage properties. Of particular importance are controlling tourism flows, modifications to the built structures, and pollution and fire risks. It will also enable a better knowledge of the environmental, climatic and hydrological parameters, which play a major role in the long-term conservation of the decorated caves. The buffer zone will thus contribute to a more global management approach to the component parts of the serial property, whereas management up to now has been envisioned for each site individually.

There are four forms of legal protection that ensure the effectiveness of the buffer zone. The first is the listing as a Historic Monument (MH) of the 15 elements which make up the serial property, which signifies for each one an individual circular protection zone with a radius of 500 m. The second is the protection of Les Eyzies-de-Tayac-Sireuil as a “*Site Patrimonial Remarquable*” Site (SPR, formerly ZPPAUP); all building work in this sector is subject to the approval of the ‘*Architecte des Bâtiments de France*’ and is thus conducted under the control of the state. The third legal mechanism is that of the “*Zones de Présomption et de Prescription Archéologiques*” (ZPPA): in these zones, all town planning applications registered are subject to the decision of the Prefect of the region. The last legal mechanism is that of the Listed Site “*Vallée de la Vézère et sa confluence avec les Beunes - Grotte de Rouffignac - La Ferrassie*” created in 2015; all building work in this sector is subject to ministerial authorisation, based on the recommendation of the ‘*Architecte des Bâtiments de France*’. The listed site is itself surrounded by an inscribed site in which building work also requires the approval of the ‘*Architecte des Bâtiments de France*’ and is thus under the control of the State Party’s administration.

The whole of the proposed buffer zone is covered by at least one of the protection mechanisms indicated above;

moreover the buffer zone itself is classified as one of France’s national “*Grands Sites*”, which entails a set of measures to protect and enhance the property as a whole, set out in the management plan currently being finalised.

ICOMOS considers that the buffer zone boundaries are justified and that appropriate protection mechanisms have been proposed for the whole of the buffer zone.

ICOMOS notes however that no mention is made of approval of the buffer zone by the local communities concerned (municipalities, inter-municipalities), or of any integration of the protective mechanisms enshrined in national legislation in local urban development plans, which are generally necessary to ensure the effectiveness of the measures announced.

ICOMOS further notes the importance, especially for a fragile site such as the Prehistoric Sites and Decorated Caves of the Vézère Valley, of integrating the buffer zone and its protection mechanisms in the overall management plan, which must be put in place by the various parties involved in conservation, and up to now this has not been the case.

A policy of property enhancement which is shared by all the parties involved in management is essential to ensure the sustainable preservation of the property inscribed on the World Heritage List.

## 3 ICOMOS Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the examination of the proposed buffer zone for Prehistoric Sites and Decorated Caves of the Vézère Valley, France, be **referred back** to the State Party in order to allow it to:

- Provide a timeframe for the municipal and/or inter-municipal approvals of the regulatory measures associated with the proposed buffer zone, and their incorporation in local town planning documents, in order to render them operational,
- Provide a timeframe for the finalisation, adoption and implementation of the management plan for the property, especially with regards to tourism management and facilities;



Map showing the boundaries of the proposed buffer zone



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# Routes of Santiago de Compostela in France (France) No 868bis

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## 1 Basic data

### State Party

France

### Name of property

Routes of Santiago de Compostela in France

### Location

Regions:

Auvergne-Rhône-Alpes,  
Bourgogne-Franche-Comté,  
Centre-Val-de-Loire,  
Grand-Est,  
Hauts-de-France,  
Île-de-France,  
Normandie,  
Nouvelle-Aquitaine,  
Occitanie,  
Provence-Alpes-Côte d'Azur

### Inscription

1998

### Brief description

Santiago de Compostela was the supreme goal for countless thousands of pious pilgrims who converged there from all over Europe throughout the Middle Ages. To reach Spain pilgrims had to pass through France, and the group of important historical monuments included in this inscription marks out the four routes by which they did so.

### Date of ICOMOS approval of this report

18 March 2021

## 2 Issues raised

### Background

The serial property was inscribed on the World Heritage List in 1998 on the basis of criteria (ii), (iv) and (vi) with no buffer zone.

The second cycle periodic report (2014) states that, as part of the retrospective inventory, a proposal for the mapping of buffer zones is being drawn up by the State Party. It will be based on the existing protective measures: Historic Monuments and their associated boundaries, Architecture and Heritage Enhancement Areas (AVAP), conservation sectors and protected sites. The periodic report also indicates the existence of pressures on the

property as a result of housing development and infrastructure projects. The lack of a management system and management plan is also noted. The State Party points out that a Prefect Coordinator was appointed in 2013 to improve interregional coordination.

In 2016, new and more detailed mapping of the boundaries of the component parts of the property was provided by the State Party and adopted by the World Heritage Committee (Decision 40 COM 8D).

In 2017, the retrospective declaration of the property's Outstanding Universal Value was adopted (41 COM 8E).

### Modification

The State Party has defined the buffer zone boundaries for 77 of the property's 78 component parts. The total area of the property is 98.7147 ha, and the total area of the proposed buffer zones is 272,778.04 ha.

For administrative reasons relating to changes in the boundaries of French regions, the State Party has modified the numbering of the property's component parts compared with the original inscription and the mapping of 2016. However, the lack of a table of correspondence makes comparisons with the earlier documents difficult. The State Party has provided an atlas of maps for the buffer zones, setting out their justification, which is said to be in direct continuity with the atlas of 2016 as regards methodology. It sets out a reasoned inventory of the elements of each component part of the property, based on documentary information, and identification of the property's attributes. The methodology applied to define the buffer zones is based on the visible elements of the property in their surroundings, with special emphasis on vision cones at a distance from the properties. This approach is supplemented by a study of existing protective measures, which are represented on maps.

The State Party indicates that the buffer zone boundaries were considered during a period of consultation with the local authorities and the local bodies that manage the property. This was made possible by the setting up in 2015 of new bodies for the management of the property: the Agency of the Routes of Saint-Jacques-de-Compostelle, and the Interregional Coordinating Committee of the Property.

The outcome of this is the proposal to create buffer zones for 70 of the 71 monuments or groups of buildings, as well as for the seven sections of the trail. Furthermore, several elements of the serial property benefit from other World Heritage List inscriptions: namely the Basilica of Vézelay; Bourges Cathedral; Amiens Cathedral; the Tour Saint-Jacques in Paris; Mont Saint-Michel; Bordeaux; and the Church of Saint-Honorat and the Necropolis of Alysamps in Arles. The component parts of the present property located within the above properties share their buffer zones, which have already been defined, except for Arles, where there is no buffer zone.



The atlas is said to be the result of an in-depth study, and includes an illustrated justification of the buffer zone for each of the property's component parts. The buffer zones are protected by three main mechanisms: the areas surrounding "listed monuments", all of which have a protection perimeter with a radius of at least 500 metres, which is extended in many cases; "*Sites Patrimoniaux Remarquables*" (SPR, which supersedes the previous AVAP and protected sectors schemes); and sites that are listed or inscribed for environmental reasons. ICOMOS notes that these protective measures need to be incorporated into local urbanism plans (PLU's) in order to be effective and applied by the communal authorities in charge of permits for works and buildings.

The cartographic atlas submitted presents some difficulties with the interpretation of the maps, particularly as regards existing protective measures inside the proposed buffer zones. The boundaries of the proposed buffer zones are not shown on the maps of the protection zones, which makes it difficult to follow the rationale underlying the proposed buffer zone boundaries. ICOMOS also notes a difference in scale between the maps representing the proposed buffer zone boundaries and the protection zones maps. The use of bright and dark coloured areas for certain existing protection zones also makes it difficult to visualise the location of the property, and of the urban fabric and road network around it.

Relations with local authorities are mentioned in the introduction to the atlas, which states that the authorities were systematically consulted; ICOMOS notes however that the local authorities are not mentioned in the body of the document, with a few rare exceptions. This is the case for example with component part 040, in Poitiers, where it is stated that the local urbanism plan has not yet been drawn up; but such mentions are the exception. Clearly, the approval of the buffer zones and the involvement of the communes in implementing the protective measures are necessary to enable a declaration that each proposed buffer zone is effectively in place.

ICOMOS considers that most of the proposed buffer zones are protected by the mechanisms mentioned, but notes problems relating to the buffer zone boundaries for the component parts set out below:

Component parts 010, 013, 016, 020, 027, 028, 048, 056, 057 and 067:

ICOMOS notes that the proposed buffer zone extends beyond the 500 metre protection zone for Historic Monuments, but that no supplementary protective mechanism has been added to cover this zone.

Component part 011

ICOMOS notes that the route southeast of the property and the associated neighbourhood to the south do not seem to be covered by any protective mechanism.

Component part 017

ICOMOS notes that the "*Site Patrimonial Remarquable*" zone does not fully match up with the proposed buffer zone (built zone in the west). Furthermore, to the west of the property, the buffer zone does not include a neighbourhood that abuts the immediate vicinity of the property. ICOMOS also notes that no Historic Monument protection is mentioned for this property, which does not seem therefore to enjoy the benefit of the 500 metre protection zone.

Component part 023

ICOMOS notes that the proposed buffer zone is larger than the zone covered by existing protective measures.

Component part 044 and 045

ICOMOS notes that part of the proposed buffer zone extends beyond the listed site protection area, in the south and southeast.

Component part 055

ICOMOS notes that the northern part of the buffer zone does not benefit from any protective mechanism.

Component part 062

The old hospital is mentioned as partially listed, but not as an Historic Monument, nor as soon-to-be listed. This component part is therefore not adequately protected, nor is its associated buffer zone; no other protective mechanisms for the buffer zone are mentioned.

The component part 071, consisting of the Church of Saint-Honorat and the Necropolis of Alyscamps in Arles, presents a particular situation. The component part forms part of another property inscribed on the World Heritage List (Arles, Roman and Romanesque monuments, inscribed in 1981 on the basis of criteria (ii) and (iv)). This property, which initially had no buffer zone, formed the subject of a minor boundary modification proposal for the creation of a buffer zone, which was referred back by the World Heritage Committee (decision 43 COM 8B.43).

As regards the seven sections of the long-distance trail, which are in fact constituent elements of the property, a mission has been carried out to make an inventory of the physical and landscape attributes of the property. The proposed buffer zone boundaries have been defined on this basis, following two criteria: the first is that of the visibility of the attributes to pilgrims advancing along the route, leading to the definition of successive landscape sequences of built settings (towns, villages, hamlets, farms, etc.), agricultural settings (crop areas, pasture, etc.) or natural settings (forests, hedgerows, heaths, etc.); the heritage attributes (chapels, crosses, calvaries, etc.) constitute the noteworthy points of these sequences. This approach forms the basis for a succession of proposals with justifications for precise buffer zones, ranging from small local territories to linear spaces of several metres, on either side of the trail. The second criterion adopted for the definition of buffer zones corresponds to protected spaces that already exist around the trail, such as areas



protected by their location in natural parks in the case of three constituent elements in these sections of the route.

ICOMOS notes however that there are issues with some portions of the route, of which details are provided below.

#### Component part 072:

The ensemble is mentioned as being protected by the Aubrac Regional Nature Park; however, the map of local protections shows only the Historic Monuments, with no mention of the Park's boundaries (p. 674), and the procedures for implementing protection for this component part are not indicated.

#### Component part 073:

There does not seem to be any overall protection for this component part; only the zone within 500 metres of listed Historic Monuments is mentioned as a protective mechanism, via the general map (p. 692); two of the properties in the series (046 and 047) are crossed by this section of the route; numerous small local territorial spaces are defined as buffer zones, some of which are clearly outside the Historic Monuments zones, and thus are not covered by any protective mechanism.

#### Component part 074:

The situation is similar to the previous component: many parts of the route and the proposed buffer zones are not covered by any protective mechanism; one property in the series is included in the proposed boundaries (062), but it is itself not listed as an Historic Monument and therefore has no protected buffer zone; a listed site is shown on the map (p. 707) but, being located to the north of the route, it does not concern the proposed section;

#### Component part 075:

Protection via the Regional National Park of Les Causses du Quercy is mentioned; however, the protection map does not indicate it, and the terms of its implementation for the protection of the route are not specified;

#### Component part 076:

The situation is identical to that of component 073; properties 060 and 061 form part of this section; apart from these, no protection other than for Historic Monuments is present;

#### Component part 077:

The situation is similar to that of component part 073; the urban centres of Lectoure ("*Site Patrimonial Remarquable*") and Condom (with several sites that are listed as Historic Monuments) are appropriately protected, but at La Romieu, the proposed buffer zone extends beyond the Historic Monument zone; other segments of the proposed buffer zone along the route are without protection;

#### Component part 078:

With the exception of the Lieu-dit Saint-Nicolas (a listed Historic Monument), none of the space proposed as a buffer zone has the benefit of any protection.

ICOMOS notes the substantial effort of the State Party in carrying out the documentary study to propose buffer zones that are both precise and justified. The atlas provided contains a large amount of information that supplements the original inscription proposal dossier, particularly as regards the evolution of important buildings and their insertion into the urban fabric, the visual perceptions of the monuments, and the routes taken by pilgrims and hikers. The information takes into account the urban, rural and landscape environment attributes of 77 of the 78 component parts of the serial property. For the monuments and ensembles, the proposals take into account for example the angles of major visibility of the attributes, including visibility from a certain distance. For the trails, the approaches and their cultural and environmental quality are taken into account, so that buffer zones can be proposed that are appropriate for each situation.

The working method used to define the buffer zones is considered by ICOMOS to be appropriate. The boundaries of the proposed buffer zones are appropriate for most of the component parts of the serial property, although some issues should be noted for some component parts, such as component part 017 (Pons), where the boundaries are to be revised, and Arles, where the buffer zone boundaries need to be confirmed.

As regards the protective mechanisms for the proposed buffer zones, ICOMOS considers that the situation is not satisfactory at this stage for a large number of the component parts of the serial property. The necessary process of adapting the protective systems has not yet accompanied the effort to define and justify the buffer zones. The protective measures rest solely on national regulations (Historic Monuments, "*Sites Patrimoniaux Remarquables*" and "*Sites Naturels Remarquables*"). The boundaries of the protected areas are applied within territorial definitions (500 metre Historic Monuments zone) which in some cases do not take the complexity of component parts of the serial property into consideration.

ICOMOS also notes that the communal and regional protective measures are only rarely mentioned, and have not been included in the cartographic inventory of protective measures.

### 3 ICOMOS Recommendations

#### Recommendations with respect to inscription

ICOMOS recommends that the examination of the proposed buffer zones for Routes of Santiago de Compostela in France, France, be **referred back** to the State Party in order to allow it to:

- Revise the buffer zone boundary of component part 017, Pons;
- Ensure that all buffer zones of the property are covered by appropriate protection mechanisms, so that the entirety of each buffer zone is protected by the protection systems in place, in particular for the following components: 010, L'Epine; 011, Compiègne; 013, Folleville; 016, Aulnay; 020, Buisson-de-Cadouin; 023, Bazas; 027 et 028, La Sauve; 044 et 045, Conques; 048, Saint-Chely; 055, Auch; 056, Beaumont / Larressingle; 057, La Romieu; 062, Figeac; 067, Jézeau;
- For the monumental component parts and the built ensembles, provide the schedule for the municipal approvals of the buffer zones and their protective measures;
- For the sections of the route (component parts 072 to 078), ensure that all buffer zones of the property are covered by appropriate protection mechanisms, so that the entirety of each buffer zone is protected by the protection systems in place, and specify the regional and local protections in force;
- For the route sections (component parts 072 to 078), indicate the means of controlling and regulating possible development projects with a strong distant visual impact.

#### Supplementary recommendation

ICOMOS further recommends that the State Party give consideration to the following points:

- a) Submitting the property's management plan, once finalised, to the World Heritage Centre for examination,
- b) Updating the mapping so that the protected zones and the boundaries of the proposed buffer zones are shown on the same map for the sake of clarity and legibility;





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# Portovenere, Cinque Terre, and the Islands (Palmaria, Tino and Tinetto) (Italy)

## No 826bis

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### 1 Basic data

#### State Party

Italy

#### Name of property

Portovenere, Cinque Terre, and the Islands (Palmaria, Tino and Tinetto)

#### Location

Province of La Spezia  
Liguria Region

#### Inscription

1997

#### Brief description

The Ligurian coast between Cinque Terre and Portovenere is a cultural landscape of great scenic and cultural value. The layout and disposition of the small towns and the shaping of the surrounding landscape, overcoming the disadvantages of a steep, uneven terrain, encapsulate the continuous history of human settlement in this region over the past millennium.

#### Date of ICOMOS approval of this report

18 March 2021

### 2 Issues raised

#### Background

When the property was inscribed in 1997 on the basis of criteria (ii), (iv) and (v), the State Party had not proposed a buffer zone. Subsequent to its inscription, the site gained further legislative and policy regulations, including the establishment of the Cinque Terre National Park in 1999 and the Regional Natural Park of Porto Venere in 2001. Furthermore, territorial planning regulations such as the Plan for the National Park (adopted in 2002) or the Plan for the Regional Park of Porto Venere and the Islands (approved in 2007) were at the centre of conservation and management of the property. In July 2007, an Inter-institutional Guarantee Technical Committee was set up for the elaboration and implementation of a management plan for the property. In 2012, a joint WHC/ICOMOS Advisory Mission provided several recommendations and, at its 37<sup>th</sup> session (Phnom Penh, 2013), the World Heritage Committee adopted the Decision 37 COM 7B.78, which included the request to define a buffer zone for the appropriate protection of the wider landscape and submit

the proposal to the World Heritage Centre by 1 February 2015. In 2015, a proposal for a Minor Boundary Modification was submitted for examination by the World Heritage Committee in its 39<sup>th</sup> session (Bonn, 2015). In its evaluation, ICOMOS noted that, by including in the buffer zone unrecognized areas with similar values and functional links than those of the inscribed property, though with a minor degree of authenticity and integrity, the continuity with the characteristics of the inscribed property will be achieved on a larger scale. However, ICOMOS noted a discrepancy in the inclusion of marine areas associated with the property, as in the northwest part, the buffer zone included the boundaries of the Cinque Terre Protected Marine Natural Area while in the southwest part only a small protected zone was included, between the Island of Palmaria and the continent. ICOMOS considered that most of the marine zone of the southeastern and the eastern coast of the Island of Palmaria were not protected, and that the Islands would benefit from further protection. ICOMOS also noted that it was not clear which organisation or body would be responsible for the implementation of the regulations within the proposed buffer zone and how this authority would coordinate with the body responsible for the inscribed property.

