



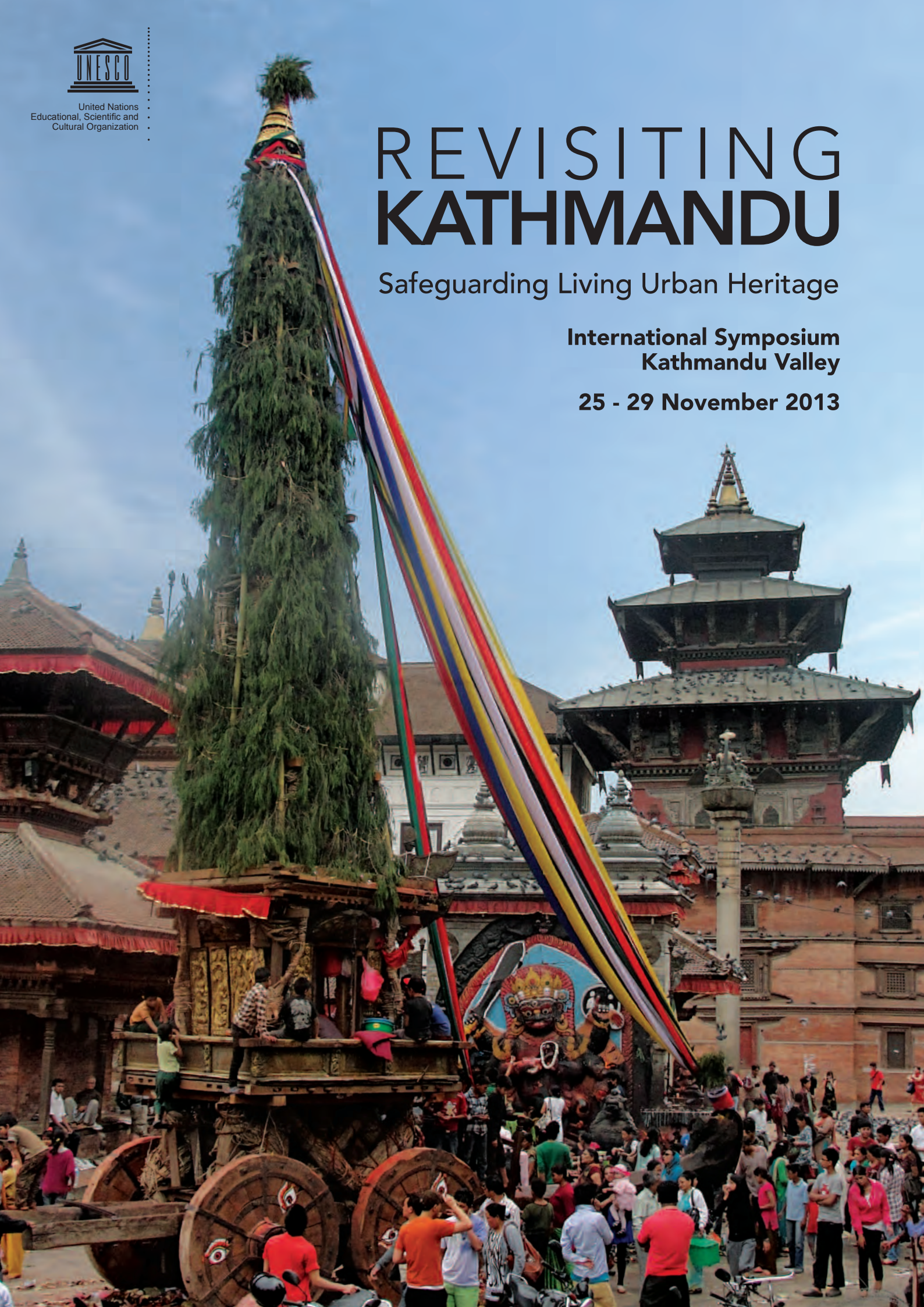
United Nations  
Educational, Scientific and  
Cultural Organization

# REVISITING KATHMANDU

Safeguarding Living Urban Heritage

International Symposium  
Kathmandu Valley

25 - 29 November 2013







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## REVISITING KATHMANDU

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# Revisiting Kathmandu

## Safeguarding Living Urban Heritage

a contribution to the discourse on better understanding living urban heritage through the four themes of authenticity, heritage management, community involvement and disaster risk reduction and their inter-linkages

The proceedings of an international symposium  
that took place in the Kathmandu Valley  
from 25 to 29 November 2013



United Nations  
Educational, Scientific and  
Cultural Organization

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## Preface

Managing a living urban heritage is meaningful but equally challenging, as there is a need for both safeguarding heritage values, and improving the quality of life for people living in and around these areas.

At the annual meeting of the ICOMOS International Scientific Committee on Risk Preparedness (ICORP) in Istanbul in November 2012, the ICOMOS Nepal President, Kai Weise offered to host the ICORP meeting the following year in Nepal. Taking into account that numerous international experts would be attending the meeting, the idea of arranging a symposium was devised to discuss the Kathmandu Valley within the broader scope of living urban heritage. ICOMOS Nepal was supported by the UNESCO Office in Kathmandu and the Department of Archaeology of Nepal. The three municipalities - Kathmandu, Lalitpur and Bhaktapur, the Pashupati Area Development Trust and the Federation of Swayambhu Conservation and Management came up with the proposal to co-host the Symposium in November 2013. The willingness of the World Heritage Institute of Training and Research for the Asia and Pacific (WHITRAP) in Shanghai to fund the publication of the presentations, provided motivation to the paper presenters.

The urban centres in the Kathmandu Valley are exceptional examples of living heritage of humanity. However, at the same time, they have to handle burning issues common to today's cities across the globe. Challenges include dealing with planning, infrastructure and resources, housing and environment as well as heritage protection.

Safeguarding the heritage of cities is vital for a better urban future. As urban environment progresses, finding a balance between conservation and development is challenging for a living city. The choices made in one area impact positively or negatively to another. Technical solutions may not always be enough. Therefore, we must find sustainable ways to ensure a just compromise between the wellbeing of people living in and around a World Heritage city and its appropriate protection.

This publication intends to help managers, planners, decision makers and researchers address the issues of safeguarding living urban heritage through four themes – authenticity, heritage management, community involvement and disaster risk reduction and their inter-linkages. It constitutes a significant contribution to the protection of the Kathmandu Valley World Heritage property and others across the world.

The Kathmandu Statement, as outcome of the symposium on the need to develop approaches to define, protect and sustain cultural heritage beyond monuments, provides ways of achieving sustainable use and benefits of the World Heritage to the present and future generations.

For almost 70 years, with the mission of building peace and fostering sustainable development through heritage protection, UNESCO through its three legal instruments - the 1972 World Heritage Convention, the 2003 Intangible Heritage Convention and the 2005 Convention on the Diversity of Cultural Expressions provides a unique platform of competences and networks to communicate and collaborate on issues of urbanization and environmental sustainability, cultural diversity and safeguarding the identity of historic cities.

In this context, building on the knowledge of communities and local partners, and bringing in useful data from scientific research, this publication serves to transform the way of protecting heritage.

I commend the symposium organizers, the collaborators, and those who contributed valuable time and efforts to create this publication and meet its ambition- deepen the understanding of the challenges to manage and preserve the value of historic cities, shed light on the practical approaches, taking into account multidisciplinary factors along with local community values and set an inspirational example of working together.

This publication clearly highlights the need to realign responsibilities for conservation among institutional actors across sectors. Most importantly, it encourages innovatively using the knowledge and bridging the past with the present, in order to manage living heritage sites better together.

Christian Manhart  
UNESCO Representative to Nepal









© K. Weise - Rituals on the banks of the Bagmati River at Pashupati

## Part One: Discourse

Revisiting Kathmandu  
symposium on safeguarding  
living urban heritage

## Summary and commentary

Kai Weise

### Short biodata

Kai Weise is a Nepali national of Swiss origin. He completed his Masters in Architecture from the Swiss Federal Institute of Technology, Zurich in 1992 and has been working as a planner and architect in the Himalayan Region. He has been working in various capacities as a UNESCO consultant and advisor to the UNESCO Office in Kathmandu since 2004. He has been involved in preparing Management Plans for various World Heritage properties: Kathmandu Valley, Lumbini, Samarkand and the Mountain Railways of India and recently on Bagan (Myanmar). He assisted in reestablishing ICOMOS Nepal and became president of the newly formed national committee.



## The symposium

'Revisiting Kathmandu' is an international symposium on the conservation of living urban heritage. It has taken place in the context of a rapidly changing understanding of heritage as a concept that does not only include monuments any more, but complex urban spaces, where people live, work, worship and celebrate festivals. As values and aspirations of society change, the approach of urban conservation must adapt and respond to this change.

The symposium discussed on how to maintain the delicate balance between conserving what represents the intrinsic character and value of the historic city, while, at the same time, allowing for the change that is required for the city to continue to develop.

Each day of the symposium, which started on the evening of 25 November 2013, discussed these issues around one specific theme: authenticity, management, community involvement and disaster risk reduction. Each day's programme included a keynote speech, presentations of case studies, group work and discussions. Additionally, there were various supporting activities and discussions in the evenings. Each day, the event was sponsored by and located in a different monument zone of the Kathmandu Valley World Heritage property.

To ensure that all participants were given their chance to contribute, the number was theoretically restricted to 100 persons, with 25 participants in each group which focused on one of the symposium themes. The groups focused on

their group theme throughout the symposium and discussed the theme of the particular day from the viewpoint of their group theme. This made it possible to analyse the linkages between the themes.

The Kathmandu Valley is a highly relevant venue to discuss the four themes of the symposium for a variety of reasons. The Nara Document on Authenticity adopted in 1994 has its origins in the controversy that arose from the restoration methods employed on the I Baha Bahi courtyard monastery in the Kathmandu Valley and the discussions at the World Heritage Committee in 1992. The same controversy also led to a decade long discussion and to the inscription of Kathmandu Valley on the list of World Heritage in Danger in 2003. It was removed from the list in 2007 when the Integrated Management Plan was adopted by the Government of Nepal. The plan is being reviewed with discussions on community involvement. At the same time, disaster risk management is being given high priority in the document, as the impact of another large earthquake on the Kathmandu Valley is looming.

The symposium was not looking for specific solutions. It was designed to contribute to changing the overall approach and mindset in heritage conservation. That might be a lofty and implausible goal, but even the most minuscule contribution in initiating discussions in this direction could be considered a major achievement.



*Participants from Kazakhstan, Iran, Myanmar and China*

## A summary of raised issues

### The dynamism of heritage

Heritage can be defined as something we inherit from the past, is considered of value and is worthy of preservation for future generations. This shows that heritage is subjugated to influences and threats over time. To ensure that the heritage is passed on to future generations in a reasonable state, the attributes and elements that express its value must be retained. This requires a dynamic process of responding to the constantly changing context surrounding the heritage. Time leads to the aging of the material of which the tangible heritage is created. Time also chips away at the intangible heritage as it is passed on from generation to generation. An understanding must be reached on how we understand heritage, what it is that is of value and in what state we need to pass it on to future generations.

### From exclusive to inclusive

The definition of heritage has drastically changed over the past decades as we move away from focusing purely on the monuments: the exclusive. We have come to accept the importance of the context, the common people and that which creates the cultural landscapes and living urban heritage. The dwellings that make up the urban fabric are as important as the palaces and temples. The terraced paddy fields are as important as the pleasure gardens of the emperors. There is a change in mindset from the exclusive to the inclusive. This transformation can be observed for example in politics which in most places is diverging from autocratic systems to democratic ones which promote inclusiveness. A similar track change can be observed in managing heritage. Authorities that enforce strict laws on conservation have managed to safeguard individual monuments. The changing scale and the enormous range of different attributes that make up heritage today require an inclusive management system that promotes the involvement of the community and other stakeholders.

### Heritage jargon and reality

The expression of abstract concepts is restricted by the language we use. It is said that even the understanding of our universe and our existence is defined by the words that have been created by a specific community. Language has been adapted often through a deep understanding of certain parts of our environment. The Inuit Eskimos for example have over fifty words for snow and ice, which come from

knowledge about the snow and ice formations and their characteristics. The Samis from northern Scandinavia and Russia have over thousand words for reindeer, depending on their physique and character, which comes from their close cultural bond with this animal. The knowledge that is enshrined in these words would take an uninitiated scientist several decades to learn. The explanation and translation of these concepts might only be partially comprehensible in a different language. We often intellectualize over the meaning of a word which has been totally disconnected from the context. We discuss abstract concepts of value and authenticity when conserving heritage, losing sight of the actual intent of our activities. This is greatly compounded when the texts are translated into different languages. Each community comprehends these words differently in their own language and perception. The discourse on terminology only makes sense when words are being used to create a shared reality with a clear understanding of intent. Words must not become shackles, but a tool of interaction and a means of freeing us from ignorance.

### What community?

As the complexity of the heritage properties increases with the ever expanding definition, those responsible for the creation and care need to be included in the management system. In an ideal situation, there is a clear homogenous group of people that can take on this role. In many cases the community is dynamic and in rapid transformation. This could be either that the cultural community itself is transforming or that there is an influx from other cultural communities. This transformation can have a major impact on the sense of ownership towards the heritage and can deteriorate any form of responsibility felt by the community. There are many heritage sites, monuments or artefacts that have become orphaned of any community. In such cases, there is a need to create a contemporary community to participate in the care and protection. This might be comprised of appropriate people in the surrounding area, communities further away that still identify with the heritage or if necessary by introducing international organizations and experts. The complexity heightens even further when a certain heritage is shared between numerous cultural communities. This can often lead to conflicts in a bid for sole ownership. Such shared heritage can however also be an opportunity to establish constructive dialogue between hostile groups.



## Heritage and disasters

Disasters feed into the imagination and fears of people making up much of the daily news. People are fascinated to hear about the destruction caused by an earthquake, landslide or tsunami. This destruction is however a reality and there are no superheroes that come and save the situation. We understand that disasters are created through the combination of hazards and the vulnerability of a given site or structure. This interplay between hazards and vulnerability has been going on throughout history and communities had to learn to survive, otherwise they perished. We have come to understand that possibly even characteristics of the hazards might be changing, for example due to climate change. An entirely new set of parameters will come to affect areas vulnerable to flooding, whether along coastal areas or in mountain valleys below glacial lakes. The vulnerability of our environment in many cases has increased drastically due to growing populations and the uncontrolled spread of human habitat and construction with little consideration for risk reduction. There is much that can be learnt from heritage to reduce disaster risk; however these lessons need to be introduced into the mainstream planning and decision-making. A separate system for disaster risk management for cultural heritage is neither feasible nor effective.

## The tourism factor

The questionnaires distributed during the second cycle of periodic reporting on the implementation of the World Heritage Convention in Asia and the Pacific provided statistics on the factors affecting the properties within the region (UNESCO, 2012). After analysing this data, it became clear that for cultural, natural and mixed sites, the factor that was considered to have most negative as well as positive impact was tourism. The factors under tourism were the direct impact of tourists and visitors on the heritage and community along with the development of accommodations and associated infrastructure which included interpretative and visitor facilities. Tourism is clearly seen to be a double edged sword. It can be a means of ensuring economic feasibility of a heritage site and thereby garnering political support for the conservation of heritage. Tourism however can be deeply invasive. It changes the local economy and directly impacts the activities of the local community. Mass tourism demands infrastructure and facilities in and around the heritage site. The visitors are often provided with additional recreation and commercial services. Balancing these impacts is critical.

## The detailed inventory

The importance of detailed inventories as a critical tool for conserving heritage has probably been underrated in most sites. Inventories were initially understood as a listing of monuments. This has developed further into a graded inventory, which provided a certain prioritization linked to ownership and degree of possible interventions. Inventories can however play a much more critical role in management if it would be linked to a documentation database, specified conservation approaches are provided for each specific heritage item and if it would be linked to a monitoring and reporting system. The detailed inventory with all relevant information on each heritage object would also be the basis for disaster risk management. The conservation tool must take into account that each heritage site, building or artefact is unique, something only achievable using an inventory.

## Expiry dates for building

The distinction between heritage and non-heritage is often defined by age. Many countries have legislation that protected monuments need to be over a hundred years old. It is interesting to bring the consideration of obsolescence into the equation. A normal reinforced cement concrete building would survive for probably fifty years. The reinforcement corrodes and only through expensive and special interventions can these buildings continue functioning. If not treated, they become major threats, especially in areas prone to seismic activity. Such buildings would need to have a legal expiry date, after which they are demolished. They can only be preserved if they are considered worthy of being heritage. This approach would ensure that vulnerable buildings are removed or given priority treatment as heritage.

## Heritage Impact Assessment

Every country must establish a legally binding system for Heritage Impact Assessments. This is probably an efficient and simple means of controlling development in and around heritage sites. There would need to be three different categories of Heritage Impact Assessments. There would need to be a process of assessing past activities and providing means of rectification. There would need to be an assessment as part of a permit system for proposed development projects which rejects or accepts projects with detailed conditions. There would also need to be an assessment system as a planning process to address threats and future impact. This would require legal provisions along with zoning, guidelines and a management system for enforcement. These provisions would need to be integrated into the comprehensive planning and management system.

## Heritage for sustainable development

Heritage conservation is closely associated with sustainability. The nexus between culture and development has been heftily discussed ever since culture was left out from the definition of sustainable development. The Brundtland Commission defined sustainable development as, 'development that meets the needs of the present without compromising the ability of future generations to meet their own need'. The conservation of 'heritage' - be it cultural or natural - reflects the key principle of sustainable development; it is the

conservation of that which we inherit from the past, which is of value and is worth preserving for future generations. 'Value' as utilized here, is the qualitative aspect of 'need', the term referred to in defining sustainable development. The importance of culture for development is slowly being recognized at both international and national levels. It has become apparent that culture needs to be addressed when attempting to achieve the Millennium Development Goals (MDGs) by 2015 and will need to take a prominent position in the post 2015 Development Agenda.



*Children getting involved in festivities ensuring the future of such cultural activities*



## The discussion on authenticity

### A general introduction to authenticity

The discussion on authenticity of historic buildings already arose in the late nineteenth century. The Society for the Protection of Ancient Building's Manifesto of 1877 consisted principally of a plea to 'put protection in place of restoration'. This arose from the notion of romantic ruins which persisted throughout much of the twentieth century. The Athens Charter of 1931 for the Restoration of Historic Monuments had a more pragmatic approach towards allowing interventions to monuments. The preamble of Venice Charter of 1965 however states that 'it is our duty to hand them [the ancient monuments] on [to future generations] in the full richness of their authenticity'.

Even though the World Heritage Convention does not mention authenticity, the Operational Guidelines require nominated cultural properties to meet the conditions of authenticity. As per paragraph 82: 'Depending on the type of cultural heritage, and its cultural context, properties may be understood to meet the conditions of authenticity if their cultural values (as recognized in the nomination criteria proposed) are truthfully and credibly expressed through a

variety of attributes including: form and design; materials and substance; use and function; traditions, techniques and management systems; location and setting; language, and other forms of intangible heritage; spirit and feeling; and other internal and external factors.' The Operational Guidelines explains the practical basis for examining the authenticity in paragraphs 79 to 86, which is however a summary of the Nara Document on Authenticity.

The discussion on authenticity is closely linked to the parallel themes of the symposium: management of heritage, community involvement and disaster risk.

### Authenticity in the context of Kathmandu

The dialogues that led to the preparation of the Nara Document on Authenticity in 1994 began two years earlier in Kathmandu. In 1992 the Wood Committee of the International Council on Monuments and Sites (ICOMOS) met in Kathmandu and critical comments were made on the restoration work being carried out on the I Baha Bahi. The



issue was raised at the World Heritage Committee session in 1992. This led to the demand mainly of Asian State Parties to review the concept of authenticity. It also led to a decade long discussion which placed Kathmandu Valley on the list of World Heritage in Danger in 2003 due to uncontrolled urbanization and loss of historic fabric.

Considering that the Nara Document on Authenticity is going to become twenty years old, and the discussions that led to this document initially began in Kathmandu, this discussion on authenticity was revisited at the symposium. Over the past twenty years, the definition of heritage has expanded to include for example cultural landscapes and industrial heritage; however the application of authenticity on such heritage remains unclear. This is especially the case when considering the complexities of living urban heritage.

The understanding of authenticity in respect to the Kathmandu Valley was reviewed when preparing the Retrospective Statement of Outstanding Universal Value in 2011. 'The authenticity of the property is retained through the unique form, design, material and substance of the buildings, displaying a highly developed traditional craftsmanship and situated within a traditional urban or natural setting. Even though the Kathmandu Valley has undergone immense urbanization, the authenticity of the historic ensembles as well as much of the traditional urban fabric within the boundaries has been retained.'

This statement was however already defined in the Integrated Management Framework document that was adopted by the Cabinet of the Government of Nepal in 2007. Here the discussion on Authenticity is defined more in detail.

### Discussion on Authenticity

Every component of the World Heritage property, be it the monuments or the surrounding context, has inherent values that encompasses a specific meaning of authenticity within itself. This does not allow a general understanding of authenticity to be formulated for the overall property. However certain principles must be formulated to establish a basis for the preservation of the value of the property.

The conservation of a heritage property must fulfil two tasks:

1. be a testimony to the achievements of the past which necessitates the preservation of specific tangible elements in its original state; and
2. the continuation of a living cultural heritage which must be based on the appreciation of the past, however taking change into account.

### Cyclical Renewal

The principles that have governed the construction and the maintenance of the monument throughout its history, are an inherent aspect defining the character of the monument.

The monuments of the Kathmandu Valley have been exposed to two extreme natural phenomena throughout history, earthquakes and dampness. In response to the effects of these natural phenomena, the monuments have traditionally undergone cyclical renewal. *(It must be noted here that Nepal has never been a colony of any western empire, had little contact to the outside world until 1951, and was therefore only recently introduced to the western concept of conservation).*

Cyclical renewal in the case of the Kathmandu Valley has clearly meant reconstruction. This is especially obvious after the destruction of monuments due to earthquakes.

*Most monument zones still have testaments of the hasty renewal after the 1934 earthquake. It is clear that at that point in time, many monuments were not renewed as per their original form (e.g. the Chaturmukhalinga Mahadev Temple in Hanuman Dhaboka and the Fasi Dega Temple in Bhaktapur). There is also proof of monuments that were destroyed during the 1934 earthquake that were never reconstructed (e.g. the Hari Shankar Temple in Bhaktapur).*



Detail of *woodwork in Sundari Chowk, Patan Durbar*



Taking into consideration that the authentic character of a monument zone should not be understood as the original character, the form of these testaments of the 1934 earthquake should remain unaltered. It might, however, be necessary to review this principle for specific cases.

*For example, during the restoration of the 55-Window Palace in Bhaktapur, it was found that many wooden elements that were reused after the hasty reconstruction in 1934 were replaced in the wrong position or direction, contrary to traditional construction practice. It was decided to rectify this during the restoration process.*

*On the other hand, the Chyasilin Mandapa in the Bhaktapur Durbar Square, which was totally destroyed during the 1934 earthquake, was reconstructed five decades later based solely on photographs. The Mandapa itself has very little that could be called authentic, however it does contribute to recreating a part of the original (pre-1934) identity of the Bhaktapur Durbar Square.*

The 1934 earthquake also had major impact on the urban fabric surrounding the Monument Zones.

*In and around Hanuman Dhoka, major urban renewal was carried out during the reconstruction procedure. The buildings along Juddha Saddak were reconstructed in the white stucco facades of the Rana style. The Basantapur square was carved out of the urban fabric. (Even today, one of the listed monuments of Hanuman Dhoka is*

*Banya Babal in the middle of Basantapur square – however a Babal is a courtyard building).*

The most predominant problem facing the urban fabric is the rising dampness. The lack of damp proofing in traditional buildings destroys the brickwork on the ground floor over time. Cyclical renewal through reconstruction has traditionally been the only means of responding to this problem.

### **The attributes**

The process of cyclical renewal should however follow strict guidelines. The cultural value need to be truthfully and credibly expressed through a variety of attributes (Operational Guidelines paragraph 82).

### **Form and design**

Restoration should be carried out based on detailed documentation of the building. This would mean that the form and design of the building must not change.

The nomination document emphasises the ‘Newari’ style of buildings. However, the Newari style went through transformations and can be roughly categorised into Malla style and Shah style. The later Shah period was greatly influenced by the white stucco Rana style



*Festivities in Patan Durbar Square*

(a western Neo-classical style introduced by the Rana prime ministers towards the end of the 19th century).

It must be noted here that none of the Rana style buildings within the Monument Zone boundaries were considered listed monuments in the nomination document.

Restoration of structures should not discriminate between Malla, Shah and Rana style buildings. However, buildings that were built using reinforced cement concrete and are considered obtrusive need to be rectified – not in pursuit of regaining lost authenticity, but to minimise their impact on their surroundings. Rectification should be done respecting the neighbouring historic buildings.

### **Materials and substance**

The use of construction materials is very closely linked to the structural system of the monument. Malla, Shah and Rana buildings were load-bearing fired brick or adobe masonry structures with mortar comprising of a combination of earth, lime, surkhi (brick dust) and sand. In most cases, this was combined with wooden post structures. There are also some examples of stone structures.

The traditional workmanship entailed in the production of the materials or construction elements are an important aspect in retaining authenticity.

A high degree of ornamentation was achieved specific to each of the styles. This is especially the case with ornamental fired bricks, intricate carving of wooden elements and stucco ornamentation of the Rana style buildings. The use of stone and carved stone elements was limited to some temples. The correct interpretation and employment of these elements is an important aspect in respect to authenticity.

*There has been a general trend to use the traditional Dacchi Appa bricks for restoration and the construction of new buildings within the monument zones. However pleasing it maybe aesthetically, this clearly goes against the principle of authenticity. Dacchi Appa bricks were only used for buildings commissioned by the Malla kings (with some exceptions), however all other private buildings were constructed of Ma Appa.*

The materials used for paving must be verified for their appropriateness in respect to authenticity.

Should materials that are new to the site be employed for technical reasons especially in respect to dealing with stability and dampness, need to be either reversible or of a durability that is at least equivalent to traditional materials. *This is especially the case with the most intrusive material of our times: cement concrete. However differentiation needs to be made between*

*mass concrete and reinforced concrete. Various forms of mass concrete have been known to have survived for centuries, while the lifespan of reinforced concrete is considered to be between 50 to 70 years.*

### **Use and function**

The traditional use and function of the major monuments must be retained, especially so for the religious monuments. However, the use and function of monuments such as palaces will inevitably be impacted by the changing political scenario. The generally accepted practice of ‘adapted re-use’ should be utilised. However, the degree to which the buildings are altered to cater to a new function must be minimised and should ideally be reversible, to allow for a clear differentiation between old and new.

*The adapted re-use of the palaces or parts thereof has already been implemented in the palaces at Hanuman Dhoka, Patan and Bhaktapur by using them as museums.*

The use and function of public spaces and urban fabric will change based on the continuation of a living heritage. The change should, however, be based on the understanding and appreciation of the heritage values of the site.

The scale of the streets and squares were created for pedestrian use.

The private buildings were used as dwellings and for commercial purposes. The function of these buildings should be regulated to allow for only traditional and compatible activities. Individual historic buildings might be conserved through ‘adaptive re-use’. This is especially the case with buildings that are functionally obsolete. It cannot be expected that historic buildings which are obsolete due to their design, such as ceiling height below 180cm, continue to be used.

### **Traditions, Techniques and Management Systems**

Traditions refer to ‘Language and other forms of Intangible Heritage’.

Techniques refer to ‘Materials and Substance’.

The traditional management system was comprised of the community based Guthis. After the nationalisation of Guthis in 1964, most Guthis have become non-operational. Consideration could be given to the possible revival of the Guthis, however the concept of community based preservation of monuments should be seen as an authentic management system.



### *Location and setting*

Most often location and setting is an integral part of a heritage property.

The 'Authenticity of Location' would mean that no monument should be moved to a new location.

To be in a position to approach the issue of 'Authenticity of Setting' in a practical manner, certain spatial demarcation is required. The setting would generally refer to the context within which the heritage property is situated and the sensual impact it has. This spatial area surrounding the heritage property has been demarcated, where necessary, as a buffer zone. The character of the setting must not change, however the 'Authenticity of Setting' restricts itself to ensuring the protection of the values of the heritage property itself.

### *Language and other forms of Intangible Heritage*

The predominant aspects of Newari culture need to be preserved, which would mean their language, customs and festivals.

*This is especially so for such unique customs as those linked to the living goddess Kumari.*

The regular activities and the festivals that are carried out by the community at the religious sites must continue. The significance of many of the monuments and surroundings are closely linked to their religious value.

### *Spirit and feeling*

Authenticity in respect to spirit and feelings would refer to sensual impact of the heritage property, which is closely linked to its identity. The visual environment, linked to sound and smells reflects the sentiment of a place. It is clearly not acceptable to preserve the authentic spirit and feeling of a polluted, unhygienic environment of historic cities. However, the spirituality of the religious monument zones needs to be retained by preserving the sensual impact. This means controlling pollution – air, water, noise and the change of the visual environment.

### **Authenticity as presented in the papers**

The keynote speeches and the papers provided a wide spectrum of possible approaches to understanding authenticity within various contexts and its possible application for conservation. There was a strong representation from Japan by means of the keynote



*Site visit around Patan Durbar Square Monument Zone*

speeches by Kanefusa Masuda and Nobuko Inaba. The relevant discussions in the context of the Kathmandu Valley were presented by Shyam Sunder Kawan and Neel Kamal Chapagain. Comparative discussions were provided by Natalia Turekulova of Kazakhstan, Shulan Fu of Hangzhou in China, and Alejandro Martinez who compared the concept of authenticity in Japan with that in Spain.

Kanefusa Masuda presented on the Nara Document on Authenticity and the World Heritage Site of Kathmandu Valley: The concept of authenticity in the context of the conservation of fragile material heritage. Having personally been involved in the discussion on authenticity since the World Heritage Committee session in Santa Fe in 1992, he provides an in-depth analysis of the dilemma facing heritage sites in Japan when dealing with authenticity. The strong proponents of material authenticity come from places where monuments are built of durable materials such as stone and do not need to fulfil requirements of living heritage. Even in Europe, this fixation on material authenticity has been questioned by the need for renewal of wooden architecture and the acceptance of reconstructions such as in Warsaw after the Second World War. Even in Japan, there is a difference between the traditions of regular reconstruction of Shinto structures in comparison to the conservation of Buddhist structures. In any case, the importance of style, belief and craftsmanship is highlighted.

Nobuko Inaba's presentation was titled 'Issues on authenticity and integrity in the heritage discussion – analyzing the experiences in Japan bridging tangible and intangible heritage'. She expanded on the discussion introduced by Masuda by analyzing the need for the concept of authenticity for intangible heritage. The understanding of authenticity requires further analysis for it to address the changing definition of heritage. The understanding of authenticity linked to integrity must be fully reviewed with the possible need to introduce an entirely new approach to understand heritage. The important link between tangible and intangible heritage was a clear outcome of the discussions around the Nara Document on Authenticity, so much so that it contributed to a separate convention to be established in 2003.

Shyam Sunder Kawan presented a paper titled 'Heritage in all, heritage for all: Integrity overrides Authenticity.' He delves into a theoretical discourse on the changing definition of heritage, particularly in the context of living urban heritage with a case study of Bhaktapur. The section with the heading 'the confounding concepts of authenticity' sums up how in

practical terms, the traditional understanding of material authenticity cannot be achieved and should be replaced by a broader understanding of integrity.

In a similar manner, Neel Kamal Chapagain questions the concept of authenticity in his paper 'Traditions, materiality and community engagements with heritage: Re-thinking authenticity in living heritage sites in Nepal.' He purports that international concepts should only be implemented with detailed understanding of the local context while ensuring the continuity of living heritage. It is the intangible that gives value to the tangible.

Natalia Turekulova provided examples from Kazakhstan on the importance of preserving the visual perception and functional use as a part of authenticity of the heritage in urban landscapes. In her paper entitled 'Problems of heritage preservation in historical cities of Kazakhstan', she presented the examples of the Mausoleum of Hoja Ahmed Yassawi, the wooden St. Ascension Cathedral in Almaty and the oil workers residential area in the historical city of Atyrau.

Shulan Fu, in her paper 'Living culture and its changing reflection: A case study of West Lake in Hangzhou City', provides a specific example of a landscape that has undergone continued change over time. She concludes that West Lake has transformed in close relationship with the urbanization of the city and must be understood in this broader context. The challenges in applying authenticity can only be dealt with by analyzing and clarifying the nature of the ongoing transformation, both in 'its figurative and non-figurative representations' in respect to the changes in social structure.

Alejandro Martinez presented a paper entitled 'Preservation of authenticity beyond the cultural divergences: A comparison of conservation works in Japan and Spain'. Martinez states that even in countries with different cultural values like Japan and Spain, we can find common judgments about the preservation of authenticity. There is also a common understanding of ensuring authenticity of architectural monuments, however a clear method of differentiation between original and repaired elements need to be established. However, the validity of the concept of authenticity outside the European cultural context, and thus the feasibility of attaining the balance between the requirements of various cultural communities as found desirable in the Nara Document of Authenticity, remains a matter of debate.



## Authenticity in the symposium discussions

The discussions on authenticity raised numerous questions. Some of these questions were:

*Is the historic context important or is it the contemporary context that one needs to consider?*

*How do we address the community's aspirations for new material, new design and new functions?*

*How much change can be allowed?*

*What is the linkage and differentiation between 'value' and 'authenticity'?*

Various examples were viewed and discussed during the site visits to the monument zones. There were observations made on restoration works where the new interventions were not considered to match the earlier works. This linked to the discussions on authenticity in respect to new constructions, re-constructions, restorations and renovations.

It was noted that in many cases the concept of authenticity is not considered, not understood and in some cases not even known. A member of a local community group that arranged the restoration of a temple related his experiences. Though they had carried out the whole process of collecting resources, materials and approvals, they had never considered authenticity. This means that the concept of authenticity might never have existed in the local context. There would be the need to discuss the concept with professionals and the community to work out its relevance.

There was a clear consensus that the understanding of authenticity is closely linked to the context. The understanding of authenticity would differ between cultures. The broad definition allows for different components to be given priority in respect to the particular context. In certain cases, material authenticity might be the most important aspect. Under other circumstances, especially when taking into account living heritage, other aspects of authenticity would gain prominence.

In many cases of living or continued culture, especially in respect to residential buildings, the conservation might need to prioritize the revival of the traditional craftsmanship rather than focusing purely on the particular historic design. Observations were made that often the community is more concerned with craftsmanship and traditions than with the actual material authenticity. This would require craftsmanship to be supported, given recognition and possibly integrated with standard professional practice. This would allow for improved implementation linked to disaster preparedness and the general management of the heritage property.

A further discussion which arose was concerning the reconstruction of monuments that might have been damaged due to disasters such as earthquakes. There are several examples such as the Chyasalin Mandap in Bhaktapur which was rebuilt, but clearly showing the structure as being new by using concrete and steel. There is a growing trend of reconstructing and there are many plans to reconstruct monuments lost during the 1934 earthquake. How does this impact the authenticity of the heritage site?

Authenticity needs to be considered also in connection with the physical surrounding of the monuments. For example, the demolition of a built up area to be replaced with gardens. Numerous buildings in Pashupati monument zone have been demolished, though many were not historic buildings, this has changed the context.

In many heritage sites, the beliefs and ritual define the significance of the site. These are often linked to physical attributes of the site such as a hill, forest or river. Such rituals and traditions need to be retained and possibly revived.

For certain functions, the introduction of appropriate modern infrastructure might be required. For example, light tin sheds have been introduced for cremations at Pashupati. Additionally an electrical crematorium is being constructed. All these physical structures help ensure that the traditional function of the site continues, even under changing circumstances. This was also pointed out at a house where a priest's family has been living for many generations, whereby the 'spirit of the place' has been retained despite the houses being modernized.

The Nara Document clearly links authenticity with the idea of truthfulness. To understand truthfulness it is essential to ensure reliable information sources. This underlines the importance of archives and documentation of heritage. Authenticity can be considered in various aspects such as in respect to interventions, to material and to history. Even though the Nara Document expands on the understanding of authenticity, the prevalent understanding is still stuck with 'material authenticity'.

The discussions on authenticity were also understood to be closely linked to the other three themes of the symposium: heritage management, community involvement and disaster risk reduction. This showed the relevance of focusing on the linkages between the various themes to come to a more comprehensive understanding of authenticity. In this respect, the concept of authenticity must be introduced into the decision making process. This would need to be addressed by the Integrated Management Plan, by introducing various strategies.

## Authenticity and heritage management

The system of management of heritage must have the main objective of safeguarding the attributes that express the values of the site. Authenticity refers to the way the values are expressed by the attributes: whether they are truthful and credible. Therefore the system of management must provide a means of ensuring the authenticity of these attributes. A system that adapts to the reality is however better than one that sticks to static and rigid plans.

The concept of authenticity would be one of the guiding principles for management of heritage. Authenticity deals with truthfulness and credibility. This understanding goes far beyond a superficial implementation of ensuring that structures are preserved in their original materials.

The concept of truthfulness and credibility is linked to an in-depth understanding of the heritage, based on information that comes from acceptable sources. Information can be manipulated depending on the interest of the interpreter. Photographs, for example, are good sources to ensure a clear understanding of an earlier status of heritage objects, though it must be ensured that they have not been altered. The management system must, therefore, ensure that all aspects of the heritage are respected. Authenticity would require all stages of historic contributions to the heritage object to be safeguarded.

Even when the contemporary context is dynamic and constantly changing, heritage can persist in various forms. Even when certain physical parts of a cultural site or artefact have changed, the authentic spirit is often kept alive by the people who are the users, those who participate in religious and cultural activities and practices. They often give meaning to new cultural symbols and artefacts, even when the original form has been adapted to accommodate contemporary interpretations.

Authenticity can, however, lie in certain details. These might be endangered by the introduction of new construction materials and methods that change the entire character of the structure. The introduction of innovations to the traditional materials and the way they are used might address the authenticity of a society's progress. These are considerations that need to be made in respect to the specific context. Management must focus not only on conservation, but guiding change. It could be that innovative management methods can be introduced. In Kathmandu it is said that in the past soldiers had to contribute to the maintenance of historic structures by bringing back materials when they returned from their villages after their home leave. These materials were stored to use for emergency repairs.

## Authenticity and community involvement

The creation of heritage attributes and the understanding of these values are closely linked to the relevant community. In most cases, these communities still exist and, therefore, must continue to have a role to play in the discussion on understanding and retaining authenticity.

The community is the custodian of the heritage that they created. In case of living heritage, the community would still be utilizing, maintaining and even adapting the various components of their heritage based on their own customs. The continuation of such a process, if uninterrupted for generations and centuries, would be the authentic interpretation of heritage.

In certain cases, the community has created its own guidelines or regulations to consider a certain landscape, city plan, neighbourhood, building or even individual elements to be of exceptional quality. However, the context of such understanding keeps changing. For example, the ten scenic views of Hangzhou were clearly defined in the Song period, but over time the locations and the scenes changed as elements were added to the landscape.