The World Heritage Committee decided to refer back the minor boundary modification by its Decision 39 COM 8B.45:

*The World Heritage Committee,*

1. Having examined Documents WHC-15/39.COM/8B.Add and WHC-15/39.COM/INF.8B1.Add,
2. Refers the examination of the proposed minor modification to the boundary of the buffer zone of Portovenere, Cinque Terre, and the Islands (Palmaria, Tino and Tinetto), Italy, back to the State Party in order to allow it to:
  - a) Consider the possibility to extend the boundaries of the marine areas in the South-eastern part of the buffer zone to increase the protection around the Islands of Palmaria, Tino and Tinetto;
  - b) Explain in detail how the management system function in practice and clarify the implementation and management of the buffer zone in terms of the responsible agents and in relation to the inscribed property;
  - c) Provide a timetable for the official approval and implementation of the Regional Territorial Plan;
  - d) Finalize the management plan.

#### Modification

Following this World Heritage Committee Decision, the State Party submits again the creation of a buffer zone, which is different from the previous proposal, as it has been extended from 10.780 hectares to 15.695 hectares. It consists of the same area proposed in 2015 of 5.607,5 hectares on land, and an extended area of 10.087,5 ha on sea from the 5.172,5 ha proposed in 2015. This extension of the original proposal includes the South-eastern marine area to protect the Islands of Palmaria, Tino and Tinetto as recommended by the World Heritage Committee.

The proposed buffer zone is clearly delineated on the map provided by the State Party. It includes significant features such as protected natural marine areas, existing landscape protection areas, sites of community importance, ecological corridors, islands, significant bays and ridgelines, forests and municipalities. To the north, the property is protected with a wide area in the territory of Levanto, including areas up to the ridgeline to visually screen built up areas from the property. To the east, an Apennines wooden area is included in the buffer zone and to the south the numerous inlets within the territory of Portovenere facing the Gulf of La Spezia, including the Roman settlement of the Old Varignano are added. The western ocean buffer includes wide marine strips already inserted within the Cinque Terre Protected Marine Area. The newly added South-eastern area includes the Regional Park of Portovenere and marine Site of Community Importance Fondali Isole Palmaria, Tino, Tinetto and the Municipal Respect Area of Portovenere Bay. This area is adjacent to the entry/exit area of the La Spezia Port, the Military Zone and has traffic restrictions in place.

With an implementation protocol including the Liguria Region, the Municipality of La Spezia, the Cinque Terre National Park, the Regional Natural Park of Porto Venere, the municipalities of Vernazza, Porto Venere, Levanto, Monterosso al Mare, Pignogne, Beverino, Riomaggiore and Riccò del Golfo, a UNESCO office has been created in 2018 as a reference technical organizational structure for the property and the proposed buffer zone. In addition, the Community of Municipalities of the Buffer Zone has been formed by the Mayors of the Municipalities whose territories are totally or partially included in it, as a coordinating body for ensuring connection and integration of the objectives of the World Heritage property, the buffer zone and the municipalities. The formal establishment of the buffer zone will be implemented by the relevant regional and municipal institutions and will be incorporated into the Regional Territorial Plan which is still under elaboration. This plan affects the provisions of municipal master plans by involving agents of administration through a process of awareness-building of their role in the protection and management of the World Heritage property and its Outstanding Universal Value.

ICOMOS considers that the management plan of Cinque Terre National Park should be finalized and implemented, and should consider within its aims, the maintenance of the property's Outstanding Universal Value with adequate provisions.

ICOMOS considers that the proposed and extended buffer zone will give an added layer of protection to the World Heritage property. The bodies established for the coordination and implementation of the buffer zone mechanisms in conjunction with the property management seem adequate, involving local governments and the different layers of protection related to the property and the proposed buffer zone. The multiple layers of protection will enable all involved parties to consider the importance of the wider setting of the property and support its protection.

ICOMOS considers that it is necessary that the property management system incorporates all relevant instruments related to the proposed buffer zone.

### 3 ICOMOS Recommendations

#### Recommendation with respect to inscription

ICOMOS recommends that the proposed buffer zone for Portovenere, Cinque Terre, and the Islands (Palmaria, Tino and Tinetto), Italy, be **approved**.

#### Additional recommendations

ICOMOS recommends that the State Party gives consideration to the following:

- a) Finalising and implementing the management plan of Cinque Terre National Park, which should consider within its aims, the maintenance of the property's Outstanding Universal Value with adequate provisions reflecting this aim,
- b) Including the perimeter of the buffer zone in all existing instruments and programs at the national, regional and local levels, including the Regional Territorial Plan,
- c) Ensuring with the relevant authorities that the limitation of the navigation of large scale vessels be extended to the whole buffer zone,
- d) Ensuring that synergies in the protection of natural and cultural values of the property with particular attention to the Outstanding Universal Value are pursued through all plans and programs regarding the World Heritage property,
- e) Submitting a report to the World Heritage Centre on the progress made on the implementation of these recommendations including on the preparation and approval of the Regional Territorial Plan;

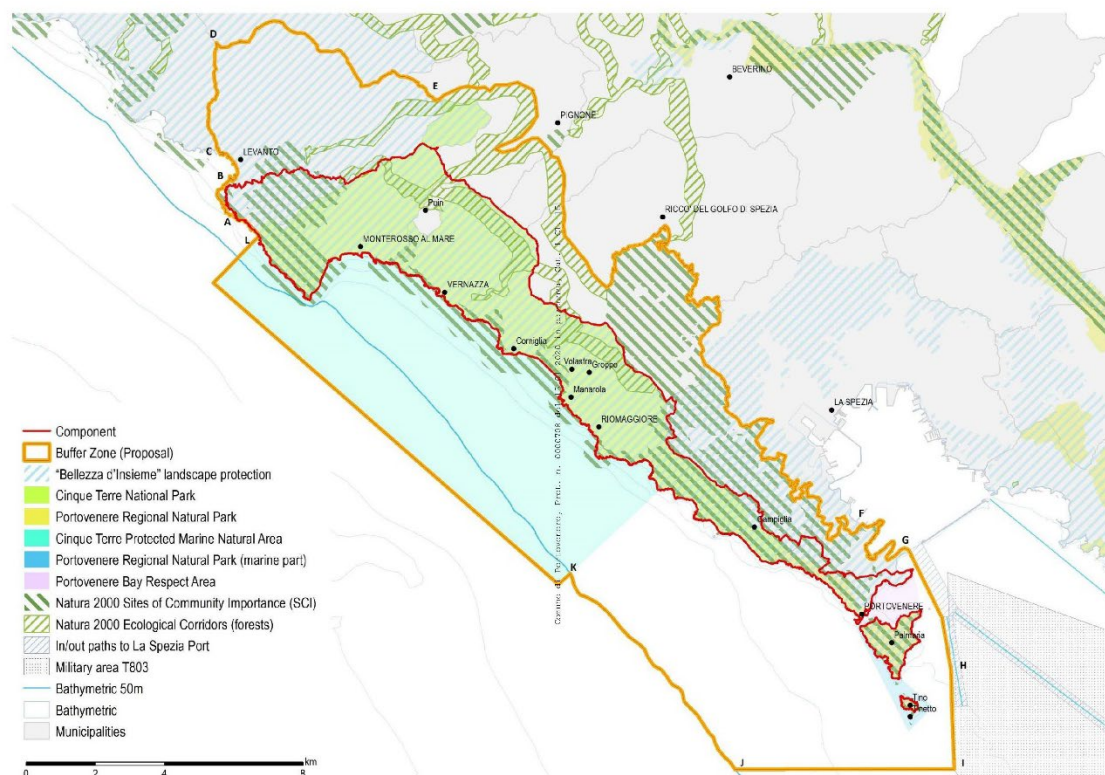


Figure 1. Laws and regulations chosen for the definition of the Buffer Zone proposal

Map showing the boundaries of the proposed buffer zone





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## Pompei and Herculaneum (Italy) No 829bis

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### 1 Basic data

#### State Party

Italy

#### Name of property

Archaeological Areas of Pompei, Herculaneum and Torre Annunziata

#### Location

Campania Region, Province of Naples

#### Inscription

1997

#### Brief description

When Vesuvius erupted on 24 August AD 79, it engulfed the two flourishing Roman towns of Pompei and Herculaneum, as well as the many wealthy villas in the area. These have been progressively excavated and made accessible to the public since the mid-18th century. The vast expanse of the commercial town of Pompei contrasts with the smaller but better-preserved remains of the holiday resort of Herculaneum, while the superb wall paintings of the Villa Oplontis at Torre Annunziata give a vivid impression of the opulent lifestyle enjoyed by the wealthier citizens of the Early Roman Empire.

#### Date of ICOMOS approval of this report

18 March 2021

### 2 Issues raised

#### Background

The property was inscribed on the World Heritage List in 1997 on the basis of criteria (iii), (iv) and (v). It comprises seven component parts.

In 2009, the State Party provided clarifications of the property's boundaries and its size in response to the Retrospective Inventory, confirming the extent of the property at 98.05 ha, and of the buffer zone at 24.35 ha (Decision 33 COM 8D). The latter, fragmented and very limited in scope, was intended to ensure the protection of detected but buried archaeological remains. The buffer zone connects the archaeological site of Pompei to the Villa of the Mysteries (west of the town), the property area of Herculaneum component to the Villa of the Papyri (west of Herculaneum), including the immediate surroundings of both, and Villa A to Villa B at Torre Annunziata.

The archaeological areas of Pompei, Herculaneum and Torre Annunziata (Villa Oplontis) are protected as cultural assets through the provisions of Art. 10 Paragraph 1 of the Code of Cultural Heritage and Landscape (Legislative Decree 42/2004). The component parts of the property, together with the immediate surrounding areas, are currently managed by the Archaeological Park of Pompei and the Archaeological Park of Herculaneum – two autonomous institutions established through Ministerial Decree 44/2016. The Parks perform all of the functions of safeguarding cultural and landscape heritage as outlined in the Code of Cultural Heritage and Landscape. The current fragmented buffer zone lies within the jurisdiction of the two Parks, except for a small section northeast of the Herculaneum component. Controls are in place over the excavations of the ancient towns as well as the development of the present-day Pompei and Ercolano. The Territorial Landscape Management Plan of the Vesuvian Municipalities, introduced through the Legislative Decree in 2002, stipulates further restrictions and regulates the use of land within the boundaries of the property and its buffer zone.

In 2011, the joint WHC–ICOMOS mission visited the property and recommended the State Party to draw an extended buffer zone that would safeguard the visual link of the property with Mount Vesuvius.

In 2013, another joint WHC-ICOMOS reactive monitoring mission recommended that “a minor boundary modification to the property [be proposed] at Herculaneum to include the area excavated in the 1990s between the main site and the Villa of the Papyri and to ensure that the mapped property does actually include the known remains of the Villa and of the Theatre”. The same year, the World Heritage Committee requested the State Party to submit a formal proposal for a new buffer zone (Decision 37 COM 7B.77).

In response to the World Heritage Committee's request and the recommendation of the monitoring mission, in 2014 the State Party proposed a minor boundary modification of the property and a minor modification of the boundary of the buffer zone. The first proposed to modify the boundaries of the inscribed property to include: an area of 11.32 ha of still-unexcavated archaeological remains of the ancient town of Herculaneum and its immediate surroundings; three villas (*Villa Arianna*, the Second Complex and *Villa San Marco*) at Stabiae; and *Villa Regina* in Boscoreale. These proposals went beyond the recommendation made by the joint WHC-ICOMOS mission. The State Party explained that the enlarged area in Herculaneum and the additional components in Boscoreale and Stabiae were bearing unparalleled evidence to the daily life and the settlement pattern of the wider landscape surrounding Pompei and Herculaneum in Roman times, enriching the representation of Roman ways of life conveyed by the inscribed property. The total proposed area that was to be added covered 36.12 ha.

The new proposed buffer zone encompassed a very large area of 7683.85 ha, stretching from Portici in the north to the City of Castellammare di Stabia in the south, and spreading across nine municipalities. The northeast limit of the buffer zone was to be the boundary of the National Park of Vesuvius. The buffer zone was delimited taking into consideration the 'sphere of influence' of the inscribed property from historical and contemporary perspectives; hence, it comprised the wider geographical, archaeological and historical cultural setting of Pompei, Herculaneum and Torre Annunziata. With several other archaeological remains of ancient villas found in this territory, the buffer zone was said to contribute to the understanding of the inscribed property. Covering densely-populated areas, it contained fragments of the former rural landscape which, despite profound modifications that have occurred in the area through the years, were still able to convey at least in part the sense of the past settlement pattern of the region. From a management perspective, the proposed buffer zone was to be part of a Vesuvius tourism system sought to reduce congestion at Pompei. A Great Pompei Unit (GPU), established in 2013 as a decision-making entity, was mandated to pursue socio-economic revitalisation and urban-environmental redevelopment of municipalities, the territories of which were to be affected by the buffer zone.

The World Heritage Committee referred back both the proposed minor modification to the boundary of Archaeological Areas of Pompeii, Herculaneum and Torre Annunziata, and the minor modification to the boundary of the buffer zone of the property (Decision 38 COM 8B.51), and recommended the following:

1. *Refers the examination of the proposed minor modification to the boundary of Archaeological Areas of Pompeii, Herculaneum and Torre Annunziata, Italy, back to the State Party in order to allow it to:*
  - a) *Provide further explanation of the rationale chosen for the proposed new boundaries of the Herculaneum component, based on a study of the known extent and topography of the ancient city,*
  - b) *Explain in detail the management implications of expanding the Herculaneum component, not only with regard to the measures for preventive archaeology but also to the management arrangements and regulations that should be set up for the parts of the contemporary city of Ercolano that would fall within the boundaries of the inscribed property,*
  - c) *Reconsider the proposal for inclusion of the villas in Boscoreale and Stabiae according to the present ICOMOS recommendations and on the basis of the original justification for inscription of the property on the World Heritage List;*
2. *Refers the examination of the proposed minor modification to the boundary of the buffer zone for Archaeological Areas of Pompeii, Herculaneum and Torre Annunziata, Italy, back to the State Party in order to allow it to:*
  - a) *Further explain the rationale for the delineation of the boundaries of the buffer zone, in particular with regard to the protection of the visual links of the inscribed property with Mount Vesuvius,*
  - b) *Provide further detailed information on how the different levels of protection in force within the area work in practice to protect the inscribed property and the buffer zone,*

*c) Describe in detail what are the management arrangements for the buffer zone, with regard to urban development in the area and specifically as to how the views from and towards Mount Vesuvius and the inscribed property are protected.*

With regard to the particular cases of villas in Boscoreale and Stabiae, ICOMOS indicated that further consideration would be needed to justify whether these sites could be regarded as 'associated villas' of Pompei and Herculaneum and how they would contribute to illustrate and to maintain the Outstanding Universal Value of the inscribed property. ICOMOS considered that the inclusion of these villas in the inscribed property, should be regarded as a significant boundary modification in that it would modify substantially the scope of the original inscription, which focused specifically on Pompeii and Herculaneum, by introducing a much broader landscape approach to the inscribed property which is not contained in the justification for inscription nor in the Statement of Outstanding Universal Value.

In 2015, the World Heritage Committee requested the State Party to resubmit the proposal for the buffer zone modification taking into account the Decision 38 COM 8B.51 (Decision 39 COM 7B.80).

In 2019, the State Party was again invited to resubmit the proposal of the new buffer zone, following Decision 38 COM 8B.51, as soon as possible and as a matter of urgency (Decision 43 COM 7B.85).

The same year, a retrospective Statement of Outstanding Universal Value was adopted for the Archaeological Areas of Pompeii, Herculaneum and Torre Annunziata (Decision 43 COM 8E).

### **Modification**

The present minor modification to the boundaries is the proposal of a new buffer zone, based on a different approach than the one expressed by Decision 38 COM 8B.51.

The State Party explains that the change of proposal of the minor modification of the perimeter of the buffer zone was a result of reflection, following Decision 38 COM 8B.51 of the World Heritage Committee, on the complexities of the buffer zone proposed in 2014. Practical aspects related to the effective management of a buffer zone of such extent were also taken into consideration, which led to the decision to abandon the idea of a large buffer zone protecting the values associated with the broad landscape of Vesuvius. The State Party further indicates that there was already in place legislation that protects this landscape and its connection to the three inscribed archaeological areas, including the visual links between the property and Mount Vesuvius, in a satisfactory manner.

The Territorial Landscape Management Plan of the Vesuvian Municipalities of 2002, which includes Pompei, Herculaneum and Torre Annunziata, represents an instrument of control and protection of the territory, and provides for binding legislation on the matter of municipal and provincial urban planning instruments; delimitation of archaeological areas and historic centres which hold historical and/or environmental value; conditions for and restrictions on the land use (including a prohibition on actions which impede the enjoyment of panoramic views). Consequently, the State Party decides to propose a smaller buffer zone, focusing on the protection of the property and its historic urban landscape, rather than the broader Vesuvius landscape.

Accordingly, the present minor modification of the boundary of the buffer zone proposes to replace the existing fragmented buffer zone with two separate buffer zones – one for the core zone of Pompeii, Villa of the Mysteries, and Villa A and Villa B of Torre Annunziata, extending over the area of 726.06 ha, and another, covering the area of 221.3 ha, for Herculaneum, Villa of the Papyri and the Theatre; the two parts totalling 947.36 ha.

The proposed buffer zones were conceptualised with two objectives: reinforcing the protection of the Outstanding Universal Value of the inscribed property and fostering sustainable development in the surrounding areas. Recognising development pressures in the urban areas around the property and the impact of tourism, the State Party proposes historic urban landscape (HUL) approach as a framework for defining the new buffer zones, in view of safeguarding the property within a broader historical and socio-economic context. In defining the perimeter, the State Party also considered legal protection and the feasibility of effective use of control measures, as well as management in the proposed buffer zones. In addition, the existing land use management tools and the vision for the development of the area, together with capacity for the participatory management of the proposed buffer zones were considered. It is expected that the buffer zones will give a stimulus to redevelopment operations and recovery activities in the urban fabric around the inscribed property. Their sizes and perimeters are said to enable effective management of all aspects related to maintenance of the inscribed property and development of the surrounding area.