One of the major dilemmas of defining authenticity lies in the fact that the definition tries to determine a specific condition in a specific time, however, heritage keeps going through a regular process of adaptation, improvement and often further embellishment. So it is often a matter of subjective conditioning when a given point in time is chosen as being the most significant and, therefore, the most authentic.

The conservation of heritage addressed the need to save the collective memories. It is essential to understand the notion of beauty, as defined by a community, and how it passes on this sense of aesthetics and order from one generation to the next. This contributes to the richness and variety of regional heritage. This collective memory must be passed on to the next generation. The children of today would later be the caretakers of their heritage, and their understanding and interpretation of conservation will become important. This is closely linked to the understanding of identity of a community which is closely intertwined with their heritage.

The interpretation and expression of heritage is often linked to the anticipation of certain benefits. For example, heritage is presented to visitors in a manner considered best for the particular commercial industry. This can, of course, be a dilemma, since sustainability of certain heritage might require it to adapt and change, losing out on its traditional characteristics and authenticity.



## Authenticity and disaster risk reduction

Disaster risks directly impact authenticity. When a disaster occurs, heritage responds through its adaptation over centuries. There are, however, through time certain casualties. Materials deteriorate while entire structures are affected and in certain extreme cases, the entire context and related intangible heritage are destroyed.

Traditional structures are often built in response to the prevalent hazards in the area. For example, there are many buildings along the Himalayan region which have introduced elements of seismic engineering into their design. The temple plinths function as base isolation. The square plan is ideal to evenly distribute the forces. The timber elements work together with the brickwork and mud mortar to absorb the energy. The wooden elements are locked together with wedges so they don't slip apart. These are some of the innovative ideas introduced to certain buildings in the Kathmandu Valley.

The question is whether new innovative ideas should be allowed to be added to further improve the seismic performance of historic structures. Would new technology and materials impact the authenticity of the building? After ensuring that the buildings are not a risk to humans, maybe

the documentation of these structures would be sufficient, to allow for future reconstruction. This would assume that under such circumstances, reconstruction would be allowed.

Would there be a time limit for post-disaster reconstruction, or would it be considered acceptable to reconstruct structures eighty years after they were destroyed by an earthquake? This could lead to reconstruction of structures that might have been lost several centuries earlier. The decision to reconstruct could be based on the collection of sufficient information to carry out such a task. It could also be that original material and elements are discovered that can be used for the reconstruction. The question would be what minimum percentage of the original material would need to be available for reconstruction to be acceptable?

The stabilization of structures that have been affected by major hazards could be done by clearly differentiating the newly introduced elements. It must, however, also be ensured that such interventions must be reversible or at least replaceable. An interesting example was provided of using reinforced concrete elements in Japan to stabilize historic buildings, but ensuring that these elements can be replaced without any major impact to the original material. The answer to this delicate relationship between the persistence of heritage despite disasters can only be found by looking back into the past.





*Patan Durbar Square*

## A practical understanding of authenticity

There are many who have voiced their opinion to discard the concept of authenticity. This is probably a reaction to the confusion created by the varying interpretations of what authenticity might mean. The confusion led to a direct confrontation, especially between the differing approaches towards conservation in respect to retaining authenticity. The predominately European school of thought forcefully represented material authenticity derived from the culture of stone monuments, often preserved as ruins. This was in direct contradiction to many Asian customs of keeping monuments maintained and alive, with an integrated system of management and renewal. A compromise was met at Nara in 1994, where the participants agreed that values and authenticity cannot be judged based on fixed criteria and on the contrary must be judged 'within the cultural context to which they belong'. This allowed for arbitrary interpretations and misuse of the 'test of authenticity'.

There is further thread of discussions which argues that for the sake of integrity, authenticity can be sacrificed. This would mean that it is more important to recreate certain

heritage sites to achieve wholeness and intactness than to ensure truthfulness and credibility. There are also local customs and beliefs that support such judgment. Objects of religious significance that are still in use are usually required to be whole and intact. If an idol is damaged, there is a ceremony to replace the image with a new one, which is then consecrated accordingly. The symbolic value of the object is important and not the material one. This is where the values and significance of the intangible and the tangible heritage is so closely intertwined that it is not possible to separate. However, authenticity is not a concept that has been adopted by those involved in conserving intangible heritage.

A practical approach to addressing this dilemma would probably begin with going back to the basic definition of authenticity as being the truthful and credible expression of heritage value. The truthfulness and credibility on the one hand is determined by the source of the information, which in itself must be identifiable, and on the other hand is linked to the expression of something that identifies heritage. If we take heritage as an inheritance which is of value and must be safeguarded to pass on to future generations, it is this communication that must be truthful and credible.



## The discussion on heritage management

### A general introduction to heritage management

The primary objective of a management system of any heritage site is to protect the attributes and elements that express the significance of the site. To achieve this, there first needs to be a clear understanding of the significance or value of the site. Effective management processes for decision making, implementing and monitoring are required, functioning within parameters provided by appropriate institutional, legal and economic frameworks. The management system must, however, also take into account the local context, existing governance structures and related sectors such as local development, tourism and disaster risk management. The new 'UNESCO Recommendations on the Historic Urban Landscape' has been adopted as 'an additional tool to integrate policies and practices of conservation of the built environment into the wider goals of urban development in respect to the inherited values and traditions of different cultural contexts'.

The Operational Guidelines for the implementation of the World Heritage Convention require all World Heritage

properties to 'have adequate long-term legislative, regulatory, institutional and/or traditional protection and management to ensure their safeguarding'. The required conditions for protection and management are provided in paragraphs 96 to 98 and for management systems in paragraphs 108 to 119. The efficiency and effectiveness of the management systems are often made questionable by the magnitude of the factors affecting the heritage property. In many cases, traditional management systems have become dysfunctional but have not been revived or replaced by an alternative system. There are cases where management systems have been created for the heritage properties, but have not been fully adopted or integrated into the overall governance system. One can observe a tendency to prepare 'Management Plan' documents, which explain what all needs to be done but are never implemented and might consist of recommendations that are not practical.

The discussion on management systems is closely linked to the parallel themes of the symposium: authenticity, community involvement and disaster risk reduction.





## Heritage management in the context of Kathmandu

When Kathmandu Valley was placed on the List of World Heritage in Danger, the World Heritage Committee requested the State Party to prepare an Integrated Management Plan (IMP). The IMP was prepared under the guidance of late Professor Herb Stovel and adopted by the State Party in 2007. The WHC/ICOMOS Mission Report of June 2006 states that the IMP of the Kathmandu Valley could be seen as a model process that has taken into account the existing context and circumstances. A management system was established that has been adopted by the site-management authorities and is being implemented by them. As per the IMP, the entire management system needs to be reviewed every five years, an endeavour which is now in progress. The outcome of the review and the lessons learnt will be publicized.

### *Establishing management frameworks and processes 2004 - 2007*

The World Heritage property within the Kathmandu Valley is probably one of the most complex in the world, comprised of seven monument zones, each with specific management requirements. Each monument zone contributes to the outstanding universal value of the World Heritage

property; however, the threat to each monument zone is different in form and degree. The aim of this Management Plan is to develop a framework for the integration of the seven monument zones within a single management system, however taking into account each of their specific management requirements.

Management Plans of World Heritage properties are not plans but frameworks and processes with the objective to safeguard the outstanding universal value of the World Heritage property. Management deals with site issues and their responding actions. The traditional management systems that control the actions taking place on site are often not functioning. This means that a new system is required which ensures that information on the key issues are fed into the management frameworks (institutional, legal and economic) so that decisions are taken that ensure appropriate actions on site. The Integrated Management Framework for the Kathmandu Valley was passed by the highest authority, the cabinet of the Government of Nepal. It must be ensured that the management process addresses the site specific issues. Management systems are based on two components: processes (series of actions, decisions and controls based on a flow of information) and frameworks (pre-established institutional, legal and economic parameters for the processes).

*The cremation ghats at Pashupati Monument Zone © Department of Archaeology, Nepal*





The process of preparing and establishing the management system was carried out between 2004 and 2007. The Management Plan was prepared by the State Party, facilitated by UNESCO Consultant Kai Weise, in close cooperation with the International Technical Advisor late Prof. Herb Stovel and Ms Junko Okahashi from the World Heritage Centre. There was positive review on the process of establishing the IMP for Kathmandu Valley. 'In brief, the establishment of the IMP of the Kathmandu Valley could be seen as a model process for all World Heritage Management Plans. It is not a study document to describe the site or to provide ideals for the site-management, but has gone through a thorough process of site-based information gathering and commitment by the concerned site-management authorities, and the draft has incorporated the viewpoints and realistic possibilities of the complex management structure' (Okahashi and Stovel, 2006, p.4). This then led to the removal of Kathmandu Valley from the List of World Heritage in Danger in 2007.

In hindsight, the process of establishing the IMP did have clear stages and components, which can be taken as an approach that can be replicated. The first stage focused on defining the heritage property by understanding the attributes that express the value of the property, by documenting these attributes and by compiling the site specific management issues. Based on this information, in the second stage of analysis, a conservation approach was developed, along with a graded inventory and clear objectives of the required management system. This was the basis for the third stage focusing on establishing the management system comprising of the management frameworks and processes along with establishing linkages between the all related stakeholders. The fourth stage focused on integrating this system into the overall governance structures of the area, especially focusing on urban planning, disaster risk management and tourism planning. The fifth stage focused on the actual management of the heritage site, fine-tuning the system, implementation of annual action plans, along with capacity building and training. The final component ensures periodic review of the entire management system, which has been fixed at five years for the Kathmandu Valley World Heritage property.

'The primary objective of the Integrated Management of the Seven Monument Zones of the Kathmandu Valley is to protect the Outstanding Universal Value of the World Heritage property as well as the locally recognised heritage values, while taking into account the standard of living, safety and economic viability of the community living within the World Heritage property' (Department of Archaeology, 2007, p. 13). The principles that were to be observed in achieving the management goals were: significance-driven, integrated approach, process oriented, bottom-up approach, promote local empowerment and socially and economically sustainable.

The IMP is not a document, but a functioning system, which takes into account an effective means of conserving the outstanding universal value of the World Heritage property. 'Management' refers to the required 'processes' and 'linkages' between the actors (stakeholders) in respect to 'controlling change' of each component of the property.

The IMP initiated improvement of existing processes and linkages that govern the management of each of the monument zones and the overall coordination structure for the World Heritage property. Some of the main existing processes that were studied were those for restoration of various grades of monuments, for obtaining a building permit within the monument zones and getting services connections for electricity, water and telephone. These processes are closely linked to the municipal organization, capacity and legislation. The processes are based on the flow of information between nodes made up of the community, individuals, specific government offices and possibly implementing agencies. Each node within this process needs to have a specific task or duty, of supplying information, checking the information, making decisions or monitoring activities.

The processes need to be set up in such a manner that adequate and true information is available for those making decisions and that these decisions are conveyed to the implementing and monitoring agencies. It is, therefore, essential that responsibilities and the authority to make decision at various levels are clarified. Monitoring and reporting procedures need to be efficient. To streamline the process, nodes that have no specific task need to be eliminated.

So that the processes function properly, necessary linkages need to be established between respective authorities. This is especially important in respect to government authorities and line agencies that are working within the monument zones but are not sensitive to the ideals of heritage conservation. Once the processes and linkages have been streamlined, it is possible to integrate incentives and controls into processes. This is also a method of integrating risk management into the existing management structure of the monument zones.

### *The review process 2012 - 2014*

As per the requirements of the Integrated Management Framework, the entire management system of the Kathmandu Valley needed to be reviewed after five years. This process began in 2012 with meetings of the Coordinative Working Committee at each of the monument zones. The final meeting was held at the Department of Archaeology to summarize the outcome, mainly focusing on the state of conservation of the monument zones. A further series of meetings were held especially to discuss the ten points of a questionnaire that was prepared for the review.

1. The 2007 texts on criteria and Outstanding Universal Value have been superseded by the Statement of Outstanding Universal Value adopted by the World Heritage Committee in 2012. This new text needs to be translated into Nepali and distributed so that everyone can understand the basic concept and justification for inscription of Kathmandu Valley on the List of World Heritage. A better understanding must be developed by site managers on how these values are expressed through specific site attributes. Considering the criteria for inscriptions, the value lies not only in the monuments but also in the living heritage and the intangible beliefs and value systems of the communities that created the heritage as well as those presently taking care of it. The translated texts could also be used to make the community aware of what World Heritage means.
2. Boundaries and buffer zones were reviewed, amended and submitted to the World Heritage Committee in 2006. These have been considered to be clear and acceptable. However, in some monument zones, there seems to be confusion between the World Heritage property boundary, buffer zone and the Protected Monument Zone as per the Ancient Monument Preservation Act. It would be beneficial to walk along the boundaries to clarify this to all involved in site management. It must be clear that there can be negative impacts coming from even beyond the buffer zone which needs to be considered.
3. Institutional framework is generally functioning. Some site managers have already changed the institutional frameworks and their internal organization (Patan: 'Centre for Heritage, Culture and Archaeology'). The site manager needs to be identified including possibly a focal point (specific person with phone number and address). The coordination within the local authority is critical, especially between the heritage, building permit and legal sectors.
4. Legal framework: Each authority has its own act and must, therefore, participate in the processes accordingly Department of Archaeology (DOA) – Ancient Monument Preservation Act 1956, Pashupati Area Development Trust (PADT) – PADT Act 1987, Kathmandu Metropolitan City (KMC), Lalitpur Sub-Metropolitan City (LSMC), Bhaktapur Municipality (BM) and Changu Narayan Village Development Committee (since December 2014 also a municipality) – Local Self-Governance Act 1999. The question arises on who owns the buildings and who controls the activities. The legal provisions are generally sufficient, but the problem lies in implementation and enforcement.

The bylaws might need to be reviewed. However, the 'Graded Inventory' must become a legal tool for conservation. The required provisions might need to be reviewed to make sure that provisions are put in place to ensure that all structures on the inventory are conserved. This would be closely linked to the economic frameworks for incentives and the conservation fund. Issues have also arisen with the Earthquake Safety Unit and its approach towards historic buildings. The ongoing preparation of retrofitting guidelines by UNDP and the Ministry of Urban Development have not considered the special requirements of historic buildings.

5. Economic framework: Funds that are collected at the monument zones need to contribute to its conservation and maintenance. There is no lack of resources, but the question of prioritization. A conservation fund needs to be set up for conservation and possible expropriation – as mentioned in the IMF – however, the modality might need to be reconsidered to ensure that it is legally acceptable and practically functional. The budget and annual planning must be prepared based on prioritization of activities that address issues listed in the Plan of Action document kept and updated by the site managers. Provisions for incentives are required. How can incentives be provided so that they are effective for conservation and people make use of the provisions? These also need to be linked to facilitating bank loans for conservation with historic buildings being given higher value as collateral. Tendering and bidding



*Site visit along the ghats at Pashupati*



- process and estimates need to be different from normal construction.
6. Coordination with associated authorities is functioning without too much problems since there are regular meetings. There are, however, individual cases where misunderstanding do take place. The building completion certificate should be linked to the line agencies including Nepal Electricity Authority (NEA), Kathmandu Valley Water Supply Management Board (KVWSMB), Nepal Telecommunications Authority (NTA) as well as the Department of Land Reform and Management. For enforcing bylaws, links are important with the office of the Chief District Officer and the police. Coordination is also necessary with the Kathmandu Valley Development Authority to ensure that such projects as road widening is not carried out within the World Heritage areas.
  7. Monitoring and Reporting is one of the most critical issues. This is the only way to catch illegal activities and to stop them as soon as possible. Format and process needs to be clarified. There has to be a team especially established, with specially trained supervisors as well as community involvement. There was a proposal to have a standard monitoring team and an enforcement (response) team. It is also important to ensure that the entire reporting process is clearly identified for regular reporting as well as emergency reporting and response. The process has to be officially institutionalized to make it function.
  8. Management processes need to be reviewed as a priority. Automation of municipal procedures is being set up through a UNDP project which is not being coordinated for the World Heritage areas.
  9. Management handbooks in most cases are not being effectively used and in some cases people are not even aware of existence of such handbooks.
  10. Amendment of Integrated Management Framework must continue to be discussed, but considering all the discussions and points that have been raised, it is probably necessary to amend the document and resubmit it to the Cabinet of the Government of Nepal.
- b. Establishment of a Conservation Fund is required.
  - c. Monitoring, reporting and response system must be established and brought into action.
  - d. Meeting must be organized to clarify automation system of building permit process and retrofitting guidelines with UNDP / UNESCO, Ministry, Municipalities, DOA and possibly organized through the ministry.
  - e. In each Monument Zone, a site visit with a walk around the boundaries and discussion on how the attributes are linked to value is required for a better understanding. Special cases can be visited to understand practical issues.
  - f. Review Plan of Action: Listing of issues and responses to be discussed, generally acknowledged and possibly even reviewed through the World Heritage Centre.
  - g. Review inventory.

## Heritage management as presented in the papers

The presenters of keynote speeches and papers provided a wide range of topics and issues for discussion. Ping Kong introduced the Historic Urban Landscape (HUL) approach. This was followed by examples from Kathmandu Valley (Nepal), Historic Centre of Bukhara (Uzbekistan), Historic Town of Blagaj (Bosnia and Herzegovina), Bhubaneswar Old Town (India) and Yangon (Myanmar). There were additionally two theoretical papers, one on the application of aesthetic principles for preservation and the other on managing 20th century cultural heritage.

The keynote speech focused on the HUL approach, which was presented by Ping Kong and jointly prepared with Zhou Jian, the director of the World Heritage Institute for Training and Research for the Asia and Pacific Region (WHITRAP). HUL is 'a new standard-setting instrument', 'an innovative way to preserve heritage and manage historic cities'. HUL addresses some critical issues linked to establishing a participatory system to guide sustainable development within the urban landscape while ensuring that significant heritage attributes are safeguarded. 'Analyzing the layers of heritage values and associated attributes, and connecting them with environmental, social and economic transformation in a broader landscape context are the prominent characters of the HUL approach in the value assessment and management process'.

### Specific actions

Based on the overall discussions on reviewing the existing status of the Integrated Management Plan, the following actions were suggested:

- a. Review of Management Processes is of high priority for all Monument Zones.

The following paper was on the 'Review of the Integrated Management Plan of Kathmandu Valley World Heritage property', presented by the former Director General of the Department of Archaeology, Kosh Prasad Acharya and the then head of the World Heritage Conservation Section, Saubhagya Pradhanang. The paper provides an explanation of the management system that was established in Kathmandu in 2007 and gives a detailed insight into the complexity of implementing the system. Various specific challenges have been presented as examples of what the management system needs to be in a position to address.

Ona Vileikis and Sanjarbek Allayarov presented the paper entitled 'Enhancement of the implementation of the world heritage convention through strengthening the protection and management mechanism in the historic centre of Bukhara'. The paper starts with the premise that documentation is the first step in understanding a site, which would, therefore, be the basis for the establishment of a management plan. The paper provides the documentation methodology and implementation for gathering baseline information with the support of a GIS database, while focusing on the condition and value assessment of the dwellings.

Mirela Mulalic Handan presented on 'Challenges in conserving living urban heritage: Case study on the historic town of Blagaj, managing change'. The establishment and application of management tools must be an on-going process, adapting to the circumstances. The local residents of a historic town need to understand the role and potentials of heritage in development, for example, through sustainable tourism.

The paper prepared by Vaswati Chatterjee and Sanghamitra Basu provides 'A rational approach for sympathetic intervention in heritage zone: A case study of Bhubaneswar old town'. Since the understanding of heritage sites is becoming increasingly complex, an effective approach is required to assess and grade the heritage involving local communities. The policies are required that consider the impact of conservation as well as deal with that which is new or changing.

Su Su presented an interesting discussion through her paper entitled 'Safeguarding living urban heritage of Yangon through World Heritage nomination'. The question was whether certain areas in downtown Yangon can be conserved despite the high level of development pressures by inscribing the areas on the World Heritage list? This would mean that the management of these areas comes under a special purview defined by its status as World Heritage. 'Only by balancing and integrating the objectives of fulfilling the needs of local community and planning heritage to play as

catalysts for livelihood of local communities in downtown as well as inhabitants of Yangon, the role of heritage areas and places can be maintained'.

The following two papers provide more theoretical approaches. Reihaneh Sajad presented her paper on 'Preserving values by the application of aesthetic principles of historic urban sites during development'. To preserve the aesthetic value in historic sites some formal and social factors need to be identified and they need to be integrated into development processes. The study provides a list of factors that need to be taken into consideration.

The second paper submitted but not presented at the symposium was prepared by Esmeralda Paupério, Xavier Romão, Catarina Costa, António Arêde and Aníbal Costa entitled 'Managing the conservation of 20th century cultural heritage'. Interventions are required to preserve or restore degraded elements, however an entire host of considerations must be accounted for when planning these interventions. The paper proposes a methodology to assist in this decision-making process, which consists of 'an intervention index that gauges the criteria influencing the type of intervention'.

## Heritage management in the symposium discussions

The heritage management is a very broad topic, since it deals with establishing means of addressing all issues concerning the maintenance and protection of the heritage. The outcome of discussions led to a wide patchwork of ideas and recommendations which would need to be assimilated into a single system. This section presents a compilation of some points that were raised during discussions. It is not a comprehensive and detailed recording, but should provide an overall gist of the participants' contribution to the theme of heritage management.

We must understand management as a process that needs to continue functioning as long as there is something to manage. This means that we need to look at this system over time. The system of management must have, as its main goal, the principles of safeguarding heritage. This requires an integrated approach which takes into account the complex and extensive definition of heritage. In the urban context, heritage would encompass the entire spectrum of the physical attributes along with the socio-economic factors and human beliefs and activities. To deal with all these sectors, the expertise and capacity of the management system must be provided accordingly.

The management system must take into account the living urban heritage within varying contexts. This means that the



management system must be flexible to multiple landscape scenarios and be able to adapt to address differing and changing circumstances. It must be based on comprehensive analysis which recognizes diversity and change. Though the system would need to respect the diversity, it must have a unifying role. This means that a single framework or platform must be accessible to all stakeholders.

The basic objective of a heritage management system is to ensure the protection of the attributes that carry the value or significance of the heritage site. In case of World Heritage, the value would be that which has been identified as outstanding universal value (OUV). The cultural identity is an important factor which must become the central factor in the decision making process. To fulfill the basic objective, the management system must encompass a wide range of frameworks and processes. These include coordination mechanisms and specific tools that might need to be introduced.

The land use within and around the property and buffer zone must be appropriate to safeguard significant attributes of the property. This would be closely linked to the building and planning permit processes. The urban planning instruments must prioritize heritage and manage change within the 'Historic Urban Landscape'.

The management of a heritage site would need an institutional system with responsibilities that are clearly defined. The management might be coordinated by an umbrella organization or a specific government authority. The conflicting and overlapping authorities within the management system need to be defined and addressed with a clear process for decision making. A process for conflict resolution must also be provided at all levels, which would include the community, stakeholders as well as various levels of government. To ensure horizontal coordination between various government authorities and line agencies, an interagency committee is required, at the state and local levels.

All activities and decisions taken within the heritage site must be underpinned by legal provisions. The legal framework must be established accordingly which gives importance to culture. The guidelines and bylaws must be widely disseminated to the authorities, stakeholders and community so that any planned activities within the heritage area take into account the legal provisions to safeguard heritage right from the initial stages of planning. The mindset of conserving heritage should ideally be established at the level of the constitution. This might be something important for Nepal to consider in the ongoing process of formulating the new constitution.

Management plan should be combined with other tools. The most important tool that is becoming increasingly employed to respond to threats is the Heritage Impact Assessment (HIA). There seem to be numerous formats and procedures employed in different parts of the world which shows that such instruments must be adapted and established based on the local context. The basic format and procedures must be integrated into the overall governance system and must become standard procedure.

All these considerations need to be brought together within a single integrated management system. The system would help coordinate and establish the basis for decision making and the collection and sharing of information. Urban heritage conservation needs to be integrated into the national and local economy. This link between heritage conservation and economic gain is the potential basis for a sustainable system to be established. This must be linked to a shared vision agreed to by all the stakeholders. The planning would also take into account the environmental and social planning frameworks. The entire system must be reviewed and revised regularly to adapt to the changing conditions.

## Heritage management and authenticity

The management system must ensure the safeguarding of attributes that express the significance of the heritage. This is clearly linked to the understanding of how attributes express these values – whether it is truthful and credible or not. This understanding of authenticity becomes the basis for establishing an approach to conservation in the management system.

When defining heritage, the parameters of authenticity and integrity play an important role in determining whether that which we are preserving for future generations is really that which we inherited from the past. This consistency must be ascertained in the continuity of the phenomenon that we call heritage. The management system must, therefore, be in place to safeguard the heritage over time in the state that it was inherited and in the state that it can be passed on to the next generation. The process of safeguarding, however, can include interventions that have a direct impact on the heritage in respect to a certain component of its authenticity. This might entail interventions to halt the deterioration of the materials or introduce adaptations to the usage and functions based on changing societies and beliefs. The Historic Urban Landscape approach calls for visual integrity and highlights the need for visual glossaries.

Management is a process over time and must, therefore, employ certain tools to ensure the desired outcome. The

management of heritage can only be successful if it develops and employs tools that can deal with the diversity of the overall heritage site and the uniqueness of each component. One such tool would be the detailed inventory, which must become the basis for heritage management. The inventory is a prioritization of the heritage components within an overall site which provides guidelines on how this specific component must be maintained and safeguarded based on its specific attributes and value. The inventory can also define what attributes and elements need to be preserved to ensure that the authenticity and integrity of the heritage is ensured.

As mentioned in the Operational Guidelines for the implementation of the World Heritage Convention (UNESCO World Heritage Centre, 2011), there are numerous attributes through which authenticity can be expressed such as: form and design; materials and substance; use and function; traditions, techniques and management systems; location and setting; language, and other forms of intangible heritage; spirit and feeling; and other internal and external factors. There needs to be a consensus on which of these attributes are relevant for a given heritage component and the management must address this specifically.

## Heritage management and community involvement

The management system must take the community into account. In many cases it is up to the community to manage the heritage. Where traditional management systems still exist, these are maintained by the community. Where these have been lost, the new management systems must ensure that the communities participate in the management processes.

That which we call heritage today would be something that was created by a certain society based on their particular beliefs and needs. There are still many examples of sites, buildings, artifacts and activities that are being maintained, used and practiced by the original community. This, of course, is the ideal situation for preserving cultural heritage.

In most cases, the community has moved on due to social, economic, political or even environmental change. Either the heritage has become obsolete to the community as a need for their cultural activities or the surrounding community has been replaced by conquerors or migrants. This means that the link between the community and the heritage does



*Group discussions on Heritage Management at Pashupati*



not exist, other than when the monuments and artefacts are seen as landmarks or curiosities. In such cases, should these objects be of value, a new system of management would need to be introduced which ensures that the heritage is safeguarded while taking into account the contemporary community's needs. When there are constraints of resources, the only way to ensure that the heritage is safeguarded is by convincing community to take on this responsibility.

The understanding between the various stakeholders on how to safeguard the heritage can be defined in an inventory. The inventory must become a legal instrument that allows a

clear understanding to develop between the owners and the managers on how to conserve a specific object or activity. This then becomes the basis for all monitoring and decision making within the management system. Additionally, it must be ensured that an efficient public hearing system is introduced to ensure extensive participation.

The value of heritage needs to be understood within the belief system of the community. This ensures that focus is not only given to a specific place or monument, but the association of places and rituals along with the cultural activities. This broader understanding would take into

*Site visit to the cremation ghats at Pashupati Monument Zone © Department of Archaeology, Nepal*



account the management of the community living directly in and around the property and also the visitors such as pilgrims and tourists, migrant workers, and those who are there to earn an income by selling products or providing services. The danger of commercialization of heritage needs to be considered in management.

## Heritage management and disaster risk reduction

The management system for heritage must include disaster risk reduction. Disaster risk is one of the major threats to the significance of the heritage property and must therefore be addressed by the management system.

There are various categories of disaster risks which would need to be addressed using different approaches. For example the slow deterioration or change to a heritage structure or object would require protection which deals with the prevalent climatic conditions, the specific characteristics of the material or possibly the changing socio-economic condition. Such hazards could be prevented from impacting the heritage, or conversely, the vulnerability of the heritage structure or object can be reduced. With hazards that could impact suddenly and with a greater impact, such as earthquakes, fires and floods, the preparedness and response would need to be dealt with in a different manner.

The challenge becomes extremely complex when dealing with multiple hazards such as earthquakes that lead to fires, floods or even tsunamis. This requires authorities and experts responsible for disaster risk reduction, urban planning and heritage management to work closely together in preparedness, response and recovery. There has to be an understanding of introducing heritage into the disaster risk management system while introducing disaster risk components into heritage management. It is not possible to set up separate systems for heritage and non-heritage, which makes it essential to develop close cooperation between all the relevant authorities.

The management system must find out the vulnerabilities of the heritage sites and structures along with determining the agents of deterioration. Vulnerability assessments would become part of the standard management activity, which could be linked to the inventory as a legal tool to address the identified risk.

During post disaster recovery, both tangible and intangible heritage values need to be taken into account, especially during rapid rehabilitation process. Right after a disaster,

the first priority must surely be given to saving human life. After the first 72 hours, certain steps need to be taken to consolidate the surroundings and ensure that the survivors are cared for. In major disasters, experience shows that it might take an entire week before any kind of work can get started on the safeguarding the heritage. Before any demolition and clear work begins, it is very important for heritage elements and buildings to be selected by experts so that the heritage, and the memory of humankind is safeguarded.

## A practical understanding of heritage management

Till recent years, the management of heritage focused on protecting the material manifestation of the monument. This consisted of creating protective layers around monuments comprising of both physical structures as well as legal buffer zoning. The aim was to reduce and control human impact and possibly the impact of the environment on the monument. This protection was generally ascertained through static and autocratic management plans.

Over time, we have come to understand that the significance of heritage must be understood in a far broader sense. This would include the beliefs and activities of the community as well as the surrounding context and even the cultural landscape. We are dealing with living cultural heritage. Accordingly, the management can only be possible if it is established as a dynamic system.

The dynamic management system needs to adapt to the context, location, existing governance system as well as to the particular characteristics of the heritage. A dynamic system must have clearly defined management processes for efficient transfer of information to ensure the most appropriate decisions and actions. These processes would need to be guided by institutional, legal and economic management frameworks that have been established through a participatory process involving the community. The management processes operate using tools such as Heritage Impact Assessments, detailed inventories and a strict monitoring regime.

In all practicality, the management of living heritage can only be achieved in close cooperation with the overall governance system. This means that inter-ministerial and inter-sectoral cooperation becomes essential. The heritage managers must promote their cause within the wider development field. The understanding of sustainability is closely linked with both cultural and natural heritage.



## The discussion on community involvement

### A general introduction to community involvement

The association between cultural heritage and community is given increasing importance. This has been encouraged by the changing definition of cultural heritage, which has begun to focus more on the context as well as the related living cultural heritage. The involvement of community becomes even more relevant in the recent discussions on culture playing a key role in sustainable development. An important incentive of community involvement would be 'benefit sharing' which has a direct link to sustainable development and the improvement of living quality.

Article 5 of the World Heritage Convention states that each State Party shall endeavour 'to adopt a general policy which aims to give the cultural and natural heritage a function in the life of the community [...]'. The Operational Guidelines mentions in paragraph 119 under Sustainable Use that 'World Heritage properties may support a variety of ongoing and proposed uses that are ecologically and culturally sustainable and which may contribute to the quality of life of communities concerned'. The paragraph also states that it is necessary to 'promote and encourage the active participation of the communities and stakeholders concerned with the property as necessary conditions to its sustainable protection, conservation, management and presentation'.

The discussion on community is closely linked to the parallel themes of the symposium: authenticity, heritage management and disaster risk reduction.

### Community involvement in the context of Kathmandu

In celebrating the 40th anniversary of the World Heritage Convention, an international symposium was organized in 2012 in Buyeo, Republic of Korea, by the Cultural Heritage Administration and ICOMOS-Korea entitled 'World Heritage involving Communities: Concepts and actions in the Asian context'. The outcome document of the Buyeo Meeting states that 'The aim was to explore the issue of community involvement within the Asian context. This is characterised by major trends that have a considerable impact on the way community issues are perceived and dealt with. [...]'. However, participants recognize that there is a paradigm shift in the field of heritage conservation which is to engage communities within the state sector run heritage activities.' The document compiled relevant points

under the following headings: (1) Who are 'communities?'; (2) The concept of outstanding universal value, sustainable development and other values impacting world and heritage properties and its communities; (3) Boundaries; (4) Harnessing commitment to World Heritage for conservation and sustainable development; (5) Reconciling local traditions with the governance system; (6) Capacity Building. The initial contribution to this theme needs further elaboration which could be carried out in Kathmandu focusing on the community's vital role in the context of urban heritage.

Neolithic tools have been found along the Himalayas and in the Kathmandu Valley indicating that people lived here at least since the past nine thousand years. People came and interpreted their surroundings, bestowing their landscape with divine significance. The mountains were given titles such as 'Mother Goddess of the Land' (Chomolongma) and 'Dispenser of Food' (Annapurna). The Kathmandu Valley was strategically located between the seven holy rivers of the Kosi to the west and the seven holy rivers of the Gandaki to the east. The Swayambhu Purana describes the geological formation of the legendary lake Nagavasahrada. Legend has it that after Manjushri cut through the hills to drain the valley, the infuriated water serpents whose habitat had been destroyed brought about alternate periods of floods and droughts. This shows how closely the people understood their environment and geological processes were attributed to the creative energy of the gods.

The Kathmandu Valley used to be a lake which ruptured due to earthquakes some 25,000-30,000 years ago. This has been recorded in the ancient texts of the Swayambhu Purana as the kingdom of the water serpents Naga-Vasahrada. The fact that the valley used to be a lake has had a great influence not only in creating the natural environment within the valley, but also the culture of the inhabitants. The historical timeline begins with the Kirati era (300 BC – 78 AD), followed by the Lichchhavi Period (78 - 880 AD), a Transitional Period (880 – 1147 AD), the Malla Period (1147 – 1768) and the Shah-Rana period (1768 – 1950 AD). In contrast to Samarkand which was in the centre of the rise and fall of empires, Nepal has always been on the fringe of history.

Over centuries, people migrated to this fringe area between the ancient cultural spheres of South Asia and East Asia. They came either to flee from persecution or in search of new prospects. The Himalayas have been both a climatic barrier as well as a cultural barrier where the amalgamation

of cultures has taken place on the fringes of the civilizations of Indian and China. They brought with them their religion, language, craftsmanship and enterprise. They came to graze their livestock, to farm, hunt and gather. They settled in a landscape with the highest mountains and the deepest gorges as well as the highest rate of uplift and the highest rate of erosion. The Continental Plates are still moving and the Himalayas are rising at an approximate rate of 5 mm per year, causing energy to build up along the fault lines which is then released through earthquakes.

Where the economy allowed, forms of settlement and shelter developed to express the more complex character of a civilization. This process can be observed in the Kathmandu Valley where economic surplus was achieved through intensive farming in the fertile land and the trans-Himalayan trade. The compact urban structure was defined by the trade routes and the courtyard units which originated from the Buddhist Viharas. As little as possible of the fertile agricultural land was occupied. In contrast to the predominantly stone structures along the foothills, the Newars of the Kathmandu Valley used the readily available clay to burn bricks. A highly developed form of architecture

developed using elaborate decorative bricks and tiles with carved wooden posts, struts and windows. In addition to the highly developed ornamentation, the Newari craftsmen also engaged themselves with indigenous methods of seismic design, a highly complex task which modern engineering is still struggling with.

The apogee of the architectural and town development in the valley took place between the fourteenth and eighteenth centuries under the Malla dynasties. During large parts of this period, there were three city-kingdoms within the valley which competed against each other to build large and more elaborate palaces and temple complexes in the surrounding squares. The tiered temple architecture with intricate wood carvings is a unique style that developed in the valley. Under the Shah dynasty, especially in the eighteenth and nineteenth centuries, some examples of a new style of architecture emerged influenced by the Mughal style of northern India. In the late nineteenth century, the Rana prime ministers took over and introduced huge palaces in white stucco and European designs, imitating the British colonial architecture in India.

*Street scene at Bhaktapur* © K. Weise





### *The community and their settlements*

The population within the Kathmandu Valley is changing dramatically with a high migration rate from all over the country. Kathmandu has recorded the highest decadal population growth (60.93 % 2001-2011) within the country which is about four times the national average. This has led to changes in the demography within the valley with the community losing its cultural homogeneity. The average household size in Kathmandu has decreased to 3.71, far below the national average of 4.70, showing the dissolution of the extended family (Government of Nepal, census 2011).

The heritage of the Kathmandu Valley that was created between the 13th and 18th century is ascribed to the Newars. During this period, the inhabitants of the valley comprising of immigrants of diverse groups, were moulded into a strong 'cultural entity' under pressure from the foreign ruling class. The Newars are considered to be the indigenous inhabitants of the Kathmandu Valley, though their origin is unknown. Until the later Malla period, the Newars were mainly Buddhist, but as the immigration of the Brahmins and the Chhetris increased, the social hierarchical order of the caste system was introduced and today the Hindu-Newars are a majority. The tolerance and acceptance of the different beliefs and customs have brought about the unique characteristics of the Newars to take part in each other's festivals and celebrations, though each group has its own distinct rituals. Buddhism, which must have been brought from North India during the Mauryan period, was greatly influenced by the changes Buddhism went through in Tibet, where, mixing with their mystic and animistic beliefs, Vajrayana Buddhism was developed. Hinduism also went through a process of change in early times with followers of Vaishnavism dominating the valley and only after the Pashupati temple was built did Shaivism gain importance and simultaneously adopt many tantric practices.

Through specialisation and surplus production, an urban culture was developed which influenced the settlement pattern. The Newari settlements were compact with a regular order which was adapted to the topography. The narrow streets were lined with three to four storied buildings forming a distinct representative street façade. The central area was usually an open space where the temples and a pond were situated. Since the fertile lower land next to the river was reserved for cultivation, the settlements were usually built on higher ground.

The traditional setting of compact settlements was created on the elevated land, the 'tars' leaving the low land and flood plains, the 'dol chetra' for agriculture. The Newari culture was defined by the contradiction between the highly developed

urban culture, as well as a highly developed farming culture. The amalgamation of Hinduism and Buddhism into their social structure again shows this unique trait. The Newars' religion and festivals, which were very much based on the farming culture, was however manifested in the urban setting. A ring of protective deities defined the boundaries of the settlements, beyond which were the terraced fields. The Newari buildings followed set norms. There was uniformity in form and materials used. A clear hierarchy of building heights existed, defined by the temples. The settlements were developed for pedestrian use, allowing for access through the inner courtyards. Most of the listed monuments and their surrounding context were created during the Malla period which reached an apogee between 1500 and 1800 AD.