Five criteria were used to define the delineation of the buffer zones: relationship to the historical urban landscape; archaeological continuity; visual relationships and the protection of the view across Vesuvius and the sea; improvement of site accessibility; integration between protection and the management plan. The proposed buffer zones therefore include not only archaeological areas, which are subject to archaeological protection, but also other historical buildings from different periods, as well as urban areas and industrial infrastructure that are said to be related to the inscribed

property through physical, functional or symbolic aspects. In the case of Herculaneum, the State Party emphasised particularly the importance of the existing relationship, including a visual one, between the archaeological sites and the broader landscape of Vesuvius and the sea (including the Gulf of Naples, the island of Capri and Ischia).

Legal protection within the proposed buffer zones is based mainly on the legislation related to the protection of landscape assets, with additional decrees pertaining to cultural heritage, whether archaeological sites or historical buildings. Landscape values have been recognised for the entire Vesuvian area and land use regulated in this territory by the Territorial Landscape Management Plan of the Vesuvian Municipalities, with restrictions of different degrees introduced, based on the analysis of landscape values. Only part of the land in the proposed buffer zones is State-owned. In the areas recognised as landscape assets, private owners, possessors or holders in any capacity of property and areas of scenic interest may not destroy them or introduce modifications detrimental to the value of the landscape subject to protection; work without authorisation is also prohibited.

The proposed buffer zones fall within the jurisdiction of five different municipalities: Portici, Ercolano, Torre Annunziata, Pompei and Boscoreale. A Memorandum of Understanding was signed in 2020 between the Archaeological Park of Pompei and the Archaeological Park of Herculaneum, in which the two institutions agreed on a coordinated management of the activities related to the property. The agreement designates the Site Representative and defines the operative arrangements between the two bodies for achieving a joint management system. A new Management Plan is currently being drafted; but the timeframe for its finalisation and implementation is not provided. Another Memorandum of Understanding between the Archaeological Park of Pompei, the Archaeological Park of Herculaneum, the Superintendency of the Metropolitan Area of Naples, the Great Pompei Unit, Municipal Authorities, the Region, the Metropolitan Area of Naples and the River Sarno Basin is currently in the process of ratification, but no information is provided on the timeline for its ratification and implementation.

ICOMOS notes that in preparing the new proposal for the minor modification of the boundary of the buffer zone, the State Party shifted its focus from the broader relationship between the inscribed property and the values associated with the landscape of Vesuvius and the surrounding ancient towns, to the historic urban landscape of the ancient towns of Pompeii and Herculaneum.

ICOMOS acknowledges that the State Party withdrew from pursuing inclusion of the villas in Boscoreale and Stabiae as additional components of the inscribed property. It has proposed to include the villa in Boscoreale within the new buffer zones. The villas in Stabiae have not

been considered at all in the present proposal. The idea of expanding the Herculaneum component has also been abandoned in the current proposal, which deals only with the buffer zones of the inscribed property.

ICOMOS takes note of the criteria used to define the revised buffer zones, but considers not clear how they were used to select areas to be included in them. The methodology applied by the State Party to delineate the boundaries of the buffer zones – tools and methods used to define historical spaces of significance, identify cultural and urban values within the proposed buffer zones, and establish relationships, including visual ones, between the inscribed property and other structures and urban spaces of importance – is not provided. Therefore, it is difficult to understand why some of the areas of cultural interest, buildings, spaces or other elements of the historic urban landscape were included within the proposed buffer zones, while others were not; and how their inclusion/exclusion may affect the integrity of the historic urban landscape of the property. It appears that the proposed buffer zones were delimited mainly by the Archaeological Park of Pompei and the Archaeological Park of Herculaneum, to the exclusion of other stakeholders, such as the communities and local municipalities, and prescribed primarily based on the current legislative provisions.

ICOMOS further notes that some of the fragments of the original buffer zone were left outside the proposed revised buffer zones – sections situated northeast of the proposed buffer zone around the Herculaneum component. It is not clear why they were not included in the current buffer zones proposal.

ICOMOS also considers that it is not clear what legal protection exists for areas within the proposed buffer zones that fall outside the mandate of the Territorial Landscape Management Plan of the Vesuvian Municipalities and which are not recognised as cultural heritage (the case of the eastern corner of the proposed buffer zone around Pompei inscribed zone). In addition, the relation with private owners of the land in this case is also not explicit.

ICOMOS further notes that the Torre Annunziata components (Villa A and Villa B) of the inscribed property as well as some sections of the original buffer zone east of the Herculaneum component fall within areas with designation 'urban-building recovery with landscape restoration' rather than 'complete protection' in the Territorial Landscape Management Plan of the Vesuvian Municipalities. In these areas, construction of public facilities is allowed. ICOMOS considers that it is unclear what kind of processes are followed in this case, given that these areas are under protection of the Archaeological Park of Pompei and the Archaeological Park of Herculaneum, and how the archaeological heritage within these sections, whether above ground or underground, is protected.

ICOMOS notes two Memoranda of Understanding signed with regard to management of the property and the proposed buffer zones. However, the modalities of management in the buffer zones, especially with regard to the urban development and socio-economic revitalisation of the areas, are not explained. It is not clear how the notion of the historic urban landscape will be translated into an operational set of management practices and what is the expected timeline for this system to be put in place. As the details of the Memorandum of Understanding between the Archaeological Park of Pompei, the Archaeological Park of Herculaneum, the Superintendency of the Metropolitan Area of Naples, the Great Pompeii Unit, Municipal Authorities, the Region, the Metropolitan Area of Naples and the River Sarno Basin are not provided, the modes of the participatory governance, which the State Party mentions in the proposal, remain unknown; including the relation between the said agreement and the existing Territorial Landscape Management Plan of the Vesuvius Municipalities. Finally, it is unclear how the management of the buffer zones as historic urban landscapes, and within the premise of sustainable development, will be aligned with and complement the existing management plan of the inscribed property.

Finally, ICOMOS recommends that the State Party submits revised maps of an appropriate scale showing the boundaries of the proposed buffer zones with clearly marked elements of the historic urban landscape, of which the submitted proposal speaks, in order to demonstrate their relationship to the inscribed property in view of assessing potential impact of future developments planned by the State Party on the inscribed archaeological areas.

### 3 ICOMOS Recommendations

#### Recommendations with respect to inscription

ICOMOS recommends that the examination of the proposed buffer zones for Archaeological Areas of Pompei, Herculaneum and Torre Annunziata, Italy, be **referred back** to the State Party in order to allow it to:

- Explain the methodology used to delineate the boundaries of the proposed buffer zones, and clarify how the areas of cultural interest, historical spaces of significance, and other elements of the historic urban landscape included in the proposed buffer zones are functionally important as a support to the property and its protection, to be able to establish whether their inclusion/exclusion of the proposed buffer zones may affect the integrity of the historic urban landscape of the property,
- Clarify the reasons why some of the fragments of the original buffer zone were left outside the proposed revised buffer zones,

- Provide further information on legal protection in place within the areas of the buffer zones that neither are considered landscape assets nor are protected as cultural heritage, and the existing agreements between private owners of the land,
- Describe in details the management arrangements with timelines for the proposed buffer zones, especially with regard to urban development and socio-economic revitalisation in the area, in relation to the existing agreements, and clarify how the management of the buffer zones as historic urban landscapes, and within the premise of sustainable development, will be aligned with and complement the existing management plan of the inscribed property,
- Submit revised maps of an appropriate scale in line with *Operational Guidelines* (Annex 5 and 11), showing the boundaries of the proposed buffer zones, and with clearly marked elements of the historic urban landscape of which the submitted proposal speaks, in order to demonstrate their relationship to the inscribed property and allow assessing potential impacts of future developments in the area of the proposed buffer zones on the inscribed archaeological areas;



## **IV Cultural properties**

### **A Arab States**

Deferred nomination

### **B Asia – Pacific**

New nomination

### **C Europe – North America**

New nominations

Creation/modification of buffer zones

### **D Latin America and the Caribbean**

New nomination

Extension

Creation/modification of buffer zones





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# Settlement and Artificial Mummification of the Chinchorro Culture (Chile) No 1634

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## Official name as proposed by the State Party

Settlement and Artificial Mummification of the Chinchorro Culture in the Arica and Parinacota Region

## Location

Municipality of Arica and Municipality of Camarones  
Arica and Parinacota Region  
Chile

## Brief description

The northern coast of the Atacama Desert, an arid and hostile habitat in northernmost Chile, was home to the Chinchorro, a society of marine hunter-gatherers who lived here from approximately 7,400 BP to 2,840 BP (5,450 BCE to 890 BCE). They successfully adapted to the extreme environmental conditions of a hyper-arid coastal desert in the rugged Coastal Cordillera by exploiting the nearby rich marine resources. Archaeological sites associated with the Chinchorro culture are best known for having the oldest known artificially mummified human bodies.

The nominated serial property is comprised of three components that contain natural and cultural evidence of the places along the Atacama Desert's coastline where, for about four millennia, the Chinchorro people lived and thrived. These components – Faldeo Norte del Morro de Arica, and Colón 10 (both located in an urban setting), and Desembocadura de Camarones (located in a rural setting) – include the archaeological remains of settlements, cemeteries, and dense shell middens. They provide evidence of sea harvesting activities and land occupation that illustrate the technological and spiritual complexity of this society from its coastal beginnings to its disappearance.

In this environment of contrasts, the Chinchorro people managed to prosper and develop a complex social structure. Of particular interest and scientific importance are the cultural remains and mummification techniques of the Chinchorro. Their long-practiced mortuary techniques created artificial mummies that presumably reflected the fundamental role of the dead in their society.

## Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a serial nomination of 3 sites.

## 1 Basic data

### Included in the Tentative List

1 September 1998

### Background

This is a new nomination.

### Consultations and Technical Evaluation Mission

Desk reviews have been provided by ICOMOS International Scientific Committees, members, and independent experts.

An ICOMOS technical evaluation mission visited the nominated property from 11 to 21 December 2020.

### Additional information received by ICOMOS

A letter was sent to the State Party on 24 September 2020 requesting further information about the description of the archaeological sites, research, integrity, boundaries, buffer zones, legal protection, conservation, and management. A response was sent by the State Party on 13 November 2020 containing clarifications on the requested subjects.

On 29 January 2021, ICOMOS sent an Interim Report to the State Party, which requested additional clarification and elaboration of the archaeological evidence of settlements and adaptations to the environment, integrity, boundaries, conservation, legal protection, management, indigenous participation, and the ethics of exhibiting human remains. The State Party responded on 28 February 2021. All responses received throughout the evaluation process are incorporated into the relevant sections of this evaluation report.

### Date of ICOMOS approval of this report

18 March 2021

## 2 Description of the property

Note: The nomination dossier and additional information contain detailed descriptions of this property, its history and its state of conservation. Due to limitations on the length of evaluation reports, this report only provides a short summary of the most relevant aspects.

### Description and history

The nominated property Settlement and Artificial Mummification of the Chinchorro Culture in the Arica and Parinacota Region speaks to a society of marine hunter-gatherers who resided in the arid and hostile northern coast of the Atacama Desert in northernmost Chile from approximately 7,400 BP to 2,840 BP (5,450 BCE to 890 BCE). It is a serial nomination consisting of three components: Faldeo Norte del Morro de Arica (component 1), Colón 10 (component 2), and Desembocadura de Camarones (component 3). The first two are located in an urban area and the last in a rural area.

The Faldeo Norte del Morro de Arica and Colón 10 components are located in the southern part of the city of Arica. This urban area is near the coastline and the valleys and ravines associated with the San José River. The western and southwestern flanks of the Morro de Arica are marked by steep coastal cliffs. The rural Desembocadura de Camarones component, located about 100 kilometres south of Arica, encompasses a river mouth, ravine environment, and valley. It also includes the water sources that were essential to the development of Chinchorro settlements. Together, these three components reflect the habitat of the Chinchorro marine hunter-gatherers who lived along the gullies and wetlands of the Atacama coast.

The first component, Faldeo Norte del Morro de Arica, contains the largest excavated Chinchorro cemetery in Arica's Coastal Cordillera. It has provided a large amount of archaeological evidence, including mummified bodies. This cemetery has been the subject of numerous studies, the most important of which have enabled different types of mummification to be identified. Chinchorro mortuaries can also be found in other neighbouring areas of the Faldeo. There are four archaeological sites in this component.

The second component, Colón 10, is adjacent to the first. The only place where a sizable cemetery can be found in situ, this archaeological site was discovered in May 2004 as a result of construction work being carried out on a house at N°10 Colón street. An intensive archaeological excavation revealed 48 ancient mummified bodies, which were conserved in their place of burial. In 2006, the University of Tarapacá bought the property and created the Colón 10 Site Museum project. Reconstruction of the existing house as a museum was completed in 2009. There is one archaeological site in this component.

The third component, Desembocadura de Camarones, is in a rural area historically linked to the Hacienda Cuya. It contains evidence of an extensive temporary occupation, with overlapping funerary and domestic areas. It also provides the earliest examples of Chinchorro artificial mummification (7,000 BP). In the same area but a little farther south along the coast is evidence of these marine hunter-gatherers from the Archaic Period. Their progressive adaptation to society can also be observed, incorporating new cultural features from within the region. There are nine archaeological sites in this component, some of which have sub-sites.

These three components include the world's oldest known archaeological evidence of the artificial mummification of bodies. In the Chinchorro cemeteries are bodies that have been mummified due to the environment, and to artificial human mummification. The latter is notable because of complexity, age, and aesthetics. The Chinchorro were innovative regarding their practices of artificial mummification. Over time they perfected complex mortuary practices, systematically dismembering and reassembling bodies to create "artificial" mummies that possessed material, sculptural, and aesthetic qualities that presumably reflected the fundamental role of the dead in their society.

Also found in the nominated serial property are tools made from lithic and plant materials as well as simple instruments made of bone and shells that enabled an intensive exploitation of marine resources. Plant fibres used in textiles to make clothing and twine mats for domestic use and funerary rituals have also been unearthed.

The origin of the Chinchorro culture is debated by archaeologists and bio-anthropologists. Research has suggested that the original Chinchorro populations came from the Amazon region. Conversely, a local proposition for the emergence of the Chinchorro culture and population on the arid coast has also been suggested. The spatial distribution of the Chinchorro groups over the course of their history extended from the southern coast of Peru to the northern coast of Chile. Their cultural core appears to have been between Arica and the southern coast of Iquique. This coastal population inhabited the marine strip of fertile coast as well as the interfluvial coastal desert environment located between Pisagua and Chañaral. From about 7,000 BP, hundreds of generations of Chinchorro marine hunter-gatherers progressively developed a lifestyle and culture and, through mummification techniques, perpetuated the significance of death in this territory. The Chinchorro culture waned about 2,840 BP, when evidence indicates the arrival of culturally different people.

Many of the nominated property's archaeological sites were discovered unexpectedly or by accident. Mummified bodies were discovered in the 1920s when large water tanks were being installed on the Faldeos del Morro. Nearly one hundred mummified individuals were excavated there by German archaeologist Max Uhle, who proposed the first typology of bodies with artificial treatment. Recovery of many more mummies took place in the 1980s, and relevant findings were unearthed as recently as 2004 at the Colón 10 site and in 2008 when a lookout point, Mirador La Virgen, was being remodelled. Archaeological excavations at the Desembocadura de Camarones component took place in the 1970s and 1980s; some sites there have not been extensively researched since.

### **Boundaries**

The area of the three serial components totals 364.05 hectares, with two buffer zones totaling 672.31 hectares. The boundaries of the nominated serial property and its buffer zones have been delineated on the basis of legal protection mechanisms and the distribution of archaeological remains. For the rural Desembocadura de Camarones component, environmental and landscape aspects have also been considered.

The three components have been selected as collectively illustrating the coastal Chinchorro habitat. The boundaries of the Faldeo Norte del Morro de Arica component are defined according to the Legal Delimitation of National Assets Plan, the Morro de Arica Historic Monument's boundaries, and the current Municipal Regulatory Plan. The boundaries of the adjacent Colón 10 component correspond to the footprint of the Colón 10 Site Museum. These two components are located within the urban fabric of the city of Arica. The Desembocadura de Camarones

component is located about 100 kilometres south of Arica, in a rural location that includes natural terraces and hillsides where Chinchorro occupation occurred. Geomorphological criteria were used to delimit this component of the nominated property.

The two components in Arica are enclosed by a single buffer zone whose boundaries are based on those of the Morro de Arica Historic Monument and the archaeological finds that have been discovered in the area surrounding the Faldeos del Morro. The buffer zone of the third component, Desembocadura de Camarones, is determined by the area's geomorphology. It is intended to protect the landscape on both sides of the watercourse up to the top of the hills at the mouth of the Camarones River.

Despite additional information provided by the State Party in November 2020 and February 2021, ICOMOS considers that the rationale for the delineation of the nominated components and of their buffer zones remains unclear, in particular in relation to the rationale used to determine which features would be located in the nominated property and which would be located in the buffer zones.

In addition, the size of the Faldeos del Morro de Arica component is very limited, especially considering that no comprehensive and systematic archaeological surveys seem to have been carried out. At the Desembocadura de Camarones component, the nominated property and buffer zone do not coincide with the extent of land-use zoning (e.g., Archaeological Restriction Zone; Restriction Area due to glissade hazard). The area to the east of the Desembocadura de Camarones component where a poultry farm is located is not included in the buffer zone.

ICOMOS therefore recommends that the boundary of the Faldeo Norte del Morro de Arica component be extended to include all of what is now designated as "Zone 5 Damping," and that the boundary of the Desembocadura de Camarones component be extended as well to include all of the Archaeological Restriction Zones. In addition, the buffer zone of the Desembocadura de Camarones component should include the entire extent of the Restriction Area due to glissade hazard (ARRD) zone. The problem of the lack of a buffer zone between the nominated property and the poultry farm should also be resolved.

#### **State of conservation**

The state of conservation of organic material is generally very good due to the very dry and saline environment. Moreover, it is supposed that most of the nominated property's archaeological artefacts are unexcavated and thus in a good state of conservation.