### *Traditional community-based conservation*

The strong social integrity within the Newari community was largely due to the socio-religious organizations called Guthis. 'Guthis are of three types: religious, functional and social' (Bista, 1967, p.27). All community work and activities were organized in the form of Guthis and the social network formed by these organizations ensured the upkeep of religious, social and cultural activities and traditions. 'The network of such Guthi institutions bound the Newars together at the three levels of caste, patri-lineal grouping and territory' (Nepali, 1965, p.191).

One very particular form of Guthi was the one established for the maintenance and upkeep of temples and community buildings. When these buildings were built, the patrons or financiers would donate land which would be the source of income for the maintenance of the buildings. The income would also cover the related festivals and rituals. This system of sustainable conservation probably began as early as the Lichchhavi Period (78 - 880 AD), but was well established and highly developed by the later Malla Period (1147 - 1768).

A Guthi is essentially a common interest group with collective responsibilities and privileges devised to enable the individual or group of the society to fulfill his/her many socio-religious obligations through group action. The founders of a Guthi usually donate some property as an endowment and the revenue generated from tilling this land would go towards the maintenance of that particular building and the continuation of other rites and rituals associated with it. The conservation practiced through the Guthi system is at the root of the large inherited culture of the valley. However, the process of modernisation has also affected this culture resulting in the loss of Guthi land, the main source of income for these trusts to organize and manage their heritage. With the introduction of land reforms and the Guthi Corporation, the Guthi land further dwindled and the centralized system

of management replaced the decentralized autonomous system of management. Thus only a few of these Guthis are functioning today in its original form.

### ***Nationalizing community activity***

The patronage to the Guthis was often performed by the royal families, even during the Malla period. However, it was during the period of the Rana when prime ministers were in power, in the late 19th and early 20th centuries, that a separate office was established to maintain records of Guthi land. This was the beginning of direct government involvement in the Guthi system. This was seen as a political move to reduce the power of the Newar community.

The Guthi Corporation was established in 1964, consolidating all Guthis to a centrally organized unit. The Guthi Corporation was mainly formed to administer the lands belonging to the Guthis. The Guthi Corporation was to preserve cultural heritage, monuments, religious buildings, ancient ornaments and articles of religious and cultural importance along with the task of ensuring that religious rites and festivals are performed. The act also prohibits sale of land belonging to temples or spaces for public festivals and worship. There are mainly three types of Guthi land. Tainathi land was the land owned by the Corporation itself, from the time of its establishment. Mohi land was the land belonging to the Guthi, but tilled by the mohi for which he paid kut, a kind of tax in the form of actual cultivation or its equivalent sum of money. Then there was Guthi raitan land which was Guthi land turned into private land by paying a fixed percentage of the land value to the Guthi after which the owner only paid the yearly land tax (Sharma and Shrestha, 2007, p. 12).

The Guthis used to be run by the community. Once the Guthis were nationalized to be part of the Guthi Corporation, they lost their traditional identity and have become to a large degree non-operational. The income from the land became insufficient to run the Corporation due to encroachment and illegal sale of Guthi land, lack of adjustment of taxes to inflation, increased overhead costs and expenses for special materials and labour required for festivals. For example, for the Macchindranath festival, special rope is needed to construct the chariots, which is not available in Nepal any more. The community members responsible for the construction of the chariots have a monopoly and demand high remuneration for their work. Additionally, when the chariot is pulled around the city, it often topples over damaging nearby buildings. Traditionally, this was considered good luck; however, today even for minor damages, compensation is demanded.

The lack of clarity in function and ownership has raised concerns. The Guthi Corporation has taken over certain community responsibilities but is not in a position to raise the required resources to implement their duties. On the other hand, the Ancient Monument Preservation Act 1956 has empowered the Department of Archaeology for the government to take over responsibilities for any building or ensemble that is over a hundred years old.

### ***Outcome of August 2005 workshop on community and conservation***

During a workshop on 'Community and Conservation' in August 2005, representatives of the local authorities, various community leaders and leading experts in the field of conservation were invited to define the status of community involvement in the preservation of the World Heritage property. The outcome of the workshop was a general understanding of the present state of cooperation between the stakeholders and specifically the position of the community in decision-making and implementing conservation related activities.

As previously noted, there has been a long history of community based conservation and maintenance of important religious and community buildings. The Newari community had allocated two days, one just before and one right after the rainy season, for cleaning and maintaining public spaces, temples, water spouts, which included the oiling of timber and stone and the uprooting of vegetation from the buildings and traditional roofs. Such activities were organized by the Guthis. Since most Guthis were nationalized, the Guthi Corporation owns most major monuments but does not have the resources to maintain and restore the monuments especially without community support. The conservation of intangible heritage such as the festivals, rituals and craftsmanship is carried out directly by the community.

The lack of clarity concerning the rights and responsibilities of the various authorities has been a major hurdle in developing the cooperation between the authorities and the community. This has been further aggravated by the lack of elected members to the local bodies due to the ongoing political transformations. Even the related legislation has overlapping in defining the responsible authorities and their powers which lead to long drawn legal proceedings detrimental to the smooth functioning and cooperation between the authorities and community members.

The laws on conservation and appropriate utilization of protected monument zones must be such that all government authorities must comply. For example, this would mean that



no army or police vehicles would be allowed to enter the monument zone areas that are designated for pedestrian. The flouting of such regulations by certain authorities reduces the credibility of the conservation planning provisions. This contradicts the implementation of regulations carried out on illegal buildings which is often heavy handed, alienating the community. The laws and regulations don't take into account the difficulties in estimating and implementing restoration projects. Regulations on seismic stability does not allow for load bearing structures taller than three floors, making reconstruction using reinforced concrete easier.

As per the Department of Archaeology, the involvement of the community in restoration works depends on the type of monument. For local monuments and vernacular architecture, the community can establish a user committee which works under the direct supervision of the related government authority. The establishment of the community user committee at an early stage with regular interaction with the community helps develop mutual consensus and an amicable working condition. It was noted that financial transparency and accountability are critical for successful community based conservation projects. The donations by community members must be acknowledged and the

result clearly shown. Often local people are not interested in participating in a user committee since they fear that they would be responsible for any mismanagement or to pay for any increase in costs. Such fears need to be eradicated by clarifying the procedures beforehand. The community members today have a lifestyle that often does not allow for them to contribute their time. As farmers, the off-season was used to contribute to community activities. This is often not possible anymore; however, people might provide funds instead. They must, however, be ensured that these funds are utilized correctly.

The community often would like to make changes to the monument to strengthen or add elaborate ornamentation. This usually needs to be regulated or negotiated between the local committee and the authorities. The adaptive reuse of historic buildings as restaurants, guest houses or even shops must be supported, allowing for some degree of changes to accommodate the new functions. The future sustainability of the monuments must be taken into account when planning and preparing the conservation project.

Complicated procedures within the government authorities lead to delays and mismanagement. The procedures



*Participants visit the Bhaktapur Durbar Square*

for obtaining permission to carry out conservation or development work within the protected monument zones are so tedious that they are often circumvented. The procedures themselves are often not effective in what they were set up to achieve. Effective, streamlined and clear government procedures are essential for community groups and house owners to participate in the conservation effort.

There are no incentives for the community or individual owners of historic buildings for conservation. Tax breaks and free municipal services could be provided to those who want to conserve their buildings. People are usually reluctant to receive incentives because the procedures are often long and tedious and they believe that they are additionally scrutinized and harassed by the authorities. Incentives must, however, also ensure that they achieve what they set out to do. Certain incentives such as the municipal supply of traditional brick, tiles and wood for the reconstruction of buildings in a traditional form as defined in the building bylaws has the detrimental effect of historic buildings being demolished instead of being conserved.

The support of local craft-persons who still have the traditional knowledge of building and restoring is essential. This is the only means for the built heritage to survive over the generations. The constant training of essential crafts-persons is required such as masons, wood carvers, carpenters and metal-workers, ideally in the traditional system of apprenticeships. It is also essential that the know-how of producing the local materials is preserved. This is the case of ornate bricks and tiles. The availability of required materials such as specific stone and wood must be secured. These are all activities that would be carried out by the community.

The communities within the monument zones of the World Heritage property are changing. In such places as Baudhanath and Hanuman Dhoka, the community has become greatly heterogeneous with different ethnic groups, cultures and creeds. That makes it increasingly difficult to address all their concerns from a single platform. The imposing of regulations and monitoring of the developments by the higher authorities has not been effective. Only the community leaders and local authorities can negotiate an appropriate level of conservation of the urban fabric in the highly commercial areas around the main monuments.

There are various aspects of ownership of historic buildings that have been critical for the conservation of the objects. Multiple owners have led to conflicts concerning the maintenance and upkeep of the buildings. Another critical aspect is the disastrous custom of vertical divisions of the buildings when splitting up the property between the inheritors. Regulations and procedures are needed to address these critical issues.

Illegal activities such as demolition of historic buildings or construction of inappropriate new buildings have often been dealt heavy-handedly by the officials. This has not always led to effective solutions. There clearly needs to be more direct involvement of community groups leading to the community members being convinced of the importance of conserving heritage. Conservation must be a public concern where the individual community members contribute to the overall interest.

### ***Management issues and objectives to empowering the community***

The preparation of the Integrated Management Framework document focused on three main aspects of management: defining the property, management frameworks and management processes. This required the initial assessment of all issues that needed to be addressed through this process. There were several important points concerning the involvement of the community which was to become the basis for the overall approach to improving the management of the property.

The administering of the World Heritage property directly by the central authorities, which meant the Department of Archaeology (DOA) was not seen as being feasible and appropriate. The main concern was that the DOA was not in a position to liaison and interact with the community and the local inhabitants. This required the devolution of powers to the authorities at the lowest level and closest to the community. By including the local government of the seven monument zones in the management of the property, a more complicated management structure was created. It was, therefore, also necessary to allow the individual monument zone managers to function with certain autonomy while allowing for regular coordination through a newly established Coordinative Working Committee (CWC). The CWC was to organize regular meetings with the community of the individual monument zones in rotational basis. This allowed the community to express its concerns directly to the site managers, while the site managers of the other monument zones participated to ensure coordination over the entire World Heritage property.

Four clear management objectives were identified under the category of 'Community and Awareness'. (1) Community Conservation Groups were to be established within the World Heritage areas to participate as stakeholders. (2) Awareness was to be created amongst the general public and students on the value of the World Heritage property. (3) Strategies were to be developed for the sustainable economy of the community within the World Heritage areas without impacting the heritage value. It was also mentioned that the strategy must include that there is maximum



profitability for the local community from visitors and tourism. (4) Restoration and maintenance manuals were to be prepared and distributed to owners of historic buildings.

### Conclusion

From the case of Kathmandu Valley, there is a clear conclusion that for the long-term sustainability of living cultural heritage properties, it is essential that the community that created and preserved the heritage must continue to be involved in its management. This understanding became the basis for the preparation of the Integrated Management Framework documents which became the basis for the Kathmandu Valley to be taken off the List of World Heritage in Danger in 2007.

The link between the heritage property and the community is too complex to allow for generalized guidelines to be developed. Taking the lesson from properties such as the Kathmandu Valley will allow, for examples, to be presented at the regional level. There are, however, no specific steps that can be followed to ensure appropriate involvement of the community in management of World Heritage. It might be possible to set up certain principles. The community needs to be defined. It must be noted that there are many heritage properties that have lost the community which created and maintained them over the years. The community must have cultural links to the heritage and there must be a clear understanding of intent in community involvement. The question needs to be answered on why the community should be involved specifically for the individual heritage property.

The link between heritage properties and the community is a relationship that would have developed and been retained over centuries. Where possible this relationship needs to be fostered. Where this relationship has been lost, a new system needs to be developed by either creating a new community with new linkages to the heritage or by establishing a governance system which protects the heritage in spite of the possible enmity of the community. For each specific heritage property, the most appropriate means of community involvement needs to be recognized, established and encouraged.

### Community involvement as presented in the papers

The presentations on community involvement in safeguarding living urban heritage provided broad insight into the theme with numerous examples. The keynote speech by Sudarshan Raj Tiwari on 'Revisiting Kathmandu World Heritage Site – Community participation in heritage affairs'

laid out the canvas for the other presenters to augment. There were examples from Patan (Nepal), the Historic Villages of Hahoe and Yangdong (Republic of Korea), Dong Villages (China), Manjuli (India), Macao (China) and Tansen (Nepal). There were additional papers presenting specific themes such as 'Language, media and citizens', 'Cultural education' and 'Use of crowd-sourcing' for managing a cultural heritage site.

Sudarshan Raj Tiwari in his keynote speech, presented the entire history of conservation activities within the Kathmandu Valley with focus on community involvement. He promotes the idea that it is the heritage of the community and they must take responsibility and take the decisions on how to conserve their heritage. This is how traditionally the monuments have been maintained and improved.

Closely linked to this theme was the paper on 'Community involvement in management of communal space in Patan Historic City: A case study of Ilanani tole in Patan durbar square monumental zone' prepared by Lata Shakya with support by Mitsuo Takada, Sachiko Morishige and Takeyuki Okubo. The paper provided insight into the community management of the three courtyards of Kwā Bāhā, Ilānani and Sasunani. The conclusion presents the following three observations: diversified actors' participation in management, flexibility in management system and the existence of lead organization for management.

Indera Syahrul Mat Radzuan, with support from Yahaya Ahmad and Song Inho, prepared the paper entitled 'Mainstreaming local communities input for the incentives programme: Lessons learned from the historic villages of Hahoe and Yangdong in South Korea'. The presented study shows that management often takes into account tourism rather than ensure the needs of the local community.

A fascinating study was presented by Xiaomei Zhao in her paper entitled 'Cultural interpretations of Dong Villages: Activities of local community'. The definitions of heritage and means of conservation are often disconnected from the local community that is actually living and carrying out their daily activities within the site. There are changes in the Dong villages, both in their built heritage as well as their lifestyle, however, the community must be in a position to decide to continue their traditions.

GSV Suryanarayana Murthy and Richard Sadokpam provided an overview of a particular example with their paper entitled: 'Developing values-based and participatory conservation management: A need for River Island of Majuli Cultural Landscape in the midstream of Brahmaputra River, Assam, India. The site is in the process of being inscribed on the World Heritage List as a cultural landscape, represented

by its cross cultural ethnic diversity and the ability of the people of the island to adapt their existence to the changing dynamics of its ecosystem over centuries.

Sharif Shams Imon presented on the 'Relationship between cultural spaces and continuity of a tradition: the case of Drunken Dragon Festival in Macao'. To safeguard the Drunken Dragon Dance, the government has begun funding these dances in various part of the city which some say have removed it from its roots to become entertainment for the tourists.

A further example in Nepal was provided by Chandani K.C. with her paper 'Conservation of traditional residential buildings in the Tansen city'. The paper discussed the need for community support and awareness to preserve the traditional urban fabric primarily comprising of residential buildings.

The following three papers present various approaches and themes in respect to community involvement in preserving heritage. Alberto Farías Ochoa presented on the 'Language, media and citizens, in indigenous Mexican community cultural heritage.' He shows how academicians and activists who represent civil society and understand indigenous heritage are helping preserve communities by discussing and addressing critical issues in the local language.

Nicole A. Goetz submitted a paper entitled 'Cultural education as a key to community empowerment'. The link between culture and education is critical. Cultural education is the only way it is possible to build capacity, awareness and ensure successful community involvement. She provides numerous suggestions such as bringing the young and the old together to sing and tell stories. Other examples would be to link historical houses to traditional craftsmanship and include heritage education in schools and universities.

Rajdeep Routh and Piyush Shah submitted a paper entitled 'Public participation towards managing cultural heritage: Use of crowd-sourcing for conserving historic Ahmedabad'. The authors propose developing a simple app for the public to collect information, monitor the heritage site and submit this information to the authorities for them to process, map out and where necessary respond.

## Community involvement as per the symposium discussions

The first step in discussing 'community involvement' is to define community in the specific context. This requires in-depth understanding of the demography of the place over time as well as the relationship of the individual sectors of the community to the identified heritage.

In the context of the Kathmandu Valley, the general observation was the transition of people involved in agriculture moving away and adopting other professions. The social structures still have elements of medieval communities, however, due to the multicultural influx into the cities, these structures are transforming. The local community can be categorized based on territory (neighbourhood tole, courtyard or lane), religious kinship (Sangha or Guthi) or new community organizations, for example, based on women, youth or micro-credit.

This mingling creates a complex multicultural society. It then becomes essential to understand the differences and similarities of the individual segments of society. In some cases only, the various influences can be determined, processes of different cultures mixing and adapting, which have already created new social structures.

The urban context has always attracted people from different cultures, beliefs, ethnicities, to amalgamate and be part of a unique heritage and contribute to the continuation of the spirit of place. This layering of identities can, however, have implications on the sense of belonging. How can the multicultural community be motivated to participate in the conservation of objects or activities that might not be part of their specific cultural contribution?

The economic activities within the urban context require allowing communities to utilize the opportunities to profit from heritage. The conservation of heritage must go hand in hand with development plans that are appropriate for the particular context. The consideration must be accounted for that the urban context requires far more advance infrastructure and services than the rural areas.

The governance of urban living heritage sites is complex, since many decisions used to be traditionally made by the community. Today planning guidelines, regulations and laws are prepared and enforced by the various levels of government. The relationship between the local authorities and the community becomes critical for any kind of site management to be successful. When conflicts arise between the community and the local authorities, the community members often carry out activities unilaterally and the outcome can lead to horrendous results.

In most cases, the community would need to be considered the caretakers of the heritage. This is even more so in the case of living heritage. As caretaker, the community's participation and engagement in management and decision making is imperative. Where traditional community structures have been lost or have drastically transformed, new community structures need to be fostered. The participation of the youth is most often critical, but they would require awareness and



education. The community would also require incentives and financing to safeguard heritage. In many cases, there needs to be a shared responsibility for heritage, ensuring cooperation and support from the authorities, citizens and experts.

A combination of formal and informal education is key to community involvement. The citizens themselves need to become educators of their own heritage. In many cases, the community is not aware of preservation programmes for historic sites and landscapes. This does not allow for the community to participate in the activities, whether actively or passively. This close and regular communication and cooperation between those actively involved in conservation and the community is critical for the long-term sustainability of the project. Very often the actual functioning, usage and monitoring of the outcome of conservation works fall on the community.

Conservation requires documentation to allow an in-depth understanding of the tangible or intangible heritage as well as its transformation over time. This monitoring and documentation can only be achieved through routine participation of the local community members. These

routines might be established together with the academic sector such as universities who have routine programmes that are carried out annually with students. This requires easy accessibility of information to all concerned authorities and stakeholders. Conversely, there must be provisions for those with information to have a platform to easily share.

The process of documentation and monitoring goes hand in hand with interpretation and prioritization of issues that need to be addressed. This often requires detailed knowledge of the heritage which is to a great extent only existent with the responsible community members. These resources are required to establish any kind of strategy or annual budget plans to ensure effective use of resources to safeguard heritage.

Heritage issues are often dealt with only by certain professionals such as architects and archaeologists. Multidisciplinary teams are needed to address all the facets of the changing understanding of heritage. The agreement that tangible and intangible heritage is inextricably linked requires a wider range of experts to address the relevant issues.



## Community involvement and authenticity

The Nara Document on Authenticity points out the importance of the community. Article 8 states 'Responsibility for cultural heritage and the management of it belongs, in the first place, to the cultural community that has generated it, and subsequently to that which cares for it.' This means that the understanding of heritage and the way the values are expressed depends on interpretation of the community that created the heritage.

There are indications that a community retains its traditional integrity much more when living in their traditional habitats. Within the Kathmandu Valley, this can clearly be observed between the three cities, that the homogenous Newari community live in. Bhaktapur retain their cultural practices and their urban landscape better than Kathmandu, where the demography and the urban environment has changed drastically.

This can be observed with the daily activities, rituals as well as with the annual festivals. Many of these festivals are linked to the farming seasons and giving praise to the deities responsible for rain, fertility and a good harvest. This praise can only remain credible when the community can continue with their farming practices. There is a clear tendency for the younger generation to neglect their farming roots, sell their land to developers and work in the service or business sector.

The change in activities also has an impact on the utilization of urban spaces. Vehicular traffic has replaced markets and agricultural activities in the public spaces of the settlements. The tourism sector has both a negative and positive impact on the settlements. Tourism has changed the activities and income source of the community, but motivates them to retain their culture. However retaining culture just to attract visitors undermines the very essence of authenticity.

The link of a functioning community to their heritage must be understood within the framework of the heritage being able to fulfil the needs of the community. By enforcing the conservation of heritage against the will of the community and without ensuring a functioning and sustainable system, it loses its authenticity. Change must be acknowledged as a natural process, though it must be guided to respect the historic characteristics. The uniqueness of a city lies in the spirit of the place, which is defined by the local people. If the community cannot express itself due to stringent restrictions, the spirit of the city loses its authenticity. The conservation efforts must ensure that it can retain its authenticity and vibrancy.

## Community involvement and heritage management

Heritage is created by a community and ideally they will remain the caretakers. This means that traditional management systems need to be prioritized and where possible even revived. It is only when the original community linked to the heritage is lost or has transformed to an irreversible level that new protective measures need to be introduced. The close association between management and community is vital.

The management of a living heritage site is closely linked to its functions and the activities that take place in and around the site. These may be linked to daily rituals associated to a sacred structure or spot. Often these sites are places of commercial interaction, which could be either shops or open markets on the streets or squares. There can be regular activities linked to the lunar cycle or the seasons. Many larger festivals are carried out annually, when large numbers of visitor gather at the site. Even though such grand events only take place over a few days every year, sufficient facilities and provisions are required to ensure the smooth functioning and safety of the visitors, whose numbers are increasing incrementally.

The community that lives in and around the heritage site, as well as those who regularly use the area, need to participate in the daily management. This can begin with ensuring that the site is kept clean and the historic environment is maintained. For example, the practice of dumping of waste by the river comes in conflict with the ritual bathing that takes place in the same river. The traditional practice of cremation of the dead on wood pyres and the scattering of remains in the river has had immense impact on the environment with the growing population. Cremations should not be stopped, but the introduction of an electric crematorium, as planned in Pashupati might be a sustainable solution to manage this practice while ensuring the protection of the environment.

The community needs to be involved in monitoring the heritage site to ensure that any illegal activities are hindered or halted right away. Activities that threaten the safety, sanctity and sentiments, such as illegal construction or the harming and demolition of historic buildings must be stopped immediately.

For a clear process of management to function, there must be a platform for the various components of the community to participate and present their viewpoints. The community stakeholders first need to be identified. The involvement of too many parties in decision making can be chaotic and



the process of participation must, therefore, be formalized. The cooperation between the authorities and the community must function smoothly.

## Community involvement and disaster risk reduction

Disaster risk management of heritage is primarily dependant on community participation and cooperation. Even though the first few days after a disaster, the main focus would be on emergency response to save lives, the recovery of cultural assets that are of value to the community becomes an important part of rehabilitation. The identification of the most significant heritage, the disaster risk reduction and preparedness and the early response all depends on the close collaboration between the authorities and community.

When dealing with disaster risk management, the traditional wisdom of the community must be a critical source of information to understand the historic context. This knowledge would provide information on how the buildings and urban neighbourhoods were conceived in response to previous disasters. This could be in respect to the structural stability of historic buildings, the preparedness of

communities to respond to the hazards and ensuring that traditional principle of risk reduction are enforced.

It is not only that heritage needs to be protected from disasters, but often it is heritage that can help the community in disaster preparedness, response and reconstruction. Traditional neighbourhoods took consideration of the specific context and hazards and responded by for example providing public spaces, water sources, and strategic routes from the courtyards to the surrounding fields. These intricate networks and systems, which is part of the overall heritage of the place is also the response of the community towards disaster mitigation.

The community, being on the site, will be the first responders to deal with a disaster. This means that the community would be the ones responsible for immediate search and rescue, securing sites and ensuring that valuable artefacts are safeguarded. It is therefore essential that the community members are made aware and trained on the basic search and rescue procedures. They would also need to be made aware of the fact that very often during these early phases of response, a lot of heritage is unnecessarily destroyed. The community could take a lead role in ensuring that the heritage that remains after the disaster is protected.





## A practical understanding of community involvement

The main concern when discussing community participation in heritage conservation is the identification of community or communities and the means of their involvement. The issues raised in the discussions during the symposium seem to have already been formulated in article 8 of the Nara Document on Authenticity. Three points creating the dilemma of community participation are articulated but not resolved.

When identifying community, priority is given 'to the cultural community that has generated it, and subsequently to that which cares for it'. This is clearly applicable to living heritage, but would not consider heritage that is not linked to any contemporary community. The community might need to be defined as those who use and agree to care for the particular heritage including visitors and concerned world citizens.

The second point is linked to the quality and appropriateness of community involvement. As mentioned in the Nara

Document, the community would also be obliged to consider principles and responsibilities that are derived from international charters and conventions. When the community is involved with managing their own heritage, it is hardly opportune for experts from foreign cultures to determine how this is going to be carried out. There needs to be a clear differentiation between that which the community manages along their own customary ideals and that which needs to be conserved based on legal instruments signed by political entities such as the government.

The third point addresses the conflict between various communities that would have a stake in any particular heritage. The Nara Document finds it desirable for communities to balance 'their requirements with those of other communities' without undermining 'their fundamental cultural values'. This balance between communities is highly desirable but not always possible to achieve. Such conditions can only be addressed by establishing mechanism for mediation and identifying exactly how each community can lay stake on the particular heritage. The shared heritage can also be an opportunity to create a certain harmony between communities.

*Mingling with the locals in Bhaktapur* © Department of Archaeology, Nepal





## The discussion on disaster risk reduction

### A general introduction to disaster risk reduction

Over the past few years, the world has become more aware of disasters and the need for risk preparedness. The media coverage of the Tsunami of December 2004 was a success story in respect to both collecting billions of dollars for rehabilitation and reconstruction after the disaster as well as awareness building throughout the world. However, just 10 months later a fatigue had already crept in when funds were being raised for the victims of the Kashmir earthquake. The success of responding to a disaster though lies in preparedness. The authorities and the communities need to be prepared in respect to reduction of risk as well as immediate response to a disaster. The safeguarding of lives is the main concern, which makes preparedness even more essential for areas that are given less priority, such as the protection of heritage.

As per paragraph 118 of the Operational Guidelines for the implementation of the World Heritage Convention, 'The Committee recommends that States Parties include risk preparedness as an element in their World Heritage site management plans and training strategies'. The discussion on disaster risk reduction is closely linked to the parallel themes of the symposium: authenticity, heritage management and community involvement.

### Disaster risk reduction in the context of Kathmandu

The cultural heritage of the Kathmandu Valley has developed with a close association to earthquakes by adapting and regenerating in a process of cyclical renewal. The lingering awareness of the destruction by the Nepal Bihar Earthquake of 1934 with a magnitude of 8.4 allows us to envision the need to be prepared. In case of an earthquake, the soil conditions in the valley magnify the intensity and due to liquefaction major damage to structures can be anticipated. There are lessons to be learnt from traditional buildings that have introduced measures to make structures more earthquake resistant. From history, we understand that the such destructive earthquakes occur at intervals of between 80 and 100 years and the 80th year of the Bihar Nepal Earthquake was commemorated in 2014.

#### *Adapting to an earthquake prone area*

Over the centuries, the Kathmandu Valley has experienced many earthquakes and will further do so in the future. Due to

its geophysical character, the valley is prone to disaster, and earthquakes have had a tremendous effect even when the epicentre of the earthquake might have been many hundreds of kilometres away. In spite of this impediment, the valley has flourished. There is much to learn from the experiences gathered by the inhabitants of the valley over the centuries to understand how they coped with and responded to the hazard. We also know from the earthquakes recorded over the past eight centuries that an earthquake with magnitude of more than 8 occurs on average every 80 years.

The Kathmandu Valley is especially prone to disasters caused by earthquakes due to its geophysical formation. The Valley used to be covered by a lake, which due to seismic activities was drained some 20-25,000 years ago. The valley therefore has 'fluvial lacustrine clay and sand horizontally bedded sediments of more than 300-meter depth' (Smith, 1978).

In case of an earthquake, the soil conditions in the valley magnify the intensity and due to liquefaction major damage to structures can be anticipated. The most recent great earthquake that had a disastrous impact on the Kathmandu Valley was the Bihar –Nepal Earthquake of 1934 of magnitude 8.4. Though the epicentre was some 200 km to the south-east, intensities of up to 'X' were recorded in the valley (Richter, 1956). Various studies show that a major earthquake similar to the one in 1934 would destroy between 60 and 70% of all buildings and infrastructure within the valley, leading to tens of thousands of fatalities and hundreds of thousands of injured (Department of Mines and Geology, Government of Nepal).

Over the past millennium, the cultural heritage of the Kathmandu Valley has developed with a close association to earthquakes. The built cultural heritage of the Valley would need to be looked at in two broad categories. The first category would be the religious and community monuments such as the temples, chaityas, palaces, bahals, sattals and patis. The quality of these monuments can be observed to be better, both in respect to construction as well as ornamentation. The second category would be the private dwellings that constitute most of the urban fabric. These were traditionally 3 to 4 storey row houses organized around a courtyard.

Certain measures were taken to make the buildings more earthquake resistant; however, this seems to have been only partially successful in respect to the tiered temples of burnt brick and timber, built on a square plan. The destruction of structures would of course depend on the local soil composition as well as the frequency of the

shock-waves. However, the general principles concerning greater vulnerability due to irregular plan and the ratio between mass and height can be clearly observed.

In terms of structural construction, the Newari buildings are designed to perform well during smaller earthquakes. Smaller movement is taken care of by running the wooden beams through the walls and fixing it in position using wooden wedges on either side. Horizontal wooden beams placed within the wall usually separate the brickwork of each floor allowing for certain movement. However, photographs from the 1934 earthquake show that earthquakes of greater intensity lead to the total collapse of these buildings.

In the late 19th century, a new style of architecture was introduced with an eclectic mix of Neo-classical European architectural language, today referred to as the Rana Style. These buildings did not fare very well during the earthquakes. Most of the Rana palaces were destroyed and the collapse of parts of the Royal Palace at Narayanhiti killed two of King Tribhuvan's daughters. However, being the architecture that was in vogue at the time, most of the reconstruction works that took place after the 1934 earthquake was carried out in this style – which of course does not include the restoration of traditional tiered temples.

During the implementation of restoration works after a major earthquake, there was a lack of resources and materials. Closer observation shows that very often restoration of less important monuments and residential buildings were carried out with inferior quality materials. Wooden elements were often salvaged from the rubble and reused even when they were not necessarily placed in the correct position. The bricks used in reconstruction were often not burnt properly and of substandard quality. The next section will take various examples of monuments in Bhaktapur to look more in depth at the process of reconstruction.

The Great Earthquakes that have ravaged the city over the centuries have been followed by a period of reconstruction. This process of Cyclical Renewal has been an integral part of the development process of the cultural heritage of the Kathmandu Valley. This also has taken care of the requirement for regular restoration of monuments. Efforts in conserving the built heritage within the Kathmandu Valley must, therefore, take the concept of Cyclical Renewal into account, without necessarily strengthening these structures using modern technology to achieve a greater earthquake resistance. A pressing issue is, however, to find an acceptable solution for the conservation of historic dwellings, when increasing their structural stability to improve safety for the inhabitants.



*During the presentations on Disaster Risk Reduction at Hanuman Dhoka Palace, Kathmandu*



### *Conservation after the Great Earthquake of 1934*

Assessing the 'cyclical renewal' efforts undertaken after the 1934 earthquake gives an idea of the scale of the destruction and the need for resources and preparedness to carry out restoration works. The following four examples in Bhaktapur show the difficulties that reconstruction works posed after the 1934 earthquake. The four examples that are taken here are the 55-Window Palace, the Fasu Dega Temple, the Hari Shankar Temple and the Chyasilin Mandap. All these monuments were destroyed to varying degrees during the 1934 earthquake.

The '55-Window Palace', which was an extension to the already existing palace complex, was constructed by Bhupatindra Malla around 1697 AD. The top floor of the 55-Window Palace was totally destroyed in 1934. The palace was reconstructed soon afterwards with various modifications. The windows were replaced with less projection. During the recent restoration of the palace it was found that the previous restoration had been done in great haste. The original wood elements were reused, however often in the wrong manner or position.

The Fasu Dega temple, located to the east of the palace was completely destroyed by the earthquake in 1934. Only the massive five stepped plinth remained. Due to the religious significance of the monument, a simple structure was built on the plinth to protect the deity. The structure, however, does not follow traditional Newari form of architecture and the motifs and decorative plasterworks are derivatives of Neo-classical themes. The roof of the temple is a dome or cupola with floral motifs. The temple was, therefore, rebuilt to satisfy the immediate need of protecting the deity and followed a simplified style in vogue to the Rana period.

The Hari Shankar temple which was situated just south of the Fasu Dega was completely destroyed and only the entrance lions remain. Though there was photographic evidence of the temple, this structure was never reconstructed, probably due to the fact that the statue of the main deity was also lost. Only recently has the municipality considered the total reconstruction of the Hari Shankar temple based on photographic evidence, even though there is insufficient detailed documentation to carry out a proper reconstruction.

On the other hand, the octagonal Chyasilin Mandap was reconstructed some half century after its destruction. Funded by the German government, the mandap does not try to disguise its identity of being a wholly new structure – it is built with generous use of reinforced cement concrete

and steel sections - however enhances the character of the Bhaktapur Durbar Square and the character of the square is regained to some degree.

The Kathmandu Valley is prone to earthquakes. However, over the centuries, this valley has been the centre for a highly developed culture which has been inscribed on the List of World Heritage Sites. Each disaster has been followed by a phase of reconstruction or 'Cyclical Renewal'. This close linkage between heritage and risk management must be understood to allow for the preparation of a realistic Management Plan for the World Heritage property.

### *Heritage conservation and risk management*

After the Kashmir Earthquake, an article appeared in *The Economist* with the title 'Preparing for the unknowable' (*The Economist*, 13 October 2005). 'A way has to be found to reduce the deadliness of quakes in the most vulnerable areas. Yet earthquakes cannot be predicted accurately enough to know when people should be evacuated. It is all the harder in the Himalayan region, with hidden underground faults that are poorly monitored by seismic instruments. That leaves two options, other than fatalism: to put up better buildings, and to improve planning for responding to disasters.' This, however, does not take into consideration heritage conservation and the definition for 'better buildings' in respect to seismic resistance still needs to be defined.

An Integrated Management Plan (IMP) was prepared for the seven monument zones that together comprise the Kathmandu Valley World Heritage property which was inscribed on the list of World Heritage in Danger in 2003. In brief, the first phase focused on the definitions of the site and identification of issues and objectives and the second phase guided the establishment of the management and monitoring structures supported by the necessary conservation legislation. The IMP initiated improvement of existing processes and linkages that governed the management of the site which was for the most part urban.

Most often, risk management and heritage conservation are seen as opposing actions. It is, therefore, critical that two issues are taken into consideration at an early stage of planning; how to integrate risk management into a conservation management plan and how to integrate heritage conservation into the planning for disaster preparedness. The processes and linkages that govern the management of a heritage site need to be looked at through a 'Risk Management Lens' to assess the appropriate integration of specific components into the processes that address disaster preparedness.

## Disaster risk reduction as presented in the symposium papers

Since the symposium was preceded by the annual meeting of ICOMOS International Scientific Committee for Risk Preparedness (ICORP), there was a prominent representation of experts in the field of disaster risk reduction. The schedule allowed for seven presentations, two keynote and five papers. These presentations provided a broad basis for the discussion on disaster risk reduction of cultural heritage sites. The first keynote speech was presented by ICORP president Rohit Jigyasu who as an architect provided the planning perspective with international examples. This was complemented by the second keynote speech by Prem Nath Maskey, a prominent structural engineer with experience in working with heritage buildings. The papers presented the evolution of disaster risk management in Turkey and lessons learnt from relief processes in Indonesia. Further detailed information was presented on examples from Tansen (Nepal), Uttarakhand (India) and Isfahan (Iran).

Rohit Jigyasu, (ICORP president) in his keynote speech entitled 'International initiatives for disaster risk management of cultural heritage: Where we are and where we need to go!' provides an overview of the growing risks due to the vulnerabilities of the rapidly growing and precariously built urban areas, while hazards are increasing due to factors such as climate change. The paper introduces various international initiatives; starting by changing the mindset that cultural heritage is a passive victim of disaster to it being an asset for disaster risk reduction. Other initiatives are, for example, the inclusion of culture as a sector in the post disaster needs assessments, the publication of manuals and the numerous training opportunities that have been created. The paper concludes with a list of challenges: capacity building, develop and implement disaster risk management plans, mainstream cultural heritage in the wider disaster management field, develop tools, guidelines as well as appropriate technology.

This was followed by Prem Nath Maskey's keynote speech entitled 'Disaster risk of culture heritage sites of the Kathmandu Valley'. The paper introduces the hazards that threaten the Kathmandu Valley and provides examples of the performance of traditional structures to earthquakes. The paper ends with a list of recommendations such as regular maintenance, seismic vulnerability assessments, specific interventions, introduction of safeguarding policies, strengthening solutions that take into account the heritage value as well as consider fire hazards.

Deniz Fevziye Gündoğdu together with Zeynep Gül ÜNAL presented on the 'Evolution of the concept of disaster

management in Turkey within the context of disaster'. The authors affirm the importance of statistical information on the history of disasters, which includes all phases of the disaster cycle, as well as the impact on heritage. The data would allow for improving the disaster risk management system. The history of impact to historical buildings provides critical information on the resilience of specific construction systems and techniques. The study would also need to assess the effects of interventions. Many historic buildings were lost during the search and rescue and recovery phase during the 1999 Marmara Earthquake because there was a lack of knowledge on assessing the damage on these buildings. Observations show that historic settlements also require a different approach to disaster risk management.

The paper 'Disaster risk management in Indonesia – Learning from the impact of relief processes' was prepared by Ulrike Herbig together with Gabriele Weichart. The surviving heritage is an important basis for reconstruction, for it is an important part of the collective memory. Information on heritage objects must be collected and made easily accessible to the relief operations. Heritage must be safeguarded to secure the collective memory and the identity of the community, allowing for accelerated development in the disaster affect areas.

Arjun Koirala presented on the 'Framework for community based disaster risk management plan: Historic core of Tansen'. The paper provides an exemplary framework to establish a disaster risk management plan at municipal and neighbourhood level and integrating it into the municipal periodic planning. He nevertheless assents that any such proposal must be modified to the given context.

Vanicka Arora along with Himani Gaur provided a paper entitled 'Examining the role of historic temples in Garhwal, Uttarakhand in post-disaster response and recovery'. The historic temples revealed inherent resilience to the flash floods of June 2013. The temples served as refuge areas during the flash floods, and later become centres for various kinds of community led rehabilitation activities.

The paper 'A multilevel approach in planning risk management for built heritages located in high density urban areas – case study: Ali Qapu– a historical building in Naqsh-i-Janah World Cultural Heritage Site in Isfahan' was prepared by Fatemeh Mehdizadeh Saradj with Mehrdad Hejazi. After defining the heritage site in detail, the authors stress the need for a practical and procedural programme to coordinate and streamline conservation efforts to ensure efficiency and effectiveness. The components of such a procedure have been provided in the paper.



## Disaster risk reduction in the symposium discussions

A traditional society has learnt from disasters over many centuries. This knowledge must be understood, documented and in certain cases updated and improved for the present context.

The threats that were detected while visiting the monument zones provided an initially cursive assessment. Earthquakes are known to be the major hazard for the Kathmandu Valley and the impact of past incidents can still be identified. The list additionally included flood, landslide, erosion which impacted the natural context as well as the nearby buildings. The various forms of pollution affect the natural environment such as the river and forest as well as the heritage structures. Fire hazards can threaten the forest and buildings and within the temple complexes could be triggered by human activities or earthquakes. Human activities are major threats, with infrastructure development being one of the main concerns. For example, the construction of a road through a natural context of a heritage site can impact the ecosystem and the integrity of the sacred landscape.

Discussions led to proposing mitigation measures for the various hazards, by reducing vulnerability and developing

response mechanisms. For example, flood mitigation measures would include determining water tables and flood lines, determining fluctuation levels and impact, providing and ensuring sufficient drainage and possibly the recharging of ground water through strategically located wells.

The earthquake is a critical type of hazard which has had major effect on the region throughout history. The impact of major earthquakes is complex, extensive and mitigation measures would need to be dealt with a wide spectrum of issues. Mitigation measures for buildings would require regular assessment, maintenance, monitoring and possibly in some cases even retrofitting. At the same time, emergency evacuation plans should be prepared. Consideration would also be given to secondary hazards that can be induced by earthquakes such as fire and landslides. Accordingly, alternative solutions, responses and evacuation routes would need to be designed.

Fire mitigation would include a fire response that requires trained staff, a warning system and fire fighting equipment. General training to community, site managers and tourist guides would ensure early response. Fire fighters need to be trained to understand and deal with heritage buildings. A warning system would include the use of whistles and bells with different coding. Detection equipment should not be based on smoke where rituals require incense and



*Hanuman Dhoka Durbar Square*

oil lamps. This could be supplemented with watch towers or guards using strategic locations to observe the site. The equipment to fight fires must also be appropriate for the site which could include portable pumping systems to use water from locally available sources such as ponds, rivers and wells. The natural environment must also be maintained to minimize combustibles. This is especially important along escape routes. Electrical wiring must be checked to ensure they are not a source for sparks. In critical locations, cooler lighting should be used than incandescent bulbs. This would need to go hand in hand with awareness and prevention. An understanding of ignition sources can possibly hinder disasters. Pamphlets and signage should clearly indicate how to respond to disasters and show escape routes.

The impact of infrastructure development such as roads must, first of all, be planned in close consideration of geology and hydrology. The indirect impact of the road must also be considered, since it would initiate further development and change that could impact the natural and historic context.

To control the vulnerability of buildings, they need to be regularly assessed. This means that deterioration of materials needs to be controlled. Very often the vulnerability is linked to inadequacy of maintenance activities. It could also be linked to environmental factors such as the instability of the land, settlement or rising dampness.

Some specific observations were made by Goran Arun from Yildiz Technical University in Turkey concerning the vulnerability of the architectural heritage in the Kathmandu Valley. For example, in respect to the use of cement mortar on historic buildings which hinders movement leading to larger cracks. Different materials and structural systems, such as added floors with concrete slabs causes movement in different frequencies leading to collapse. Historic buildings can also be greatly impacted of neighbouring buildings that are taller or of different material. Rising humidity has impacted many buildings causing in-plane and out-of-plane displacement and the weakening of the mud mortar. The ground humidity must be controlled by ensuring water can flow away from the buildings. During earthquake the underground water rises. If this water is not discharged properly, it can cause liquefaction that might cause the building to sink in the ground.

Disaster risk can also be linked to pollution. For example, the water, air and soil pollution can lead to issues concerning hygiene and epidemics, impact the sensual integrity of the place as well as directly erode the site and its heritage. Waste management must be integrated into the overall management system of the heritage site.

## Disaster risk reduction and authenticity

Authenticity is greatly threatened by disaster risks. Cultural heritage is damaged or destroyed. There is often the tendency to restore or even reconstruct the most important structures in an effort to erase the traumatic events from ones memory and provide hope and motivation to the community. Under such circumstances, the understanding of authenticity and the discussion on its application is critical.

One of the points of discussion that was constantly raised was in respect to the possible loss of authenticity when trying to strengthen or mitigate the impact of disasters on a historic building or city neighbourhood. The intervention that is supposed to protect heritage might lead to the loss of authenticity. However, allowing heritage to be impacted by disaster with the understanding that it will be reconstructed or salvaged after the disaster accepts the loss of its material or structural authenticity. After a major disaster such as a great earthquake, the resources might not be sufficient to restore the entire heritage to its original state. In Kathmandu, even after eight decades, there are projects to reconstruct the original structures. This raises further questions on authenticity of reconstruction or could be considered a case of delayed “cyclical renewal” as per the wish of the contemporary community.



*Vulnerable structures, Itum Bahal, Kathmandu*



The traditional buildings provided solutions for safety while taking into account the resources available at the given time. These buildings must retain their identity, but consideration might need to be given to improve standard of living along with the seismic performance and possibly also the safety against other hazards such as fire. The tendency to build reinforced concrete structures that are more than five stories with the false perception of safety is a major concern. These buildings affect the authenticity of the settlement and threaten life and property in the event of collapse during an earthquake.

Fires can cause the complete loss of authenticity, in respect to both material as well as the construction system. Often the means used to putting out the fire, such as chemicals and water, impacts the original material as well as nearby artefacts. The impact of earthquakes can be different in the sense that, in many cases, a lot of the materials can be salvaged. This, however, depends on ensuring appropriate post disaster response.

To retain a certain resemblance of a traditional building or context, new buildings are constructed with a reinforced concrete frame structure and covered with an imitation façade of materials that are considered traditional. This tendency has led to the loss of large parts of traditional urban fabric and historic buildings.

## Disaster risk reduction and heritage management

Disaster risk reduction must be part of the management system of any heritage site. After a major disaster, many historical buildings and vernacular structures are lost during the response and recovery phase, as well as during the reconstruction phase. Bulldozers and heavy equipment come in to clear the area. New engineered shelters are set up for the homeless. Reconstruction begins as fast as possible with little understanding of the context and needs of the people. Many of these buildings are replaced by horrendously inappropriate structures in the name of earthquake safety. In Kathmandu, the state of the historic monuments and fabric in the aftermath of the 1934 earthquake, give some idea on the scale of the destruction and the lack of resources and preparedness to carry out restoration works.

The overall management system of the heritage site must incorporate elements of disaster risk management as an integral part of the entire system. Some of the components of such management activities would be documentation, maintenance and risk mapping. Inventories are needed that include detailed understanding of the structures along with the possible revival of expertise to ensure maintenance and possible restoration.



Earthquake risk mitigation with effective maintenance and monitoring systems should be established. The system must include procedures for the response and recovery phases to ensure that no further damage and destruction of cultural heritage takes place.

Coordination amongst all authorities responsible for disaster preparedness and response is critical. This would mean sharing information, documents, expertise as well as capacity. Bylaws and guidelines must be enforced. Special permits should not be allowed, since this becomes a means of corruption and bypassing the law. The cooperation must be between the various experts required to ensure the safety of the historic buildings and traditional urban neighbourhoods.

## Disaster risk reduction and community involvement

Disaster risk reduction is dependent on community participation. A resilient community will ensure preparedness for disasters and will safeguard the heritage which is important to them. This does not mean that only safety is prioritized which would only lead to a community living behind defensive walls in fear and anticipation of the next disaster. As Goto-san, a storyteller from the Minami Sanriku in the Tsunami devastated area of Japan, explained: “Nature will reclaim what we snatch from it. We cannot fight it. We must learn to live with nature.”

There needs to be a clear understanding of the different communities that are linked to a certain traditional neighbourhood or monument. There are frequently traditional linkages that define how the community prepares for and responds to disasters. Often the traditional knowledge and community structures are lost due to the changing societies or the influx of people with differing cultures. This requires the revival of traditional knowledge or introduction of appropriate approaches to deal with disasters.

There is much to learn from the resilience of traditional communities. This knowledge can be of technical nature, such as in respect to construction technology, the characteristics of materials, knowledge of the physical context and how all these are interlinked. This holistic understanding allows for informed judgments to be made. The understanding of how structures respond to certain locations with particular terrain and geology ensures that any new construction is positioned in safety.

The knowledge can, however, lie in the understanding of procedures, management and craftsmanship. The location of ponds within a settlement allows for water storage for various functions including emergency utilization in case of a fire. The organization of the community can be in groups

with specific functions, such as the Guthis of the Newari community in the Kathmandu Valley. These groups can be trained for early response to disasters. These community groups can also take on the role of ensuring the maintenance of structures and monitoring activities that might increase the vulnerability of their surroundings.

It is, however, often the case that the community might be misled with false information on the quality and safety of modern materials and structures. This usually comes with advertising the image of a modern lifestyle which is based on the marketing of commercial products and services. It must be ensured that the community is provided with accurate and truthful information based on adequate research. The safety of the community must be given high priority while ensuring that heritage is safeguarded.

## A practical understanding of disaster risk reduction

The approach of disaster risk reduction for cultural heritage still seems to be trying to establish a separate dedicated system to address this issue. There is a need to step back and contemplate on what we are working on and how effective it has been.

The discussions on disaster risk reduction during the symposium point in two important directions. The first is the need to understand the inherent knowledge that exists within the heritage on how it has managed to sustain and survive over time. This knowledge is an asset that can be employed not only to safeguard heritage, but the present society as a whole. The efforts to protect heritage from disaster risks should not itself threaten the authenticity and integrity of the heritage.

The second direction is the need to mainstream disaster risk reduction for cultural heritage into the overall system of governance. Whether heritage conservation in general or the more specific endeavour of addressing disaster risk specifically for heritage, all such efforts must become part of the overall governance system of the site. This requires awareness and promotion of the need to address heritage in disaster risk management plans. This also requires legal provisions to be put in place to ensure a certain level of adherence and compliance.

Probably one of the concerns in the present approach to dealing with disaster risk, like with various other sectors, is the trend towards specialization. The specialization of processes, expertise and discussions provides wonderful theoretical understanding, but little means of employing this in practical terms.



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## The Kathmandu statement 2013

### Revisiting the debate on safeguarding living urban heritage

More than 140 participants from 22 countries met in Kathmandu Valley, Nepal from 25 to 29 November, 2013 for 'Revisiting Kathmandu: Safeguarding Living Urban Heritage', an international symposium to consider the intertwined themes of authenticity, community involvement, heritage management and disaster risk reduction. Wide ranging discussions focused on the need to develop approaches to define, protect and sustain cultural heritage beyond monuments.

**Expressing gratitude for the warm welcome and commitment offered by the secretaries responsible for culture, local development and urban development ministries in Nepal;**

1. Recalling the 40th anniversary of the 1972 UNESCO World Heritage Convention and acknowledging the challenges in its universal implementation;
  2. Recognising the potential of the 2003 Convention for the Safeguarding of Intangible Cultural Heritage to broaden the notion of cultural heritage;
  3. Referring to the UNESCO Hangzhou Declaration and identifying the fundamental role of cultural heritage in sustainable development of societies and improving quality of life;
  4. Intending to contribute to the discussions marking the 50th anniversary of the Venice Charter and the 20th anniversary of the Nara Document on Authenticity;
  5. Considering the challenges of contextualising the implementation of conventions and charters in different parts of the world and the lack of common understanding and terminology regarding authenticity and management systems;
  6. Identifying the worldwide need for a shared understanding of living urban heritage through active and meaningful collaboration by communities, institutions and experts, as well as local, national and international government bodies;
  7. Understanding the opportunities offered by World Heritage properties to establish active and dynamic management systems to protect, sustain and promote living heritage particularly within rapidly urbanising contexts;
  8. Acknowledging the central role of living heritage in the overall development of urban areas of Nepal including its economic, social and cultural aspects;
  9. Recalling the 2011 UNESCO Recommendations on Historic Urban Landscapes;
- The Symposium as a result of its deliberations offers the following comments and recommendations to assist in identifying, managing and sustaining living heritage in urban areas; there is a need to:**
10. agree on a definition of living urban heritage. This needs to be inclusive and mindful of both the spirit of the place, the traditional customs, practices and practitioners that contribute to the importance of the place;
  11. contextualise and clarify the aspects of authenticity and/or integrity with respect to living urban heritage in order to develop appropriate management systems and tools to respond to the complexities of diverse cultures and communities;
  12. develop a shared vision and shared values in order to identify, engage and empower different communities and stakeholders in order to enable development of a shared management system. This could require specific legislation, training and support. There is a need to identify and reconcile interests and aspirations, competing and possibly conflicting concerns;
  13. recognise the need to collect and share information on traditional structural and construction systems in order to regain understanding about the performance of traditional constructions in withstanding natural disasters;
  14. recognise that traditional knowledge and systems offers important lessons for efficient management and disaster risk preparedness;
  15. develop and implement prevention and mitigation measures to reduce risks from natural and human induced threats including those from climate change and earthquakes among other, by incorporating measures that are sensitive to the authenticity of historic urban fabric. These should prioritise people's lives in case of disasters;
  16. establish systems for integrating the concepts of culture in sustainable development to enable informed decision making;

16. develop robust, standardised and flexible tools and measures to assess heritage impact and visual impact accompanied by training and capacity building programmes;
  17. need to further recommend that in current development tools such as the one being developed by the World Bank such as Post Disaster Needs Assessment (PDNA) should include intangible heritage including craftsmanship, as well as other heritage resources;
  18. encourage international assistance to support local management and disaster preparedness, for example structural surveys and assessments, in order to prepare conservation and management plans;
- In particular with regard to Kathmandu Valley in order to sustain living urban heritage, the Symposium recommends the following:**
19. develop detailed inventories as a tool for establishing values, shared understanding and conservation processes for effective management of living urban heritage;
  20. develop continuous inter-disciplinary collaboration to address issues of urban living heritage and ensure effective systems are in place at various levels for assessing and mitigating proposals for change supported by monitoring and enforcement systems;
  21. strongly urge effective dissemination of information, collaboration and pooling of resources wherever possible across central and local administrative bodies at each stage of the planning and implementation process;
  22. support and promote in traditional craftsmanship, craftspeople and practices and encourage development of training programmes to ensure continuation over generations;
  23. recognise that in Kathmandu Valley, at times of post disaster recovery, many temples and other heritage structures were reconstructed according to traditional knowledge and design using traditional craft techniques often based on oral traditions passed down over generations;
  24. contextualise and clarify the aspects of authenticity and/or integrity to understand that at least in case of Kathmandu Valley, the authenticity lies beyond the historicity of material fabric. It encompasses the traditional customs and practices that make up the essence of the living urban heritage;
  25. take into account the traditional system of Guthi in managing living urban heritage and enable the revival of the traditional management systems where appropriate;
  26. develop and implement prevention and mitigation measures to reduce risks from natural and human induced threats;
  27. welcomes the active collaboration of the three ministries in preparing and promoting this symposium and looks forward to their continuing collaboration in sustaining the living urban heritage of Nepal.

Kathmandu, 29 November 2013



*Hanuman Dhoka palace with Swayambhu in the back ground from the nine-storied palace tower*



## Commentary

### **Roland LIN Chih-Hung**

Programme Specialist  
World Heritage Centre  
UNESCO HQ, Paris

In planning the 'Revisiting Kathmandu' conference, the Nepal Chapter of the International Council on Monuments and Sites (ICOMOS), as well as several leading members of scientific committees of ICOMOS together with UNESCO Office in Kathmandu, sought to gather their international colleagues to reflect on heritage conservation through four specific themes: authenticity, heritage management, community involvement, and disaster risk reduction. This thought experiment also built on the on-going Historical Urban Landscape (HUL) initiative in the living setting of the Kathmandu Valley World Heritage property; the combination aimed to contribute to the discussions marking the 50th anniversary of the Venice Charter (1964) and the 20th anniversary of the Nara Document on Authenticity (1994).

ICOMOS Nepal and leading international colleagues considered the Kathmandu Valley to be a highly relevant venue to discuss the symposium's key issues for a variety of historical and place-specific reasons. The seminal Nara Document on Authenticity, adopted in 1994, has its origins in the controversy sparked by the restoration methods employed on the I Baha Bahi courtyard monastery in the Kathmandu Valley in 1992 and the discussions which followed at the World Heritage Committee. The same controversy led to a decade-long discussion on the property and finally to the inscription of Kathmandu Valley on the List of World Heritage in Danger in 2003. It would later be removed from the list in Danger in 2007 when the Integrated Management Plan was adopted by the Government of Nepal; that the same plan is now being reviewed to renew its focus on community involvement. And in the seismically-active Kathmandu Valley, where the next large earthquake is always looming, disaster risk reduction is being given high priority in the document too.

When I first heard several years back about the idea for this conference from my colleague and friend Kai Weise of ICOMOS Nepal, the scientific organizer of this symposium, I was, on the one hand, enthusiastic about this proactive endeavor, and, on the other hand, I worried about this ambitious idea. As a desk officer for UNESCO World Heritage Centre South Asian files, I understood that Kai and my UNESCO Kathmandu Office colleagues would face a huge financial burden as well as organizational challenges

with UNESCO's ongoing financial difficulties and the lack of a finalized constitution in Nepal. Surprisingly, and almost without third-party financing resources, they finally made a miracle, gathering more than 140 participants from 22 countries to meet in Kathmandu Valley, Nepal, from the 25 to the 29 November 2013 to hold wide-ranging discussions on the need to develop adequate approaches to define, protect, and sustain cultural heritage beyond monuments. The success of this endeavor has no doubt been due to the long-time partnerships and urban conservation network that Kai and leading ICOMOS experts have developed since the Kathmandu Valley safeguarding campaigns of the 1990s.

As stated in its Constitution, one of the most important missions of UNESCO, since its inception, has been to ensure the conservation, protection and promotion of the world's cultural heritage, a source of eternal values in the memory and history of humankind. Cultural heritage is the embodiment of people's religious, anthropological, and spatial world-view, and expresses the confluence of different cultures. Since 1960, UNESCO has launched a number of International Safeguarding Campaigns, first in Nubia in Upper Egypt, involving the spectacular transfer of the Abu Simbel monuments. The world's memory of this first great campaign remains with us. These international campaigns were supplemented by various safeguarding operations funded by UNESCO Member States and the international community, including the successful rescue of the monuments of Borobudur in Indonesia and Kathmandu Valley in Nepal, among others. Now, ICOMOS Nepal as well as leading members of the scientific committees of ICOMOS are currently helping the State Party of Nepal to undertake one of UNESCO's most important safeguarding initiatives at the World Heritage property of Kathmandu Valley, particularly in revisiting and updating the management system of the property to reflect its living urban heritage. UNESCO considers the current initiative for the conservation and sustainable management of Kathmandu Valley to contribute to promoting peace and fostering sustainable development, by demonstrating the possibility of building sustainable communities based on the recognition of cultural diversity and the appropriate use of the natural and cultural environment; a lesson for the people of Kathmandu and the whole of Nepal.

Although I was previously worried about the ambitious objectives of this symposium, the volume and breadth of the symposium's participants yielded profound discussions on the Venice Charter (1964), the Convention concerning the Protection of the World Cultural and Natural Heritage

(1972), the Nara Document on Authenticity (1994), the UNESCO Recommendations on Historic Urban Landscapes (2011), the Convention for the Safeguarding of the Intangible Cultural Heritage (2003), the Convention on the Protection and Promotion of the Diversity of Cultural Expressions (2005), and the UNESCO Hangzhou Declaration: Placing Culture at the Heart of Sustainable Development Policies (2013), which attempts to achieve the Millennium Development Goals (MDGs) by 2015 and has shaped a proposal to prominently place Culture for Development initiatives in the post-2015 Development Agenda.

I believe that the proceedings of the symposium will provide the public with a general knowledge of the three legal instruments that form the pillar of UNESCO's advocacy for the protection of cultural diversity in its different dimensions, namely: the Convention concerning the Protection of the World Cultural and Natural Heritage (1972), the Convention for the Safeguarding of the Intangible Cultural Heritage (2003), and the Convention on the Protection and Promotion of the Diversity of Cultural Expressions (2005). In accordance with the 1972 Convention, UNESCO assists States in preserving their urban heritage, as well as managing it for sustainable growth and development. In addition to yielding numerous benefits, the inclusion of a site on the World Heritage List may have some undesirable outcomes, owing, in particular, to inappropriate management of tourism and increased construction projects in cities. To guard against such consequences, UNESCO has assisted in the elaboration of international standards for successful

urban development, and helps facilitate consensus among the various stakeholders. The goal is to strike a fair balance between the constraints imposed by conservation of historic urban centers and the legitimate requirements of modernization without compromising cities' identities.

Finally, on behalf of the UNESCO World Heritage Centre, I wish to thank the organisers for this successful and promising international symposium: the Nepal Chapter of the International Council on Monuments and Sites (ICOMOS) and the UNESCO Office in Kathmandu. They additionally received invaluable assistance from the Department of Archaeology of Nepal and local bodies: Kathmandu Metropolitan City, Lalitpur Sub-Metropolitan City, Bhaktapur Municipality and Pashupati Area Development Trust the Ministries of Culture, Local Development and Urban Development in Nepal, as well as from the World Heritage Institute of Training and Research for the Asia and the Pacific Region (WHITRAP, Shanghai, China). The Kathmandu Statement adopted at the end of this symposium will be surely contributing to the discussions marking the 50th anniversary of the Venice Charter (1964) and the 20th anniversary of the Nara Document on Authenticity (1994). Most importantly, it will contribute to developing continuous inter-disciplinary collaboration in safeguarding Kathmandu Valley, thereby, ensuring that its urban living heritage is appropriately addressed and effective systems exist to ensure that the changes of development come gradually and thoughtfully.



*First day presentations in the Bahadur Shah Hall, Patan Durbar Square*



## Inaugural keynote speech

**Dr. Roland Silva**

Honorary President, ICOMOS International

### Short biodata

Roland Silva studied architecture and archaeology in London, Rome, Leiden and Moratuwa. He was Commissioner of Archaeology – Sri Lanka (1983 – 1991), Director General of the Central Cultural Fund - Sri Lanka (1980 – 1997), International President, ICOMOS, Paris, (1990 – 1999), President of the Ceylon Institute of Architects (1972 – 1973), President, ICOMOS Sri Lanka (1982 – 1991), President of the Council of Archaeologists (1996 – 1998) and Chancellor, University of Moratuwa, Sri Lanka (2008 – 2013). Roland Silva has received numerous national and international awards and has over 360 publications in the form of books and published or delivered academic articles.

### Inaugural keynote speech

We are, indeed, privileged to be able to address this gathering of experts at the foot of Mount Everest so that the message will reverberate to the ends of the earth. It is also from this blessed land that Lord Gautama Buddha spread the message of “Ahimsa” or “Universal Peace and Benevolence” to the world. We are here to jointly dream of the possible future goals of our “Sacred” organization of ICOMOS in saving the man-built treasures of humankind, for the serene joy and hallowed pleasure of generations yet unborn.

We used the word “Sacred” to the organization of ICOMOS not as an empty term of verbose terminology, but with the weight of full responsibility in the missionary task that ICOMOS has set itself and which we are now committed to continue. ICOMOS is, indeed, the guardian of the “Memory of Humankind”, the memory not only in brick and mortar but in the soul and spirit of such monuments and sites. This is what we are bound to preserve and safeguard for the future of humanity. It was Ruskin who minced no words in spelling out the philosophy of such a sacred body over a hundred and fifty years ago.

In this regard, let us recall the moment when he was offered the prestigious gold medal of the Royal Institute of Architects in Great Britain and he blankly denounced it calling the members of the institute, a band of “demolition experts”. In another of his merry criticisms, this time with the restorers of Pisa, when he said at length, perhaps the



© Department of Archaeology, Nepal

*Dr. Silva delivering his keynote speech at Patan Museum, 25 November 2013*

most appropriate statement of conservation philosophy ever uttered in covering the essence of “Culture”.

“Take proper care of your monuments and you will not need to restore them. A few sheets of lead put in time upon the roof, a few dead leaves and sticks swept in time out of a water-course, will save both roof and walls from ruin. Watch an old building with an anxious care, guard it as best you may, and at any cost from every influence of dilapidation.

Count its stones as you would jewels of a crown, set watches about it as if at the gates of a besieged city, bind it together with iron where it loosens, stay it with timber where it declines, do not care about the unsightliness of the aid, better a crutch than a lost limb; and do this tenderly, and reverently, and continually and many a generation will still be born and pass away beneath its shadow.

Its evil day must come at last; but let it come declaredly and openly, and let no dishonoring and false substitute deprive it of the funeral offices of memory. I must not leave the truth unstated, that it is again no question of expediency or feeling whether we shall preserve the buildings of past times or not. We have no right whatever to touch them. They are not ours. They belong partly to those who built them and partly to all the generations of mankind who are to follow us”.

However, it was indeed, the privilege of my teacher Professor Gazzolla, the Founder of ICOMOS, to gather the many apostles together from the four corners of the earth in Cracow in 1964, just a month short of fifty years to date, to bind this sacred body with the firm message of care for the monuments of humankind in order to save the “Memory of Humankind”.

Neither Ruskin nor Gazzolla ever limited the creativity of the mind-of-man to think or expand the vision or scope or the interpretations of the “Memory of Humankind”. It is, indeed, these facets of refinement that we wish this august assembly to carry once again to the distant limits of the good earth, namely, that the “Memory of Humankind” is more than mere monuments and sites; it covers the full track of man’s habitat; it covers the full range of man’s interventions; it covers the full expansion of time from Homosapiens to what happened yesterday.

We would be limiting this expansive vision of the “Memory of Humankind” if we were not to quote the thoughts of the Red Indian Chieftain of a hundred and sixty years before, for it were such philosophers that paved the way for our own thoughts and in some way for our proposals to transform into action. Here we quote the sublime thoughts of this grand old Red Indian Chieftain as he addressed the President of the United States of America in 1854. Please compare the close parallels in the thought process of the Red Indian with the Oxford Scholar, Ruskin, when it was proposed that the then American President was ready to buy the tribal lands.

“The Great Chief in Washington send word that he wishes to buy our land. How can you buy or sell the sky, the warmth of land? The idea is strange to us. If we do not own the freshness of the air and the sparkle of the water, how can you buy them? We are part of the earth and it is part of us. The perfumed flowers are our sisters, the deer, the horse the great eagle, these are our brothers. The rock crests, the juices in the meadows, the bony herd of pony, and man – all belong to the same family. The shining water that moves in the streams and rivers is not just water but the blood of our ancestors. If we sell our land, you must remember that it is sacred and that each ghostly reflection in the clear water of the lakes tells of events and memories in the life of my

people. The water’s murmur is the voice of my father’s father”.

These thoughts of the forefathers of ICOMOS should, with the expansion of time, set the right stage for more thought and for more action. Could we not divide the universe into two, the “man-explored-area”, and then the other? Could the “man-explored area” be seen once more in two distinct entities in space, and in depth, to cover the limits of the oceans and to include the deeper depths of the good earth? Could we not separate these carved out tracks of man’s exploits to “regular-habitats” and to the “areas-of-future-expansion”? Could not the “regular-habitats” be further classified to the “lived-environment” and the “nature-environment”? Such natural or “nature-environments” can be left to our brother colleagues in IUCN, who are well organized and well equipped to look after these, whether such properties be on land or under water.

Let us in ICOMOS concentrate on the “lived-environment”, not in the narrow sense of the “built-environment”, but in the broader context of the true “lived-environment”.

Let us view the “lived-environment” of the “farm-lands”, the “mined-depths”, the “aerial-surveillances”, the “tunneled-tracks”, the “motor-ways”, the “railway-lines”, the “playing-fields”, the “camping-sites”, the “cultural parks”, the “beach-resorts” for all these are the outer fringes of the “lived-environment” of man and more, and that from a yester-century, a yester-decade, a yester-year or to a yester-day, whichever is the time limit that people may consider to be the critical indices to stretch the “Memory of Humankind” to that which one wishes to conserve, for the sake of those yet unborn.

In this sweeping range of boundaries of man’s memory and the preservation limits of the “lived-environments” of humankind, let us not forget the thought of a 2,600 year old religious Leader of this very land, the Buddha, who when asked by his favorite disciple Ananda, about such persons to whom a stupa (funeral memorial) should be erected, he refused to answer, but when pressed for the third time, he said,

“Yes, for a king, and whoever reaches the leadership among men”, and added further, “if one built a stupa for all men, Where is the living going to live”.

There is the wisdom of 2,600 years before us, as conveyed to the disciples in conserving the memory of the “lived-environment” of humans and therefore, our very responsible and hallowed task is in being, “selective”.









■ **Part Two: Papers**

■ **Section A:  
Authenticity**

■ **Section B:  
Heritage  
Management**

■ **Section C:  
Community  
Involvement**

■ **Section D:  
Disaster Risk  
Reduction**





© K. Weise - Scene near Patan Durbar Square, Lalitpur

## Section A: Authenticity

# The Nara document on authenticity and the World Heritage Site of Kathmandu Valley

## The concept of authenticity in the context of the conservation of fragile material heritage

Kanefusa Masuda

### Short biodata

Mr Kanefusa Masuda born in 1944 in Japan is the Dr of Engineering, ICOMOS-ICORP member, and Conservation Architect. He served as the Government Official for Heritage Conservation from 1972-1999. He was the Professor at Tokyo University of Fine Arts and Research Center for Disaster Mitigation of Urban Cultural Heritage from 1999-2011. From 2006-2011 he was the UNESCO Chair Professor on Cultural Heritage and Risk Management. At present, he is a Research Fellow of JACAM (Japanese Association for Conservation of Architectural Monuments).

### Abstract

In the UNESCO World Heritage Convention system, the Operational Guidelines request that nominated properties meet the OUV (Outstanding Universal Value) criteria (Articles 77-78) and also the 'Authenticity and Integrity' conditions (Articles 79-86). It mentions, as a practical base for examining the authenticity, the 'Nara Document on Authenticity' in Annex 4. This document was created in 1994 at the Nara International Meeting in Japan, but its origin was in the ICOMOS International Wood Committee (IIWC) symposium, held at Kathmandu in November 1992. During the conservation site visits, a Japanese project at I Baha Bahi in Patan was criticized because the old brick walls were dismantled for seismic vulnerability reasons and were going to be reconstructed with new material. Professor Herb Stovel, Director General of ICOMOS, participating in this symposium, reported the result with powerful slides as a serious situation of this World Heritage site at the UNESCO World Heritage Committee held in Santa Fe, USA, just one month later. The Chairperson requested a Japanese government delegate to explain the situation in front of hundreds of experts from all over the world. I was the only unfortunate staff sent from Japan to this Committee and from here my long journey to the Nara meeting started. Herb was the person who created this scenario, but he passed away in 2012 without talking too much about this history. As an adorer of him, I hope to illustrate the process in a chronological way, and to think together of our future tasks to protect the living urban heritage sites like Kathmandu Valley.



## The development of the concept of authenticity in the World Heritage Convention

The term authenticity appeared for the first time in the context of international heritage conservation documents in the preamble of the Venice Charter in 1964, which stated our duty to hand historic monuments to future generations 'in the full richness of their authenticity' (Venice Charter, 1964). This requirement was further developed in the Operational Guidelines for the implementation of the 1972 World Heritage Convention. The Guidelines established that in order to be included in the World Heritage List, a cultural property must meet one or more of the six criteria of outstanding universal value as well as the test of authenticity in design, materials, workmanship and setting (Operational Guidelines, 1978). The application of the test of authenticity became a subject of controversy at the time of the inclusion of the reconstructed city of Warsaw in the World Heritage List in 1980.

Japan ratified the World Heritage Convention in 1992, the year that marked its 20th anniversary. On this occasion,

Professor Léon Pressouyre of Paris University elaborated a study on the present state and future of the Convention, where he already anticipated that the participation of Japan might lead to a change in the definition of authenticity. However, he mistakenly assumed that in Japan authenticity is not attached to material at all, since 'the oldest temples are periodically identically restored' (Pressouyre, 1996).

Also in November 1992, the ICOMOS International Wood Committee held an international symposium in the Kathmandu Valley. At that time, a Japanese cooperation project to repair the I Baha Bahi monastery in Patan was being carried out (Fig.1, Fig.2). The ICOMOS General Secretary Herb Stovel visited the works, where the decayed brick walls had just been dismantled, and presented them at the World Heritage Committee in Santa Fe the following month. The Japanese repair method was met with criticism. As the Japanese delegate at the meeting, I explained that the reconstruction and structural reinforcement of the brick

wall was a necessary measure in this case, since the building was going to be used as a primary education school and was located in a seismic area. However, the concerns regarding the Japanese conservation practices remained, fuelled by misconceptions about the periodical reconstruction of temples and the handling of historic materials. These questions were raised in an especially compromising moment, since at the time two Japanese sites, Horyu-ji Temple and Himeji Castle, were under the evaluation process for their inclusion in the World Heritage List.

In an effort to clarify the doubts about authenticity in the conservation of wooden buildings, the Japanese Government invited Stovel to visit various sites in 1993. He subsequently proposed the Japanese Government to organize an international expert's meeting to discuss the question of authenticity. This proposal would materialize in the 'Nara Conference on Authenticity,' which was held in November 1994. In anticipation of this conference, Professor Knut Einar Larsen authored 'Architectural Preservation in Japan,' the first work in English to introduce a comprehensive picture of the Japanese wooden architecture conservation

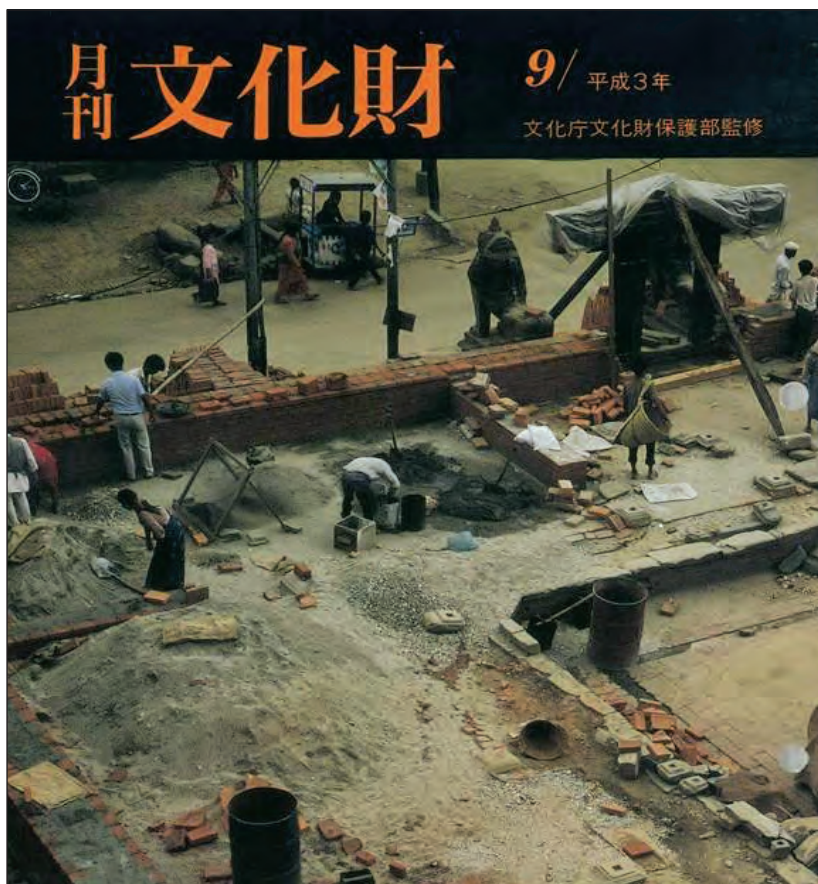


Figure 1: "I Baha Bahi brick wall reconstruction (published on *Gekkan Bunkazai*, monthly journal on Heritage Conservation edited by the Agency for Cultural Affairs, Japanese Government, Sep. 1991)"

practice (Larsen, 1994). The book was published just in time and distributed among the participants of the conference.

The discussions that took place in the Nara Conference crystallized in the Nara Document on Authenticity. The Nara Document stressed the need to acknowledge cultural diversity and intangible cultural values and broadened the concept of authenticity to include aspects like use, function, spirit and feeling to the traditional ones of design, material, workmanship and setting. It became a new global standard for the World Heritage Convention, and was included in the 2005 Operational Guidelines.

## The Venice Charter and the reconstruction of Warsaw

To understand why the Nara Document became necessary, we must first go back and analyze the background of the Venice Charter and the important developments that took place afterwards, such as the reconstruction of Warsaw.

The formulation of heritage conservation principles started in Western European countries. The first international document to address the conservation of monuments, the Madrid declaration of 1904, was followed by the Athens Charter in 1931 and the Venice Charter in 1964. These documents started as European policies, but became global standards when UNESCO adopted the World Heritage Convention in 1972.

The Venice Charter was in a way a development on the concepts already present in the Athens Charter. These principles emerged as the outcome of the long debate between the stylistic restoration carried out by Viollet-le-Duc in France in the 19th century and the conservation movement that developed as a reaction in England. Regarding restoration, the Venice Charter states that ‘the superimposed work of different periods’ must be respected (Article 11). This approach reflects an understanding of heritage buildings adapted to the culture of masonry, where different layers are added through history to form a monument we would not think of dismantling. Reconstruction of archaeological sites is ruled out in the Venice Charter, with the exception of anastylosis in which case the additional new material used for integration should be the least possible and always recognizable (Article 15).

On the other hand, the Venice Charter also enlarged the concept of monument to include urban and rural settings, thus acknowledging the urge to protect this fragile heritage.



Figure 2: Completed I Baba Babi conservation project

© K. Masuda

This movement had already started in France with the Malraux Law, passed in 1962.

The Venice Charter was adopted by ICOMOS during its Constitutional and General Assembly, which was hosted



Warszawa Rynek Starego Miasta



Figure 3: Reconstruction of Warsaw

© K. Masuda



in Krakow and Warsaw, Poland, in June 1965. Thus, the reconstruction of the historic city of Warsaw became a subject of debate at the same time the Venice Charter was being adopted. In August 1944, the Old Town Market Square of Warsaw and the surrounding town houses were deliberately destroyed by the Nazi occupation forces, following an uprising of the Christian population. Between 1945 and 1966, the town was identically reconstructed using measured drawings, prints, paintings and other documents, and the integrity of the urban whole was recovered (Fig.3). Even though we cannot talk of material authenticity here, Warsaw was inscribed in the World Heritage List in 1980. Two years later, the Dresden Declaration of 1982 acknowledged the reconstruction of monuments destroyed by war. It is

noteworthy, however, that the reconstruction of Warsaw was limited to the Christian part of the city. The Jewish quarter had also been destroyed by the Nazis following an uprising in 1943. While in the Christian areas there were some remains of the original buildings, the Jewish quarter was completely destroyed, and thus reconstruction after the war was impossible (Fig.4). Krakow, which also hosted the First General Assembly of ICOMOS, is close to the extermination camp of Auschwitz, where we have to face another question related to fragile heritage and material authenticity. Here, the problem is the preservation as a witness of history of a fragile modern material: the reinforced concrete buildings dynamited by the Nazis (Fig.5).