Nevertheless, the State Party describes some sites in the Faldeo Norte del Morro de Arica component as being in no condition to be completely opened to the public. Visitors are restricted due to the fragility of the sites and their vulnerability to the influence of urban sprawl. ICOMOS notes that part of this component has also been affected by public works related to the Mirador de la Virgen and the nearby water tanks. There are also unprotected

archaeological remains on the surface, open excavations, vandalism, garbage deposition, and the activity of wild and domestic animals as well as trampling leading to compression of the deposits, erosion, and possible mass movements.

Furthermore, there is uncertainty regarding the state of conservation of the mummies at the Colón 10 component and in other museums where the material from the Chinchorro culture is exhibited, because complete inventories are lacking. The information provided on the state of conservation of mummies held at the Archaeological Museum of the University of Tarapacá, in Arica, seems to indicate that they are stable, but that they sustained mechanical and other damage in the past during their recovery, manipulation, transport or storage. Fewer than one-quarter of nearly 200 mummies are considered to be in a state suitable for museum exhibition. The additional information provided by the State Party in November 2020 describes the general situation of the mummified remains, but does not provide any inventory or detail.

The Desembocadura de Camarones component is described as a natural, non-urbanized environment that conserves most of the qualities of the time of Chinchorro occupation: its littoral, wetland, and coastal desert areas are considered to be a close approximation of the landscape of the past. Nevertheless, ICOMOS notes the presence of an illegal settlement and a road that cuts through this component and/or buffer zone.

Based on the information provided by the State Party and the observations of the technical evaluation mission, ICOMOS considers that the state of conservation is highly variable. There is an urgent need for a detailed analysis and measures, especially concerning unprotected archaeological remains on the surface and the general situation concerning access, inappropriate use, and illegal settlement within the nominated property.

#### **Factors affecting the property**

Based on the information provided by the State Party and the observations of the technical evaluation mission, ICOMOS considers that the main factors affecting the nominated property are development pressures, illegal occupation or use, fragmentation of the spatial continuum of the Chinchorro occupation because of intrusions associated with urban development (infrastructure) and rural development (connectivity), vandalism, garbage deposition, uncontrolled visitation, and domestic and wild/stray animals.

Some of these factors can result in compaction of the archaeological contexts, changes in humidity, or erosion and mass movements, and can affect the elements in situ or lead to their removal from their original contexts. One place that is apparently particularly prone to mass movements is the northwest face of the Morro hill, an area that was used as a quarry between 1960 and 1965.

Concerning Caleta Camarones, the illegal settlement in the Desembocadura de Camarones component, the State Party indicates in its response to the ICOMOS Interim Report that its inhabitants have been acting on occasions as defenders of the cultural remains, and that the Municipality of Camarones is negotiating the relocation of the settlement beyond the buffer zone. This move is considered necessary due to the lack of basic services in the area now occupied, among other reasons. The State Party has not supplied any maps showing the proposed location of the new settlement in relation to the nominated property. The relocation process is in the public consultation phase and if approved and financed, relocation could take place in the next three to five years.

An industrial poultry farm is located just outside the Desembocadura de Camarones component. In response to a request by ICOMOS for additional information on this subject, the State Party indicates that the owner declares that all regulations are being observed.

The nominated property is located in an area prone to severe earthquakes, tsunamis, and flooding. The State Party has general disaster response mechanisms, but no specific plan seems to be operational for the nominated property. The Management Plan includes sub-programmes to manage risks, disasters, and social conflict, but the information supplied on these points is very limited.

### 3 Proposed justification for inscription

#### Proposed justification

The nominated property is considered by the State Party to be of Outstanding Universal Value as a cultural property for the following reasons:

- It constitutes an exceptional testimony to a cultural tradition and a civilization that, over a span of about four millennia, succeeded to live in an extremely arid environment, developing a complex relationship between people, both living and dead, and the environment.
- The cultural remains left behind by the Chinchorro people stand as a testimony to their belief system and ideas about the afterlife. Their cemeteries reveal artificially mummified bodies that are unique because of their complexity, age, and aesthetics. The Chinchorro innovated continuously in their mummification practices to create artificial mummies that possessed extraordinary material, sculptural, and aesthetic qualities that reflected the fundamental social role of the dead in human society.
- The nominated property constitutes an exceptional testimony to land and sea use in extremely arid conditions, representative of a specific culture's interaction with the environment. These Archaic populations who lived on the fringe of one of the driest places in the world, the Atacama Desert, adapted to a harsh environment with minimal fresh water and plant resources, relying heavily on simple and

efficient technologies to harvest coastal and marine resources.

- The environmental context of desert, seacoast, ravines, and wetlands, the archaeological deposits, and the in situ stratigraphy reveal space occupation dynamics over time.

ICOMOS considers it necessary to describe in more detail the archaeological record that explains the Chinchorro culture, its technological and spiritual complexity, and its interaction with the environment. This explanation should include, for example, descriptions, photographs, drawings, and maps that show the distribution of the known shell middens, domestic areas, burials, etc. Clear topographical maps in particular are needed to show the distribution of different finds and the identified activity areas.

#### Comparative analysis

The comparative analysis is presented in two parts: a comparison with sites in the same region; and a comparison with World Heritage and Tentative List properties and other sites throughout the world.

The comparison of the Chinchorro archaeological sites with other sites is based principally on the Chinchorro culture's mortuary treatment, particularly of infants, and on the adaptation of their marine hunter-gatherer lifestyle to the coastal areas of the very dry environment of the Atacama Desert.

The State Party highlights that archaeological research carried out along the coast of the Atacama Desert has identified various Chinchorro sites ranging from the south coast of Ilo (Peru) to the north coast of the Loa River (Chile) in which archaeological remains have similar characteristics as the sites found in the nominated property's Faldeo Norte del Morro de Arica and Desembocadura de Camarones components. The State Party concludes that these latter two components have the largest number of Chinchorro archaeological sites with their material evidence in an excellent state of conservation, reflecting the lifestyle (settlements, cemeteries, and shell middens inserted in a natural landscape) and mortuary practices (all the different styles of Chinchorro mummification) of these ancient marine hunter-gatherers. Collective burials found outside the nominated serial property do not reflect the complex artificial mortuary treatment techniques, nor do they have the cultural or landscape features demonstrated at Camarones.

The nominated property is also compared globally to sites associated with archaeological deposits left by other marine hunter-gatherer cultures, with ancient communities specializing in consuming marine resources, and with cultures practicing early human mummification processes. Among these are Sacred City of Caral-Supe (Peru, 2009, criteria (ii), (iii) and (iv)), Sambaquis in Brazil, and the sites of Neolithic funerary traditions at Tell-Aswad, Syria. While these places offer some points of comparison, the differences (lack of mummification, use of agriculture) are considered by the State Party to be more determinant.

The nominated property is then compared very briefly to 13 properties from 12 countries on four different continents inscribed on the World Heritage List under criterion (iii). It is not clear why properties such as Rock Art of Alta (Norway, 1985, criterion (iii)) were retained for comparison. A brief comparison with ancient Egyptian mummification techniques, indicates that Chinchorro's practices preceded Egypt's by about 2,000 years, and unlike Egypt's were carried out on people from the entire social spectrum, rather than just the upper classes and royalty.

The State Party contends that, of all the properties selected for comparison, only Monumental Earthworks of Poverty Point (United States of America, 2014, criterion (iii)) is based on sedentary occupations of marine hunter-gatherers with adapted aquatic habitats – in this case, an inland riverine environment (ca. 3,700-3,100 BP). The differences, here again, are the lack of mummification and, in this case, the construction of large earthworks that cannot be found in the Chinchorro culture. The lack of post-mortem treatments of the dead is also mentioned as a difference in a brief comparison with Jomon Prehistoric Sites in Northern Japan (currently nominated for inscription on the basis of criteria (iii) and (v)). In general, the properties on the World Heritage List that contain ritual and symbolic aspects of the lifestyles of hunter-gatherers are based mainly on immovable aspects, such as cave art and monuments.

The State Party concludes that there are no other properties with the same combination of values and attributes within the context of the World Heritage List, and for that reason the cultural traditions of marine hunter-gatherers of the Chinchorro culture expressed in the nominated serial property's settlements and attributes of artificial post-mortem treatments are unique and outstanding.

ICOMOS considers that the comparative analysis could have benefitted from further comparisons beyond choosing only properties inscribed on the World Heritage List under criterion (iii). Nevertheless, the scientific evidence makes it possible to assert that the Chinchorro culture archaeological sites can be considered globally important as the earliest known testimonies to a civilization that long practiced human mummification.

For serial properties, the *Operational Guidelines for the Implementation of the World Heritage Convention* require that the nomination set out the rationale for choosing the component parts, in terms of comparing them with other similar components and justifying the choices made. The State Party implies that its rationale is based on covering the complete Chinchorro sequence and including the most representative of the Chinchorro sites. The Desembocadura de Camarones component was selected as where settlement traces were detected and the mummification of bodies most probably started around 7,000 BP, and the Faldeo Norte del Morro de Arica component as where artificial mummification reached its peak in terms of its aesthetic, plastic, technical, material, and social variability and complexity. The State Party highlights as well that the

sites included in the nominated property were selected because of the excellent state of preservation of its archaeological sites and the legal framework currently in place to protect them.

ICOMOS considers that the choice and justification of the component parts, while not explicitly addressed in the comparative analysis as is required, can be inferred from the nomination dossier's description of, and very brief summarized comparison with, other Chinchorro archaeological sites in the same region.

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ICOMOS notes that the comparative analysis could have been improved by broadening its scope and depth and structuring it more clearly, but considers that it justifies consideration of this property for the World Heritage List.

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### **Criteria under which inscription is proposed**

The property is nominated on the basis of cultural criteria (iii) and (v).

Criterion (iii): *bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared;*

This criterion is justified by the State Party on the grounds that the cultural remains left behind by the Chinchorro people, including their artefacts, mummies, and cemeteries, stand as a testimony to their belief system and ideas about the afterlife. The Chinchorro cemeteries reveal artificially as well as naturally mummified bodies, both in exceptionally good states of conservation due to the very dry environment. The Chinchorro innovated continuously in their artificial mummification practices, revealing technical ability by dismembering and reassembling bodies to create artificial mummies possessing extraordinary material, sculptural, and aesthetic qualities that reflected the fundamental social role of the dead in human society. Chinchorro mummification is considered to be the oldest in human history, and remarkably complex for an early group of marine hunter-gatherers.

ICOMOS considers that the nominated property bears a unique testimony to the complex spirituality of the Chinchorro culture, expressed through the cemeteries in which are found artificially mummified bodies. These archaeological sites can be considered globally important as repositories of the earliest known examples of human mummification. Involving the entire social spectrum of men, women, and children, this four millennia-long practice reflected the fundamental role of the dead in Chinchorro society.

Criterion (v): *be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures) or human interaction with the environment, especially when it has become vulnerable under the impact of irreversible change;*

This criterion is justified by the State Party on the grounds that the Chinchorro culture occupied one of the most arid places in the world, the coastal areas of the Atacama Desert. These populations lived on the desert fringe and relied heavily on coastal and marine resources. They adapted to a harsh environment that had minimal fresh water and plant resources, yet developed simple and efficient technologies to harvest from the ocean. Culturally, they flourished for thousands of years in a vast, hyper-dry territory, thus being an extraordinary example of early adaptation to desert and marine environments. The archaeological evidence of their sea harvesting and land occupation can be found in settlements, cemeteries, and shell middens located over an extensive area.

ICOMOS considers that the nominated property has the potential to be considered an outstanding example of the interaction of a marine hunter-gatherer group with one of the world's driest environments. The additional information received from the State Party in February 2021 supplies further archaeological evidence for this interaction. However, this evidence is very general in nature and must be linked more directly to the nominated property.

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ICOMOS considers that the nominated property meets criterion (iii), and has the potential to meet criterion (v).

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### **Integrity and authenticity**

#### **Integrity**

The integrity of the nominated property is based on the cultural remains left behind by the Chinchorro people, particularly artificially mummified remains, and on this people's adaptation to one of the most arid places in the world, where they flourished for thousands of years.

The serial components were selected as the most representative and best preserved of all the Chinchorro sites in northern Chile and southern Peru, for their complementary nature, and for their tangible attributes that provide a comprehensive view of the Chinchorro culture, according to the State Party.

Issues with site encroachment in the Faldeo Norte del Morro de Arica serial component have been resolved, and are in the process of being addressed at the Desembocadura de Camarones component.

Part of the Faldeo Norte del Morro de Arica component has been affected by public works: drinking water tanks (no longer in use today) were constructed in 1920 on what is now the northeastern border of the component. A lookout point, the Mirador de la Virgen, was constructed just to the northwest of the tanks in 1915 and was remodelled in 2008. A footpath leads up to the viewpoint. These elements have a visual impact on the proposed Outstanding Universal Value of the nominated property.

The State Party advises that there is an industrial poultry farm located just outside the Desembocadura de Camarones component. The area closest to the farm (about 200 metres away) is not included in the buffer zone. The farm's potential impact on the proposed Outstanding Universal Value and integrity of the nominated property will need to be assessed.

Concerning the boundaries of the nominated property and its buffer zones, the various sites where archaeological excavations have taken place are marked on maps simply as points. The area that each site covers is not given. It is also unclear where the archaeological attributes (burials, shell middens, settlement remains) mentioned in support of the adaptation of the Chinchorro to their environment are located within the nominated property. Furthermore, it is mentioned on various occasions that the nominated property has the potential for future excavations (archaeological contexts still in situ), but no clear information is given on how that is known (what type of investigation was conducted) and where these areas with archaeological potential are located.

Despite additional information provided by the State Party, ICOMOS considers that the lack of clarity on these issues makes the assessment of the nominated property's integrity difficult. More information is needed on the extent (areas), distribution, and interrelationships of the archaeological sites, including the remains already removed as surface finds or through excavation, as well as those still in situ and detected through different surveying techniques.

As recommended in the Boundaries section of this report, revisions to the boundaries of the Faldeo Norte del Morro de Arica component and to the Desembocadura de Camarones component and buffer zone will enhance the integrity of the nominated serial property.

ICOMOS considers that the condition of integrity of the whole series and of the individual component parts has not been met at this stage.

#### **Authenticity**

The authenticity of the nominated property is based on the locations and (to a degree) the settings of the component parts, and to the materials and substances, uses and functions, traditions, and spirit of the attributes that support the proposed Outstanding Universal Value.

The State Party indicates that what is known about the Chinchorro culture from studies of their archaeological sites has been endorsed by a number of national and international scientific conferences and publications, and that more than one hundred of the latter validate the authenticity of the sites and the elements they contain.

In general terms, it can be said that archaeological sites where no reconstructions have been undertaken retain a high degree of authenticity. It is supposed that most of the nominated property's archaeological artefacts remain

in situ, unexcavated and untouched for thousands of years and therefore authentic. In addition, the State Party contends that the current environment still represents, in essence, the natural context that existed in the distant past.

ICOMOS considers that once excavation is undertaken, a balance has to be found between visual legibility, conservation, and authenticity of the context. This is the case in the presentation of the mummified bodies in the museum at the Colón 10 component, and in the removal of the mummies and artefacts from other parts of the nominated property. The authenticity in these cases can be said to be satisfactory.

ICOMOS considers that the condition of authenticity of the whole series and of the component parts is satisfactory.

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In conclusion, ICOMOS considers that the condition of integrity of the whole series and of the individual component parts has not been met at this stage, and that the condition of authenticity of the whole series and of the individual component parts is satisfactory.

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#### **Evaluation of the proposed justification for inscription**

While the comparative analysis could have been further substantiated by including comparisons beyond properties on the World Heritage List and sites in Latin America, the scientific evidence permits consideration of this serial property for the World Heritage List. This evidence indicates that the Chinchorro culture archaeological sites can be considered globally important as the earliest known and long-practiced examples human mummification.

ICOMOS considers that the nominated property meets criterion (iii), and has the potential to meet criterion (v). The archaeological remains found at the nominated property bear testimony to the complex spirituality of the Chinchorro culture, expressed through the cemeteries in which are found artificially mummified bodies. Furthermore, the archaeological finds suggest that the nominated property has the potential to be considered an outstanding example of the interaction of a marine hunter-gatherer group with one of the world's driest environments. However, specific archaeological evidence needs to be linked more directly to the nominated property.

While the condition of authenticity of the whole series and of the individual component parts has been met, the condition of integrity of the whole series and of the individual component parts is difficult to assess due to insufficient information concerning the extent (areas), distribution, and interrelationships of the archaeological sites, finds, and areas of archaeological potential. Regarding the boundaries, revisions to the nominated property and one buffer zone are recommended.

#### **Attributes**

The attributes related to the proposed Outstanding Universal Value of the nominated serial property include the archaeological remains of cemeteries and habitational areas that attest to the spiritual complexity of the marine hunter-gatherer society, particularly as exemplified by artificially mummified bodies; and the natural environment that contextualized and shaped the cultural dynamics of the Chinchorro people during its prolonged existence in the coastal areas of the Atacama Desert, including the in situ archaeological deposits and stratigraphy that reveal the dynamics of how the nominated property was occupied over time.

While the mummies and the mummification processes seem well studied and well documented, there is not enough detailed information (supported by distribution maps, find inventories, etc.) provided by the State Party on the settlement and adaptation aspects of the Chinchorro culture. Attributes that illustrate these aspects have not yet been clearly associated with the proposed Outstanding Universal Value of the nominated property.

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ICOMOS considers that the identified attributes contribute to the justification for inscription. However, a more complete and detailed understanding of the settlement and adaptation aspects of the Chinchorro culture is required, in order to clearly associate attributes related to these aspects with the proposed Outstanding Universal Value of the nominated property.

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## **4 Conservation measures and monitoring**

#### **Conservation measures**

Illegal constructions along the northeastern border of the urban Faldeo Norte del Morro de Arica component have been removed. The buildings were of lightweight materials, supposedly leaving few traces, and the activity was coordinated with the local population as represented by neighbourhood leaders.

To avoid future encroachments in the Faldeo Norte del Morro de Arica component, the State Party mentions in the additional information sent in November 2020 a project called "Construction of a Perimeter Closure for the Archaeological Reserves of the Water Tank Sector and Sites No. 1 and No. 2, of the University of Tarapacá." ICOMOS observes that some fencing currently exists, and the State Party indicates that additional parts of this component will be protected by fences in the future. The rationale for selecting the areas to be fenced is not specified.

Concerning the removal of the illegal settlement at the rural Desembocadura de Camarones component, no agreement has been reached yet, but municipal authorities are working on a relocation proposal, which according to the State Party is supported by a majority of the settlers. If the proposed plan is approved and financed, the relocation could take place in three to five years. In terms of preventive conservation at this component, only some roped off areas

and a retaining wall along the road have been observed by ICOMOS.

The additional information sent by the State Party in November 2020 mentions that an exhaustive cleaning of the Faldeo Norte del Morro de Arica component has been completed as part of the Management Plan implementation. ICOMOS considers garbage to be one of the problems for this component.

In July 2018, an international workshop on “Guidelines for the Conservation of the Archaeological Settlements of the Chinchorro Culture in the Region of Arica and Parinacota” was held in the city of Arica. Based on the experience and opinions of the interdisciplinary group of national and international experts, a theoretical and methodological analysis was carried out on how the archaeological sites should be conserved. A document with principles and strategies to guide future administrators’ decisions was drafted. Many of the proposed conservation activities mentioned in the nomination dossier seem to be based on these guidelines, such as a ground stability study, the design of an onsite conservation procedure, and the comprehensive management of the Chinchorro archaeological and bio-anthropological collection.

In 2012, systematic monitoring of the environment close to the mummified bodies at the Colón 10 Site Museum component began, and important climatic fluctuations were found. In order to generate a more stable environment, the sectors where the mummified bodies are located were isolated in order to reduce air currents, and the roof and side tarpaulins were improved to minimize drafts, external pollutants, and direct exposure to sunlight.

While the state of conservation of the excavated mummies in the different museums (Colón 10, San Miguel de Azapa, and the National Museum of Natural History Collection in Santiago) and their storage facilities are not without challenges (see State of Conservation), the installations and conservation processes have been improved over the years and the bio-archaeological material seems to be stable now. ICOMOS notes the quality of the infrastructure and the presence of highly trained professional staff at the Colón 10 and San Miguel de Azapa museums. Nevertheless, it will be necessary to continuously evaluate and adjust the conservation process.

In the future, the Chinchorro Marka Corporation, the entity dedicated exclusively to the nominated property’s management, plans to develop a research programme focused on archeology, conservation, bio-anthropology, taphonomy, and environmental and heritage studies. This programme is preliminarily indicated in the Management Plan, and would collect the vast amount of data gathered by previous investigations that have addressed the Chinchorro culture.

ICOMOS considers that processes focused on basic maintenance (such as garbage collection), visitor and use control, and the identification and rescue of archaeological material should be put in place at the earliest possible opportunity.

### **Monitoring**

The State Party mentions “poor monitoring” as an internal and underlying factor of some of the nominated property’s detected problems, such as site encroachment. In the same diagnosis, “frequent monitoring” is mentioned on several occasions as a suggested preventative measure.

The additional information supplied by the State Party in November 2020 indicates that the University of Tarapacá and the Chinchorro Marka Corporation are currently developing monitoring activities. A six-year monitoring cycle is proposed and a series of indicators related to conservation, management, governance, synergy, and sustainable development aims are presented. It is not clear how well the planned indicators will be linked to the attributes that support the proposed Outstanding Universal Value and to the identified threats.

It is not clear if there will be a centralized monitoring system for the mummies and artefacts housed in the different museums.

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ICOMOS considers that the conservation measures and monitoring are not fully satisfactory at this stage. Conservation measures focused on general maintenance and the identification and rescue of archaeological material should be activated at the earliest possible opportunity. The projected monitoring system must be completed and made operational, with indicators that are linked to the attributes that support the proposed Outstanding Universal Value and to the identified threats.

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## **5 Protection and management**

### **Documentation**

The University of Tarapacá’s Department of Anthropology has undertaken a number of important studies related to the Chinchorro culture. However, many of the archaeological finds in the nominated property, buffer zones, and beyond were discovered during construction activities related to the development of the city of Arica. The recovery of the finds has not always been systematic, and in many cases not part of a research programme. In addition, it seems that inventories are not always undertaken as a basis for documentation and follow-up of the state of conservation of the archaeological finds and mummies.

The proposed Management Plan therefore projects a sub-programme of archaeological investigation focused in large part on producing baseline data for the archaeological information observable in the field as well as in the format of textual and graphic documentation.



ICOMOS considers that the systematic documentation and inventorying of the archaeological information already collected, as well as the documentation of the areas of potential interest for future investigation through systematic surface surveys, geophysical investigation, etc., are of utmost importance. They are an essential part of presenting and justifying the proposed Outstanding Universal Value of the nominated property and should be put in place as soon as possible.

### **Legal protection**

The current and proposed legal protection of the nominated serial property is complex. At the national level, Law No. 17,288 of National Monuments (1970, substantially modified in 2005 and currently under additional review) establishes five categories of National Monuments, including Archaeological Monuments and Historical Monuments. The Faldeo Norte del Morro de Arica component is included in the area of a larger Historical Monument, the Morro de Arica. The adjacent Colón 10 component is protected as an Archaeological Monument. The surveyed archaeological sites in the third component, Desembocadura de Camarones, are protected as Archaeological Monuments under Law No. 17,288.

At the regional level, Decree No. 4867 (1967) of the Ministry of Education declares all archaeological and palaeontological sites in the Arica and Parinacota Region to be Historical Monuments. The protection established by this Decree reaches the archaeological sites in all three components of the serial nomination.

The proposed common buffer zone for the Faldeo Norte del Morro de Arica and Colón 10 components is, in part, protected by the Regulatory Plan of the city of Arica, in force since 2009, which establishes norms related to urban limits, zoning, land use, conditions of property subdivision, building, and roads. This plan is currently being renewed. The information supplied by the State Party on the new plan in relation to the protection of the archaeological remains is not clear, and no timeframe for its approval has been provided.

The Desembocadura de Camarones component and its buffer zone will be protected in the future under the Nature Sanctuary category of Law No. 17,288 of National Monuments; this declaration was expected to be adopted during the second half of 2020. There is also a Sectional Plan that controls urban measures applicable to the part of that component located in the Municipality of Camarones. This Sectional Plan is currently under revision. Furthermore, the Desembocadura de Camarones component is protected by Decree No. 240 (2014) of the Ministry of National Defence and the Armed Forces Undersecretariat, which regulates the use of the seashore by non-industrial fishers.

In terms of ownership, the Faldeo Norte del Morro de Arica component is owned by the Government of Chile (some areas have been granted to the University of Tarapacá, an independent public corporation); the Colón 10 component belongs to the University of Tarapacá; and part of the

Desembocadura de Camarones component is owned by the Government of Chile and part by the private Agrícola Lluta S.A. company. The two buffer zones have a combination of public and private ownership.

ICOMOS considers that, in general, the different legal protection mechanisms are adequate. Nevertheless, it is important to conclude the processes that are still pending, including the nature sanctuary declaration, the renewal of the Regulatory Plan of the city of Arica, the Cuya-Caleta Camarones Sectional Plan, and the legal issues concerning the Desembocadura de Camarones component and buffer zone. Furthermore, it is necessary to clarify whether the protection afforded by Law No. 17,288 is applicable to the entire polygons of the nominated property and their buffer zones, or only to the parts defined as “archaeological sites.” This question is relevant for the Desembocadura de Camarones component and its buffer zone (before it is declared a nature sanctuary), and for the part of the buffer zone of the Faldeo Norte del Morro de Arica component that is not included in the Historical Monument of the Morro de Arica. Finally, the impact of the review of the current legislation on the protection of the serial property should be made explicit.

### **Management system**

The nominated property’s Management Plan (2020 – 2026) is a work in progress. It will be based on two previous instruments: the Caleta de Camarones Archaeological Reserves Management Plan (2012) from the University of Tarapacá’s Department of Anthropology and the Municipality of Camarones; and the Basic Diagnosis and Management Plan for the Chinchorro Archaeological Reserves in Arica (2012) from the Regional Government of Arica and Parinacota and the University of Tarapacá. The two existing plans and their operational sub-programmes are being unified under a joint governance model for the nominated serial property, maintaining each of its component’s unique characteristics.

The governance system combines the actions of national and regional stakeholders with a shared understanding of the nominated serial property and its requirements if inscribed on the World Heritage List. The State Party mentions delays due to the pandemic (finalization by mid-2021 instead of 2020), but highlights that important advances have been made, such as in the conservation and zoning section of the document – though no documentation of these advances has been provided.

The management system that will be used to implement the Management Plan is still in development, but was being adopted progressively during the preparation of the nomination dossier. It was expected at that time to be fully operational in the first half of 2020.

At the national level, the Ministry of Culture, the Arts and Heritage is officially in charge of Chile’s cultural heritage. The Cultural Heritage Undersecretariat is in charge of developing cultural policies, including those associated with World Heritage properties. The National Monuments Council, which is part of the Ministry of Culture, the Arts and

Heritage, is the technical body in charge of supervising and maintaining National Monuments, which is the legal category protecting the Chinchorro archaeological sites. Any changes to the sites must be authorized by this council. The National Cultural Heritage Service acts as technical advisor to World Heritage properties in Chilean territory through the National Centre for World Heritage Sites, which supports the work of site administrators.

At the local level, the Chinchorro Marka Corporation is the body in charge of the nominated property's management system. The Corporation was founded on 5 December 2019 as a non-profit private law corporation and has three founding partners, the University of Tarapacá, the Municipal Corporation for Productive Development of Arica (*Corporación Municipal de Fomento Productivo de Arica*), and the Municipal Corporation of Culture and Arts of Camarones (*Corporación Municipal de la Cultura y Artes de Camarones*). Other bodies may be added in the future, according to the corporation's bylaws.

The State Party states that the management system seeks to encourage broad engagement, and that the management of the surrounding areas, including the buffer zones, is fundamental to preserving the nominated property's proposed Outstanding Universal Value. Community participation is ensured by involving local citizens and organizations such as neighbourhood boards and cultural communities in the management system, both as members of the corporation and as agents in the Management Plan's programmes and sub-programmes.

ICOMOS considers that the Management Plan and the management system are well thought out and complete in terms of subjects covered as well as stakeholder involvement. However, most of what is mentioned in the nomination dossier about the Plan is still a work in progress and has not been tested. It is important to have a finalized, approved, and operational Management Plan, as well as a clearer idea of the financial aspects of the functioning of the management system, since a large part of the budget seems to depend on grants that have yet to be approved (including for 2022).

The State Party mentions the existence of an Environmental Impact Assessment system that aims, *inter alia*, to protect and preserve the archaeological heritage. ICOMOS recommends that a complementary Heritage Impact Assessment process be developed within the frameworks for legal protection and management of the property.

### **Visitor management**

While several important visitor management elements are included in the planning documents (interpretation, paths, scripts, museography, exterior support design, museum interiors, visitor centre, services for visitors), few of them are in place now. The activities associated with enhancing the visitor experience are predicted to be implemented in the fifth year of a five-year plan, though in some sectors of the components interpretive panels with Quick Response (QR) codes have already been installed to provide visitors

with information about the archaeological sites. The only place onsite where more complete information is available is the Colón 10 Site Museum.

As reported in the additional information by the State Party in February 2021, visitors now have the possibility of participating in walking tours organized and promoted by the Regional Directorate of the National Tourism Service. In addition, the Chinchorro Marka Corporation is building the museum and interpretation centre nearby. No information about the finalization of this project has been provided. And in a recent development, an onsite office representing the Regional Heritage Management Centre of the University of Tarapacá and the Chinchorro Marka Corporation has been installed. ICOMOS welcomes this step, but regrets that no information was provided about the work being done at this office, or its exact location.

ICOMOS notes that some of the most basic installations to assure the safety of visitors and the security of the nominated property are not yet in place. It is not clear how the State Party will deal with an increase in the number of visitors should the nominated property be inscribed on the World Heritage List. Furthermore, at an archaeological site where nearly all the in situ elements are invisible underground, and most of the excavated artefacts and mummified bodies are stored or exhibited offsite, interpretation aids for the visiting public are of utmost importance. Formalization of the presentation of the nominated property is also important for its protection against damage or destruction due to a possible lack of knowledge and/or interest on the part of the public.

There is no single approach to excavating, curating, and exhibiting human remains, as discussions by organizations such as of the World Archaeological Congress have indicated. ICOMOS considers that it is necessary to address these ethical issues in nominations such as this, where human bodies are central to the nomination, and to do so in a sensitive and open-minded way.

### **Community involvement**

The State Party highlights the importance of the Chinchorro culture for collective identity-building processes and empowerment of the local population. A total of 285 people resides inside the buffer zones and make up the main group interested in the nominated property and citizen participation. Talks and discussions related to World Heritage have been held for and with the local community organizations during the nomination process. Links have also been strengthened with the school community and with different educational establishments in Arica, with talks, workshops, temporary exhibitions, and visits to archaeological sites. Conflict resolution and security measures that were applied to re-establish order and improve the living conditions of the people residing in the area of the nominated property have also tightened the bond of the local community with their heritage. Clean-up has been carried out involving teams from the Municipality of Arica, the University of Tarapacá, and organized groups of neighbours who support the nomination process.

The State Party states that one of the main social aims of the Management Plan will be to inform, create a dialogue with, and include the local community in any decision-making related to the nomination process. The success of this approach can already be seen at the Desembocadura de Camarones component, where the residents of the illegal settlement of Caleta Camarones began acting as the archaeological heritage's 'guardians', in some cases restricting people's access to the archaeological sites in order to protect and conserve them. The community's interest in cultural heritage has gone hand-in-hand with local scientific research and institutional policies that aim to raise awareness of the importance of protecting archaeological finds in the area. The Chinchorro culture is currently perceived by the local population as an opportunity for social, economic, and cultural development, according to the State Party. ICOMOS acknowledges the support given by the neighbourhood community in general and by the local and national authorities in the nomination process for the cultural property.

ICOMOS considers that community outreach activities are central to the success of future management of the nominated property, and highlights the importance of continuing these efforts and including local stakeholders in the decision-making processes.

ICOMOS also emphasizes the need to include living indigenous communities that may have an interest in and connection with the nominated property and that are not involved yet in the protection and management of the property, in line with paragraphs 40 and 117 of the *Operational Guidelines for the Implementation of the World Heritage Convention*.

#### **Evaluation of the effectiveness of the protection and management of the nominated property**

Legal protection of the nominated serial property at the national and local levels appears adequate and will improve once Nature Sanctuary status is declared for the Desembocadura de Camarones component. However, the applicability of Law No. 17,288 to the whole property will have to be confirmed and the potential impact on the protection and management of the nominated property should be described in detail. The Regulatory Plan of the city of Arica and the Cuya-Caleta Camarones Sectional Plan are currently being renewed. The new versions of these plans and their impact on the protection and conservation of the nominated property will have to be considered.

The proposed Management Plan and management system is comprehensive, well structured, and generally inclusive in terms of stakeholder participation, but they are still works in progress. Priority should be given to finalizing, approving, and making operational the Management Plan and system.

While there are plans for future improvements, at the moment most of the nominated property is not prepared to welcome visitors. Basic installations to assure the safety of visitors and the security of the nominated property should be put in place. Documentation of the archaeological work

already done and of the potential of the areas not yet fully investigated should be presented in a systematic way.

The excavation, curation, and exhibition of human remains being central to the nomination, it is important to address the ethical issues related to the treatment of human remains.

Community outreach activities are key to the success of future management of the nominated property. It will be important to continue these efforts and include in the decision-making processes local stakeholders as well as any living indigenous communities that may have an interest in and connection with the nominated property.

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ICOMOS considers that while all the central elements of legal protection and management are in place, it is important to verify their applicability to the whole property and to finalize the pending management measures and make them operational. More information on the new or updated heritage legislation and land use plans is needed.

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## **6 Conclusion**

The northern coast of the Atacama Desert, an arid and hostile habitat in northernmost Chile, was home to the Chinchorro, a society of marine hunter-gatherers who lived here from about 7,400 BP to 2,840 BP. They successfully adapted to extreme environmental conditions that juxtaposed rich coastal marine resources with a very arid coastal desert and the rugged relief of the Coastal Cordillera. This culture is best known for having the oldest known artificially mummified human bodies.

ICOMOS considers that the comparative analysis supports consideration of the nominated serial property for the World Heritage List, though the analysis could be improved by broadening its scope and depth and structuring it more clearly.

ICOMOS considers that the nominated property meets criterion (iii), and has the potential to meet criterion (v). The archaeological remains bear a unique testimony to the complex spirituality of the Chinchorro culture, expressed through the cemeteries in which are found artificially mummified bodies. Furthermore, the archaeological finds suggest that the nominated property has the potential to be considered an outstanding example of the interaction of a marine hunter-gatherer group with one of the world's driest environments.

The condition of authenticity of the whole series and of the individual component parts has been met, but the condition of integrity of the whole series and of the individual component parts has not been met at this stage, as there is insufficient information concerning the extent, distribution, and interrelationships of the archaeological sites, finds, and areas of archaeological potential.

Revisions to the boundaries of the Faldeo Norte del Morro de Arica component and to the Desembocadura de Camarones component and buffer zone are needed.

Legal protection of the nominated property is adequate in general terms, but the applicability of the legal protection to the areas of archaeological potential has to be verified. More information on the implications of the new or updated heritage law is needed. Furthermore, it is important that the processes that are still pending be concluded, including the nature sanctuary declaration, the renewal of the Regulatory Plan of the city of Arica, the Cuya-Caleta Camarones Sectional Plan, and the legal issues at the Desembocadura de Camarones component and buffer zone.

The Management Plan and management system is complete, well structured, and inclusive in terms of stakeholder participation, but they are still works in progress and untested. Priority should be given to finalizing, approving, and making operational the Management Plan and system.