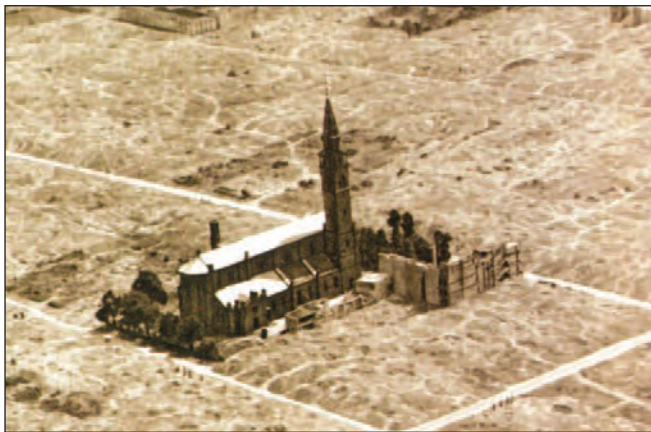


Figure 4: Destruction of the Jewish Quarter of Warsaw



Figure 5: Auschwitz extermination camp

## Authenticity in wood heritage conservation

So once again, where do Japan and the preservation of Wooden Heritage stand in the context of this European-born international conservation theory?

Viollet-le-Duc introduced to the European public a strange tradition in Asia; the reconstruction of temples. We do not know for sure, but maybe he was talking about Ise Shrine in Japan. Ise Shrine is a living tradition lasting for over 1300 years. Every 20 years, all its buildings are completely and identically reconstructed. The renewal of the material is a command from the gods. How can we identify the tradition of Ise? Is it possible to assimilate it to the European practices of restoration or reconstruction? In Ise, the authenticity of function, design, craftsmanship and setting are all kept, but not the material authenticity. The authenticity of craftsmanship is especially important in the preservation of wooden heritage, not only in the case of Ise Shrine. The preservation of the traditional carpentry is necessary to ensure the maintenance and repair of all wooden buildings (Fig.7).

But we have two different religious traditions in Japan that result in two different ways of perceiving heritage buildings. Ise Shrine represents the philosophy of Shinto animism, an ancient belief system whose roots can be traced to the culture of the South Pacific. Then, in the 7th century AD, Buddhism was brought from the continent. The understanding of heritage in Buddhism is best represented by Horyuji Temple.

The Buddhist Temple of Horyuji has survived for over 1300 years. The buildings we can see today are the same that were built by its founder, who is traditionally believed to be Prince Shotoku. Here, the material authenticity is zealously safeguarded. During the conservation works carried out in 1949, a fire started in the Kondo (Main Hall) of the temple, and the lower part was lost (Fig.8). Although the burnt material had to be replaced, the original materials are still preserved inside a reinforced concrete warehouse at the temple's premises. This effort to conserve the material authenticity was acknowledged during the evaluation process to inscribe Horyuji Temple in the World Heritage List.



Figure 6: Carpenters of Kyoto Prefectural Office

The modern conservation policy in Japan also emphasizes the conservation of authentic material. Thus, while Horyuji Temple is designated as a National Treasure, Ise Shrine has no designation as a cultural property.

Reconstruction of archaeological sites becomes also a question in the culture of wood. The rejection of reconstruction in the Venice Charter is coherent with a culture of stone ruins, which can survive for thousands of years without a roof. In the case of the Imperial Palace of Nara, a World Heritage Site, the wooden buildings were dismantled and moved to Kyoto, the new capital. This circumstance is unique to a culture of wooden buildings that can be dismantled and reassembled. As a way of protecting the site and improving its interpretation, several buildings have been rebuilt. However, this seems to contradict the mandate of the Venice Charter.

In Japan, the fragile nature of the material requires wooden historic buildings to be periodically repaired by dismantling and reassembling the structure. This kind of repair takes place once in a very long time, around two or three hundred years. Since 1930, detailed conservation reports are elaborated documenting the works in heritage buildings. To date, over 2000 of these reports have been published.

The question of the protection of the fragile wooden heritage is not exclusive to Japan; wooden historic buildings in Europe face similar challenges. A common understanding of wood heritage and its conservation principles is needed globally. While Western

European countries succeeded in the early 20th century to agree on a set of principles for the conservation of their stone culture heritage, the countries of East Asia have yet to reach such an agreement. The first step towards establishing common principles is an adequate communication and exchange of conservation practices and methodologies.

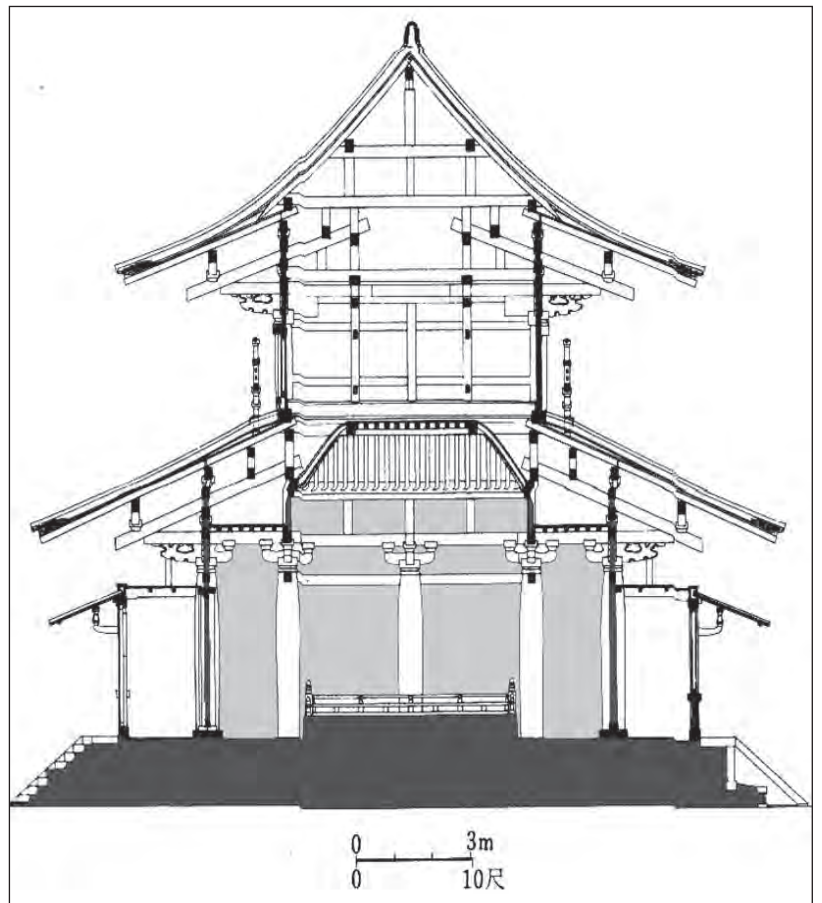


Figure 7: Horyuji Kondo (burnt part shown in gray)



## Authenticity and post disaster reconstruction

The question of the authenticity of the reconstructed city of Warsaw, which was raised at the time of its inscription in the world Heritage List in 1980, is closely related to the problem of post disaster reconstruction.

If we overlay a map of sites on the World Heritage List and epicentres of earthquakes of magnitude above 4.7 (Fig. 8) (Ritsumeikan, 2008), we understand that many World Heritage Sites are located on dangerous places, such as Japan, Greece, Italy, Peru, India and also Nepal. If we want to preserve and pass on this heritage to the future generations, we cannot evade the question of reconstruction. The essential condition for post disaster reconstruction is a complete and detailed documentation. We need to prepare for natural disasters also by creating thorough records of our heritage.

Antigua, a World Heritage city in Guatemala, is an example of a heritage site located in a seismic area. Since the 18th century, we can follow a repetitive cycle of destruction by earthquakes and reconstructions (Table 1). The Cathedral of Antigua was reconstructed after the 1678 earthquake but collapsed again in the 1773 earthquake. After another earthquake in 1776, a team from ICROM, which included Sir Bernard Feilden and Jukka Jokilehto, visited Antigua and published the book 'Between Two Earthquakes' (Feilden, 1987). The site was consolidated and restored and inscribed in the World Heritage List in 1979.

In Japan, the Great Kobe Earthquake of 1995 (M 7.3) caused 6600 deaths. About 10% that totals 559 deaths were caused by

some 285 fires that followed the earthquake. The House No. 15 in the former foreign concession of Kobe is an example

**Table 1: Antigua - record of destruction and reconstruction**

1773	- mega earthquake, Antigua destroyed, capital moved
1883	- major building repair works
a1921	- M 7.5 big earthquake
1943	- 400 Anniversary of Antiguacity, urban plan
1945	- Designation as national heritage of Antigua city
1950	- M7.3 big earthquake
1953	- M7.4 big earthquake
1965	- Designated as historic heritage city by the Academy
1969	- Protection Law for the historic Antigua
1972	- Guatemala Culture Agency established, Antigua Office
1976	- M7.5 big earthquake
1979	- Antigua declared World Heritage by UNESCO

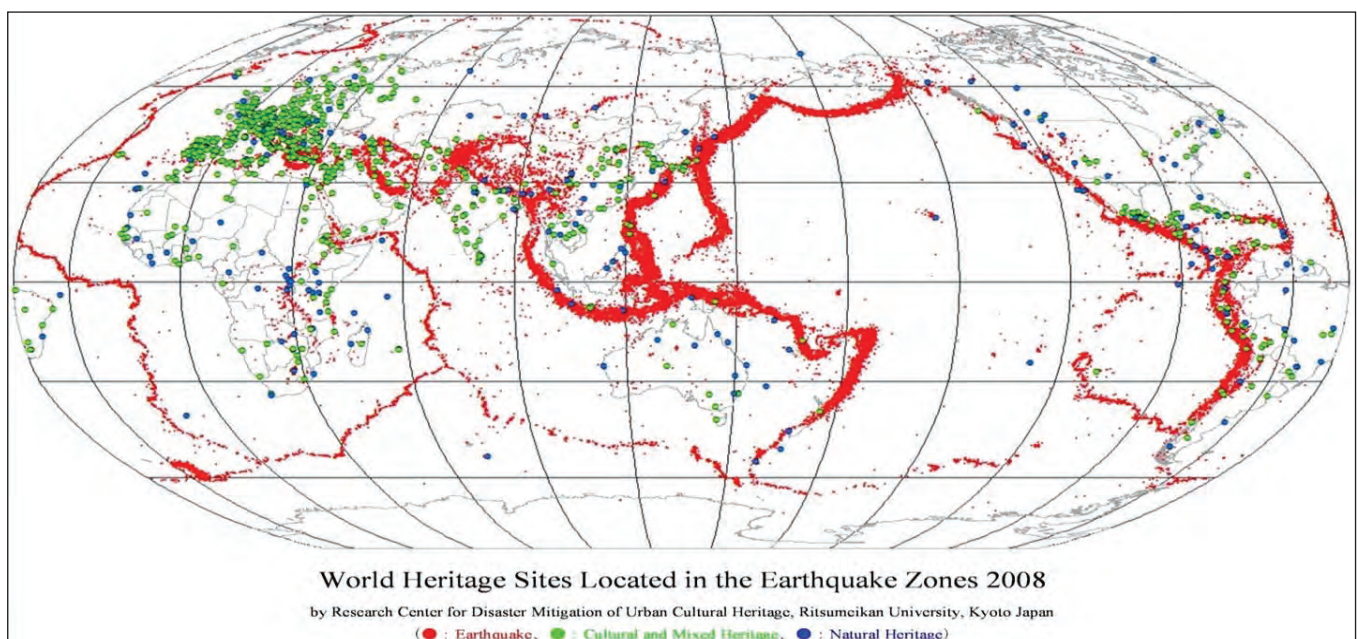


Figure 8: 2008 distribution of epicenters of earthquakes above magnitude 4.7, the green dots are World Cultural Heritage and the blue dots are World Natural Heritage.

of recovery of a heritage building after the earthquake. The building was erected in 1880 as an American Consulate Office with timber structure and brick wall construction method typical of the American East Coast. It was not well suited to resist a major earthquake and collapsed completely. Luckily, no one was killed because the building was used as a restaurant and the earthquake happened early in the morning (Fig. 9). The building was reconstructed employing 75% of original wooden members in the original places, all recovered from the collapsed site. A seismic base isolation system and additional steel and RC structural reinforcements were implemented to reach the contemporary safety standards of the building code (Fig. 10). Through this conservation work, it was possible to preserve the building in the full richness of its authenticity and at the same time keep its use as a restaurant (Fig. 11).

The protection of historic brick buildings against earthquakes is a major challenge for Japan. Through years, a reinforcing method of brick structures has been developed.

In the Former Imperial Guard Headquarters (Tokyo, built in 1910), an inner reinforced concrete wall was introduced to support the brick walls and allow the building to be used as a National Museum. However, reinforced concrete has a durability of seventy to eighty years, after which it will be necessary to replace the reinforcing walls. As the concrete walls are fixed to the original brick walls, in the next repair it will not be possible to retain the material authenticity. A reversible reinforcing method has to be developed.

The Doshisha Mission Schools Teacher's Office (Kyoto, built in 1884) was reinforced by a steel structure. The steel structure is fixed to the brick walls only at certain points, allowing for an easy replacement of the reinforcements without disturbing the original fabric. Thus, material authenticity can be preserved also in the next repair.

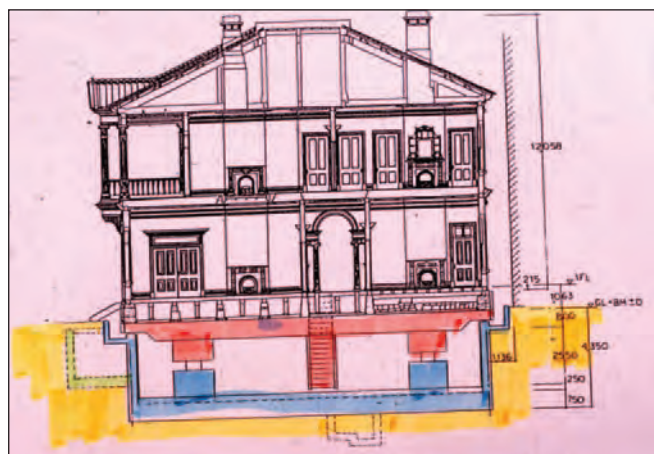


Figure 10: House No 15 - seismic base isolation



Figure 9: House No 15 after Kobe earthquake

The Yamagata Prefectural Hall (Yamagata, built in 1916) was repaired in 1987, and steel buttresses were implemented to support the brick walls. A minimum reversible intervention approach was adopted in order to secure the authenticity of the material and the interior space of the wooden vault.

The repair of I Baha Bahi monastery in Patan was carried out by a Japanese cooperation project in 1990. By that time, techniques to preserve brick walls in historic buildings had already been developed in Japan. However, in Patan this kind of reinforcement could not be implemented.



Figure 11: House No 15 after post-disaster recovery work



## Authenticity of living heritage

An example of a living cultural landscape in Japan is the mountain village of Shirakawa, a site inscribed in the World Heritage List in 1995 (Fig. 12). The farmhouses in Shirakawa have thatched roofs that require maintenance and periodic re-roofing. Roofing the farmhouses with thatch is a cooperative work, a living tradition that goes on every spring season in Shirakawa (Fig. 13). The authenticity of the tradition is retained but it is becoming increasingly difficult to sustain it with the inhabitants of the village alone. Now younger volunteers from cities come to take part in this work. The thatched roofs are very vulnerable to fires, and the village is equipped with water cannons to protect them (Fig. 14). In this way, tradition can survive with the help of modernization.

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Figure 12: Shirakawa mountain village

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Figure 13: Roof thatching cooperative work at Shirakawa

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Figure 14: Water canon drill in Shirakawa

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# Issues on authenticity and integrity in the heritage discussion

## Analyzing the experiences in Japan bridging tangible and intangible heritage

Nobuko Inaba

### Short biodata

Trained as a Conservation Architect and Architectural Historian, Dr Inaba received her doctoral degree from Tokyo Institute of Technology. She gained her practical knowledge and experience in Heritage Policy Development and Management while serving in the Japanese government's Agency for Cultural Affairs and its affiliated research institute from 1991 to 2008. She also worked for ICCROM seconded by Japan from 2000 to 2002. In April 2008 she took up her current position as Professor of Heritage Theory and Policy Studies and continuing her advisory role to the Japanese central and local authorities on heritage matters.

### Abstract

The discussion on authenticity started from the works of the World Heritage Convention by examining the issues regarding the 'test of authenticity' then required for the evaluation of cultural sites in Nara, Japan in November 1994. The 'test of authenticity' was only for cultural sites at that time and as for natural sites the 'condition of integrity' was set. With the merger of the two sets of criteria for cultural and natural sites, they have changed to be applied to both, written as the 'conditions of integrity and/or authenticity.' Very interestingly it was also decided that for cultural sites, the conditions of both authenticity and integrity are applied but for natural sites only the condition of integrity is applied. This presentation examines this process and considers the necessary philosophical bases for further discussions on authenticity and integrity as the qualifying factors. This is done by referring to experiences in Japan regarding the conditions set for both tangible and intangible heritages.



## Introduction

In 1964, Venice Charter was formulated. Next year is the fiftieth anniversary of the Venice Charter. The ICOMOS General Conference will take place in Firenze and all over the world people are preparing for it. What are we going to do for the fiftieth anniversary of the Venice Charter? In 1994, the Nara Document on Authenticity was formulated. Next year is the twentieth anniversary. The Japanese government is preparing and arranging a meeting to contribute to the further development of this heritage concept.

A decade after the Nara Conference on Authenticity 2004, the Japanese Government hosted a meeting together with UNESCO. At that time a document was prepared, the Yamato Declaration on Integrated Approaches for Safeguarding Tangible and Intangible Heritage on request by the then Director General (DG) of UNESCO Mr. Masura Kohijuro. In 2003 a new convention on safeguarding

intangible cultural heritage was established. The DG asked the Japanese Government to arrange something to bridge the gap between tangible and intangible heritage. So a meeting was held and the Yamamoto Declaration was prepared. Probably it was too early for experts of intangible and tangible heritage to discuss about authenticity and heritage concept. But it was an important step to bring these experts together for discussions.

My paper is on 'Issues on authenticity and integrity in the heritage discussion - analyzing the experiences in Japan bridging tangible and intangible heritage.' Briefly talking about Nara document and authenticity and history of the authenticity concept and furthermore adding to Mr Masuda's presentation, I would like to discuss how the Japanese developed the concept of intangible heritage with case studies of intangible heritage in Japan.

## Authenticity and integrity in the World Heritage context

In 1977, when the first version of the Operational Guidelines for the Implementation of the World Heritage Convention was prepared, the Test of Authenticity applied for Cultural Heritage while, Condition of Integrity applied for Natural Heritage.

Mr Herb Stovel worked with Mr Masuda for the preparation of the Nara Conference and brought up the discussions on authenticity and integrity. He had written numerous articles on this topic. He wrote the first IOCMOS and IUCN while preparing the Operational Guidelines where there was only one set of guidelines for integrity. This was the North American understanding of integrity, which includes the authenticity concept. However while preparing the first version of the Operational Guidelines, the other ICOMOS members, mainly from Europe, introduced the test of authenticity. Hence, integrity was replaced by authenticity. That was the starting point when the World Heritage Convention started to think about authenticity. Before that, the qualifying condition for both natural and cultural sites was integrity.

The texts in various versions of the Operational Guidelines for the Implementation of the World Heritage Convention changed over the years. The first text for the test of

authenticity is found in the 1977 and 1978 versions (article 9) which reads, 'In addition the property should meet the test of authenticity in design, materials, workmanship and setting; authenticity does not limit consideration to original form and structure but includes all subsequent modifications and additions, over the course of time, which in themselves possess artistic or historical values.' The first part of the statement is derived from the North American understanding, while the second part of the statement is reformulated from the Venice Charter.

The 1980 to 2005 versions (article 21-b) reads, 'Meet the test of authenticity in design, materials, workmanship or setting (the Committee stressed that reconstruction is only acceptable if it is carried out on the basis of complete and detailed documentation on the original and to no extent on conjecture).'

In 2005, integrity and authenticity were merged. So the version which is still currently valid, Article 78 reads, 'To be deemed of outstanding universal value, a property must also meet the conditions of integrity and/or authenticity and must have an adequate protection and management system to ensure it's safeguarding.' This was followed by the text under Authenticity, Article 79 which reads, 'Properties

nominated under criteria (i) to (vi) must meet the conditions of authenticity. Annex 4 which includes the Nara Document on Authenticity, provides a practical basis for examining the authenticity of such properties and is summarized below. Actually Nara Document on Authenticity was prepared at that time when integrity for natural sites and authenticity for cultural sites, but when integrity and authenticity both started to be applied for cultural heritage, then the Nara Document was introduced. Since then, there is confusion between integrity and authenticity. Mr Herb Stovel was worried about this and wrote extensively on this issue and what should be done in future. Actually this is only for the World Heritage Convention and the nomination preparation problems. However, this is one issue that we need to discuss and sort in the World Heritage Convention. Even for the practical world, this is an issue.

#### Texts by Mr Herb Stovel

2007	Effective use of authenticity and integrity as world heritage qualifying conditions. City & Time 2 (3): 3. [online] URL: <a href="http://www.ct.ceci-br.org">http://www.ct.ceci-br.org</a>
2008	Origins and influence of the Nara document on Authenticity APT Bulletin, Vol. 39, No. 2/3 (2008), pp. 9-17
2010 – 2011	Integrity Paper Draft Integrity Chronologically Draft Circulated at International World Heritage Expert Meeting on Integrity for Cultural Heritage, 12 to 15 March 2012, AI Ain, United Arab Emirates

Mr Herb Stovel wrote in one of his articles, ‘Authenticity is the ability to convey significance while integrity is the ability to secure and/or sustain values.’ The latter is for management while the former statement is a value issue. However, he wrote suggestions on how to rewrite, reconstruct, how to destroy the current set of authenticity and integrity issues to create understandable set for cultural heritage. However his suggestions have not been incorporated.

The Nara Document of Authenticity took time to be established. The 90s was an important decade because in 1992 the Cultural Landscape Category, a category located between culture and nature was introduced. In June 1994, there was the Global Strategy: Expert meeting on the ‘Global strategy’ and thematic studies for the representative World Heritage List. This meeting expanded the concept of heritage, not only for the classical monuments and buildings, but also expanded to landscapes where people live and others anthropological approach to the heritage sites. In the same year there was the Nara Conference on Authenticity where expanding the heritage concept was discussed. In 1998, the World Heritage Global Strategy Natural and Cultural Heritage Expert Meeting took place in Amsterdam where combining nature and culture in the World Heritage convention was discussed.

Then in 2003 the UNESCO Convention for the Safeguarding of the Intangible Cultural Heritage was introduced. In 2005, finally there was the merger of the two sets of criteria for cultural and natural sites. However, the use of integrity and authenticity was not clearly merged and was left for further discussions.



Figure 1: Shirakawa village in winter



## Preparation for the Nara conference on authenticity

Leon Pressouyre's book 'The World Heritage Convention - twenty years later' was published in 1992. An excerpt from this book states, 'The constraints of the criterion of authenticity, sensitive in the European realm, are even more unwieldy in other regions of the world. In Japan, the oldest temples are periodically identically restored, authenticity being essentially attached to function, subsidiary to form, but by no means to material. This ceases to be academic with Japan having ratified the convention on 30 June 1992.' This was the reason why Japan hosted the meeting on authenticity. It was held after Mr Masuda returned from attending the World Heritage Committee meeting in Santa Fe in United States.

A participant at the Nara Conference on Authenticity in 1994 asked me whether or not a word equivalent to 'authenticity' exists in the Japanese language. Pointing at the banner in the conference hall, he asked me how the word 'authenticity' was translated in Japanese. While he asked this question he

may have questioned himself whether or not the concept of authenticity exists in Japan or in other Asian countries and, deeply pondering upon the history of the concept of authenticity in Europe, long before the modern concepts of conservation were created.

The understanding by foreign experts varies from a very primitive misunderstanding that a ritual ceremony of the Japanese indigenous religion 'Shinto' which entirely replaces the buildings in the precinct with new ones every twenty years, to a more correct understanding that extremely deteriorated buildings are dismantled and reassembled again, during the course of which the replacement of original materials is inevitable and restorations to the former stage of design occur.

Under the leadership of Mr Masuda, we had a series of meetings on how to prepare for the meeting. I prepared a presentation on how we approach conservation and



Figure 2: Buddhist temple of Horyuji, late 7C



differentiating conservation from ritual ceremony scientifically and objectively. It is not a matter of west and east, wood and stone but we approach conservation scientifically and objectively.

At the Horyuji Temple, most of the materials date back to the seventh century. The Ise Jingu Shrine has been reconstructed almost after every twenty years; of course there have been times when it was not done. The first temple has material authenticity while the second temple has design authenticity. Both temples are opposite to each other while they are our heritage. Both are authentic: material authentic or functional or design authentic. This explains the misunderstanding of twenty years reconstruction that is a ritual ceremony, which, in, itself is heritage. However, it is not our concept of conservation.

There was a big tide for cultural diversity and heritage diversity, which means accepting Ise Shrine as one heritage type. At the time, the key word was cultural diversity and heritage diversity. We also discussed about what authenticity is: authenticity as a qualifying concept concerning values.

The question arose whether both authenticity and integrity are qualifying concepts concerning value. Both are concerned with how value is transmitted, understood, judged and assessed. We need something in between, some medium that is authenticity and/or integrity. That is also something we have to pursue for the new expanded concept of heritage.

#### Activities linked to Nara Document

1992	Introduction of Cultural Landscape Category
1992	Global Strategy: Expert meeting on the 'Global strategy' and thematic studies for a representative World Heritage List
1994	Nara Conference on Authenticity
1998	Amsterdam: World Heritage Global Strategy Natural and Cultural Heritage Expert Meeting
2003	UNESCO Convention for the Safeguarding of the Intangible Cultural Heritage
2005	Merger of the two sets of criteria for cultural and natural sites



Figure 3: The Ise Jingu (Shinto shrine), during the 60th Shikinen Sengu in 1973. The 1st Shikinen Sengu of Naiku in 690; Geku in 692



## Case study: Concepts of authenticity for intangible heritage experiences in Japan

In Japan the concept of intangible heritage was introduced through the 1950 law. This is the chronology of our Japanese law. In 1950, just after the Second World War, we introduced intangible heritage concept.

### History of the Japanese legal system for the protection of cultural heritage

1871	Proclamation by the Imperial Cabinet for the Protection of Antiquities
1897	The Ancient Shrines and Temples Preservation Law
1919	The Law for Historic Sites, Places of Scenic Beauty and Natural Monuments
1929	The National Treasures Preservation Law
1933	The Law Concerning the Preservation of Important Objects of Art, etc.
1950	The Law for the Protection of Cultural Properties
	Introduction of new categories of cultural properties: Intangible cultural properties / Folk-cultural properties / Unexcavated archaeological cultural properties

### Types of heritage

Tangible cultural properties: objects	1871
Tangible cultural properties: buildings and structures	1897
Historic sites (shell mounds, ancient tombs, site of palaces, sites of forts and castles, monumental dwelling houses, etc.)	1919
Places of scenic beauty (cultural landscape)	1919
Natural monuments (natural sites and living species)	1919
Intangible cultural properties (artistry and skills)	1950, 1954
Tangible folk-cultural properties	1950, 1954
Intangible folk-cultural properties	1954
Unexcavated archaeological sites	1954
Preservation districts (historic cities, towns and villages)	1975
Cultural Landscape	2004
Traditional techniques for conservation of cultural properties	1975

### Three categories of heritage:

1. Intangible cultural properties which possess a high historical and/or artistic value for Japan
2. Folk-cultural properties essential to understand the daily life of the Japanese which are indispensable for the understanding of changes in the modes of life of the Japanese people
3. Traditional techniques or skills which are indispensable for the conservation of cultural properties and which require positive measures for their preservation.

Intangible cultural properties are divided into two areas in the Japanese protection system; performing arts and craft techniques. The different sets of criteria are set up and the protection systems are developed accordingly.

The protection of intangible heritage in the Japanese system is described briefly. Since intangible cultural properties do not have any tangible content, the property requires the existence of human beings to embody such arts and skills. At the time of the designation of such intangible cultural properties, the people or groups, which possess such skills individually or collectively, are also identified as the essential components in parallel with the designation. These designations and recognitions are inseparable and if the people or groups that possess such skills die or become unable to perform such skills the designations are annulled.



Figure 4: A row of "Torii", the gateway to a Shinto Shrine

The individuals identified are popularly known to the public as ‘living national treasures’ (this naming is not an official legal term but was adopted by the general public after a journalist introduced this term at the time the recognition category was announced). For such performing arts as Kabuki and Noh, as well as for high-level traditional arts such as pottery making and weaving, the individuals are artists who are widely recognized, and their status are highly appreciated by the Japanese people together with the arts that these individuals produce.

#### Authenticity of intangible value

Use and function,  
Traditions and techniques,  
Spirit and feeling

<b>Recognition of people or groups:</b>	
1.	Individual recognition
2.	Collective recognition for those intangible properties that are made up of more than two people embodying such skills collectively. The collective recognitions identify individual names, however they are required to have belonged to the group identified at the time of designation. Currently the collective recognitions are identified only for the performing arts.
3.	Group recognition for those intangible properties for which a number of people possess and transmit such skills, and in which individuality is weak or lacking. The group recognition is similar to the collective recognition as both recognize a group for each designation, however in the case of group recognitions only the representatives are identified without the individual names of others in the group. Currently the group recognition are found only for craft techniques.

A question may arise in regard to the legal and administrative processes for heritage conservation. As long as the intangible cultural properties are designated by the authorities and have artistic and historical value as cultural heritage, don't we have to have clear indicators about how such value can be identified, protected, and passed on? We may call such an indicator the ‘authenticity’ of intangible heritage as the Nara Document on Authenticity defines authenticity as ‘the essential qualifying factor concerning value.’

It is difficult to find clear historical records of discussions about authenticity issues in this field that occurred among professionals.

However, in the case of collective recognition for performing arts and group recognition for craft techniques in which such skills are possessed and transmitted conjointly, at the time of designation the conditions of designation are identified

by the authorities. I would like to take up those conditions for the discussion on authenticity as they can be considered as the conditions of value assessment/authenticity issues as defined in the Japanese intangible heritage protection system.

When the Agency for Cultural Affairs designate intangible cultural heritage they set conditions for designation at the same time of inscription. The bearers or performers should follow these conditions to keep the value of the intangible heritage.

#### Kabuki performing arts Conditions of designation:

1. Performers: Most of the performers who play important component roles of performance programs should be members of the Organization for the Preservation of Kabuki
2. Programs: Programs should be traditional or conform to the traditional programmes
3. Acting and directing: Acting and directing should be based on the traditional acting and directing form
4. By the stylized acting and the manner of delivering one's lines
5. By Onnagata (female-impersonators)
6. By the established form ‘joshiki’ of the traditional kabuki music
7. By the established form of ‘hyoshigi’ and ‘tsuke’ (wooden clappers and clapping techniques)
8. By the established form of costumes (costumes, wigs and make-up)
9. By the established form of stage sets and props
10. Principally by the established form of stage devices

Onta-Yaki, is a special craft technique for pottery. The conditions for designation are:

1. The pottery clay should be prepared by milling the original soil collected from the local Onta-Sarayama area, using water-powered piston-crusher mills and water-sifting techniques, then dried by traditional methods.
2. The pottery throwing should be done using traditional kick-wheels, and large-sized pots should be made using the techniques of ‘sokouchi’, ‘neritsuke’, and ‘koshitsugi’
3. The pattern application should follow the locally inherited methods of ‘hakeme’, ‘tobiganna’, ‘kushime’, ‘yubigaki’, ‘uchigake’, ‘nagashikake’, etc.
4. The glazing should be ‘furashi’ (transparent), ‘jigusuri’ (brown), ‘seiji’ (green), ‘ususeiji’ (light green), ‘kokuyu’ (black), or ‘doke’ (spotted brown). The materials for the glazes should be wood ash, straw ash, feldspar, copper, granite, or ‘sabi-ishi’ stone. The glazes should be prepared in the inherited traditional method, and the



application of the glaze should be done without bisque firing, following the ‘namagake’ tradition.

5. The kiln should be the family’s inherited ‘nabori-gama’ (wood-fired climbing kiln)
6. The characteristics of the traditional Onta-Yaki style should be maintained

The performing arts use one-word established form. What is established form? What is traditional programme? What are the words tradition and established form? It is not clear what this means. However for the craft techniques it is clear. What type of glazing to use? What kind of materials to use? But for the performing arts you are talking about tradition and established form. What should be done for this intangible heritage? What is the difference between craft techniques and performing arts?

Are these conditions of designation good examples that can be taken for our authenticity discussion? Interestingly, these conditions are set only for collective recognition and group recognition. In the case of the recognition of individuals both in the performing arts or craft techniques fields there is no clear indication of the conditions to be followed for protection. This may be reflected, for example, in the fact that when an individual performer dies, his art dies with him, and the designation is annulled. But in the case of an organization composed of members, there are always members who remain and new members who join the group, making it possible to pass on the skills to others and thereby justifying the heritage protection conditions administratively.

Are quality control or authenticity issues not applicable for intangible heritage in the case of individual artists, even though they are still material results that could theoretically

qualify as heritage? Aren’t there different words other than ‘traditional’ or ‘joshiki’ (established form) that can enable us to describe the conditions in a more detailed way for the intangible aspect of properties? Are these conditions intended only for administrative requirements for the authorities for the purpose of the implementation of law? Or is it just that heritage professionals have simply not dealt with these questions?

What are the qualifying functions? One of the famous Kyugen performing arts national treasure said, ‘I developed my own style following my nature as an artist but I taught my son only what my father taught me.’ If you are not only transmitting tradition, but also a part of heritage, we are responsible for analysing the value and how to develop them for the future generation.

“The traditional way of life cannot be kept alive solely as a matter of mind or spirit . We must keep the material shape of life including clothing, utensils, house design and other aspects of material expression.” A housewife from Kyoto shared this.

The discussion on the value of cultural heritage is not a matter of ‘material vs. spirit.’ Neither is it a matter of a European approach vs. a non-European approach. After the efforts of more than a century to establish the cultural heritage protection profession, we are at a turning point, questioning just what conservation is.

In 2004, ten years after the Nara Conference on Authenticity, in the same city of Nara, another international conference was held to discuss the issue of the integration of tangible and intangible expressions of heritage (International Conference on the Safeguarding of Tangible and Intangible Heritage, 20-23 October 2004). At that conference the professionals in the intangible heritage field concluded ‘Considering that intangible cultural heritage is constantly re-created, the term ‘authenticity’ as applied to tangible cultural heritage is not relevant when identifying and safeguarding intangible cultural heritage.’

In the 2004 meeting, the experts on tangible and intangible heritage got together. At the time, the intangible heritage experts rejected the word ‘authenticity.’ However recently I met a person who is working in the intangible heritage field. She conducted a workshop in Mongolia where the special way of singing was copied by young people without learning the techniques. She shared that traditional techniques have to be taught to the youth. However she did not use the word authenticity. My question is, what is the suitable word to be used when young people copy the singing style just by sound and not by using the traditional techniques? What does that mean?



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Figure 6: A “Matsuri” festival with men carrying the “Mikoshi” chariot

# Heritage in all, heritage for all: Integrity overrides authenticity

Shyam Sunder Kawan

## Short biodata

Shyam Sunder Kawan was awarded an Asian Development Bank Scholarship for pursuing M.Sc. in Urban Planning at University of Hong Kong. He was influenced by urban conservation and did his dissertation on 'Integration of Spatial Development of Cultural Heritage Zone and New Development Area; A Study of Bhaktapur, a Historic Town in Nepal.' He is an assistant professor at Nepal Engineering College. He is interested in urban design, built environment and heritage conservation. He is an executive at Apt Design Consultancy, and a member of Society of Nepalese Architects, Nepal Engineering Council and Nepal Engineers' Association.

## Abstract

Our historic cities are developing rapidly, undermining the urban morphological character. Their legacy of sustained urban life and environment with unique socio-cultural, ecological and communal characters has gradually faded from the people's mind. This has led to unreliable and ineffective heritage concerns and conservation approaches. Have gone through changes, the ancient city has lost its influence on the overall city growth is itself changing faster. Focus has been given on the relationship between the eroding urban typologies and the development contexts. Simultaneously this paper presents the historic city as a historic urban landscape which could be understood as a collection of heritage resources. This would allow a new approach, moving away from an outdated conservation mandate established decades ago. Furthermore, the paper argues that the authenticity of a city remains only when aspects of integrity and reconciliation measures are incorporated into the conventional city planning approaches. For better understanding, a study area at the eastern edge of the historic city of Bhaktapur has been selected to embrace both traditional and new development area along with cultural heritage resources. Though not complete, this paper discusses various issues in the peripheral areas of the historic city. It highlights strategies for urban spatial continuity in the local context, an integrated approach of urban conservation at the city level and broadened heritage concepts at national level.



## Background

The 31st session of the World Heritage Committee - on its review of 84 state of conservation reports of the world heritage sites that were submitted, discovered that 32 of the sites threatened due to potential harmful impacts. It also noted that 39% cultural world heritage sites were already put in the increasing trend of world heritage in danger list. Institutionalized bureaucratic mechanisms legitimating development forces incompliant with heritage conservation resemble development inevitability as a domain. Historic cities most often confess the serial failures of heritage conservation efforts in this globalized situation. So, it urges ensuring of socio-cultural and traditional values well recognized and protected while adopting integrated approach of reconciling urban development and conservation for long-term glory of historic cities.

Kathmandu Valley World Heritage Site including the historic city of Bhaktapur was listed in the world heritage in danger list in 2003; and later delisted in 2007 on an assurance of Integrated Heritage Management (IHM) to retain the authenticity. Authenticity has been posited as one of the key criterion of the World Heritage Process. However, even after conceptualizing it through rigorous discussion with the State Parties, it has still been hard to make it definite. Authenticity according to the Nara Document is not an absolute terminology in itself, but very much dependent on the cultural contexts. Every historic city is attempting to figure out solutions of urban conservation; but it is impossible to address issues of global forces without making authenticity associated with integrity. The contradicting syndrome between the vision of Bhaktapur Municipality for cultural city and UNESCO's decision on endangering Kathmandu Valley also syndicate this picture of insurgency.