## 7 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the nomination of Settlement and Artificial Mummification of the Chinchorro Culture in the Arica and Parinacota Region, Chile, be **referred back** to the State Party to allow it to:

- Provide a more complete and detailed understanding of how the settlement and adaptation aspects of the Chinchorro culture are expressed through the attributes of the serial property, in support of criterion (v);
- Ensure that the highest available level of legal protection is in place for each of the nominated serial components;
- Confirm that the new Regulatory Plan of the city of Arica provides protection to the archaeological remains that might be discovered in the urban area, and that the land uses permitted in the zones within the nominated property and its buffer zones are compatible with the proposed Outstanding Universal Value of the nominated property;
- Provide more information on the foreseen changes to the current cultural heritage legislation (Law No. 17,288 of National Monuments);
- Finalize an agreement and timetable to relocate the illegal settlement in the Desembocadura de Camarones component outside the buffer zone;
- Further address the integrity of the nominated serial property by providing more information on the extent, distribution, and interrelationships of the different types of archaeological sites (settlements, burials, shell middens, etc.), finds,

and areas of archaeological potential, particularly by means of topographical maps of the nominated property, buffer zones, and surrounding areas;

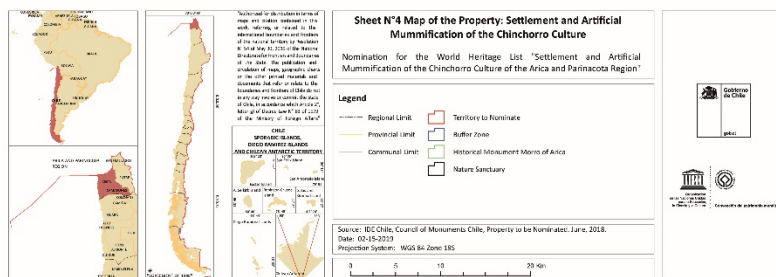
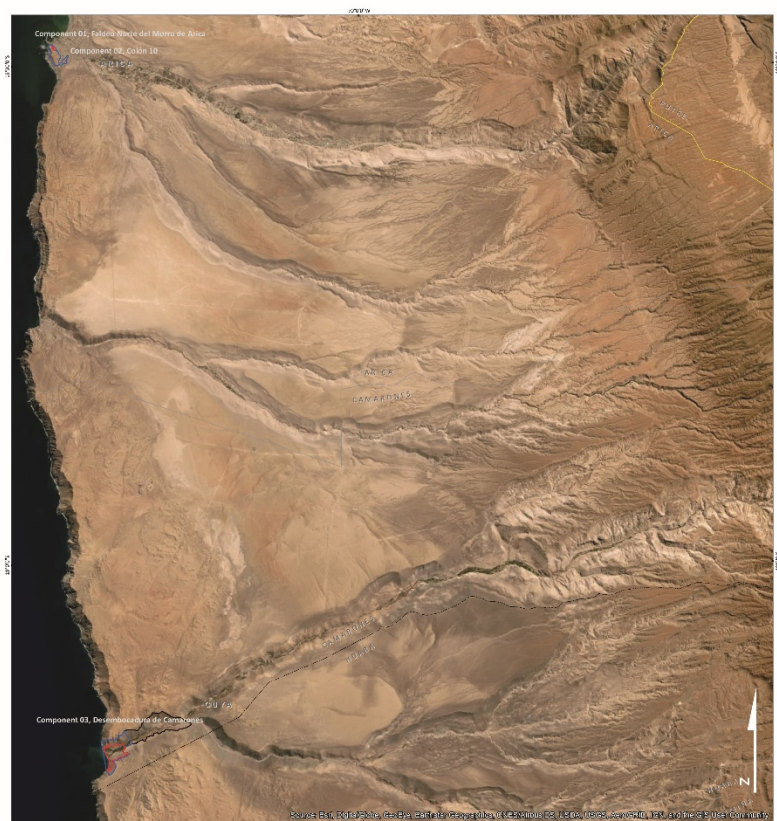
- Extend the boundary of the Faldeo Norte del Morro de Arica component to include all of what is now designated as “Zone 5 Damping”;
- Extend the boundary of the Desembocadura de Camarones component in order to include all of the Archaeological Restriction Zones;
- Extend the buffer zone of the Desembocadura de Camarones component to include the entire extent of the Restriction Area due to glissade hazard (ARRD) zone, and resolve the problem of the lack of a buffer zone between the nominated property and the industrial poultry farm. This is especially important in view of the proposed relocation of the illegal settlement now located in an area adjacent to the agro-industrial complex;
- Finalize, approve, and make operational the Management Plan and management system.

### Additional recommendations

ICOMOS further recommends that the State Party give consideration to the following:

- a) Completing basic installations such as fences to further assure the safety of visitors and the protection of the nominated property,
- b) Resolving the legal disputes in the Desembocadura de Camarones component and its buffer zone,
- c) Undertaking the systematic documentation and inventorying of the archaeological information already collected, as well as the documentation of the areas of potential interest for future investigation through systematic surface surveys, geophysical investigation, etc.,
- d) Completing and making operational the projected monitoring system, including for the mummified bodies and artefacts preserved in the different museums, and identifying indicators that are linked to all the attributes that support the proposed Outstanding Universal Value as well as to the identified threats,
- e) Undertaking at the earliest possible opportunity conservation measures focused on general maintenance and on the identification and rescue of unprotected archaeological remains on the surface,
- f) Addressing the ethical issues regarding the excavation, curation, and exhibition of human remains,

- g) Adhering to the principles of good governance by maintaining an open mind concerning the inclusion of stakeholders not yet participating in the protection and management of the property, in line with paragraphs 40 and 117 of the *Operational Guidelines*,
- h) Developing a Heritage Impact Assessment process within the frameworks for legal protection and management of the nominated property,
- i) Assessing and mitigating any impacts the industrial poultry farm located in the Camarones River valley may have on the proposed Outstanding Universal Value and integrity of the nominated property;



Map showing the location of the nominated components

## **IV Cultural properties**

### **A Arab States**

Deferred nomination

### **B Asia – Pacific**

New nomination

### **C Europe – North America**

New nominations

Creation/modification of buffer zones

### **D Latin America and the Caribbean**

New nomination

Extension

Creation/modification of buffer zones





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# Franciscan Ensemble of Our Lady of the Assumption of Tlaxcala (Mexico)

## No 702bis

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### Official name as proposed by the State Party

Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption of Tlaxcala (as Extension of the “Earliest 16<sup>th</sup>-Century Monasteries on the Slopes of Popocatepetl”)

### Location

City of Tlaxcala  
State of Tlaxcala  
Mexico

### Brief description

The Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption is part of the first construction programme launched after the arrival of the Franciscans in 1524 for the evangelisation and colonisation of the northern territories of Mexico.

This Ensemble is one of the first five monasteries established by Franciscan, Dominican and Augustinian friars, and one of three still standing; the other two are already included in the World Heritage property. As such, it provides an example of the architectural model and spatial solution developed in response to a new cultural context, which integrated local elements and knowledge to create new spaces such as wide atria, open chapels and *posas* chapels in order to receive a large congregation. In addition to these solutions, the Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption presents two other particular features – a free-standing tower and a wooden *mudéjar* ceiling called *alfarje* – that are not found in the other monasteries already inscribed on the World Heritage List.

The particular location of the Ensemble on an acropolis led to a singular distribution of the different spaces of the monastery, but it also allowed the site to be seen from the city which developed around it. The monastery still functions as a place for religious manifestation and worship.

### Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a nomination for an extension of a serial property of one *monument*.

## 1 Basic data

### Included in the Tentative List

7 November 2018

### Background

This is a nomination of an extension of the World Heritage serial property of Earliest 16<sup>th</sup>- Century Monasteries on the Slopes of Popocatepetl (Mexico), which was inscribed on the World Heritage List in 1994 on the basis of criteria (ii) and (iv).

### Consultations and Technical Evaluation Mission

Desk reviews have been provided by ICOMOS International Scientific Committees, members and independent experts.

An ICOMOS technical evaluation mission visited the property from 13 to 17 December 2020.

### Additional information received by ICOMOS

A letter was sent to the State Party on 25 September 2020 requesting further information about the justification for inscription, the comparative analysis, the restoration works, the buffer zone, and the ownership and management of the proposed component.

An Interim Report was provided to the State Party on 25 January 2021 summarising the issues identified by the ICOMOS World Heritage Panel. Further information was requested in the Interim Report including: the comparative analysis; the boundaries of the nominated property; the buffer zone; and management.

Additional information was received from the State Party on 12 November 2020, and on 26 February 2021, and has been incorporated into the relevant sections of this evaluation report.

### Date of ICOMOS approval of this report

18 March 2021

## 2 Description of the property

Note: The nomination dossier and additional information contain detailed descriptions of this property, its history and its state of conservation. Due to limitations on the length of evaluation reports, this report only provides a short summary of the most relevant aspects.

### Description and history

The inscribed serial property of Earliest 16<sup>th</sup>-Century Monasteries on the Slopes of Popocatepetl is composed of 14 monasteries located in the states of Morelos and Puebla in Mexico: *Atlatlauhcan, Cuernavaca, Hueyapan, Oaxtepec, Ocuituco, Tepoztlán, Tetela del Volcán, Tlayacapan, Totolapan, Yecapixtla, Zacualpan de Amilpas, Calpan, Huejotzingo and Tochimilco*. These monasteries are outstanding examples of the architectural style and spatial solutions adopted by the first missionaries – Franciscans, Dominicans and Augustinians – that illustrate the interchange between Indigenous and European cultures. Many of the buildings that are part of these monasteries have an explicit military aspect and include compositional elements with Mudéjar and Renaissance origins. Influences of the indigenous

cultures are tangibly expressed in large open spaces used for worship as well as in the decorations and the wall paintings. The relationship between built and open spaces is a distinctive characteristic of these monasteries and, above all, the emphasis placed on the wide forecourt or atrium, with its individual *posa* and open chapels. They were founded in areas with large indigenous populations, and became focal points for new urban settlements, many still existing to the present day.

The nominated extension proposes to add the Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption of Tlaxcala, which was built near earlier settlements and which became the cornerstone for the development of the city of Tlaxcala. Its central presence in the townscape of the city is still visible today. It also retains its liturgical function, being since 1959 the seat of the Bishopric of Tlaxcala.

The Monastery and Cathedral of Our Lady of the Assumption of Tlaxcala was the first ensemble built by the Franciscan friars, and is therefore one of the earliest examples of the new architectural typology, and which was later expanded throughout the Mexican territory and even beyond its borders.

The city of Tlaxcala was founded in 1521, after the conquest of Tenochtitlan, one of the most important pre-Hispanic cities in the Americas; this granted the new city special privileges. When the first 12 Franciscan friars arrived in 1524, they established one of their monasteries in Tlaxcala, which would later become a Diocese. The construction of the ensemble started soon after their arrival, and progressed in different phases until the 17<sup>th</sup> century in parallel with the development of the city of Tlaxcala.

The construction of the Cathedral is believed to have begun in 1527 and by around 1556, the upper atrium already had four chapels. When the liturgical and doctrinal space was moved to this upper atrium, the lower atrium lost its importance and later became a burial ground. Construction continued during the 17<sup>th</sup> century with the addition of the friar's house in 1629, a new altarpiece in 1633, and the Chapel of the Third Order in 1685, among other structures.

In spite of the secularisation ordered in 1640 by Bishop Juan de Palafox y Mendoza, the Franciscan Ensemble of Tlaxcala remained a meaningful place for the Tlaxcalteca community, who continued funding improvements to the Ensemble.

In the 19<sup>th</sup> century, during the independence process, the Franciscan Ensemble lost some architectural elements and some areas, such as the orchard and part of the lower atrium (the latter is now occupied by a bullring). Between 1877 and 1881, the cloister of the monastery began to serve diverse uses, for example a jail, a hospital and a school.

At the beginning of the 20<sup>th</sup> century, a few works were carried out, especially on the tower to ensure its stability. In 1933, the cathedral and former monastery were declared

colonial monuments. Some conservation works were carried out in the following decades to address issues such as groundwater infiltration and the collapse of certain features. In 1978, the federal government divided the 'usufruct' of the property between the National Institute of Anthropology and History (INAH) and the Diocese of Tlaxcala. Given that more than half of the built area was abandoned and in poor condition, INAH was made responsible for a large part of the Ensemble, the rest remaining under the control of the Diocese of Tlaxcala. Decades of conservation work followed. Today, most of the Ensemble is still under the administration of INAH who manage the regional museum installed in the monastery.

### Boundaries

The nominated extension is conceived as a new component of the inscribed serial property, having its own property area and its own buffer zone. It had initially an area of 1.9 ha and a buffer zone of 14.8 ha. In its Interim Report, ICOMOS noted that the boundaries for the nominated extension were defined according to the present extension of the Franciscan architectural ensemble only. Instead, ICOMOS considers it important that the proposed extension boundaries reflect the importance of other spaces with functional relevance that existed in the past, such as the Lower Atrium (as the foundation site of the early church) and the space of the *Calle De La Capilla Abierta* (a processional path with a remarkable viewpoint to the Open Chapel). By including these elements into the boundaries of the nominated extension, it will ensure their conservation and the integrity of the property.

In response to these recommendations, the State Party proposed new delineations, including part of the street *Capilla Abierta* but limited to the footprint of the street and without including the buildings that delimit it. However, most of the areas once occupied by the lower atrium and the orchard have not been included. ICOMOS considers that it is important that the archaeological evidence of those spaces is conserved and reiterates its request to the State Party to include them within the limits of the proposed extension.

The proposed buffer zone follows the original total extent of the monastery, including its now-disappeared areas such as the orchard. In its Interim Report, ICOMOS noted the importance of the location of the monastery on a hill and of its relationship with its surroundings, and considers it necessary to ensure the protection of the viewsheds from the Franciscan Ensemble. Therefore, it asked the State Party for more information on how the boundaries of the proposed buffer zone integrate the features presented as decisive in the choice of the location for the settlement of the Franciscans, such as the seven hills and the water source. It also asked for further details on the current legal and planning provisions to protect both the views to the monastery and from the monastery to its surroundings, in a broader landscape approach. Whilst the State Party provided further information regarding the legal and planning provisions, which are analysed in a different section of the evaluation, no concrete information

was provided on how the boundaries of the buffer zone take into account important features related to its geographical location.

ICOMOS acknowledges the State Party's efforts to revise the boundaries of the proposed extension but considers that further adjustments are needed to incorporate areas that provide evidence of the former lower atrium and the orchard. Likewise, the delimitation of the buffer zone should be revised in relation to important elements that determined its location, to better define its immediate setting and to consider important viewsheds.

#### **State of conservation**

After Mexico became an independent nation, and especially after the application of reform laws, namely the 'Law of Disentailment of ecclesiastical and civil property', the Franciscan Ensemble was used for other functions: it became a school in 1861 and later a hospital, a prison and a garrison. Repairs began after it was declared a colonial monument in 1933, especially between 1945 and 1949. Between 1970 and 2016, INAH carried out several programmes of conservation works. All the interventions were documented with inventories, plans, and research papers, most of them kept and available in the archives of the INAH local office.

The nomination dossier and additional information received detail three main phases of conservation works. During the first phase, between 1970 and 1990, works were aimed at stabilising and consolidating parts of the buildings that were damaged and adapting its use to its current functions. These works included the consolidation and water-proofing of walls and vaults, the replacement of damaged wood pieces, substitution works on the floor of the Cathedral, and repairs to the electrical installation. The second phase, between 1991 and 2011, concentrated on the reinforcement of a wall that had collapsed due to a landslide and on general maintenance and cleaning works, especially of organic matter, in the different parts of the Ensemble. It also included the removal of the concrete floor in the Chapel of Our Lady of Guadalupe and the restoration of vandalized paintings in the Chapel of the Rosary, in 2005. Finally, between 2012 and 2016, interventions were made to ensure waterproofness of the external deck of the main nave of the Cathedral, and to preserve wall paintings all over the monastery; cleaning works continued during this period. In 2018-2019, INAH led interventions to strengthen architectural elements, such as the foundations of the free-standing tower. Maintenance and cleaning works in the Ensemble continue on a regular basis.

Based on the information provided by the State Party and the observations of the technical evaluation mission, ICOMOS considers that the state of conservation is good in general. However, the effects of seismic activity, heavy rains and the location of the Ensemble on a hill containing a water source, require constant attention to avoid recurrent problems of water infiltration, rising damp and moisture, which can lead to the deterioration of structural elements as well as decorative ones.

#### **Factors affecting the property**

Based on the information provided by the State Party and the observations of the technical evaluation mission, ICOMOS considers that the main factors affecting the proposed extension are related to natural disasters, namely earthquakes, torrential rains and landslides. Since the Franciscan Ensemble is located on the slopes of Popocatepetl volcano, and also near the La Malinche volcano, there are constant effects from volcanic activity. The last big earthquake, in 2016, had a significant impact on the nominated extension as well as on the monasteries already inscribed; this led to the provision of an emergency international assistance in January 2018, under the World Heritage Fund, for the already inscribed property.

The management plan evokes those risks, and suggests the need for a dedicated plan of civil protection but does not present concrete measures in this regard. Based on the information of the technical evaluation mission, in its Interim Report, ICOMOS also noted the potential fire risk from an outdated electrical system. Therefore, it asked the State Party to submit further information on concrete measures to deal with the risk of fire (particularly given the importance of the wooden *alfarje*) as well as on other existing measures or risk management plans to address other risks. Additional information submitted by the State Party explains that the responsible authorities have already taken measures to start replacing the electrics (works are expected to start in 2021) and planning the installation of a fire detection system. The State Party also submitted plans to develop a General Risk Management Program for the whole property.

Urban development pressures have generated in some cases high-rise buildings, the construction of buildings with little or no planning, and also traffic congestion and pollution, which are other important factors. The fact that the Franciscan Ensemble in Tlaxcala is included inside the monumental zone declared in 1986 helps in addressing these pressures; however, ICOMOS has already expressed its concerns about the need to protect the viewsheds to and from the Ensemble. To help with this issue, the local government recently adopted a new plan to control and monitor urban development in the city centre.

Rising damp, humidity and micro-organisms (and organisms such as moths) also pose problems to the structural and decorative elements of the Ensemble.

### **3 Proposed justification for inscription**

#### **Proposed justification**

The nominated extension is considered by the State Party to be of Outstanding Universal Value as a cultural property for the following reasons:

- The Earliest 16th-Century Monasteries on the Slopes of Popocatepetl are considered to represent good examples of the architectural style adopted by the first missionaries – Franciscans, Dominicans and Augustinians, with spatial solutions and the architectural expressions that

materialised the fusion and synthesis of heterogeneous elements. A considerable number of these buildings have an explicit military aspect, and compositional elements with definite Mudejar and Renaissance origins. The expression of the native culture is also present, from the open spaces used for worship to the work in the decorations and the wall paintings.

- They all conform to an architectural model which spread rapidly over the region and contains certain basic elements common to this new type of monastic house; the monasteries were also founded in areas of dense indigenous settlements, with the objective of providing focal points of new human establishments.
- The Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption of Tlaxcala follows the same architectural model and its foundation precedes most of the other monasteries already included in the inscribed property. In addition, it presents particular features that cannot be found in the other monasteries, such as the free-standing tower and the wooden Mudejar ceiling called *alfarje* (all other monasteries have vaulted ceilings), as well as a unique distribution of the spaces and buildings due to its location.

### Comparative analysis

The comparative analysis presented in the nomination dossier details extensively the uniqueness of the history of the Franciscan Ensemble and stresses the particular context, both cultural and geographical, of the foundation and development of the monastery. It also presents a list of monastic foundations in the 16<sup>th</sup> century in Latin America, but no comparison of their features is presented. Therefore, in its request for supplementary information sent in September 2020, ICOMOS enquired about the reasons why this particular component has been selected as a proposed extension and what was the rationale that was followed to reach this selection.

The additional information submitted by the State Party in November 2020, clarified that the Franciscan Ensemble in Tlaxcala was not included in the original nomination because of the lack of reliable information and research. The information provided also explained that the Franciscan Ensemble is one of the first monasteries founded, and emphasises its unique features, such as the free-standing tower, and the *alfarje* ceiling. Nevertheless, there was still only limited comparison with the monasteries already inscribed.

Therefore, ICOMOS in its Interim Report asked for additional information on how this ensemble compares with, and complements, the other 14 monasteries and how it contributes to a better understanding of the Outstanding Universal Value of the inscribed property. In the additional information provided by the State Party in February 2021, a closer comparison with the monasteries highlights the specificity of the proposed Franciscan Ensemble and its unique features. The State Party also addressed ICOMOS's concerns about the completeness

of the series by confirming that no further future extensions are envisaged.

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ICOMOS considers that the comparative analysis justifies consideration of the proposed extension for the World Heritage List.

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### Criteria under which inscription is proposed

The Earliest 16th-Century Monasteries on the Slopes of Popocatepetl were inscribed on the basis of cultural criteria (ii) and (iv) The proposed extension therefore is nominated under the same criteria.

Criterion (ii): *exhibit an important interchange of human values, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design;*

This criterion is justified by the State Party on the grounds that the Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption of Tlaxcala is an example of how the exchange of human values led to the creation of urban spaces by becoming the cornerstone for the construction of the city of Tlaxcala, by the third decade of the 16<sup>th</sup> century. A large proportion of its visible walling is made up of spoil materials from pre-Hispanic constructions. There are also non-Hispanic reminiscences and traces of the indigenous technology in the walls, in the *posa* chapels of the upper atrium, and in the support rig of the free-standing tower.

ICOMOS considers that the close relationship between the monastery and the development of the city of Tlaxcala is still visible today. As one of the first five monasteries constructed and one of three still standing, the proposed extension has special relevance in the development of the new architectural model illustrated by the serial property and its influence, both on the urban development around the monasteries and the spread of this model up until the 18<sup>th</sup> century.

Criterion (iv): *be an outstanding example of a type of building, architectural or technological ensemble or landscape which illustrates (a) significant stage(s) in human history;*

This criterion is justified by the State Party on the grounds that the Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption of Tlaxcala shares some characteristics with the monasteries settled on the slopes of Popocatepetl. Beyond the architectural features found in the other monasteries, the proposed extension has some singularities that grant it an outstanding character, namely its location on an acropolis from which it dominates the valley of the city of Tlaxcala, its double atria, its free-standing tower reinforced by a sentry passage that recalls the military buildings of the Spanish Reconquest period, and its wooden *alfarje* ceiling.

ICOMOS considers that the Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption of Tlaxcala contributes to a better understanding of the architectural model developed in the monasteries. It also exemplifies one of the first attempts in developing new constructive spaces based on the synthesis of different stylistic influences and techniques.

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ICOMOS considers that the nominated extension meets criteria (ii) and (iv) and will enhance the justification of the Earliest 16th- Century Monasteries on the Slopes of Popocatepetl World Heritage property.

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### **Integrity and authenticity**

#### **Integrity**

According to the State Party, the extension of the Earliest 16th- Century Monasteries on the Slopes of Popocatepetl through the addition of the Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption of Tlaxcala forms a coherent and complete picture, each of the components having its specificities.

When the Franciscan, Dominican and Augustinian orders reached the American continent in the 16<sup>th</sup> century, they faced new realities, which forced them to reconsider and rethink their models and architectural typologies, adapting them to an American context and a new population. The new models incorporated a series of units and spaces, characteristically American, such as the wide well-defined atria, the *posa* chapels and the open chapels. The extreme simplicity of the constructions, and in some cases their defensive character, helps define a distinct American architectural typology.

ICOMOS considers that the Franciscan Ensemble of Our Lady of the Assumption of Tlaxcala has and maintains all the elements of the described typology. Its two atria, the *posa* chapels and the open chapels, as well as the buildings of the monastery, are all typical of this new model. ICOMOS already noted that, despite the revisions to the boundaries proposed by the State Party as part of the supplementary information sent in February 2021, some areas corresponding to the lost spaces of the lower atrium and the former orchard are not yet included within the boundaries of the proposed extension but should be part of it.

ICOMOS concurs with the State Party that the proposal of extending the inscribed property with the Franciscan Ensemble of Tlaxcala will increase the level of integrity of the property by adding an essential element participating in the historic development of the monasteries in this region, and being the only still-standing monastery out of the first five built at the time of arrival of the Europeans.

While the loss of some of these spaces in the past was mainly due to the development of the Ensemble, ICOMOS considers that their archaeological evidence needs to be conserved. At present, adverse effects from development

do not significantly affect the integrity of the remaining elements but need to be carefully controlled.

#### **Authenticity**

ICOMOS considers that the physical attributes of the proposed extension reflect credibly the proposed justification for inscription through their form and design, their materials and use.

The forms and design of the Franciscan Ensemble of Our Lady of the Assumption of Tlaxcala have been maintained, practically since its origin in the 16<sup>th</sup> century. Modifications or changes over the centuries did not significantly affect the overall architectural model.

The materials used since the 16<sup>th</sup> century (stone, wood, lime, sand) are those still visible today in the whole complex; the different interventions carried out over the centuries have made use of these same materials. Minimal contemporary functional adaptations, such as modern toilets for visitors, among others, have been discreetly and adequately located, without affecting the historical monumental complex or any of its components. Although parts of the Ensemble served other functions for some periods of time, its cathedral has maintained its original religious use for almost five hundred years.

The location of the Ensemble in an acropolis and its prominent position within the urban settlement is still preserved but the relationship with the setting is fragile.

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ICOMOS considers that the conditions of integrity and authenticity of the proposed extension have been met, but are vulnerable. They should be enhanced through minor boundary modifications to the nominated area and buffer zone.

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### **Evaluation of the proposed justification for inscription**

ICOMOS considers that the proposed justification for inscription of the nominated extension is coherent with the justification and the Outstanding Universal Value of the Earliest 16th-Century Monasteries on the Slopes of Popocatepetl World Heritage property, and reinforces the justification of criteria (ii) and (iv).

The conditions of integrity of the proposed extension are vulnerable because there are elements related to the spatial layout of the Ensemble that are fundamental to the understanding of the contribution it makes to the Outstanding Universal Value of the already inscribed property (in particular the lower atrium) that are not yet included within the boundaries of the nominated extension.

ICOMOS also considers that the relationship with the setting and the viewsheds from and to the monastery needs to be better defined and protected.

### Attributes

As in the other monasteries already inscribed, the distinctive relationship between built and open spaces of the Franciscan Ensemble of Our Lady of the Assumption of Tlaxcala constitutes one of its main attributes. The same can be said of the individual *posa* and open chapels that offered a variety of architectural solutions. All the monasteries conform to an architectural model which spread rapidly over the region and contains certain basic elements common to this new type of monastic house: atrium (usually rectangular), church (usually simple in plan but of imposing size, with a single nave), and monastic buildings, usually located to the south of the church and disposed around a small courtyard or patio, designated as the cloister. They often had a defensive aspect and were of simple construction. Being one of the first built monasteries with these features, the nominated extension presents also an early example of a mixed architecture including various stylistic influences and techniques, and includes unique features like its free-standing tower and the wooden ceiling of the cathedral.

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ICOMOS considers that the nominated extension with its attributes will complement and enhance the Outstanding Universal Value of the Earliest 16th-Century Monasteries on the Slopes of Popocatepetl inscribed property.

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## 4 Conservation measures and monitoring

### Conservation measures

The property has a preventive conservation plan and there is a permanent follow up of the state of conservation by the INAH team on site. The conservation measures are considered appropriate to ensure the proper conservation of the property's Outstanding Universal Value, authenticity and integrity. The funding of these measures is ensured jointly by the INAH, the Diocese of Tlaxcala and the Municipality of Tlaxcala.

The ICOMOS technical evaluation mission identified potential risks related to the obsolescence of the electrical system. The additional information provided by the State Party in response to ICOMOS's Interim Report presents the details of a project to change the electrical system, set to begin in 2021.

ICOMOS also notes the factors affecting the state of conservation of the property, such as the rising damp, humidity and development of micro-organisms, especially to its structural and decorative elements, and considers the need to implement conservation measures to mitigate these effects.

### Monitoring

The Franciscan Ensemble of Tlaxcala hosts a museum and offices of the regional delegation of the INAH, and the daily uses and intervention for maintenance in the buildings allow a close monitoring of the property. In addition, yearly inspections are conducted by the management unit of municipal cultural heritage through photographic reporting,

and videos from an airborne drone. Every three years, the division of public works of the city of Tlaxcala conducts an architectural mapping and inspection of the Ensemble aimed at monitoring material decay and possible changes in the structural integrity of the buildings. ICOMOS considers that changes in the surroundings of the Ensemble should also be closely monitored in order to ensure that development does not compromise the relationship of the Ensemble with its setting.

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ICOMOS considers that the proposed extension benefits from adequate conservation measures.

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## 5 Protection and management

### Documentation

The proposed extension has been widely documented over the past decades. Conservation works have been documented and most of the documentation is kept in the library of the INAH centre in Tlaxcala.

A full inventory of the movable properties in the cathedral was carried out in 2002. There is an extensive bibliography of studies on the development of the city of Tlaxcala and the role the Franciscan Ensemble played in it. However, ICOMOS noted a number of discrepancies related to the history and development of the proposed extension that should be carefully reassessed and revised based on historical records.

### Legal protection

The Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption of Tlaxcala is a declared historic monument, under the Federal Law on Historic, Archaeological and Artistic Monuments and Zones, published in the Official Gazette of the Federation in May 1972. The Ensemble and Cathedral is located inside the Area of Historic Monuments of the City of Tlaxcala de Xicohténcatl, published in the Official Gazette of the Federation on April 11 1986. This area is subject to specific legal conditions requiring that any type of construction, restoration or conservation work within it need to be approved by INAH with the support of the competent State and Municipal authorities.

At the State and Municipal levels, the legal protection of the proposed extension has recently been updated and adjusted by the Urban Development Partial Program of the Franciscan monastery and cathedral of Our Lady of the Assumption of Tlaxcala and its area of influence, approved by the Municipal Council of Tlaxcala on 3 June 2020. This program covers the entire buffer zone, including parts outside the historic area.

Other laws and regulations such as the Law of Construction of the State of Tlaxcala, the Law of Public Works for the State of Tlaxcala and its Municipalities, and the Law of Territorial Ordering for the State of Tlaxcala, allow the Municipal authorities to actively control development around the Ensemble.

### **Management system**

The nomination dossier includes a document called Management Plan for the Franciscan ensemble and cathedral of Our Lady of the Assumption of Tlaxcala. Although this document contains useful information, it provides little information on the important aspects of the management system in place, including staffing, expertise and resources available and it does not clarify the relationships between the many actors involved in the site management. This document is also limited to the Franciscan Ensemble and does not adequately explain how its management will be integrated with that of the monasteries already inscribed.

Additional information provided by the State Party in response to ICOMOS's first request for supplementary information, confirms the creation in October 2020 of a Cultural Heritage Management Unit but without detailed information on staff or financial resources necessary to render it operational; there is also no evidence of a mechanism of coordination between the three levels of government. By Law, the Franciscan Ensemble is considered a federal property and its administration falls to the INAH but the enforcement of the regulations and the management unit are under the municipality's responsibility.

In the additional information provided in response to ICOMOS's Interim Report, the State Party proposes a structure for a Management Unit for the whole property, involving the federal authorities as well as state authorities from the three States where the monasteries are located. This Unit will be in charge of coordinating and monitoring an Integral Management and Conservation Plan for all the monasteries. It also proposes that a General Risk Management Program be developed.

ICOMOS welcomes the suggestion to create a management unit for the overall management of the property, as well as the creation of an integral management and conservation plan for the monasteries.

### **Visitor management**

The city of Tlaxcala has experienced an increase in tourism in the last decade. For the time being, the State Party considers that visitors and tourists do not represent a risk for the conservation of the Ensemble; the actions mentioned in the management plan and the nomination dossier regarding visitor management relate mainly to the promotion of Tlaxcala as a tourism destination.

ICOMOS also notes that there is no information about a common interpretation and presentation strategy for the whole property. According to the information gathered, no cultural routes or circuits have been developed or implemented to help visitors and tourists gain a comprehensive understanding of the inscribed property as a whole and encourage them to visit different monasteries that are part of the series.

### **Community involvement**

The population of Tlaxcala possesses a very high sense of belonging and social appropriation of the Franciscan Ensemble, which supports its protection. The history of the monastery as one of the first of its kind is largely known within the local community. However, ICOMOS notes that there is a lack of mechanisms to promote the involvement of the population in the management of the Ensemble. The nomination dossier mentions a Citizen Advisory Council but it remains unclear if the local communities are represented, and what would be the relationship between the community and the management unit.

### **Evaluation of the effectiveness of the protection and management of nominated property**

ICOMOS considers that the protection and management mechanisms in place are sufficient to ensure proper conservation of the Ensemble, but certain elements should be reinforced. The legal protection and enforcement mechanisms are considered adequate to maintain the authenticity, integrity and Outstanding Universal Value of the proposed extension. Rules and regulations are also in place to protect the buffer zone. However, ICOMOS considers that the protection of viewsheds from and to the monastery should be further studied and strengthened.

Governance arrangements should also be strengthened to include practical mechanisms to coordinate the actions between the many actors with management responsibilities over the Ensemble, its buffer zone and its wider context.

The integration of the proposed extension into an overall management framework for the whole property remains a challenge. Such a framework should also address a common interpretation and communication strategy for the serial inscribed property.

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ICOMOS considers that the protection measures and management arrangements are adequate. Some aspects could be reinforced to strengthen their efficiency. ICOMOS recommends as well that the efforts towards developing an overall management framework for the whole property, which should include a common risk management plan, a monitoring system and interpretation, communication and tourism strategies, should be pursued.

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## **6 Conclusion**

The Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption of Tlaxcala was one of the first monasteries built as part of the evangelisation and colonisation processes of the northern territories of Mexico. The Ensemble became the cornerstone for the development of the city of Tlaxcala and nowadays still has a unique position above the city centre. Like the other monasteries, it conforms to a new architectural model, characterised by the relationship between the built and

open spaces, its open atria with *posa* chapels, the church (usually of simple plan but imposing size) and the monastic buildings disposed around a patio. The Ensemble also presents other features that are not found in the other monasteries already inscribed, namely the atria on different levels, a free-standing tower and a wooden Mudejar ceiling called *alfarje*. For these reasons, ICOMOS considers that the proposed extension reinforces criteria (ii) and (iv). ICOMOS welcomes the State Party's assurances that no other extensions are envisaged and that the series is considered complete.

The Ensemble is in a good state of conservation, and even if it requires regular maintenance, the problems are consistent with the age, building materials and regular use of this type of property. Some spaces that were originally part of the monastery, such as the lower atrium, which is a distinctive feature of the proposed extension, and the orchard, were lost due to subsequent construction phases throughout the centuries. Nevertheless, ICOMOS considers that the archaeological evidence of those spaces needs to be maintained and that the footprint of their layout must be fully included within the boundaries of the proposed extension, regardless of whether these spaces are now occupied by modern constructions. While ICOMOS welcomes the efforts that the State Party has already made in this regard, it considers that the boundaries of the proposed extension need to be further revised. For instance, ICOMOS notes that the revised boundaries proposed in the supplementary information, sent in February 2021 only include the space defined by the *Calle De La Capilla Abierta* but do not include the buildings that delimit it.

In light of the revisions needed for the boundaries of the proposed extension, ICOMOS also considers that the State Party must study the implications of these modifications on the delimitation of the buffer zone. ICOMOS notes that due to the specific location of the Ensemble on a hill, maintaining the prominent role of the monastery in the townscape of the historic centre, the relationship with its setting is critical. Therefore, the delimitation of the buffer zone should be revised in relation to important elements that determined its location, to better define its immediate setting and to consider important viewsheds from and to the monastery. Maintaining these viewsheds may require mechanisms other than what is feasible to include in the buffer zone. ICOMOS acknowledges the provisions already included in the Partial Urban Development Program but recommends that the State Party gives further consideration to this issue. ICOMOS recalls that the integrity section of the Statement of Outstanding Universal Value for the property already inscribed refers to important challenges regarding the physical setting of these monasteries, particularly in terms of controlling urban sprawl. This is even more important in the case of the proposed extension because of its location on a hill.

Given that this is an extension, ICOMOS considers that the Franciscan Ensemble meets the necessary conditions of authenticity and integrity but that these are vulnerable because of the issues with the boundaries and protection

of the setting, and with potential adverse effects from development and neglect. ICOMOS noted that an outdated electrical system poses considerable risks of fire, particularly given the importance of the wooden *alfarje*, a unique feature of this Franciscan Ensemble. Therefore, ICOMOS welcomes the State Party's assurances that it has already allocated funds to start a programme to replace the electrical system. It also notes that a subsequent phase is already planned to install a smoke and fire detection system but that no funds are allocated to it yet. ICOMOS considers that this should be given high priority.