Bhaktapur is also considered the first cultural capital of Kathmandu valley. It is also known for its age-old splendid architectural masterpieces as well as clusters of intangible cultural heritages and social settings compactly interwoven with each other. The rituals, festivals and built heritages in this city owe to the indigenous Newar<sup>1</sup> community (Shrestha et.al., 2008). Despite the socio-cultural and historical resemblances with other cities in the valley, this city has a distinct identity in terms of urban development. Distantly located, its traditional form remained relatively less influenced of urbanization than other cities of the valley. However, Bhaktapur is not free of threats from urbanization. This paper examines such situation, and discusses a possible way out of co-existence of development and heritage conservation. Further, the paper advocates for the historic

urban landscape approach for ascertaining new purpose of authenticity and integrity aspects, in such cases where sudden loss of heritage and cultural spaces are likely consequences of rapid urbanization.

### Historic city- Contest of past and present

The debate can clearly be seen in Lowenthal's 'The Past is a Foreign Country' stating the nostalgia for the lost unity, harmony and authenticity as a part of historic city.

"We preserve because the pace of change and development has attenuated a legacy integral to our identity and well-being." (Lowenthal, 1985, p. xxiv)

In fact, historic cities are destined with unique features like dignity, personality and certainly the identity of place (Shankland, 1975) that piled burdens of responsibilities to the present. Boyer (1994) has rightly pointed out as plunging into suicide for ignoring such history and memory and as denying oneself. Collective memories along with cultural spaces in these cities are prominently the part of living experience of an individual or a group in the community (Halbwachs, 1992) enabling collective construct and shared opines for cultural groups (Larkham and Jiven, 2003). These cities reveal numerous urban strata and orders endured with monuments and artifacts display, persistently through time and memory. However, their significances are still forbidden and confined to specific buildings in a historic area or fabric. Whatever is signified in context of historic city portrays quality urban system with characteristic endowments that commemorates the identity of the place and intrudes sense of belonging into the community. Historic cities then are endowed with so many assets, both tangible and intangible; other than the confinement where these memoirs regenerate. Therefore, local perspectives do matter along with their emotions, which the community has towards their place and so the impacts of conservation of historic areas are not necessarily material (Schofield et.al., 2011). Also, with different influence of history, cities distinctively portray differences but with international interests, these cities in other aspects are obliged to international standards of preservation. In fact, economic demands of the citizens apathetically undermine the Outstanding Universal Value (OUV) under their local concerns (Kawan, 2012) resulting into inevitable changes at different time period.

## Broadened context of heritage

According to Mitchell (1979) heritage resources could reflect the present concern of wider inclusion and changing mindsets of individuals through their relative, subjective and functional nature. Apart from the addition of environment and intangible values to the physical understanding of heritages, there has not been any substantial effort in streamlining and standardizing the meaning of heritage since the Venice Charter in 1964. The concept of heritage has apprehended the necessity of intangible mentioned in the Convention for Safeguarding of the Intangible Cultural Heritage (UNESCO, 2003) as, the practices, representations, expressions, knowledge, skills—as well as the instruments, objects, arte-facts and cultural spaces associated therewith—that communities, groups and, in some cases, individuals recognize as part of their cultural heritage. This intangible cultural heritage, transmitted from generation to generation, is constantly recreated by communities and groups in response to their environments, their interaction with nature and their history, and provides them with a sense of identity and continuity, thus promoting respect for cultural diversity and human creativity.

Including the oral traditions and expressions, languages, performing arts, social practices, rituals, festive events and traditional craftsmanship, the scope has broadened considerably from mere concern for individual buildings and sites to include groups of buildings, historical areas, towns, environments, social factors and, lately intangible heritage (Ahmad, 2006, p. 299).

However, heritage is often seen as culturally constructed ideas and set of values attached simultaneously. Thus, it is our legacy from the past, what we live with today, and what we pass on to future generations (Rodwell, 2007). Not only for universal recognition and UNESCO's designation but for the dignity of a particular place, national pride and for entire resemblances of human culture, they need to be preserved (Kawan, 2012). After all, their existence is inevitable every now and then with development paces in every city as they do characterize specific reference to cultural diversity (Ibid). The complexity now is not only confined to consideration of tangible and intangible forms but with emerging heritages along time. So, the ultimate challenge of authenticity lie in providing reasonable solutions for entwined values that lie over heritages. Legitimizing<sup>2</sup> values and respects of diversified cultures around the world through the accent of all parties is not only difficult but abortive too. This is where standardization of local culture through universal norms fails during heritage conservation as social norms do defy it.

## Confounding concepts of authenticity

Concept of authenticity was presented at the time when the scope of conservation was thought no greater than to an extent of a monument or heritage area i.e. a fabric or centre. With instances of imparity to diverse spatter of heritages of the same historic era, the scope of this concept is still in verge of controversy, and needs persistent justification for what heritage is. Many researchers have pinpointed this concept for being the qualifying measures for an individual heritage property to meet OUV, while it had initially been interpreted as to retain essentially the original features. Along with shifting heritage understandings from monuments to the social and cultural values<sup>3</sup>, it ought not to limit its implications to only a single monument at present. Unlikely to the quality conditions for being an independent heritage property, authenticity rather relates cultural identity, cultural diversity and heritage in different forms of tangible and intangible expressions that are rooted in societies (Heynen, 2006).

*Conservation of cultural heritage in all its forms and historical periods is rooted in values attributed to the heritage. Our ability to understand these values depends, in part, on the degree to which information sources about these values may be understood as credible or truthful. ... Authenticity..... appears as the essential qualifying factor concerning values (Nara Document on Authenticity, 1994)*

The Nara document on Authenticity therefore expresses such underlying values in particular cultural context of heritage properties of which judgment can be based upon a great variety of source of information<sup>4</sup>. Now that authenticity is relative to values attributed to heritages which rather differ from culture to culture, it can't just remain limiting into an evaluative criterion for nomination of cultural heritages into OUV conditions. It turns even vague and insufficient when it comes to the context of a historic city seeking a continuous interaction for fusing the past with the present<sup>5</sup>.

*The interpretation of authenticity that comes to the fore as dominant in the twentieth century- the attempt to recreate a situation that is as close as possible, in materiality as well as in appearance, to the actual historical origin of a building- is difficult to reconcile with the requirements for restoring modernist buildings. (Heynen, 2006, p. 290)*



## Integrity evolves as a new paradigm in a historic city

As deluded the concept of authenticity is, the integrity as another requisite for nomination of cultural heritage properties elaborated in the 2005 Operational Guidelines hasn't yet been understood by many of the State Parties<sup>6</sup>. Being closely related to the principles of authenticity for inclusiveness and continuity of values in particular cultural context, it also complements the nomination analysis of properties into the world heritage. In other words, the later concept of sustaining/securing significance<sup>7</sup> is more concerned into extended form of cultural heritage i.e. the historic city in context of urban conservation. No matter these concepts of nomination analysis centrifuged to OUV of cultural properties, they are yet unable to address post inscription management of cultural heritages. It is a prime concern of all to ascertain historic cities reveal its glory of urban order and heritage resources that supplement to portray permanence and continuum. Such resources definitely value more in these cities, and accordingly their deterioration affects the identity, urban system, culture and life that cities look for. Thus, their safeguarding is essentially a serious agenda in conservation and development (UNESCO, 1989 quoted in Jokilehto, 1999).

With the growing concern of multitude dimensions in historic cities, 29th session of WHC acknowledged the need of new standard setting instrument to integrate urban heritage conservation with strategies of socio-economic development of historic cities<sup>8</sup>. The effort of devising the tool of historic

urban landscape is before-hand securing previous decisions on approaches for heritage conservation. But when it comes to urban living heritage, conservation has to deal with cumulative impacts from social, cultural and environmental values and layering of significances and values, integrity assessment plays a significant role. Categorically, visual integrity, social integrity and structural integrity<sup>9</sup> are realized to have influence in foreseeing authenticity into a city scale. Landscape as a strategic spatial element for urban heritage analysis to an integrated approach of urban conservation can imply and seek the integrity aspects effectively. To illustrate the urge of integrity aspects to safeguarding heritages collectively into a historic city, following circumstances are put forward desperately from the cases studied in Bhaktapur i.e. Taulachhen tole (traditional neighbourhood) and KTL<sup>10</sup> area (neighbourhood in new development area)

### Continuing perception of conserving monuments as heritage conservation

It is now clearly understood that urban heritage doesn't end at monuments and collection of objects. Simultaneously, the delusion prevalently occurs in the world community for heritage conservation to monuments as confounding presumptions of authenticity. No matter the concept of heritage at present is delimited; conservation activities are still focused into monument zones of world cultural heritage

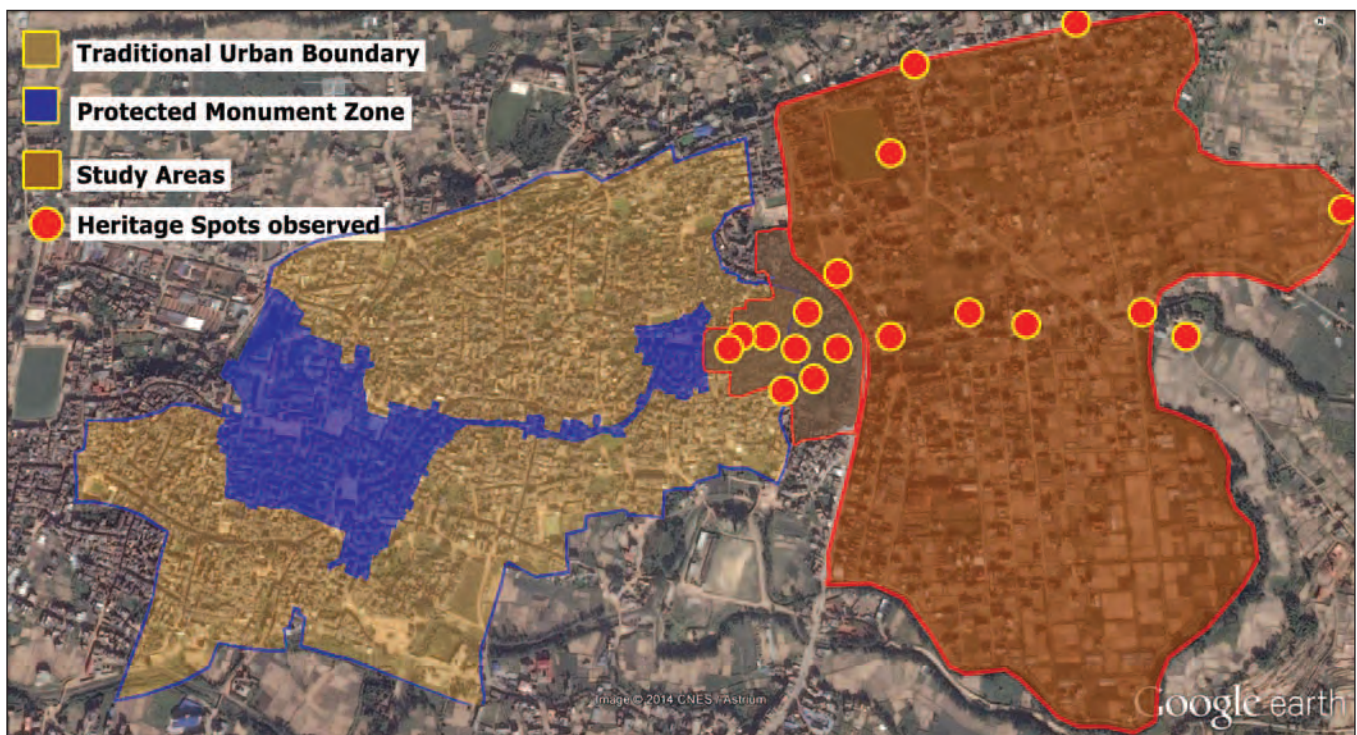


Figure 1: Cultural heritage locations beyond the traditional urban boundary

sites.

In fact, monuments within PMZ of Bhaktapur are well preserved, and others beyond this zone exist sympathetically. Cultural heritages exist beyond such designation and in surplus within CHZs and periphery of municipality area too (Figure 1). The latter are in fact the backbone and predominating constituents for making the city a cultural destination, however the same are seldom taken care of benignly except some local measures. Bramhayani pith, one of the Astamatriakas<sup>11</sup> others including Kamalvinayak area, Kamalpokhari and religious shrines on its side testify to this dilemma.

For a city like Bhaktapur, the practical application of the evaluative analysis of authenticity and integrity is more questionable because there are differences in understanding of world heritage designation and values of local understandings. Evidently, several alterations of Monument zone proposal were intentionally done in 1979, 1993 and the very recent<sup>12</sup>. Consequently, this approach in contrast to the principles of intactness/wholeness and genuineness to city formation, rather demonstrated inability of heritage conservation to encompass many valuable cultural heritages including archaeological sites as well as intangible cultural heritage. These heritages albeit being a significant bench mark for the formation of this historic settlement have not yet been addressed effectively by any conservation plan. As a result, the potential adverse effects among the social actors in terms of socio-economic development is indifferently overlooked which unfortunately can lead to disintegration of the overall heritage scenario in Bhaktapur.

## Public built heritages deteriorated in abundance, privates ruined

Deterioration of heritage buildings and urban heritage areas are basically the major issues in urban conservation. In spite of consistent efforts for preserving, various causes for their deterioration have been identified in Taulachhen and in interface area as well. Many public heritages and private residential heritages are found to be in poor conditions in Taulachhen, adopting 'for just means' of renovation. They have gone through alterations like windows, roofs, plastered facade to prevent from climatic decay and cover cracks found in the buildings (Figure 2). It is because, traditional construction technology are in a run of extinction and are

thus unaffordable for materials, workmanship and skilled labour. They also have changed ground floor storage spaces to commercial and parking space for motorbikes. As cumulative effects, this issue arises from space deficiency within the neighbourhood. For accommodating this problem, alterations like floor addition, indoor space arrangements are prevalent which, pile up new problems like light and ventilation in existing building stocks.

Similarly, traditional buildings and urban spaces have changed a lot in functions causing deterioration. Most of the urban spaces within the residential areas are dumped with construction materials and old building wastes as well as vehicles - thus degrading traditional essence of urban space and socio-cultural activities related to it. These changes in use of building space and urban space have added challenges on the declining condition of traditional buildings and historic urban landscapes. Anomalies like this often threaten the living environment in historic cities and are still a major challenge in conservation.

These figures not only explain the quantity of heritage deterioration but directly or indirectly depict the socio-economic conditions of the society i.e. the heritage keepers.

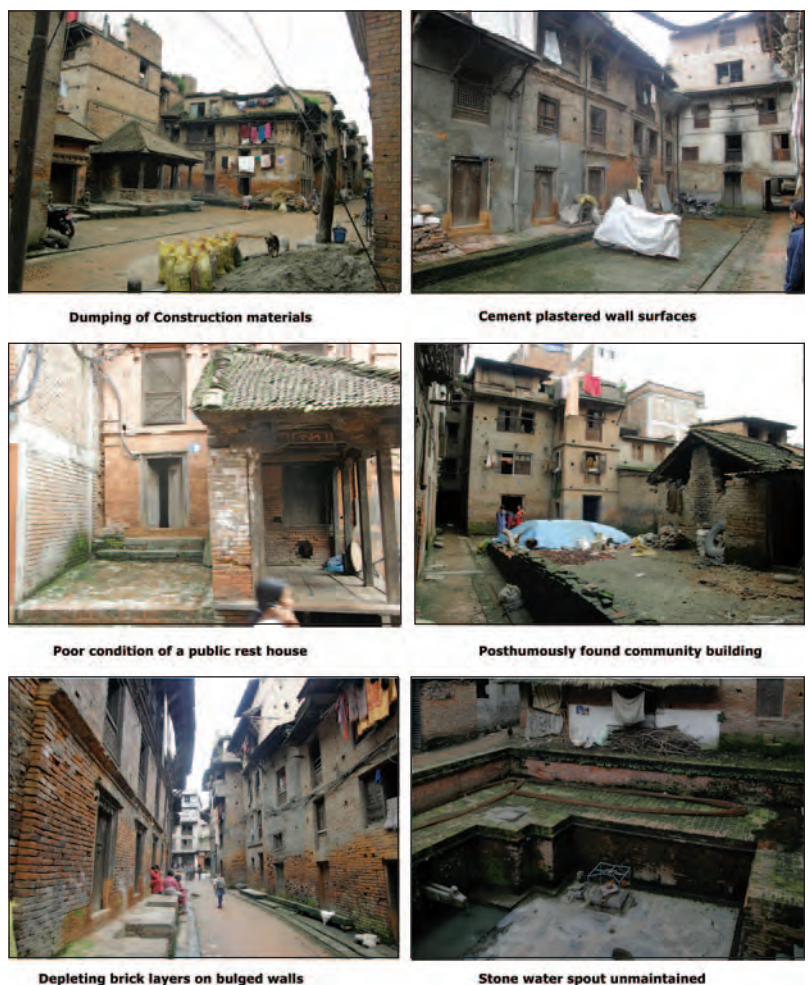


Figure 2: Study on alterations on historic buildings



Distraction from agriculture to other sources of employment in both the study areas clearly states difficult livelihood in the city which drags into inability to keep heritages intact. In addition, the survey of households also concurred with the drastic changes of family structures from joint families to nuclear families in the core city. These concerns are also contributing to other spatial urban development factors like urban fabrics and land development; for instance vehicular dependency (Figure 3), tourism industry and conversion of agricultural land into housing development for people migrated from core city.

### Tangible complements the intangible

Tangible heritages are exotic when augmented by socio-cultural domain i.e. the rituals and festive moments. In this aspect, intangible heritages are explicitly necessary to emphasize the existence of built heritages. All cultural amenities keep intimate relations with social activities and are inherited through a long run with religious beliefs and social institutions keeping the town integrated crucially (Kawan, 2012). In the survey conducted in KTL area, about 86% of the people surveyed had migrated from the core city, and hence they frequently visited the traditional city area for family integration<sup>13</sup>. This particularly shows that intangible things are movable but are inseparable from the tangible part of heritage.

The discourse here is not to prioritize either of them but to highlight the complements they pay to each other. It is through built heritages the intangible parts are reflected and their importance epoch the continual of built heritages. Likely to this fact, the Convention for Safeguarding of Intangible Cultural Heritage 2003 is thought necessary in order to incorporate the life of built heritages through the Intangible half. Paradoxically, it is from when authenticity has been rejected from the mainstream of heritage conservation upon the adoption of integrity, where tangible cultural spaces were considered a part of intangible heritage<sup>14</sup>.

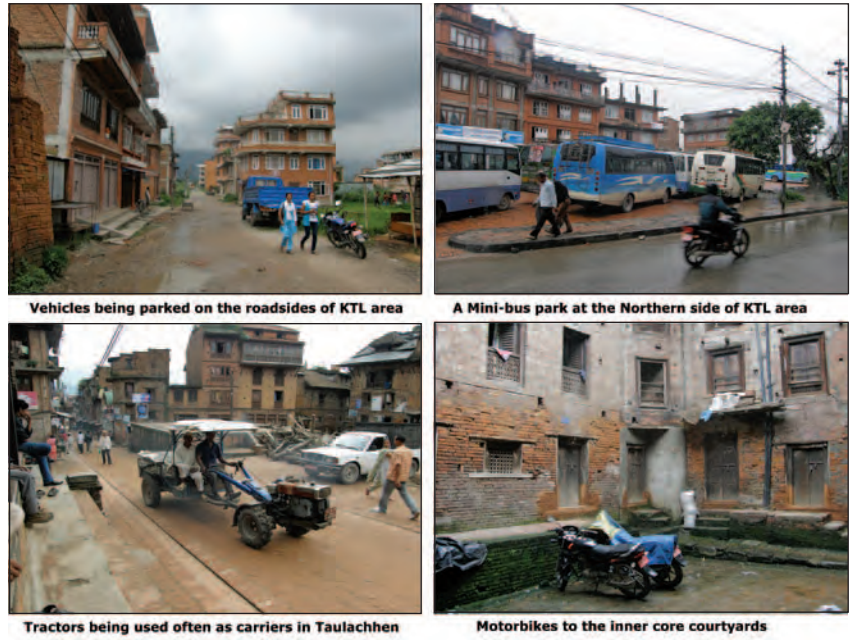


Figure 3: Impact of vehicles

### Socio-cultural continuity

Cultural heritages are at first elementary to local cultural identity besides materialistic forms and then subjective to universal recognition of humankind (UNESCO, 2003). Inherent through many generations, most often they cope with urban changes (Poete, quoted in Boyer 1994) even before the avail of conservation trends and charters. In case of Bhaktapur, social and cultural events entailed with past memoirs form intimate part of heritage for the people even now. Based upon trusts and faiths that people collectively share, these heritages add on joyous moments and flavor to their place as their pride. These ritual mediations therefore



Figure 4: Festivals and community use of public spaces

ever remained unconditioned and unquestioned, and thus comforted urban conservation (Figure 4). In a true sense, these social and cultural functions are dared not evaluated through standardized norms as they vary according to cultures. What is authentic of these socio-cultural activities is expressed onto their continuum through cultural spaces at present and needs no justification. Only thing that is acquired is their address into the spectrum of broadened heritage concept as an integral part.

## Guthi and worships

*Guthi* system in *Taulachhen* as one of the major socio-cultural activities of Bhaktapur is still the way of accomplishing lifestyle. The culture of conserving i.e. renovating, maintenance and utilizing historic buildings also do occur within this self sustained system with trusts established for communal and religious faith. Most often the principles of authenticity and integrity remain unanimous to these systems, excluded and even conditional to their adopted norms for various performances.

Almost 86% of the households from the survey conducted are associated to *Guthi* systems. Similarly, those who conduct Puja are found to be 72%. On the basis of the religious beliefs, these rituals are prolonged being performed in Bhaktapur with same spirit and influence in the KTL area, for their origin is again the traditional core. Conserving the conservation trends, the main responsibility of this system provides no room for implication of the so called conventional and inefficient heritage conservation techniques through authenticity.

Apparently many households seem to be involved into *guthis* only because of threats from societal norms<sup>15</sup> being implied to every family member. In fact, the households who depend upon other source of economy have hardly managed time to get involved.

Along with individual's escape from societal norms, there are resemblances of privatization of *guthi* properties associated with public heritages, of which *Guthi Sansthan*<sup>16</sup> has no records of<sup>17</sup>.

## Feast and festivals

Another socio-cultural activity that probably questions practical implication of authenticity is the festival. The feasts and festivals for Newars occur almost throughout the year. Every individual household has feasts at festive moments as well as during various life rituals; and every individual is emoted to them from birth to death. Chariots and *Khats* of Gods are circumambulated to most of the streets and courtyards of these neighbourhoods during festivals. Major festivals passing through them according to the respondents are *Gai Jatra*, *Indra Jatra*, *Nava Durga Jatra*, *Bramhayani Jatra*. Most of the respondents in Taulchhen tol and KTL area seem to enjoy their life on these festivals. The respondents in KTL area wished festivals passed through their neighborhood; but they had to fulfill their desire for participation in these festivals by visiting their old houses or nearby routes. As *guthis*, these festivals also happen in a critical condition with local efforts rather than through any authorization. In addition, another crucial matter that demands for integrity is the *pradakshina*<sup>18</sup> which bounds the city intact physically, socially, culturally and spiritually (Figure 5).

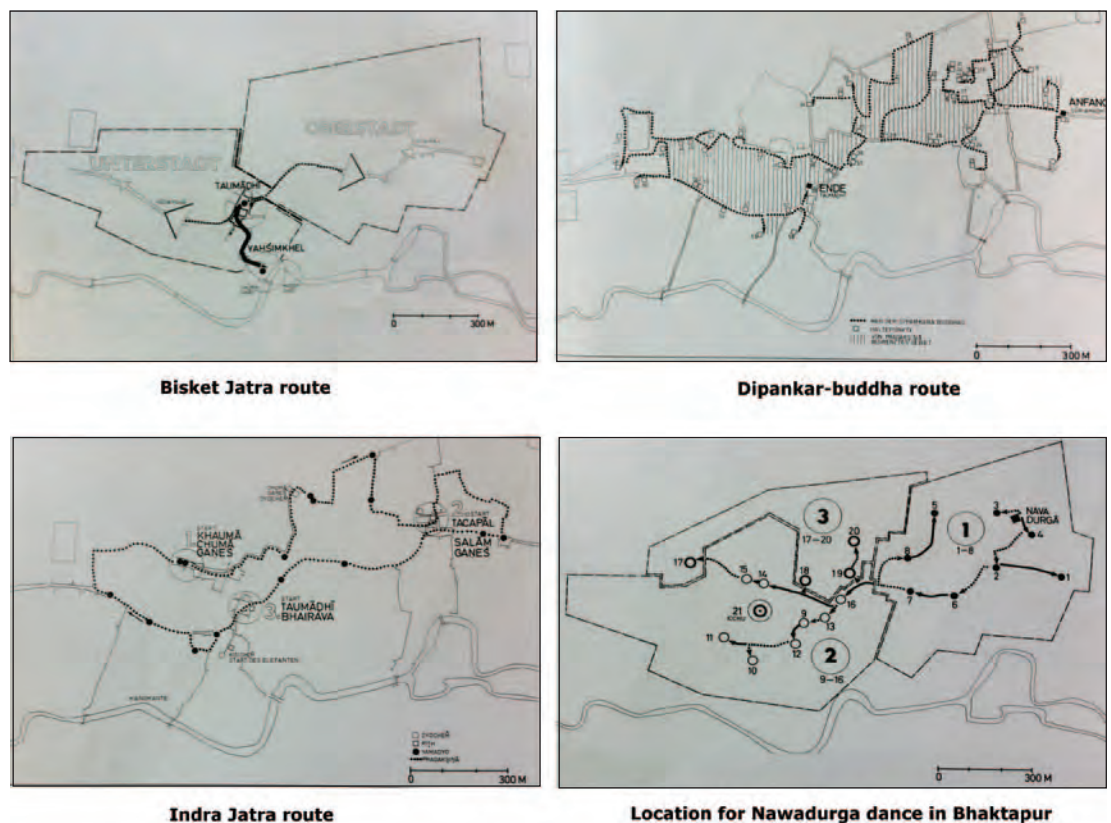


Figure 5: Festivals routes



## Music and dances

An author, Jagadish Shumsher Rana argued that music and dances in Bhaktapur were not only taken as instrumental but to cherish livelihoods. It also involved every single individual of the city through inheritance and is generally associated with festivals. Munankarmi (1996) considers *dapha/bhajans* too as a form of Guthi system related to religious shrines in most of the neighbourhoods to sing slogans and perform music related to the deity of shrine. According to locals, *dapha/bhajans* were not that compulsion as Guthis. Around

62% of the respondents answered that they are still associated with *dapha/bhajans* and nearly half in KTL area. They include children in learning phase, youths as main performers and old as tutors. Mostly observed through *dapha/bhajans* are *Bhairab, Nagacha, Jhyaure and Lakehe* dances in this tol. But unfortunately, the younger generations hardly manage time out of their academic schedules for learning this culture unless there is coordination among the institutions and such informal associations. It goes even more serious when they reflect things into economic perspective.

## Way forward

Heritages are essentially constructed for livelihood and not necessarily to meet the prerequisites for OUV. However, heritage that we have discussed earlier in different forms do portray identity for societies; also rely on different persuasion as the history and so with the existing 'ancient and archaeological mindsets' in conservation practices. Their reliance on Venice Charter and the Nara Document on Authenticity can definitely not protect against the pitfalls of authenticity. As had been discussed above, urban heritages have traversed through series of changes and thus the sought of authenticity would just be an absurdity. In fact, they are considerably the remnants of past, not the historical evidence. In a broader sense, authenticity rather being an evaluative measure for being original has to be sought as what past ought to have looked like<sup>19</sup>.

Presumably, the decisive factor for authenticity of heritages is yet the genuineness of material substance of monuments and other relics; but this approach appears as illusion,

artificial, programmed and spun (McCannel, 1999 quoted in Heynen, 2006). In such a condition, indifference towards authenticity is obvious but it is already somewhere into the city and needs to be retrieved. Overcoming the monument-based approach, urban conservation seeks authenticity in an entire historic city for which urban heritages broadly cater all three aspects of integrity i.e. social, structural and visual. Evidently, they all strategically have their base on cultural spaces which is essentially tangible in the form of landscape. Here the mere concern towards the management of urban heritage to retain its original character is more meaningful. So Historic Urban Landscape can be a better approach to achieve a win-win situation on heritage conservation while considering the reconciliation of socio-economic development aspects to the mainstream. In a true sense, historic cities are now unsustainable in themselves unless the local communities' aspirations for benefitting from heritage resources are addressed.

## Conclusion

The ideal purpose of just securing/sustaining significance and conveying significance respectively in successive conservation practices doesn't seem feasible at all for contemporary historic cities. All the issues discussed in context of the study areas relevant to the historic city, however, had complex propaganda over tangible and intangible forms - both meant to set into a common base in form of cultural space which broadly can be termed as Historic Urban Landscape. The practical application of the concepts of authenticity and integrity can therefore be overcome through this tool for management of historic cities. No sooner had these circumstances been overcome, the concepts of authenticity and integrity can prove themselves as appropriate concepts for measuring the state of conservation and effectiveness of corrective measures

adopted to improve urban conservation into the historic city. The present impoverished conditions of the heritage up-keeps seen in the study areas attest this insufficiency of the basic concepts driven till date. Also, overlooking the value-laden circumstances, the historic cities now proceed through can result into the loss of authenticity which however needs to attain the unique identity that heritages bear in past and needs to be retrieved. Upon its achievement, heritages will be known for enrichment of humankind and as a common asset that the local communities are equally responsible for loss or retrieval. This directly or indirectly incorporates the development concerns that were inconsistent with conservation plans of historic city as an undeniable integral part.

## Notes

1. Common ethnic group in Kathmandu valley.
2. “Cultural heritage diversity exists in time and space, and demands respect for other cultures and all aspects of their belief systems. In cases where cultural values appear to be in conflict, respect for cultural diversity demands acknowledgement of the legitimacy of the cultural values of all parties.” (ICOMOS, 1994, Nara Document, Article 6)
3. The Nara document intends to formulate a framework that allows one ‘to apply the test of authenticity in ways which accord full respect to the social and cultural values of all societies’ (Heynen, 2006, p. 289).
4. Heritage properties must therefore be ‘considered and judged within the cultural contexts to which they belong’. This assessment can be based upon a great variety of sources of information, including ‘from and design, materials and substance, use and function, traditions and techniques, location and setting and spirit and feeling’(Heynen, 2006).
5. One should recognize the impact of the present on the past, and that heritage necessitates a continuous interaction, which fuses past with present (Lowenthal, 1985, p. 410 quoted in Heynen, 2006) .
6. Although the requirements for authenticity and integrity are spelled out in great detail in the 2005 Operational Guidelines, many state parties have not well grasped what is being requested. Many have written about something called “integrity/authenticity” treating the two concepts as if they were one; and many of those who have realized that the two concepts are different have displayed very little clear understanding of what the difference involve, and virtually none have supplied the requested statements of Authenticity and Integrity (Stovel, 2007, p.22).
7. Stovel (2007) conceptualizes authenticity and integrity as conveying significance and sustaining/securing significance of heritage properties.
8. Referenced from UNESCO (2012), World Heritage Cities Programme. Website: <http://whc.unesco.org/en/cities/> [accessed on 12th May, 2012]
9. Referenced from UNESCO (2010), Managing Historic Cities, World Heritage Papers 27. Website: [http://whc.unesco.org/documents/publi\\_wh\\_papers\\_27\\_en.pdf](http://whc.unesco.org/documents/publi_wh_papers_27_en.pdf) [accessed on 06 October, 2013]
10. Kamalvinayak-Tumacho-Libali are three consecutive land pooling area on the eastern edge of Bhaktapur.
12. In 1979, present Bhaktapur Durbar square was only enlisted in WHL, in 1993 Taumadhi square and Dattatreya square are included and at present it includes the spine joining these squares with some further extensions of neighbourhood areas (Shrestha, 2000).
13. The households were asked why they visited the traditional city area and most of them responded for family visits out of trading, roaming and others.
14. With the addition of a second qualifying concept – namely, integrity – to the formal WH requirements for cultural heritage properties, and the parallel rejection of the concept of authenticity in the new Intangible Heritage Convention (2003) – a Convention which defines the intangible to include very tangible “cultural spaces” – the potential for confusion has increased considerably (Stovel, 2007).
15. Offence to the societal norms forbids the family from the rituals of death and is liable for heavy finery which is unequivocal to social exclusion.
16. Guthi Sansthan is responsible for managing and preserving religious, cultural and social establishments and support festivals and rituals.
17. Guthi property is a dedicated property as a trust for supporting and maintaining monuments and heritages initially established by donations, funds and charities. The yield from this property is what conserves the conserving trends and keeps intact the socio-cultural activities. Such properties are privatized in Nepal due to negligence of concerned authority.
18. Pradakshina- a circumambulatory passage around the city during festivals.
19. It is not the original that seems “authentic” but current views of what the past ought to have looked like.” (Lowenthal, 1985 quoted in Heynen, 2006, p. 298).



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# Problems of heritage preservation in historical cities of Kazakhstan

Natalia Turekulova

## Short biodata

Natalia Turekulova (15.01.1961) from the Republic of Kazakhstan is the Chief Architect of 'Kumbez' firm, and is specialized in cultural heritage conservation. She has developed a number of projects as Chief architect in the State Enterprise 'Kazrestavraziya' of the Ministry of Culture. She is also the President of ICOMOS/Kazakhstan and Expert member of ICOMOS Scientific Committee of Earthen Architecture Heritage (ISCEAH). She was a Co-opted member of Executive Committee of ICOMOS from 2006 to 2011 and member of the World Heritage Working Group of ICOMOS.

She has more than a hundred of realized projects on conservation of heritage sites in different parts of the country. Among them is the project of Restoration of the Saint Ascension Cathedral in Almaty (built in 1907) and marked by UNESCO Asia-Pacific Heritage Award 2004. She is the author of seventy-five publications on monuments preservation problems. She was the National Focal point of RK in UNESCO's II Cycle of the Periodic Reporting in Central Asia (2010-2012).

## Abstract

Globalization of economy in the rapidly changing world, is giving many potential benefits to countries and its people. At the same time it carries a high risk of quick growth of substantial globalized culture; speeding-up development of the numerous historical cities has a huge impact on their heritage and sense of places. The paper examines the importance of preservation of visual perception and functional use as a part of authenticity of the heritage in urban landscapes. It discusses the role of protection zones by observing few heritage examples, located in historical cities of Kazakhstan. One of them is the Mausoleum of Hoja Ahmed Yassawi (the World Heritage site) – the monument of Timurid epoch in the old city of Turkestan, standing on the Silk Roads and developing from the medieval times. Another is the St. Ascension Cathedral in Almaty, the earliest wooden skyscraper in the seismic region, built in the very beginning of twentieth century. The next is 'The town of oilmen' – a residential area for the workers in the oil industry, built in historical city of Atyrau in 1940s.

How to keep values of heritage within living cities, where properties, territories and environment are the most attractive urban spaces for developers?



## Mausoleum of Khoja Ahmed Yassawi in Turkestan

Turkestan town in the south of Kazakhstan is closely related to the name of Khoja Ahmed Yasawi, a distinguished Sufi master who lived in the 12th century. He is highly respected by all Turkic people because he introduced them to Islam in their mother tongue. The Yasawiya branch of Sufi teaching, established by Hoja Ahmed, had numerous followers and was spread over a large area from the Caucasus in the west to Kashgar in China in the east. The present Mausoleum was built over the grave of Khoja Ahmed Yaswi by the order of Timur (Tamerlane) between the 14th and 15th centuries. The ruler of Central Asia, as it is stated in historical documents, participated in the project. Skilled craftsmen were brought from Persia to work on the construction. The new construction ideas for spatial arrangements, vaults, domes and decoration used on the mausoleum, later became prototypes that served as models for other major buildings of the Timurid period, particularly in Samarkand. The mausoleum's construction was stopped in 1405, with the death of Timur, and the full project design was never completed. And due to the fact that it was left unfinished, the building has a unique architectural image.

Since then, the small settlement of Yassy (now known as Turkestan) has started to develop rapidly, turning into an important spiritual center for this part of Asia. It is one of the flourishing centres on the Silk Roads and attracts pilgrims, traders and rulers. Archaeological remains of the ancient city surround the Mausoleum today. Together with living historical urban network of the nineteenth and twentieth century and open natural spaces, it forms a full and rich context, connecting the sacred place and architectural landmark with modern city. In general it also provides historical background for integral visual impression of the scales of this building and power of Timurid architecture.

About 40 meters tall, the mausoleum is one of the largest and best-preserved examples of Timurid architecture. When inscribing the Mausoleum into the World Heritage list in 2003, ICOMOS and the World Heritage Committee stressed the point that, 'Since Turkestan is situated in a vast plain, any high-rise buildings outside the buffer zone would have a significant impact on the visual integrity of the property. This needs to be controlled by the continuous enforcement of adequate planning regulations to ensure the required



Figure 1: Mausoleum of Khoja Ahmed Yassawi in Turkestan

protection.<sup>7</sup> In the process of inscription, the archaeological site surrounding the Mausoleum, an important heritage property, as well as in relation both to Hoja Ahmed Yassawi and the Mausoleum, was considered to be just a buffer zone of the World Heritage monument. The surrounding historical part of the city got only national protection as a zone of strict construction control and the preserved piece of adjacent plane – as a zone of protected natural setting.

Till recent times the new town of Turkestan, which developed to the west, has been maintaining a low skyline, allowing the mausoleum to stand out as a major monument within its context and keep the required visual integrity. The legal documents declared these protective demands (like Protective Zoning Plan), had not been integrated into the last Master Plan of the city. So in the last few years, a number of new buildings appeared illegally and very quickly on the border of official buffer zone of the world Heritage property. The problem scaled in 2010, when construction of a new mosque for 5000 people started without any legal documentation and permission. Advertising posters on the site stated that the mosque would be built with the financial support from the Turkish government. The efforts of national and international conservation societies to resist failed and the mosque was built. Infrastructure development will be the next intervention into the historical setting of the World heritage property. At the moment we have to recognize that the development pressure on the historical urban territories, surrounding the buffer zone of the Mausoleum, does not have control and is growing at an alarming speed. The zone of protected natural setting is disappearing as a natural landscape, as new houses are constructed. High buildings of a new Ethnographic museum and new shopping centre were built close to the buffer zone border. There are many new construction projects for historical urban territories, replacing traditional houses with high modern design buildings and new functions in the Zone of strict construction control.

In the last few years, the Mausoleum has lost many viewpoints and lines of observation in and outside the city. For many centuries it was the dominant structure of Turkestan and could be seen from many streets. It was the main landmark in the vast plain and could be noticed and observed from afar.

The grand scale of the building's architecture and its space is urban, as well as natural. However, the building is losing these main attributes as high buildings and new competitive dominants surround it. And while all national conservation projects are focused only on the issues of the Mausoleum's structure and decorative features, its visual integrity is in danger.