Since the Ensemble is located in an earthquake-prone area, ICOMOS also welcomes the State Party's plans to develop a General Risk Management Program for the whole inscribed property.

ICOMOS considers that the legal protection is appropriate and encompasses both the proposed extension and the buffer zone. ICOMOS considers that the management system could be improved to strengthen governance arrangements and promote collaboration between the many actors involved, including the local communities.

ICOMOS also welcomes the State Party's willingness to develop an overall management framework for the whole property, called Comprehensive Management and Conservation Plan, as well as the creation of a Management Unit to oversee the implementation of this plan. The General Risk Management Program will be a part of this plan. ICOMOS also recommends that a common monitoring system and interpretation, communication and visitor management strategies are included as part of (or complementary to) this overall management framework. Overall, these foreseen protection and management mechanisms seem adequate but are yet to be implemented.

## 7 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the extension of Earliest 16th-Century Monasteries on the Slopes of Popocatepetl to include the Franciscan Ensemble of the Monastery and Cathedral of Our Lady of the Assumption of Tlaxcala, Mexico, be approved on the basis of **criteria (ii) and (iv)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

The Earliest 16th-Century Monasteries on the Slopes of Popocatepetl is a serial property with 15 component parts located in the states of Morelos, Puebla and Tlaxcala in Mexico, built as part of the evangelisation and colonisation of the northern territories of Mexico. The monasteries are: Atlatlahucan, Cuernavaca, Tetela del Volcan, Yautepec, Ocuiluco, Tepoztlán, Tlayacapan, Totolapan, Yecapixtla, Hueyapan and Zacualpan de Amilpas in Morelos; Calpan, Huetotzingo and Tochmilco in Puebla; and San Francisco



in Tlaxcala. These monasteries are considered to represent good examples of the architectural style adopted by the first missionaries – Franciscans, Dominicans and Augustinians – with spatial solutions and the architectural expressions that materialised the fusion and synthesis of heterogeneous elements. A considerable number of these buildings have an explicit military aspect, and compositional elements with definite Mudejar and Renaissance origins. The expression of the native culture is also present, from the open spaces used for worship to the work expressed in the decorations and the wall paintings.

The monasteries also represent an example of a new architectural concept in which open spaces are of renewed importance. The influence of this style is felt throughout the Mexican territory and even beyond its borders. The distinctive characteristic of these monasteries resides in the relationship between built and open spaces and, above all, in the emphasis placed on the wide forecourt or atrium with its individual *posas* and open chapels that offered a variety of solutions. The monasteries were founded in areas of dense indigenous settlement, with the object of providing focal points for urban settlements, a role which has survived to the present day.

The 15 monasteries all conform to an architectural model which spread rapidly over the region and contains certain basic elements common to this new type of monastic house: atrium (usually rectangular), church (usually simple in plan but of imposing size, with a single nave), and monastic buildings, usually located to the south of the church and disposed around a small courtyard or patio, designated as the cloister.

The great atria, which are open spaces, surround the entire perimeter of the church (in some cases most of it). They are delimited by Resting Chapels in the atrium's internal perimeter, called the processional path, and the walls have small niches for the *Viacrucis*. Another important element is the Open chapel. The hydraulic structures also are elements of the exterior composition that conducted water from the upper part of the mountain for community use.

**Criterion (ii):** The considerable influence exercised by the architectural model of the Earliest 16th-Century Monasteries on the Slopes of Popocatepetl, which spread over a very wide area, is incontestable. They operated not only in the second half of the 16th century in the centre and south-east of Mexico, but continued with the expansion of colonisation and evangelisation of the lands to the north in the 18th century, reaching the present-day United States of America from the Atlantic to the Pacific coasts, in the form of a large number of smaller establishments known as "missions" rather than monasteries.

**Criterion (iv):** The Earliest 16th-Century Monasteries on the Slopes of Popocatepetl is a group of monasteries selected as being representative of a large total. They bear characteristic witness to a certain type of structure, architectural as well as urban, which served as the centre of new human establishments for the reorganization of an

enormous territory and for the introduction of new social and cultural elements.

#### Integrity

Since each of the monasteries has preserved all of the original elements of its architectural complex, they are a complete representation of an actual 16th century Monastery. In general, they are in a good state of conservation and physical integrity has been maintained. Decay processes have been controlled by the yearly implementation of conservation projects. There are important challenges to be addressed regarding the physical setting of these monasteries, particularly in terms of controlling urban sprawl at diverse locations.

#### Authenticity

The level of authenticity in design and materials at the monasteries is high. After the Council of Trent many of the monastic buildings were converted to other uses and in the course of the 19th century new public buildings, such as schools and clinics, were built in the monastery precincts. However, the churches have all retained their original function and as a result have preserved the greater part of their original form and furnishings. The conditions of authenticity might be threatened by unpredictable natural phenomena, such as earthquakes and/or eruption of the Popocatepetl volcano, because of its proximity. In the case of the latter, there could be total or partial loss of the monasteries.

#### Management and protection requirements

The legal protection of the Earliest 16th-Century Monasteries on the Slopes of Popocatepetl involves three different levels of the government: federal, state and local. The legal instruments that ensure the protection of the property include the Political Constitution of the United Mexican States; the General Law of Human Settlements and the 1972 Federal Law on Historic, Archaeological and Artistic Monuments and Zones.

The management of the property is the co-responsibility of heritage authorities at the federal and state level and associated representatives from civil groups. Management and conservation centres aim at ensuring the stability of the monasteries and their elements through the implementation of conservation, maintenance and awareness-raising activities.

The efforts towards developing an overall management framework for the whole property, which should include a common risk management plan, a monitoring system, and interpretation, communication and tourism strategies, should be pursued and a dedicated management unit to coordinate its implementation should be set up.

**Additional recommendations**

ICOMOS further recommends that the State Party give consideration to the following:

- a) Submitting a minor boundary modification reflecting the below mentioned adjustments to the boundaries of the component part and its buffer zone, within a two-year period of the approval of the extension:
  - Adjusting the boundary of the component part area to include the areas occupied by the former lower atrium and at least parts of the orchard, to protect the archaeological evidence of those spaces, even if this requires including areas now occupied by more recent constructions as the bullring space,
  - If necessary, adjusting the delimitation of the buffer zone based on the modifications to be made to the boundaries of the component part, but also to better maintain the prominent role that the monastery has in the townscape of the historic centre,
- b) Strengthening the urban planning regulations that allow protection of the viewsheds from and to the monastery,
- c) Completing the replacement of the electrical system as soon as possible and installing an effective fire prevention system,
- d) Strengthening the governance arrangements for the Franciscan Ensemble to facilitate collaboration between different actors involved in its management,
- e) Continuing its efforts towards developing an overall management framework for the whole property (which should include a common risk management plan, a monitoring system and interpretation, communication and tourism strategies) and setting up a dedicated management unit to coordinate its implementation;





## **IV Cultural properties**

### **A Arab States**

Deferred nomination

### **B Asia – Pacific**

New nomination

### **C Europe – North America**

New nominations

Creation/modification of buffer zones

### **D Latin America and the Caribbean**

New nomination

Extension

Creation/modification of buffer zones



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## City of Potosí (Plurinational State of Bolivia) No 420bis

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### 1 Basic data

#### State Party

Plurinational State of Bolivia

#### Name of property

City of Potosí

#### Location

Potosí

Province of Potosí

#### Inscription

1987

#### Brief description

In the 16th century, this area was regarded as the world's largest industrial complex. The extraction of silver ore relied on a series of hydraulic mills. The site consists of the industrial monuments of the Cerro Rico, where water is provided by an intricate system of aqueducts and artificial lakes; the colonial town with the Casa de la Moneda; the Church of San Lorenzo; several patrician houses; and the barrios mitayos, the areas where the workers lived.

#### Date of ICOMOS approval of this report

18 March 2021

### 2 Issues raised

#### Background

In 1987, the City of Potosí was inscribed on the World Heritage List on the basis of criteria (ii), (iv) and (vi). The map supplied at the moment of inscription outlines the property but does not define a buffer zone.

The collapse of a portion of the summit of Cerro Rico in February 2011 ultimately led to the inscription of the property on the List of World Heritage in Danger in 2014 (38 COM 7B.38). In the wake of the collapse several pending issues concerning the site were considered in 2011, and the World Heritage Committee requested the development of a participatory Management Plan for the property and the official submission of a buffer zone (35 COM 7B.120). In 2014 the World Heritage Committee repeated the request to finalize the boundary clarification, within the framework of the Retrospective Inventory, and invited the State Party to submit a minor boundary modification "to allow for a clear understanding for the protection of the visually sensitive areas around the property" (38 COM 7B.38). The request was repeated

again in the following years on various occasions. In 2016, the World Heritage Committee furthermore mentioned the need to include in this process "the elaboration of land use regulation for the property and its surrounding areas in order to define a buffer zone to protect the visually sensitive areas around the property" (40 COM 7A.1).

The clarification of the limits of the property and a final proposal of the buffer zone are part of item d) on the list of Desired Corrective Measures for the Removal (DSOCR) of the property from the List of World Heritage in Danger, as well as part of the list of indicators defined to reflect each of the four corrective measures aimed at achieving the DSOCR, both approved by the World Heritage Committee in 2017.

Technical assistance provided by the World Heritage Centre / ICOMOS technical mission (May 2017) and the participatory workshop for the revision of the Draft Management Plan (May 2018), which was attended by experts, as well as local and national authorities, helped generate a final document for the clarification of the limits of the World Heritage property and definition of the buffer zone.

A Minor Boundary Modification proposal was submitted by the State Party and referred back in 2019 by World Heritage Committee decision 43 COM 8B.50:

*The World Heritage Committee,*

*1. Having examined Documents WHC/19/43.COM/8B.Add and WHC/19/43.COM/INF.8B1.Add,*

*2. Refers the proposed buffer zone for the City of Potosí, Plurinational State of Bolivia, back to the State Party in order to allow it to:*

- 1. Elaborate a clear description of:*
  - 1. the limits of the buffer zone,*
  - 2. the limits of the area of environmental influence,*
- 2. Clarify the rationale for the delineation of these boundaries, by taking into account the protection of the visually sensitive areas around the property, as mentioned by the Decision 38 COM 7B.38,*
- 3. Provide explicit information on the legal and management aspects, such as land use regulations, that are applied in the regulation of the newly defined buffer zone and area of environmental influence,*
- 4. Provide detailed explanations on the different regulations applicable in areas which are already in place and overlapping with the buffer zone (such as Intensive Protection Area of the Historical Center, the Historic Center Transition Area, the Protected Area of the Ribera de los Ingenios, and the Cerro Rico Protection Area), and also describe which regulations take precedence,*
- 5. Consider the possibility to homogenize the limits of the different zones, in order to reduce overlap.*

In addition, by Decision 43 COM 8D, the World Heritage Committee acknowledges the clarification of the delimitations of the property boundaries.

### Modification

On the basis of the World Heritage Committee decision 43 COM 8B.50, the State Party submitted the current minor boundary modification that is related to the creation of a buffer zone. The State Party provides detailed description the inscribed property area, as it comprises the Historic Centre, the Ribera de los Ingenios, the Cerro Rico and the Kari Kari Lagoons (also referred to as Kari Kari gaps). Then, it explains the delineation of the buffer zone proposal, and describes it with details by presenting the articulation of the different subareas, which are the transition area of the Historic Centre, the amplification of the Ribera de los Ingenios, the protection area of the Cerro Rico and the zone of influence of the basins fed by the Kari Kari Lagoons. The State Party emphasizes in the description of the proposed buffer zone the heritage features and the need to protect them. However, ICOMOS notes that the State Party does not provide the rationale followed for the delineation of the buffer zone, which would have been useful in order to understand why these heritage features are not part of the inscribed property.

The State Party also highlights that the visually sensitive areas are included in the buffer zone, and states that their protection has been used as a management basis for the delineation of the buffer zone. ICOMOS notes that no clear description of these sensitive areas (or visual axis to and from the property) have been provided, nor of the way the buffer zone would contribute to their protection. The maps provided include two lines that define a triangle to the north of the tip of the Cerro Rico. This triangle is labeled "Ring of visual protection of the Cerro Rico de Potosí - 81°". Neither the map nor the text of the proposal provides clear explanations of the visually sensitive areas.

In terms of legal protection, the State Party explains that COMIBOL regulates mining concessions at the Cerro Rico (Supreme Decree 27787), the Municipality of Potosí is in charge of urban regulations of the Historic Centre and the Ribera de los Ingenios (Municipal Law No. 055). The Municipal Law No. 147 focuses on the protection and conservation of the reservoir of the Kari Kari Lagoons. ICOMOS notes that all of the legal texts mentioned predate the elaboration of the buffer zone proposal and do not seem to make explicit reference to the buffer zone as proposed by the State Party.

In addition, and in reference to the World Heritage Committee decision, point 4, concerning the different regulations and their overlapping in the buffer zone, ICOMOS notes that the State Party provided information on the scope of the different legal regulations applicable at federal, regional and municipal level, and highlighted that these are issued by bodies with different legal competencies, which in terms of implementation, does not ease the efficiency of the protection. However, ICOMOS considers that more explanation on the scope of the different regulations in place in the buffer zone would be necessary, especially regarding the overlapping of the different protection mechanisms.

ICOMOS also notes that the integrated management interrelating the different authorities on the conservation of the property is one of the stages to be developed by the State Party to achieve the Desired State of Conservation for the removal of the City of Potosí from the List of World Heritage in Danger (DSOCR).

ICOMOS considers that important information is missing with regards to the proposed buffer zone. The rationale for its delineation is not provided, and its protection mechanisms are not provided neither, nor explained. Clear explanation on how the legal provisions are currently applying to the property and its buffer zone should be provided in order to understand how the buffer zone will provide an added layer of protection to the property, in compliance with paragraphs 104 and 105 of the *Operational Guidelines*. ICOMOS further notes that no reference is made to the land use regulation and the protection of the visually sensitive areas around the property, as mentioned in the decision of the World Heritage Committee.

ICOMOS notes that no explanations have been provided on the area of environmental influence, as well as the issue related to the overlapping of several protection zoning, as mentioned in the World Heritage Committee Decision 43 COM 8B.50 and considers that, at this stage, important information is missing before the creation of the buffer zone can be approved.

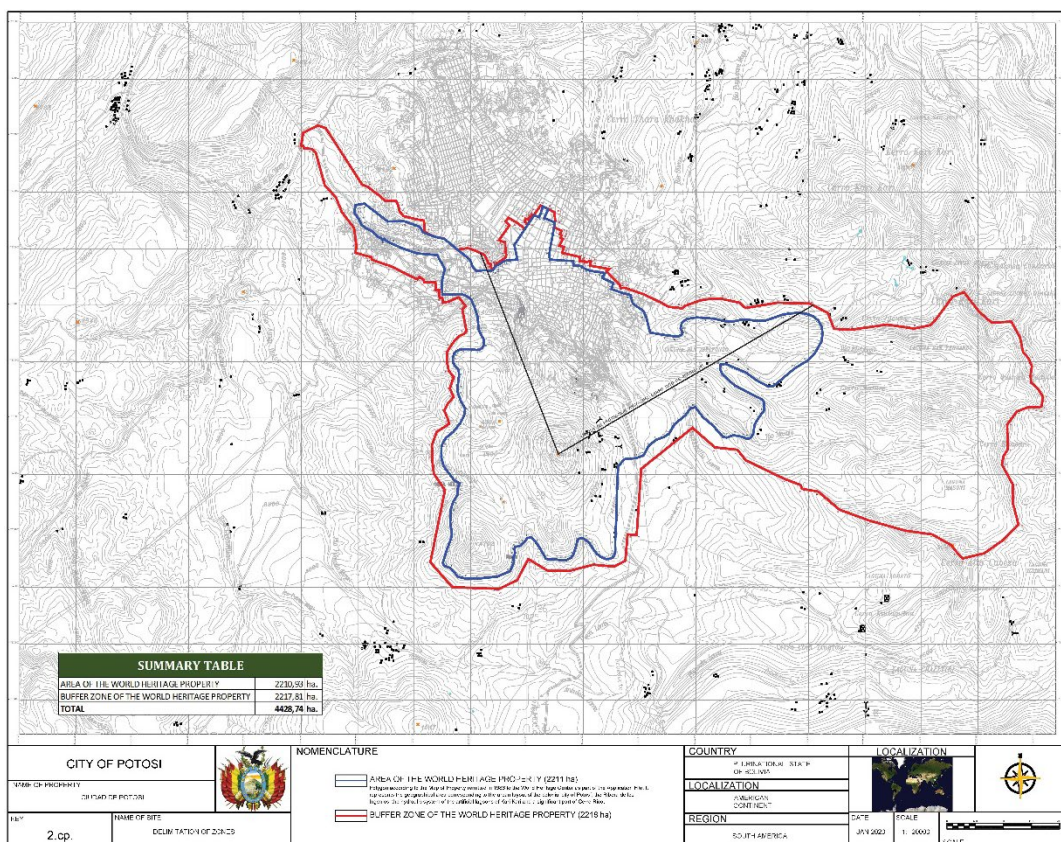
## 3 ICOMOS Recommendations

### Recommendation with respect to inscription

ICOMOS recommends that the proposed buffer zone of the City of Potosí, Plurinational State of Bolivia, be **referred back** to the State Party in order to allow it to:

- Elaborate a clear description of the limits of the buffer zone and clarify the rationale for the delineation of these boundaries, by taking into account the protection of the visually sensitive areas around the property, as mentioned by the Decision 38 COM 7B.38 of the World Heritage Committee,
- Provide clear information on the legal and management aspects, such as land use regulations, that are applied in the regulation of the newly defined buffer zone, in order to understand how the buffer zone will provide an added layer of protection to the property, in compliance with paragraphs 104 and 105 of the *Operational Guidelines*,
- Explain the scope of the different regulations in place in the buffer zone, especially regarding the overlapping of the different protection mechanisms;





Map showing the boundaries of the proposed buffer zone