Figure 2: New construction near Mausoleum of Khoja Ahmed Yassawi



Figure 3: Mausoleum of Khoja Ahmed Yassawi in Turkestan



## The Saint Ascension Cathedral in Almaty

Almaty is a typical large city in the space of post-Soviet Central Asia, where recently political and socio-economical changes took place. Its experience is similar to the other cities in this sub-region. Rapid growth and development that started at the end of 1990s, has become a threat to the existing historical buildings and its natural environment, which used to be the outstanding image and spirit of the city.

The urban history of Almaty started 150 years ago when its first Master plan was elaborated for a military fortress of Vernyi. Adjacent to it was settlements for migrants of different nations, who had come to this new, annexed Russia-Asian territory from various parts of the Empire. The city soon turned into an administrative centre for the largest district in the region of Russian Turkestan. Today the population of Almaty is about 1,5 million. The official capital of the country was moved to another city of Astana. Yet

Almaty still continues to be a capital of economy, industry, culture and education.

The Saint Ascension Cathedral that was built in 1907 is the most expressive architectural masterpiece, characterizing the epoch and political power of the Russian Empire in Asia in that period. Architectural beauty is not its only outstanding feature. While erecting the Cathedral, much had been done for the first time in the construction practice of this Asian region. But, perhaps, the most important fact was that the builders got the first experience in building a high-rise structure and solving problems of its seismic resistance. After the recent earthquake of 1887, a fair amount of work had been carried out in the Cathedral. New unique ideas were implemented. The next severe earthquake in 1911, which destroyed the city again, proved that the Cathedral had a remarkable seismic resistant structure.



Many changes took place in the city of Vernyi and the St. Ascension Cathedral after the revolution of 1917. In 1930s the church was closed and its bells were thrown and decorations destroyed. The building was used as a radio station and later as a Republican historical museum. These functional changes led to the major reconstruction of the building to transform its interior.

In 1994, the St. Ascension Cathedral was among the first historical religious buildings, to be returned to the Church by the special order of President N. Nazarbaev. The Cathedral was restored after some documents were found that were fortunately saved in archives. At that time it was impossible to use the building as a Cathedral for public services as there had been numerous installations inside. In 1995, the government allocated funds for its conservation and take steps towards restoration of the original planning and appearance of this monument. The building started its original functions and today the Cathedral stands proudly surrounded by a green park.

Although much attention was given to the conservation of the building by implementation of international standards and methodology, use of complex scientific research tools and use of authentic materials and technologies, legal zones of protection has not been established. At present, the Cathedral's visual integrity is in danger. The territories adjacent to the protected areas are developing as a new skyscraper appears on the neighbouring streets competing with the historical building. The Cathedral was the main dominant high-raised architectural wonder in this seismically dangerous region. Now new building construction destroys the green setting and uncontrolled planting of alleys take off the lines of observation of the Cathedral. Again we see problems with integrity of architectural monument and historical urban setting. Reconstruction and demolishing of preserved historical buildings of historical city centres take away the story of the city, its birth, development and memories of its people.

## The town of Oilmen in Atyrau

The town's construction started during World War II in 1943 when a group of architects were given the task by the Soviet Union government to build a beautiful and comfortable settlement for oil industry. This would be the home for the workers of a new oil refinery plant. It was built on the left side of Ural River and opposite to the old town Guriev. These territories on the north-eastern side of the Caspian Sea are the lands of deserts with very severe natural and climate conditions. The architects successfully solved many difficult problems during this project. They arranged onsite production of construction materials, found solutions for engineering networks and landscaping in salty soils, found protection from the sandy winds, arranged a special drainage system and reduced salty waters coming from surrounding deserts. The community of oilmen got a residential area with infrastructure that met the criteria for comfortable living along with houses decorated with frescoes, stadiums, shops, kindergartens and schools, green parks and beautiful squares. Spatial composition of the settlement plan was based on the axis symmetry of the human body. A central street with a set of squares and grand houses on its sides played the role of the main axis. On the top of this street, a theatre was located and a large square with administrative buildings. This square was the main center and heart of the settlement. Green zones surrounded the residential area from all sides, covering the adjacent to the river territories and forming a wonderful recreation zone.

The architects tried to find designs for the buildings that could respect local architectural traditions and at the same time represent tendencies of the Soviet architecture. Their aim was to make the architecture of the town organic, full of optimistic expression, with human scales and closely related to the nature. As a result, the team of architects and builders of the oilmen's town were awarded by the highest state award for this urban project. This project became a model for many similar settlements in the 1950s and was replicated in the newly developing industrial areas of the Soviet Union. In Kazakhstan we can see such examples in Ust-Kamenogorsk city and in Karaganda. In the 1980s the Oilmen's town was taken under the state protection as a monument of the highest significance.

Due to the rapid development of oil industry, Atyrau became the oil capital of the country and developed quickly. Oilmen's town at present is an integral historical monument. It has specific comfortable human scales and natural microclimate within the city. Full of glass and concrete, it attracts attention of developers and building construction companies. Soon, the lands of parks and green areas of the Oilmen town went illegally to the private ownership, where new construction appeared very quickly. There were many old houses that did not get appropriate maintenance for many years. This argument was used for demolishing a number of houses with the aim for new construction.



Another problem for the preservation of this urban area was caused by the construction of a new auto road bridge across the Ural River. The bridge goes directly to the main square and to the main street changing all existed planning system, splitting functional zoning and transport communication into separate parts. The bridge construction destroyed the concept of this residential area and the concept of a harmonious and comfortable space for living. The interesting fact, recognized by the city architects and many other experts, is that this bridge construction was not necessary for the city at all. At a small distance, there were other new bridges built that made better connections between different urban units. Moreover, the bridge going through the Oilmen's town cannot be used to its full capacity because it needs wider roads and is closed at night due to the demand of residents.

At present, conservators are trying to solve the issues relating to preservation of this important urban heritage. Establishment of protective zone is underway but the main question is how to save its integrity and authenticity.

The brief studies of these examples in different parts of the country may help to identify the main issues related to the problems of preservation of heritage values in developing cities. There is low level of protection and management. There is lack of awareness and understanding on heritage values and absence of coordination between different stakeholders, responsible bodies, and authorities. There is also lack of awareness of public and local communities and their non-involvement in the processes of protection, conservation, plan and project discussions.



Image 5: New bridges to the oilmen town in Atyrau

# Living culture and its changing reflection

## A case study of West Lake in Hangzhou City

Shulan Fu and Yukio Nishimura

### Short biodata

Fu Shulan grew up in Hangzhou, China. She moved to Tokyo in 2008 and pursued a Ph.D. from the University of Tokyo, with a research thesis in the history of Hangzhou Urban Planning. After graduation, she worked as a Research Associate for Prof Yukio Nishimura at the University of Tokyo and was primarily responsible for his Culture Heritage Conservation Project in Nepal and community-participated town planning projects in Japan. She is currently a lecturer at the Department of Urban Engineering at Zhejiang University and also a visiting researcher at the University of Tokyo.

Prof. Dr. Yukio Nishimura, Vice President and a physical planner at the Department of Urban Engineering at the University of Tokyo, teaches urban planning, urban design and urban conservation planning. He has also been advising a number of historic cities and towns for their conservation plans throughout Japan and Asian countries, such as Taiwan, Malaysia, Myanmar, Nepal, Sri Lanka, and China. He is a chief honorary advisor to the Council for Cultural Affairs of the Government of Taiwan. He also served as Vice President of the International Council on Monuments and Sites, ICOMOS International. He is also the president of ICOMOS Japan and president of the Asian Planning Schools Association, APSA. Professor Nishimura is an author of three award-winning books: 'Urban Conservation and Urban Design' (1997), 'Urban Landscape Planning' (2000), and 'Urban Conservation Planning' (2004) (both in Japanese) and another six books.

### Abstract

This paper aims to study West Lake within the overall urbanization process of Hangzhou city, and interpret an idea that while a culture is still alive; its reflections cannot help but change. Several basic understandings about West Lake will be clarified. West Lake was formed and improved mainly for water conservation, so it should be considered an integral part of city, not a separate garden or landscape creation. Also, its close link with gardening and the cultural landscape should be attributed to a specific social class, the Scholar-officials (scholar-gentry), and their values. As officials they implemented improvement projects to form West Lake, while as scholars they created poems and paintings to project their feeling onto it. 'Ten Views of West Lake' is their most concentrated reflection. With this in mind, this paper will then analyze physical changes in both West Lake and the literal and graphic descriptions of the 'Ten Views of West Lake' in different urbanization periods. Slight changes and reshaping due to cultural development can be observed before the end of the imperial era, in 1911. Afterward, social structure experienced a huge shift, Hangzhou City was reformed, and West Lake was incorporated into the city. The old scholar-official class disintegrated, and its culture was partly preserved in another form in the 1920s, due to newly developing tourism. Reflecting this great change, West Lake was reorganized and transformed into an urban landscape through step-by-step planning, which included the construction of road, parks, facilities, and the recreation of landscape components.



## Introduction

With the rapid development of recent decades, our understanding of cultural heritage is no longer limited to specific monuments or sites, but operates in the larger scope of landscapes or urban complexes, etc. Meanwhile, cultural diversity is being adopted as a universal value, and the discussion regarding the conservation of living cultural heritage is being raised in the context of developing countries.

However, as the Nara Document on Authenticity (1994) noted, 'depending on the nature of the cultural heritage, its

cultural context, and its evolution through time, authenticity judgements may be linked to the worth of a great variety of sources of information.' As a result, new challenges arise in dealing with a great variety of information and a wider scope of heritage without casting doubt on authenticity.

In order to discuss these new challenges, this paper studies West Lake within the overall urbanization process of Hangzhou city, clarifying several basic understandings of this heritage in a living urban heritage context.

## West Lake under the urbanization process of hangzhou city

West Lake of Hangzhou was included in the World Heritage List as 'an outstanding example of a cultural landscape that displays, with great clarity, the ideals of Chinese landscape aesthetics, as expounded by writers and scholars in the Tang and Song Dynasties.'<sup>1</sup> In both its official nomination report from the state and its recommendation statement of Outstanding Universal Value (OUV) from the World Heritage Committee, West Lake is valued as nothing

but a cultural landscape. However, if we review its entire formation history in a wider perspective, West Lake was formed and improved mainly for water conservation, and it should be considered an integral part of city, not just as a separate garden or landscape creation. Especially since the dramatic urbanization process of the modern era, West Lake is now a part of Hangzhou City.



Meanwhile, although West Lake reflects a Chinese landscape culture formulated in the Tang and Song, the culture itself is still alive and has been under development for centuries. As stated in the World Heritage Committee decision file<sup>2</sup>, '[it reflects] the very specific cultural tradition of improving landscapes to create a series of "pictures" that reflect what was seen as a perfect fusion between people and nature, a tradition that evolved in relevance to the present day.' So as a reflection of a living culture, West Lake never stopped its improvements and processes of change, in accordance with the culture's development.

Given these two basic understandings of West Lake, and in order to prove them, two key issues of West Lake, related to its OUVe, are analyzed below, within the urbanization process of Hangzhou city.

## Space

Considering its relationship with West Lake, Hangzhou city's urbanization process can be divided into 4 major periods<sup>3</sup>:

### Separated period (Song dynasty – 1907)

Before 1907, although every dynasty had its specific arrangement of urban structures and the city centre gradually

shifted from the south to the west side, Hangzhou city was continuously encircled by a city wall<sup>4</sup>. During this long ancient period, West Lake was physically separated from the city, and had its own relatively separate development, from a water source to a lake, combining both its function as a water source and as a prototype of traditional garden design.

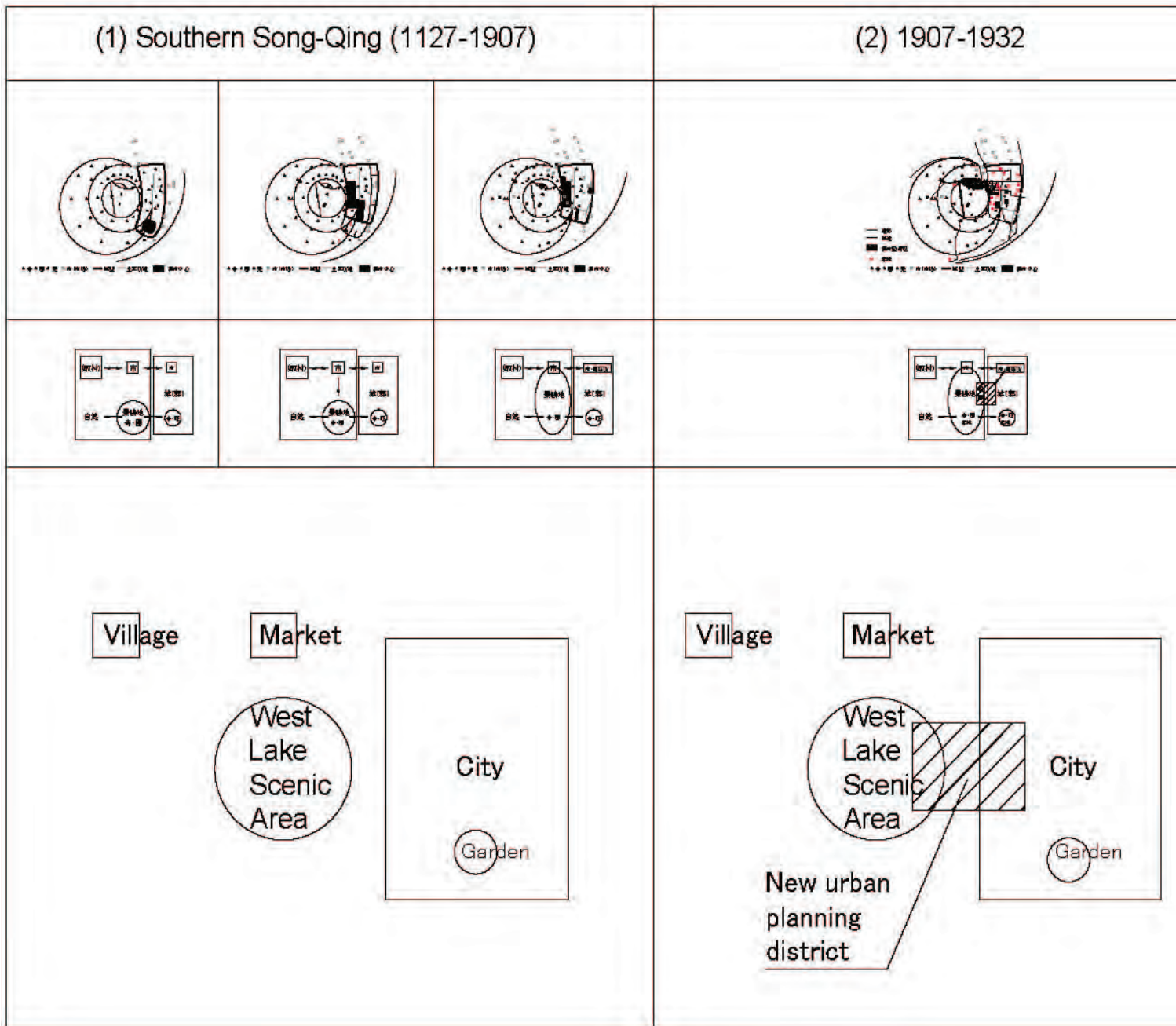
### Combining period (1907 – 1932)

After the city wall had been standing for over 2000 years, it began to be partly removed to accommodate new transportation construction needs and changing social structure. The construction of a train line in 1907 may be noted as a significant starting point, when the absolute division of inside and outside in the traditional city was no longer considered an important issue, and the city wall lost its real function. With this precondition, the west side of the city wall, which had divided West Lake from the city for centuries, was removed during the Xinhai Revolution, circa 1911. This can be considered one of the most important spatial changes in the whole urbanization process. As a direct result, a spate of urban planning-related projects<sup>5</sup> was taken out from a fringe area (the Lake-side Area between West Lake and the city) to West Lake. Since then, West Lake started its urbanization process and its spatial combination with Hangzhou city.

Figure 1: West Lake view © S. Fu





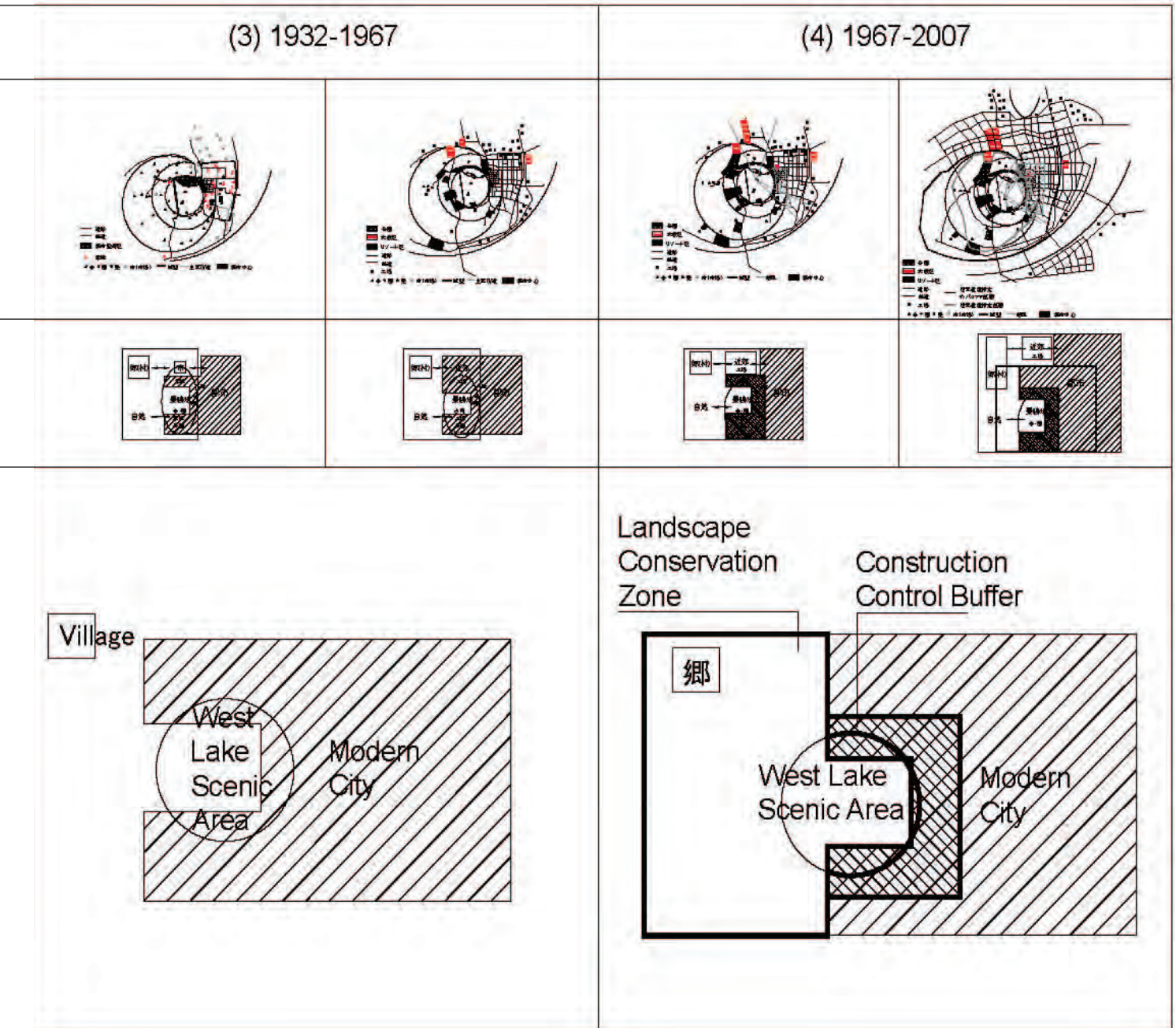


**Over-urbanized period (1932 – 1976)**

The earliest master plan of Hangzhou that can be found was made in 1932, and in this plan, West Lake and its surrounding hills were included and planned as a landscape district area for Hangzhou city. After that, at least seven master plans<sup>6</sup> were made, and although these plans were made for different political movements, the basic Lake-City urban structure of Hangzhou was developed and formulated during this period, and West Lake officially became an urbanized region. But construction with lesser consideration of traditional gardening ways, especially destructive activities<sup>7</sup> during the Cultural Revolution of the 1960s, was not an improvement, leading instead to an over-urbanized result.

**Integrated period (1976– 2007)**

As a correction to the previous period’s mistake, the aims of the master plan were revised and specific plans and regulations<sup>8</sup> were instituted. Restoration projects were undertaken to restore and enhance West Lake as a historical scenic area. There were two large-scale construction projects that significantly changed West Lake: one being a national-level project from 1976 to 1984 to restore West Lake, and the other a city-level project from 2000 to 2005 to enhance West Lake for its World Heritage application.



### Scenic views

Although the most famous Ten Scenic Views of West Lake were formulated in the Song, the way of choosing poetic views and its interpretation have changed in tandem with the urbanization process.

### Changing interpretations of the Ten Scenic Views (Southern Song)

The most famous Ten Scenic Views are typically considered to have been formally recognized since the Southern Song Dynasty (13th century), and each view related to a place, recognized in sum as the ‘ten poetically named scenic places

of West Lake’<sup>9</sup>. But it is incorrect to presume that every Scenic View started as a link to a specific place in West Lake, or that every scenic place is now at the same location where it was in the Southern Song. By analyzing and comparing historic paintings and maps about the Ten Scenic Views in different dynasties, we note that the ten poetically named scenic places mentioned in the World Heritage Committee Advisory Body Evaluation Report were not, in fact, identified in the Southern Song, but correspond to imperial steles from the Qing Dynasty. And this change in interpretation reflects an influence from improvement construction projects, which have contributed to West Lake’s physical integrity since the Southern Song dynasty. (Table. 1)



Table.1 Ten Scenic Views and its interpretations

Ten Scenic Views			Ten poetically named scenic places(UNESCO report <sup>(C)</sup> )
Name	Location in Southern Song Dynasty <sup>(A)</sup>	Stele location identified by Qing Emperor <sup>(B)</sup>	
Autumn Moon Over the Calm Lake		Ping-hu-qiu-yue Pavilion on <u>the north-east of the main lake</u>	views form the <u>north-east of the main Lake</u> to the three isles, hills to the west, south and east sides of West Lake
Su Causeway in the Morning of Spring	Su Causeway	Su Causeway	views of the lake from the centre of the causeway to both east and west
Lingering Snow on Broken Bridge	DuanQiao	DuanQiao	view to DuanQiao, Broken bridge at east end of Bai Causeway and beyond to the west
Leifeng Pagoda in Evening Glow	Leifeng Pagoda	Leifeng Pagoda	views of Xizhao Hill, Leifeng Pagoda, the area between Xizhao Hill and Chang Bridge
Evening Bell Ringing at Nanping Hill	Nanping Hill and the bell of <u>Jing-ci temple</u>	<u>Jing-ci temple</u>	views at the foot of the NanpingHill, south of the lake and the bell of Leifeng Pagoda
Breeze-ruffled Lotus at Winding Garden	<u>Qu Yuan</u>	Hua-gang-guan-yu Park on <u>the north end of the Su Causeway</u>	views form a garden with lotuses in summers near the <u>north end of the Su Causeway</u>
Viewing Fish at Flowery Pond	<u>Lu Yuan</u> (private garden)	Hua-gang-guan-yu Park <u>between the Small South Lake and Inner West Lake in the west</u>	views <u>between the Small South Lake and Inner West Lake in the west</u>
Orioles Singing in the Willows	<u>Ju-jing Yuan</u> (royal garden)	Liu-lang-wen-yin Park on <u>the south-east shore</u>	views <u>along the north-east shore</u> <sup>(D)</sup>
Three Pools Mirroring the Moon	Three Pools (not at the place where the current pools are)	<u>Three pools of Lesser Yingzhou isle</u>	views of <u>the pools of Lesser Yingzhou isle</u> and the hills to the east and south of the main Lake and to the west across the Su Causeway
Twin Peak Piercing the Cloud		Shuang-feng-cha-yun Pavilion inside Botanical garden <u>near the north-west corner of the lake</u>	views of the Nango and Beigao Peaks <u>southwest of the lake</u> <sup>(E)</sup>

Notes:

- A. UNESCO, Advisory Body Evaluation: West Lake of Hangzhou No. 1334, [http://whc.unesco.org/archive/advisory\\_body\\_evaluation/1334.pdf](http://whc.unesco.org/archive/advisory_body_evaluation/1334.pdf) (2013/10/31) , pp143
- B. YANG Su-chi, SHINJI Isoya, A Study on the Formation Process of the Ten Views of West Lake as a Scer Spot in Hangzhou, China(PAPERS OF THE 15th SCIENTIFIC RESEARCH MEETING), Journal of the Japanese Institute of Landscape Architecture 60(5) , 1997-03-28, pp465-470
- C. Li Wei, Xi-hu-quan-tu (Drawing of West Lake), Xi-hu-zhi, Qing dynasty
- D. This may be an error in the report, according to the map. 'North-east' should be 'south-east'.
- E. This may be an error in the report, according to the map. 'Southwest' should be 'north-west'.



## New trends in naming poetic views

Meanwhile, the Ten Scenic Views are not the only poetic views of West Lake. After the Southern Song dynasty, almost every dynasty had its own new representative views created, such as the Qian-tang Ten Scenic Views in the Yuan dynasty and the Eighteen Scenic Views in the Qing dynasty. Also, in the modern era, New Ten Scenic Views of 1985 and New Ten Scenic Views of 2007 were officially nominated as well.

By comparing these chosen views in different times (Table. 2), we can figure out that more and more artificial elements were included as the main objects of observation in scenic

views, although its original and main purpose was to project human feelings onto nature. Also, activities and physical space related to the human-nature relationship such as farming (woodcutter's singing, tea tasting, water village, tea planting village) gradually appeared in scenic views. Furthermore, a clear urbanization trend can be observed. Those artificial elements gradually included not only man-made landscape elements (Pagoda, Pools, and Pavilion, etc.), but also human activities within the urban life (Market), and even the urban area itself (Great view of city, Lake-side area and Bei-shan street).

Table.2 Scenic views in different times

Ten Scenic Views (Southern Song dynasty)	Qian-tang Ten Scenic Views (Yuan dynasty)	Eighteen Scenic Views (Qing dynasty)		New Ten Scenic Views (1985)	New Ten Scenic Views (2007)
Autumn Moon Over the Calm Lake	Late Moon Over the West Lake	Hu-shan Temple in Spring	Plantain-like Stone and Sound of Zither	Yu-huang Hill surrounded by Flying Cloud	Zen Trace in Ling-yin Temple
Su Causeway in the Morning of Spring	Autumn Tide of Zhe-jiang River	Gong-de-chong-fang Monument	Jumping Fishes in Yu-quan Spring	Heavenly Wind in Wu-shan Hill	Hearing Tide from Liu-he Pagoda
Lingering Snow on Broken Bridge	Snow on Gu-shan Hill	Yu-dai Bridge in Sunshine	Blowing Pine Forest on Phoenix Hill	Circling Green in Ruan-dun Island	Yue-wang Tomb in Evening Glow
Leifeng Pagoda in Evening Glow	White Cloud with Twin Peaks	Xi-shuang Pavilion in Morning Rays	Calm View from Lake Center	Osmanthus Rain in Man-long	Lingering along Lake-side Area
Evening Bell Ringing at Nanping Hill	Sunrise in East Side	Returning Cranes in Plum Forest	Great View of city, lake and river from Wu-shan Hill	Tea Tasting beside Long-jing Spring	Biao-zhong Shrine for King Qian
Breeze-ruffled Lotus at Winding Garden	Night Market outside of North Gate	Fish Pond with Autumn Hibiscus	Tian-zhu Incense Market	Misty Trees beside Jiu-xi Stream	True Love born in Wan-song Ancient School
Viewing Fish at Flowery Pond	Nine Miles of Clouding Pine	Fine House with Lotus Pond and Pine Trees	Quiet Alley towards Clouds	Early Green around Huang-long Cave	Lingering along Yang-gong Causeway
Orioles Singing in the Willows	Misty Willow and Six Bridges	Lai-feng Pavilion on Bao-shi Hill	Sea-like Tide View from Tao-guang Temple	Dream Spring in Hu-pao Temple	Water Village under San-tai Hill
Three Pools Mirroring the Moon	Whispering Stone and Woodcutter's Singing	Riding and Archery in Ting-zi-wan Bay	Early Plum Flower beside Xi-xi Stream	Bao-shu Pagoda in Evening Glow	Early Spring in Mei-jia-wu Tea Planting Village
Twin Peak Piercing the Cloud	Monkey's Roaring around Cold Spring			Quiet Alley towards Clouds	Dreaming back along Bei-shan Street



### Culture-related social classes

In order to further this understanding, we have performed a comprehensive analysis to concatenate the space urbanization process, the development of the scenic views, and its culture-related social class in the same timetable. (Table. 3)

Slight value changes in the scenic views, due to the reshaping of the urban space, can be observed before the end of the imperial era, around 1911. Afterward, social structure experienced a huge shift, and West Lake was reorganized and transformed into an urban landscape through step-by-step

planning, which included the construction of roads, parks, and facilities. The old scholar-official class disintegrated, but its culture was kept alive by the scholar-gentry class and partially preserved into another form, the newly developing intellectual class. Reflecting this cultural continuity, West Lake’s space characteristics, as finalized in the Qing dynasty, were maintained and revised by landscape improvement projects and protected from over-urbanization by planning controls after 1976, while the tradition of naming scenic views was also continued into the present.

**Table.3 Comprehensive analysis**

	Song	(Yuan) Ming	Qing	1907-1932	1932-1976	1976-2007
Space Urbanization	Separated from city (City centre's shift to the west side)			Combining	Over-urbanized	Integrated
Scenic Views	Ten Scenic Views have been Located					
	Ten Scenic Views	Qian-tang Ten Scenic Views	Eighteen Scenic Views		New Ten Scenic Views (1985)	New Ten Scenic Views (2007)
		Market	Market City			Urban Street
Culture-related Social Classes	Scholar-officials		Scholar-gentry			Intellectual
			New breed of Intellectual			



Figure 3: West Lake Full Views [Source: Xi-huZhi, Qing dynasty]

## Conclusion

From the analysis above, one basic understanding about West Lake can be stated. West Lake, with its representative Scenic Views, was formed and improved within a gradual urbanization process. Although it is closely linked with gardening culture and Chinese landscape aesthetics, which relate to a specific social class, the Scholar-officials (scholar-gentry)<sup>10</sup>, and was finally named an ‘outstanding example of a cultural landscape’<sup>11</sup>, West Lake should be considered an integral part of city and a living urban heritage, not a separate garden or landscape creation.

Furthermore, this case study explored a method of analysis to deal with the challenges in applying for authenticity for a living heritage in combination with monuments and objects, especially dealing with a great variety of sources of information. In this case, the method is to first specify the heritage-related culture with its corresponding people, and then to analyze the transformations in its figurative and non-figurative representations, following the changes in social structure, in order to clarify the nature of its development.



Figure 4: West Lake Full Views [Source: Xi-huZhi, Qing dynasty]



## Notes

1. World Heritage Committee, Committee Decisions 35COM 8B.25 Cultural Properties - West Lake Cultural Landscape of Hangzhou (China), <http://whc.unesco.org/en/decisions/4296> (2013/10/31)
2. World Heritage Committee, Committee Decisions 35COM 8B.25 Cultural Properties - West Lake Cultural Landscape of Hangzhou (China), <http://whc.unesco.org/en/decisions/4296> (2013/10/31)
3. One basic material for space analysis is the historic city map. As the most recent extant city map is from the Song dynasty, the time span of space analysis is from Song dynasty to the present.
4. Strictly speaking, there was one period (Yuan dynasty) when the city wall was destroyed for political reasons. The Yuan period was dominated by Mongolian culture,

and was much shorter as compared to centuries of Han cultural domination (Song dynasty, Ming dynasty, and Qing dynasty) and is usually considered to be a special exception to the continuous development of the Chinese tradition. Thus, this wording is reasonable, considering the continuity of culture.

5. Fu Shulan, Study on Hangzhou city's morphological and ideological changes in early-modern times : A review of 5 plans in early 20th Century, *Papers on city planning* 47(3), 2012-10-25, pp697-702
6. Fu Shulan, Study on the Planning history of Shanshui City in Hangzhou , China: Focusing on the merging process of Westlake's Landscape into City Planning, A Ph.D. dissertation submitted to the University of Tokyo, National Library of Japan, pp89-104
7. Fu Shulan, Study on the Planning history of Shanshui City in Hangzhou , China: Focusing on the merging process of Westlake's Landscape into City Planning, A Ph.D. dissertation submitted to the University of Tokyo, National Library of Japan, pp113-115
8. Fu Shulan, Study on the Planning history of Shanshui City in Hangzhou , China: Focusing on the merging process of Westlake's Landscape into City Planning, A Ph.D. dissertation submitted to the University of Tokyo, National Library of Japan, pp133-142
9. World Heritage Committee, Advisory Body Evaluation: West Lake of Hangzhou No. 1334, [http://whc.unesco.org/archive/advisory\\_body\\_evaluation/1334.pdf](http://whc.unesco.org/archive/advisory_body_evaluation/1334.pdf) (2013/10/31) , pp143
10. As officials they implemented improvement projects to form West Lake, while as scholars they created poems and paintings to project their feeling onto it. Scholar-officials such as Bai Ju-yi (Tang dynasty), Su Shi (Song dynasty), Yang Meng-yin (Ming dynasty) and Li Wei (Qing dynasty) etc. can be enumerated.
11. World Heritage Committee, Committee Decisions 35COM 8B.25 Cultural Properties - West Lake Cultural Landscape of Hangzhou (China), <http://whc.unesco.org/en/decisions/4296> (2013/10/31)



Figure 5: *Autumn Moon Over the Calm Lake*: a Ming dynasty's plate to illustrate one of the Ten Scenic Views (Southern Song dynasty)  
[Source: *Hai-nei-qi-guan*, Ming dynasty]

# Preservation of authenticity beyond the cultural divergences

## A comparison of conservation works in Japan and Spain

Alejandro Martínez de Arbulo Honda

### Short biodata

Alejandro Martínez de Arbulo Honda was born in 1984 in Japan and is a PhD candidate at The University of Tokyo. He is a graduate in Architecture from Navarra University (Spain) in 2008 with a specialization in architectural preservation. Since 2010, he conducts research in Japan, focusing on the conservation of wooden buildings. He defended his master thesis, 'A Study on the Characteristics of Japanese Architectural Heritage Preservation through the Comparison with the Western Approach' in 2013 and is currently working on a comparative study of wooden architecture preservation principles in Japan and Europe. He is a member of ICOMOS Japan.

### Abstract

The concept of authenticity in the field of conservation was traditionally taken for granted and left without definition in the international charters. The Nara Document, while avoiding to set a closed definition, tried to broaden its meaning introducing aspects such as use, function, spirit and feeling. In this way, cultural diversity was acknowledged, but at the same time, the concept of authenticity became increasingly vague and its definition more difficult. This could lead us to interpret that the idea of authenticity is essentially different for people in the West and in the East, or for stone-masonry architecture and wooden architecture. However, if we go beyond the superficial differences, we can find a certain common perception of what is authenticity through different cultures. This paper compares examples of conservation works in Japan and Spain, focusing in how conservation specialists assessed and tried to preserve authenticity. In the case of architectural monuments, authenticity is linked to the preservation of the original material in Japan as well as in Spain. However, in both countries replacement of damaged parts will take place when the structural integrity of the building is compromised. On the other hand, in the case of cultural landscapes and living urban heritage, maintaining the original function is considered a key factor in preserving authenticity. Thus, it is clear that the underlying concept of authenticity is similar in both countries, and the differences stem mainly from the characteristics of the cultural heritage, rather than from a different approach to conservation practice.



## The meaning of authenticity in Japan and in the West

The concept of authenticity in relation to heritage preservation lacks a clear delimitation in the international conservation charters and doctrinal documents. The term is employed without definition in the Venice Charter<sup>1</sup>; and it does not appear in the Burra Charter<sup>2</sup> The Declaration of Dresden<sup>3</sup> identifies authenticity as a feature of the 'original substance of the monument.' The Nara Document on Authenticity<sup>4</sup> avoids giving a rigid definition for the concept; however it states that it is 'the essential qualifying factor concerning values.' The Riga Charter<sup>5</sup> further develops this idea, characterizing authenticity as 'a measure of the degree to which the attributes of cultural heritage (...) credibly and accurately bear witness to their significance.' The Operational Guidelines of the World Heritage Convention<sup>6</sup> stipulated that in order to be inscribed in the World Heritage List, cultural properties must meet the test of authenticity in design, materials, workmanship and setting; after the Nara Document, aspects of authenticity broadened to include use, function, spirit, feeling, 'and other internal and external factors.'

The examination of these documents makes evident that defining authenticity is a difficult task. Nevertheless, we have to consider that most Western European languages employ similar words for the concept, derived from the same Greek and Latin roots<sup>7</sup>. In these languages, the words corresponding to authenticity, far from being limited to the field of conservation, are of common usage, and the idea behind them is shared by conservation specialists and the general public alike. As far as countries speaking these languages are concerned, it is safe to assume a shared understanding of what is authentic and what is not, even if a formal definition is lacking.

In Japan, on the other hand, the validity of the concept of authenticity is not self-evident. There is no word in the Japanese language with a one-to-one correspondence to

'authenticity'<sup>8</sup>; in fact, in the context of heritage preservation, the English term is often employed without translating it.<sup>9</sup> The accurate meaning of this term is difficult to understand even for specialists, and it is not employed in repair projects or reports<sup>10</sup>. Its use is limited almost exclusively to the 'test of authenticity' for properties to be inscribed on the World Heritage List. Therefore, the concept of authenticity could seem at first sight foreign to the Japanese preservation practice. However, a careful examination of the Japanese architectural preservation method will reveal that a concept equivalent to that of Western authenticity is also present in the Japanese cultural context, and that different efforts are being made to preserve this quality.

This paper compares examples of interventions in architectural heritage carried out recently in Japan and Spain, focusing on how the questions of authenticity and its preservation are dealt. From this analysis, it becomes possible to propose answers to the question of how we can balance the Japanese preservation method with the requirements of the Western concept of authenticity.

Approaches towards the preservation of authenticity must adapt to the specific nature of the values that are present in the heritage. An architectural monument where the original use has already been lost, valuable primarily as a work of art and a historic document, will require a different treatment from a historic urban space or a cultural landscape where the original relationship between human activity and built environment is still present. This paper will study first the Japanese approach to the preservation of authenticity in traditional architectural monuments. Then, it will present two examples of cultural landscapes, a historic rural area in Japan and a saltern in Spain, to analyze how both countries address the preservation of these new categories of heritage, often referred to as 'living heritage.'

## Authenticity of wooden architectural monuments in Japan: the original material and the replacement of members

The presence of original material is the most easily understandable indicator of the authenticity of an architectural monument. Japanese historic timber buildings, however, are subject to a warm and humid climate where

members decay quickly. Consequently, periodical repairs, where decayed materials replaced, are unavoidable. Approximately every 150-200 years, a major repair is carried out, and around 30 per cent of the extant material of the

building is replaced<sup>11</sup>. Nevertheless, in every repair, the replaced members are localized in the most exposed parts, like the eaves and the veranda, while inner and structural members are typically reused. As a result, in certain buildings where good quality timber was employed, like the five-storied pagoda of Horyu-ji Temple, around 80-90 per cent of the original material of the main structure (pillars, beams and bracket complexes) is still present after 1300 years<sup>12</sup>.

From the western point of view, however, any loss of the extant fabric of the building damages the authenticity, and replacement of material is not desirable. This respect for the material authenticity is also present in current Japanese architectural preservation practice, and the replacement of material is kept to a minimum. In traditional, pre-modern repairs, members would be completely substituted if mending their damaged parts was deemed more costly than acquiring a new member. This practice was still present during the early stage of the repair of buildings in the modern context of heritage preservation<sup>13</sup>. However, by 1940 a document issued by the Ministry of Culture, detailing the guidelines for the repair of buildings designated as National Treasures, contained a recommendation to ‘make an effort to use ancient materials’<sup>14</sup>. This policy went on to become one of the central principles of timber architecture repair in Japan, and today, carpenters devote a great amount of effort and technical skill to mending members with decayed parts through woodwork joints and spliced fills (Fig. 1). Even in cases where an element is damaged beyond repair through carpentry techniques, certain elements are recovered using synthetic resins if they are judged to be of special historical significance. This is the case of the five pillars of the Hakogi Farmhouse, which were original members in a building thought to be the oldest of this type in Japan (Fig. 2). Whether this wood-resin hybrid element can still be considered authentic remains debatable, however, this costly treatment shows the commitment of Japanese conservation specialists to the preservation of material authenticity.

On the other hand, the practice of replacing damaged elements is not exclusive of Japanese timber buildings. Substitution of original material is also carried out in European stone masonry architecture to preserve the structural stability of the building. An example of this practice is the substitution of two pillars in the Seville Cathedral (Spain) in 2006. The pillars were composed of a low quality sandstone formwork filled with mortar and rubble, and cracks had appeared in the fabric. To guarantee the structural safety, it was decided to replace completely the original material of the pillars with new stone (Fig. 3). The building had a long history of similar repairs, with documented pillar substitutions in 1511 and 1888, and replacement of the lower part of 60 pillars between 1911 and 1915. A common challenge in this kind of repair



Figure 1: Repair of an old member through woodworking in Japan



Figure 2: Repair of a pillar (Hakogi Farmhouse)



Figure 3: Replacement of pillars in Seville Cathedral



is the conservation of the material that has been removed from the building. In the case of the Seville Cathedral, the original stone had to be disposed of due to the lack of an adequate storage space<sup>15</sup>. In Japan, old replaced members are often stored under the floor or under the roof of the building; however, limitations in space also cause the loss of many materials. Strategies to manage replaced elements, and to preserve them as an integral part of the building even after they are removed, need to be developed in both countries.

Another question that arises when historic buildings are repaired through the replacement of elements is the harmonization of old and new material. In Western architectural conservation, the differentiation between old and new material is long-established precept<sup>16</sup>. The Venice Charter states that ‘replacements of missing parts must integrate harmoniously with the whole, but at the same time must be distinguishable from the original so that restoration does not falsify the artistic or historic evidence,’ and Bernard Feilden notes that additions should be ‘less noticeable than the original material’<sup>17</sup>. In Japanese historic timber buildings, however, old wood is darker in tone due to sun radiation, fungi, and soot stains, while new wood is lighter and more visible. The main current in Japanese conservation up-to-date is to apply a coating to new elements located in visible parts of the building to match the colour of old members (Fig. 4). This practice protects the aesthetical integrity of the building, yet it can be argued that it obstructs the interpretation of the material authenticity. A particularly questionable technique is the imitation of the erosion of the surface by burning new members with a torch and then brushing them with a steel brush. This procedure makes the differentiation between original and new members difficult even at close inspection and should consequently be avoided. On the other hand, in recent years colouring of new members has been completely

abandoned in some conservation works, like the repair of the main hall of Ryufuku-ji Temple, completed in 2010 (Fig. 5). In this case, adjustment between old and new members takes place naturally in 20-30 years<sup>18</sup>. Although still a minority, the emergence of this tendency shows that a shift in the conservation policy is taking place among Japanese specialists. The traditional approach, which stressed the aesthetical value of the heritage, is giving way to a view that puts more stress on the material authenticity and the readability of the repair work. The technique of colouring new members has an old tradition in Japan and it is valuable on its own; thus it would be a mistake to eliminate it completely. Instead, the decision whether to apply it or not should be made case by case, attending to the proportion and distribution of new elements, and the preferences of the users of the building.



Figure 4: Coloring of new members in Japan

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Figure 5: Ryufuku-ji Temple Main Hall

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## Preservation of cultural landscapes in Japan: the living historic rural area of Kunimura - Akaiwa

In Japan as well as in the West, most architectural monuments have either lost their original function, or seen it suffer substantial change. Residences are turned into museums, and religious buildings often become primarily cultural assets and touristic attractions. However, in some cases, the original relation between human activity, built environment and landscape is still present. Although this relation is often extremely vulnerable, it is one of the keys to the authenticity of the heritage; thus, adequate strategies must be developed for its preservation.

Kunimura - Akaiwa village, in Gunma Prefecture, Japan is an example of cultural landscape where the historic relation between activity and heritage is still at least partially present<sup>19</sup>. The village consists of 61 houses, distributed along a central road on the eastern slope of a deep valley, with a river flowing at the bottom (Fig. 6, Fig. 7). Narrow crop fields and market gardens are located around the houses; due to the lack of flat terrain, a very limited surface is suitable for rice fields. Small shrines and temples stand at the limit between the mountains and the village, acting as visual boundaries. Apart from the main houses, each estate typically comprises several mud daub storehouses and small sheds; huts for storing farming tools are also scattered over the fields.

From remaining maps and documents, we know that the village had already reached its present structure and scale by the late 18th century. The typical architectural features of its buildings, on the other hand, were defined by the introduction of sericulture in the second half of the 19th century. In this period, production of silk became a major economic activity in Japan, and most farmhouses of this region engaged in the rearing of silkworms; the cocoons were after sold to silk producing companies. Sericulture required large spaces for storing mulberry leaves feed the silkworm larvae and deploy the cocoon holders. The location of the village, on a steep slope with little flat terrain available, forced to obtain the necessary space by building two-storied and three-storied houses. These buildings were both dwellings and factories: the first story was the residential space and the upper stories were used for sericulture. Upper stories had big openings with railings in the façade to load the mulberry leaves, and no inner partitions (Fig. 8). Today, 30 houses of this typology, built between the late 19th century and the 1960s, are still standing in Kunimura-Akaiwa. Although sericulture has



Figure 6: Kunimura - Akaiwa plan



Figure 7: Kunimura - Akaiwa general view



Figure 8: Seki Komazaburo residence



already been abandoned, they are still used as residences. The simple, industrial-like appearance of this architecture, where the timber structure is the main design element, appealed to Japanese modernist architects, and the village was included in a famous photography collection of Japanese farmhouses in 1962<sup>20</sup>.

Since 2004, continuous research and documentation work has been carried out to study and develop the preservation strategies for Kunimura–Akaiwa<sup>21</sup>. In 2006 the village was designated at a national level as an ‘Important Group of Traditional Buildings.’ One of the key factors that make Kunimura–Akaiwa such a valuable heritage is the fact that the authenticity of use and function is still mostly intact. Unlike other designated historic districts that have become centres of mass tourism, Kunimura–Akaiwa attracts relatively few visitors; the residents’ main activity is still farming and the residential function of the buildings has not been altered. Conservation strategies give priority to protecting this authenticity, while making possible the sustainable development of the village. As a result, repair guidelines are different from those employed with monuments that have lost their original function. In Japan, repair of farmhouses typically involves the restoration of the original features of the building and removal of latter additions. This is the case, for instance, of the Hirai farmhouse, where the outer glass sliding doors were substituted by wooden sliding doors, the later kitchen and bathroom removed, and the interior distribution restored to the original form. In the case of the buildings of Kunimura–Akaiwa, however, adopting this policy would have a negative impact in the living conditions of the residents; consequently, maintaining the current state is the basic principle. Outer glass sliding doors could be substituted by new ones with wooden frames and improved design, but the restoration of wooden doors is not desirable. The original roofing material was wooden planks, but restoring it would not be feasible for technical and maintenance reasons. Moreover, the decorative details of the existing zinc roofs have a value of its own (Fig. 9). New uses, such as limited lodging for visitors, could be introduced selectively in the upper floors, as long as they respect the character of the building and require minimum changes. Finally, it would be desirable to designate the area as a Cultural Landscape, a system



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Figure 9: Kunimura - Akaiwa zinc roof detail

that was implemented in 2005, in order to protect also the crop fields and surrounding forests.

The example of Kunimura–Akaiwa shows that strategies to preserve authenticity must change to adapt to the specific values of the heritage. In the case of living cultural landscapes, priority should be given to the preservation of the original use and function over aesthetical or educational aspects.

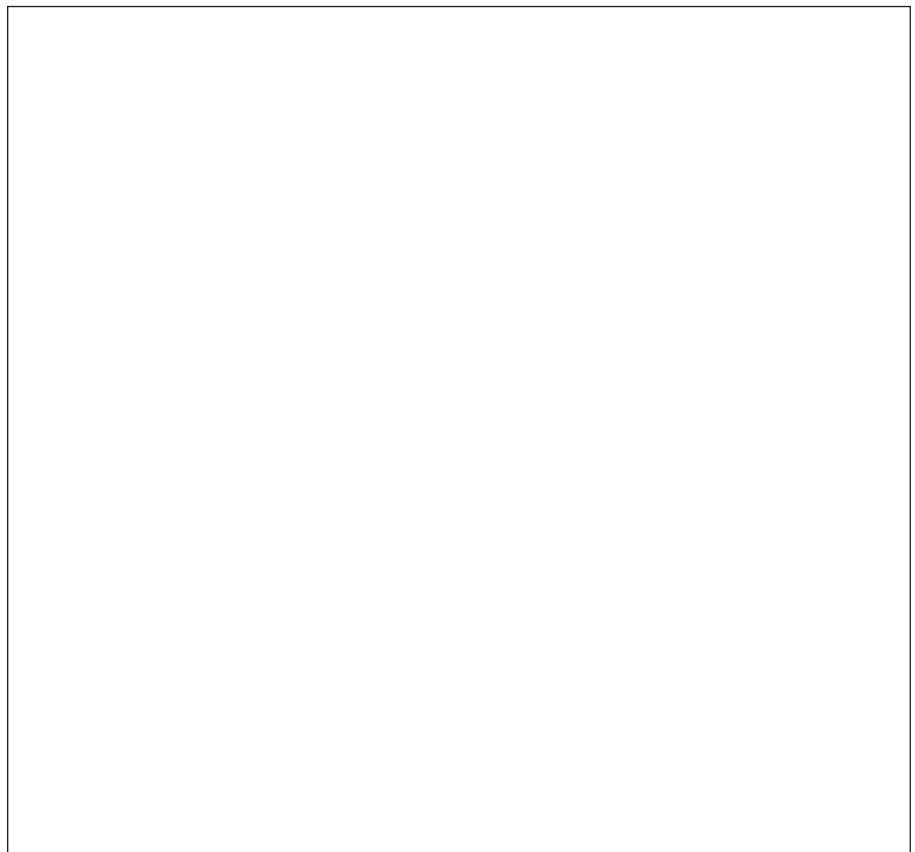


Figure 10: Añana Salt Valley plan

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Figure 11: Evaporation pans

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## Preservation of cultural landscapes in Spain: the Añana Salt Valley

The Añana Salt Valley, located in the Basque Country in northern Spain, is another example of living heritage where conservation of the original activity is the key to preserving authenticity<sup>22</sup>. The landscape is the result of the continued effort to make best use of the natural conditions for the salt-making activity. Highly concentrated salt water, originating in underground geological deposits, flows from five natural springs located on the southern, higher end of the valley. From there, a system of channels, made of hollowed pinewood logs, transports the brine to storage wells spread all over the valley. Salt is produced in evaporation pans through the action of wind and sun (Fig. 10). The evaporation pans lay on timber structures, consisting of a grid of sill timbers as foundation, posts reinforced with braces, and joists, which support the floorboards (Fig. 11, Fig. 12).

Salt has been produced through this method in the valley for at least 1200 years; however, its shape, materials and techniques have been in

permanent change. The oldest existing elements date from the late 18th century, when the saltern reached its peak production and extension. Since then, activity decreased gradually due to the appearance of industrial salt making methods with a much lower production cost. By the end of the 1960s, the saltern was completely abandoned.

The Añana Salt Valley was declared as a National Monument in 1984, and from 2000 extensive research and repair works



Figure 12: Timber structures

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*Figure 13: Traditional salt production*

have been carried out to recover its cultural value. The conservation guidelines were laid down in a Master Plan by a multidisciplinary team of specialists in 2004. The character of the cultural landscape of Añana challenges the traditional notion of architectural monument. The saltern is not the creation of a single designer at a certain point in time, but rather the result of the superimposed work of countless salt makers throughout time. Therefore, restoring it to a particular shape, or even conserving its current appearance is not satisfactory answers, and alternative intervention strategies must be developed. The intervention policy adopts a case-by-case approach, with the common ultimate aim of recovering the salt-making activity. Damaged timber members are replaced, trying to keep as much as possible of the extant material. On the other hand, elements that have been completely lost, like some timber structures, evaporation pans and stone masonry walls, are reconstructed employing original construction techniques. In addition, completely new elements have been introduced; the most remarkable being the finishing material of the evaporation pans. Originally, clay was the waterproofing and finishing surface of the pans; however, it mixed with the salt affecting its colour and

quality. In the 18th century, a layer of pebble was added to the surface, and in the 20th century a finishing layer of cement was introduced. Cracking of the cement required new layers to be added, until the pan became too heavy and had to be demolished. To avoid this problem, the finishing surface in repaired pans changed to natural stone tile. Up-to-date, around 600 out of 5648 pans have been recovered for use, and activity has been oriented to produce high-quality salt following the traditional method (Fig. 13).

The Añana Salt Valley is an example of living heritage where conventional approaches to preservation practice must be revised. Interventions like the reconstruction of lost structures and the change of construction materials are typically ruled out in architectural conservation because they damage the material authenticity. However, in this case priority must be given to preserving the authenticity of the original use and function. The shape and material of the saltern changed constantly in the past and we must expect it to continue changing in the future. Therefore, the key to protecting authenticity is conserving the permanent relation between landscape, construction and human activity.



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## Conclusion

The Nara Document broadened the concept of authenticity in order to acknowledge cultural diversity. Instead of stating a fixed definition, it stated that ‘the specific nature of its heritage values and the credibility and truthfulness of related information sources’ should be recognized within each culture, and, at the same time, that ‘balancing their own requirements with those of other cultural communities’ is highly desirable. However, the validity of the concept of authenticity outside the European cultural context, and thus the feasibility of attaining this balance, remains a matter of debate.

The examples presented in this paper show that even in countries with different cultural values like Japan and Spain, we could find common judgments about the preservation of authenticity. Consequently, it is possible to develop policies to stress this common basis and improve the mutual

understanding of each country’s cultural heritage.

Regarding architectural monuments, the importance of preserving the original material is a shared notion both in Japan and Spain. Approaches to improve the conservation of material authenticity will involve developing a system to conserve the elements removed from the building, and facilitating the interpretation of the monument through an adequate differentiation of original work and repaired elements.

In the case of living architectural environments, strategies applied in both countries show that priority is given to the preservation of the authentic use and function of the heritage. In this context, controlled change and evolution should be allowed, as long as it makes possible to keep the original relation between heritage and activity.

## Notes

- (1) International Charter for the Conservation and Restoration of Monuments and Sites Ind International Congress of Architects and Technicians of Historic Monuments, Venice, 1964
- (2) The Australia ICOMOS Charter for the Conservation of Places of Cultural Significance Australia ICOMOS, 1979,1981,1988,1999



- (3) Declaration of Dresden on the “Reconstruction of Monuments Destroyed by War” 1982
- (4) The Nara Document on Authenticity, 1994
- (5) The Riga Charter on Authenticity and Historical Reconstruction in Relationship to Cultural Heritage 2000
- (6) The Operational Guidelines for the Implementation of the World Heritage Convention, 1978
- (7) The etymology and early usage of the word “authenticity” is discussed by Jokilehto, J. in *Authenticity: a General Framework for the Concept*, in *Nara Conference on Authenticity – Proceedings* pp 17-34 Tapir, 1995
- (8) The translation to Japanese of the word “authenticity” is discussed by Ito, N. in “Authenticity” *Inherent in Cultural Heritage in Asia and Japan*, in *Nara Conference on Authenticity – Proceedings* pp 17-34 Tapir, 1995
- (9) See, for example, the official Japanese translation of *The Nara Document* by the Agency of Cultural Affairs.
- (10) Takashina, M., *The Current State of Japanese Heritage Preservation from the Perspective of the Conservation Architect*, *Proceedings of the First Symposium on Heritage Conservation*, JACAM (Japanese Association for Conservation of Architectural Monuments) 2013 (in Japanese)
- (11) Larsen, K. E., 1994
- (12) Suzuki, K., *Conservation and Repair of Japanese Wooden Architecture*, *Proceedings of the Nara International Silk Road Symposium*, Silk Road Research Center, 1995 (in Japanese)
- (13) Murakami, J., 2010
- (14) Kokuho KenzobutsuIji Shuri Yoko (On the Maintenance and Repair of Buildings Designated as National Treasures) passed in 1940 (in Japanese)
- (15) Jimenez Martin, A., *The Project of the Substitution of the Pillars 4C and 5C of the Cathedral of Seville*, in *Patrimonio Cultural de España* n. 2, 2009 (in Spanish)
- (16) The restoration of the Arch of Titus (1818-1823) by Stern and Valadier can be cited as an early example of this practice, and the principle is already set in the first “Restoration Charter” by C. Boito in 1883.
- (17) Feilden, B. M., 2003
- (18) Larsen, K. E., 1994
- (19) Keisuke F., Tsunoda M., Nakamura T., 2005
- (20) Futagawa, Y., Ito T., *Nihonno Minka, Bijutsu Shuppansha*, 1962 (in Japanese)
- (21) The conservation strategy for Kunimura – Akaiwa is currently being developed by a team in the History of Japanese Architecture Lab., University of Tokyo, led by Prof. Fujii, K.
- (22) The conservation of Añana Salt Valley is discussed in Landa, M., Ochandiano, A., 2013

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# Traditions, materiality and community engagements with heritage

## Re-thinking authenticity in living heritage sites in Nepal

Neel Kamal Chapagain

### Short biodata

Neel Kamal Chapagain is an architect and heritage professional. He is currently developing a Masters Degree Program on Heritage Management at Ahmedabad University, India. He has co-edited the book, 'Asian Heritage Management: Contexts, Concerns and Prospects' (Routledge, London & New York: 2013). He received his academic degrees from Tribhuvan University, Nepal (B.Arch.), University of Hawaii at Manoa, USA (D. Arch.), and University of Wisconsin-Milwaukee, USA (Ph.D.). He also participated in the conservation-training course from ICCROM. He is interested in exploring contextual issues and developing participatory approaches in heritage management.

### Abstract

Numerous temples, monasteries, shrines and statues dot the streets in historic quarters of the cities in Kathmandu valley and beyond. Apart from their historic and archaeological significance, they are sites of everyday homage for local residents. Such public engagement with these religiously important objects and artifacts assert the cultural values and significance to these sites. However, sometimes these traditions and practices may be seen as 'threats' to material authenticity of the same. For example - continuous touching on the stone idols create a visible physical impact on the crafted stone artefact, thus defacing them in many cases. In other examples from Buddhist sites, it is common to see that physical structures are easily reconstructed or replaced for the purpose of merit making (This happens not only in Nepal but also in Bhutan and Tibet). On the other hand, there are instances where experts resort to non-traditional approaches of building and craftsmanship where the 'authenticity' of material and tradition could otherwise have been easily achieved. In such complex and conflicting scenarios around us, I wonder why and how we can refer to the notion of authenticity in the contexts of living heritage sites in Nepal. Drawing upon examples of shrines located in the streets of Kathmandu valley, the use of steel in restoration of buildings in Durbar Squares of Kathmandu valley including the Patan Museum, a less talked about site of Murtiya in Southern Nepal, and a site of increasing debate in Lo Manthang, this paper will attempt to rethink the over-emphasis as well as subjective interpretation of material authenticity in heritage conservation. Instead, focusing on complex relationship between the living traditions and historic material existence, this paper will suggest that the conventional emphasis on material integrity/authenticity should be revisited in contexts of such living heritage sites, and that the reference to the notion of authenticity needs to be contextualized in order to broaden its application, i.e. distinguishing the appropriateness of authenticity with respect to material, physical form, traditions or any other contextual aspect.



This paper aims to recount the intentions of the Nara document in the context of complexities of tangible and intangible heritage at world heritage and non-world heritage sites in Nepal to highlight the fact that despite the attempts of broadening the conservation concepts, we are still - in practice, very much bound by 'material authenticity' than any other types of authenticity. Hence, the intent of this paper is to draw attention to the limitations of our pre-conceived and limited notion of authenticity which primarily focuses on material aspect than any others; and that the notion of authenticity still needs 'rethinking' and 're-articulation' particularly for cases like that of Nepal. By referring to some observations from Nepal, I hope to contribute towards the on-going discussion in line with the Nara convention/document's original intent to 'challenge conventional thinking in the conservation field, and debate ways and means of broadening our horizons to bring greater respect for cultural and heritage diversity to conservation practice.'

The discussion of authenticity in this paper may not take place in isolation, but in connection with the values, significance and community perception of heritage along with practices associated with it. What is more important is that there is no direct translation of 'authenticity' in the local languages in Nepal, and that a majority of local/national professionals and community hardly refer to 'authenticity' as a guiding concept in their practices.

The Nara Document on Authenticity was intended to 'challenge conventional thinking in the conservation field, and debate ways and means of broadening our horizons to bring greater respect for cultural and heritage diversity to conservation practice.' Further, the document also acknowledged that 'the framework for discussion' was provided by the World Heritage Committee out of its desire to apply the test of authenticity in ways which accord full respect to the social and cultural values of all societies, in examining the outstanding universal value of cultural properties proposed for the World Heritage List.' Hence, 'the framework for discussion' was still within the 'the spirit of the Charter of Venice, 1964' because it aimed to build upon the Venice charter, and wished to 'extend it in response to the expanding scope of cultural heritage concerns and interests in our contemporary world'. The final (13th) article of the document sums up the key direction suggested by the Nara conference/document:

Depending on the nature of the cultural heritage, its cultural context, and its evolution through time, authenticity judgements may be linked to the worth of a great variety of sources of information. Aspects of the sources may include form and design, materials and substance, use and function, traditions and techniques, location and setting, and spirit and

feeling, and other internal and external factors. The use of these sources permits elaboration of the specific artistic, historic, social, and scientific dimensions of the cultural heritage being examined.

On the other hand, the prevailing norms of international practice still seem to prefer 'material authenticity' regardless of given contexts. For example - I would like to refer to one of the recommendations contained in the World Heritage Committee's summary statement on the 'state of conservation' in Kathmandu valley and proposed recommendations in connection with 1993 UNESCO-ICOMOS mission's report and then context of listing Kathmandu valley world heritage sites in the danger list:

Recommendation 1.9: That projects for the conservation of individual monuments within the monument zones should meet high standards of quality; most importantly, demolition and reconstruction as an integral part of restoration should be discouraged in favour of repair in-situ, with minimal dismantling. The Department of Archaeology should reject projects which favour demolition and rebuilding or beautification instead of the conservation of historic fabric. (<http://unesdoc.unesco.org/images/0011/001128/112888E.pdf>; also cited in a similar discussion in Chapagain, 2008)

Though the above recommendation came before the Nara conference, there are other similar instances in post-Nara document periods as well. Hence, in reality the essence of Nara document has not yet been pursued to its fuller extent, and moreover there are still some hesitations within the Nara-led discourse to fully acknowledge the non-conforming practices relative to the aesthetic and material favoured conservation. While one can see the relevance of principles of conservation implied in such recommendation, there equally is a risk of misinterpreting local practices as 'threats' to heritage. In lack of proper contextualization, such recommendation may imply the existing traditions and building practices in Kathmandu valley as 'threats' to the heritage - similar to how one of the background readings<sup>2</sup> provided for the 'Revisiting Kathmandu' Symposium pointed as potential threats.

One of the background readings for the symposium states: 'Authenticity relates to the ability of the attributes of a property to express adequately its Outstanding Universal Value truthfully and credibly. Authenticity is considered only for cultural and mixed properties. A property is understood to meet the conditions of authenticity if their cultural values are truthfully and credibly expressed through a variety of attributes.' - 'Understanding World Heritage in the Asia and the Pacific' p. 20 (emphasis added in bold)

In page 78, the same document discusses the 'Impact of unfavourable human activities on cultural properties'.

There are many cultural heritage properties that have suffered from unfavourable human activities. As cultural heritage properties often have great symbolic or religious value, they become targets for those who want to attack or send a message to opposing communities. Unfavourable human activities for cultural properties can be limited to individuals who illegally excavate, take pieces from historic structures or loot artefacts. Graffiti can damage the surfaces of historic structures and especially murals, paintings and ornamentation.

Sometimes such actions are carried out without proper awareness of their impact. There are unfavourable human activities in the form of religious rituals or for personal pleasure. Even if there is a lack of awareness, it is still illegal, for example, for a pilgrim to break away parts of archaeological structures, no matter how much religious value these might have.' Same document, page 78.

While the intention and implied meaning in above quoted text may be good and acceptable in many cases, it may raise some unease in many other cases, including at least the ones from Nepal referred to in this paper. I believe that this is just the tip of the iceberg, and that it is sufficient enough to let me question the inadequacy of the 'material authenticity' (which still seems to be the default notion of authenticity) in dealing with 'living heritage sites', and that despite the contributions made by Nara document - in its 20th year

now, and Burra charter, we still need to revisit our ways of pursuing 'authenticity'.

Ten years after the historic Nara convention/document, another conference took place in Nara, which issued the 'Yamato declaration'. The Yamato declaration makes an interesting point in its articles 8 and 9. Article 8 recognizes that the continuous evolution of intangible cultural heritage - which includes practices, rituals and beliefs among others, hence it is suggested that 'the term "authenticity" as applied to tangible cultural heritage is not relevant when identifying and safeguarding intangible cultural heritage. It clearly accepts the fact that the conventional reference to the notion of 'authenticity' is for material or tangible heritage. However, in its article 9, the declaration realises that 'the elements of the tangible and intangible heritage of communities and groups are often interdependent' - which is so true in case of living heritage of Kathmandu valley. It is in this regard that this paper would like to highlight such contradictory frameworks that current professional community work with. If we recognize that the tangible and intangible are not necessarily separable - at least in living heritage sites, then obviously we have to either discard the obsession with the term 'authenticity' or clearly define it in a way that recognizes the evolutionary nature of heritage - both tangible and intangible. May be the 'authenticity' lies in the 'evolutionary' and 'contextual' processes related to both tangible and intangible, and not just on the frozen time or a particular state of existence. To elaborate my points, let me refer to some observations from Kathmandu valley as well as two other sites within Nepal.

## Some observations from Nepal

### Kathmandu valley

Handigaun is a historic neighbourhood in Kathmandu, which contains some key archaeological sites dating back to the Licchavi period. There are many street shrines and temples of varying scales that are part of everyday life that still liven the history and culture of the area through regular visits by the devotees. Often the place names refer to historic incidents that may have occurred in these respective areas, and a series of such places are connected by a festival or procession passing through them - thus literally recounting the history and tradition on a regular basis. In such a context, even if material remains of history may have been lost, the memory and connections live through the place names and the processions. Thus, material manifestations and physical locations of heritage sites are well complimented by non-

material aspects such as stories and rituals associated with these sites. Through these processes, long-term residents of the area also continuously strengthen their relationship with the place and heritage. This co-existence of material and non-material heritage contributes towards the continuation and upkeep of heritage and culture.

Krishna temple which is not a protected or designated monument as such, but it is just one of the many such sites in Kathmandu, which people (both residents and passer-by) pay homage to. In their subconscious practices, one can observe every passer by expressing their respect to these sites by a simple gesture of slight bowing or touching their forehead (a gesture of receiving blessing) or circumambulating in clock-wise direction. At a conscious level, one can always see neighbourhood residents coming to perform certain rituals



with some prayer materials in a basket. Hence, evidently the importance of this site is exhibited by intangible perceptions, behaviour and practices associated with the tangibles that are present here.

My intent on bringing this example to discussion here goes further than that – this shrine complicates or rather enriches the notion of heritage by explicitly and interestingly integrating natural heritage with manmade heritage. The temple is a typical brick temple housing some stone idols along with carved stone panels. The temple is situated along with a peepal tree [Sacred Fig (*Ficus religiosa*)]. Whenever I use this as an example to discuss the same issues that is being discussed here, one set of questions instantly comes from the audience or the readers: Which came first - the temple or the tree? Was the tree originally part of the temple or grown later over and around it? Moreover, if I am speaking to a group of conservation professionals, the discussion immediately switches to figure out whether the tree should be removed to protect the trees, or is it the tree that is actually holding up the fragmented temple structure? Knowing that the tree in this case was a later intervention, one may argue that it can be removed for the sake of retaining historic authenticity, or getting rid of the structural threat. However, that argument will counter itself because the roots of the trees are in fact holding up the fragments of the temple at present. Moreover, the tree itself is sacred, and hence forms a part of the whole site today.

Talking to the local residents for whom the temple is a public forum to gather and engage in their everyday social activities, these sets of questions (when I shared with them) did not interest them at all. For them, there are no worries about the history as such, and the co-existence of the temple and the tree is beyond any question. For them, both the temple and tree are sacred, and there is not even a doubt about one threatening the other. In other words, our conscious effort of deciding on ‘authenticity’ and ‘threats’ is fundamentally an absurd concern for the locals and devotees. Hence, anyone paying homage to this site does so to both the tree and the temple – but not necessarily differentiating between the two but seeing both as a unified sacred entity and thus as integral parts of the Krishna temple. As much as the physical relationship between the tree and temple seems to hold them together, the cultural beliefs and values associated with both the tree and the temple nurture the existence and importance of the site. My intent on bringing this example serves both purpose - a direct mundane example, and a metaphoric reference to further my argument.

Around this very temple, there are a number of small but interesting shrines and idols that too challenge our notion of authenticity in different ways. Around the temple, a family has donated a metal railing to host the oil lamps that are burnt as part of regular rituals of worship (see figure 2). A nearby contemporary inscription reads that the family had donated this just ten years ago. One may start wondering about the



Figure 1: Krishna Mandir (temple) at Handigann, Kathmandu: Note the intertwined relationship between the natural and the man-made.



Figure 2: The metal railing with oil-lamps offered a decade ago by a devotee family, as well as other street-side shrine without its superstructure.

‘authenticity’ of material or design or even the historicity of such new elements added to this temple complex, but these are useless worries for the devotees. Further in front of the temple in the middle of the road lies a pyramidal structure built out of cement concrete that houses a historic looking figure (see figure 3). Obviously, the face like object is historic which is worshipped, but the fact that the ‘inauthentic’ looking cement pyramid does no harm to the ensemble. In fact, in a recent urban renewal campaign led by an architect prime minister in Nepal invited a lot of cries from a few concerned professionals against the erasures of similar structures of everyday worship for the sake of widening the traditional roads so as to make rooms for contemporary vehicles. The cries against such insensible urban development - that too led by a conscious ‘architect’, was not guided by any debate on ‘authenticity’ as such, but it was rather a deep respect for such evolving everyday heritage and traditional spaces. Of course, one could connect such debates to the historic nostalgia, but if a proper urban development plan would have been drawn with accommodation to the local rituals and places of worship that could easily have been welcome. I believe that a balanced development with due respect for the cultural places and practices in Nepal would not necessarily bother about the ‘material authenticity’ but care for the appropriate continuation of everyday spaces and rituals.

Around the Krishna temple discussed above, there are numerous street shrines that may or may not be perceived

of historical value, but they are living cultural sites which are integral part of everyday life of the local residents as well as passer-bys. Such shrines can be found anywhere from the designated world heritage sites to a less known part of the city, from river side to a less travelled hill side, and from a busy urban street to a quiet rural landscape. Some of them have some form of shelter while most of them are just self-standing idols – either nicely carved or just a plain stone, nonetheless representing the divine (Fig. 3). We can observe their importance and livingness by understanding the role of the red vermilion powder visible on the stone idol and the pedestrian pattern of circumambulating the shrine. The red vermilion powder is a most commonly used material during a Hindu worship - both everyday rituals and elaborate rituals on special occasions.

In these rituals, the red powder - which may sometimes be combined with rice grains to prepare red grains called ‘akshata’ is applied to the idols or images of the deity, after which typically the devotee touch the feet (if possible and visible) or anywhere on the idol or image, subsequently followed by touching one’s own forehead. This is very common ritual of worshipping and receiving blessings from the deity at any shrine. If a passer-by is just paying respect to the shrine, s/he may just circumambulate the shrine in clock-wise direction, or may just vow from a distance, or may even do both as well as touch the idol and get blessings on his/her forehead. One can see the physical and material



Figure 3: An old figure housed with a new cement structure at the middle of the road in front of the Krishna Temple shown in Figure 1.

Figure 4: Many idols at street shrines are gradually defaced due to continued community engagement, but the material decay does not reduce the sanctity, devotion and ritual practices.



implications of these rituals on the idol itself. The carbon-dating of some of these stone idols could tell significant archaeological history, but more importantly the defacing of the idols tells us of a living culture and history.

Almost all the stone idols on street shrines of Kathmandu valley and elsewhere show clear marks of this everyday ritual whereby either a certain part is materially decayed, or even defaced. In fact, this everyday ritual does deface the idol to the extent that many of important shrines have idols with smoothly worn face which were originally neatly carved. Again, many of these are neither in local or national protected lists, nor there are their concerns for their protection except in a few cases where they might be physically safeguarded within a fence of some sort to ensure that the looters do not take away these idols for their antiquity values. When the archaeological value is emphasized, there is a risk of looting. In fact, many street shrines have the original idol missing as a consequence of such valorisation. However, this does not compromise on the sanctity of the site/shrine as their faith is not necessarily on the physical object (idol) that is there, but on the sacredness that site and idol represent. Hence, if we were to elevate the status of such culturally important everyday shrines to the level of world heritage, we would be in dilemma of facing the operational guidelines which may require protecting the physical objects as well.

One may get an impression that all these rituals and everyday practices are somehow connected to the aesthetically

important and historic materials. However, upon expanding the observations, we will quickly discover that the objects of everyday worship and ritual importance are not always nicely crafted and old ones, but they could equally be mundane stones (see figure 5) and in some cases, random pieces of a crumble structure as well (see figure 6).

Moving on from small and undeclared heritage sites, we may begin to examine the processes in declared heritage sites including world heritage. If we look at temples or stupas at times of their repair or conservation or restoration, a usual practice is to go for a sort of reconstruction where the design is kept to its original profile but the materials may entirely be changed. Interestingly in doing so, the design itself may also be changed for various reasons - sometimes to enhance the beauty, sometimes to accommodate the merit making practice, sometimes to improve the performance of the structure by reverting things back to a better design that may or may not have existed there, and so on.

It is important to note here that such practices are not new, and that there are historic evidences suggesting that such practices have evolved from history as a part of conscious decision making and discourse-related practices. Eminent architectural historian professor Sudarshan Raj Tiwari has studied various historic inscriptions to decipher the various terminologies used to denote several building practices in Kirata, Licchavi as well as Malla periods in the Kathmandu valley.



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Figure 5 Not only nicely carved, but also plain stones may be treated as equally sacred, hinting the fact that it is not the aesthetic values but the beliefs and sanctity of the site that is important..the 'objects of art' are only a medium for devotion and prayer for the devotees.



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Figures 6 (left): A shrine featuring what appears to be upper portions of a crumbled stone temple, but with a contemporary shrine-structure of its own, it too becomes a idol of worship.

The key term used to describe ‘conservation’ by the early Licchavi in those pioneering days and throughout that period is PRATISAMSKAR , a Sanskrit compound word, formed with prefix ‘PRATI’ (meaning ‘near to’ or making it close to) on root word ‘SAMSKAR’ (meaning what has been ‘handed down from respected tradition’ or ‘put together, refined or made perfect or as per sacred precept’). The use of term PRATISAMSKAR seems to be authorizing/accepting additions and embellishments as integral to conservation of buildings also. Moreover, Professor Tiwari has also traced the use of different terminologies for different types of ‘pratisamskara’:

Khandafutta pratisamskara: repair of partial deterioration or chipping of stone and loss of polish back to original pratisamskar of kalakramena vishirnabhagna: restoration of natural wear and damage through passage of time,

pratisamskarascha kalantikramenaiva karya: restoration of works deteriorated by aggressive action of time - explaining the varying grades of deterioration and commensurate conservation action.

Comparing the Malla period - characterized by its brick and timber structures, with the previous Licchavi period - architecturally expressed through stone works, we can see the evolution of the concepts and terminologies of construction as well as conservation with regards to the evolving material and technological contexts - from a relatively long lasting

stones to a material with easy susceptibility to weather and time factor, i.e. brick and timber. Professor Tiwari discusses about the terms in Malla period:

‘Different terminologies for conservation, seen in Malla inscription, indicate a changed situation or approach. A 1359 CE inscription, which records the reconstruction of Pimbahal following the destruction of all the towns of Nepal by the king of Yaban Sultan Samasuddin2 states that the dilapidated chaitya fallen at that time was given a new cover (‘karoti navakam varayahah’) or its renovation completed (jirnoddhara pratipaditam). In an inscription recording conservation of Jayabagesori water conduit done by Jayasthitimalla (dated 1388 CE) to augment religious merit of his late queen Rajaladevi, the existing situation is described as ‘jirnam bhagnam divamswarnashodhita purbajairayam’ (worn out, dilapidated and fallen albeit with the conduit shining with the golden plate cover put by the ancestors) and his own action is characterized as ‘punah samsthapya vidhivatd’ (reconstructed according to ordained rules). The term leaves little doubt that what he did amounted to samsthapana (new construction) of the structure and the pit possibly retaining the golden spout from the earlier restorations as the original component. In an inscription recording a major restoration action undertaken by Jagatpalvarma in 1414 CE on Baghbhairav temple of Kirtipur, we find the description of existing condition as ‘bhagnavesmashirah su’ (dilapidated and fallen temple including its top roof) and the



Figure 7 (right): contemporarily beautified small shrine - again, the different pieces are gathered from different sites and more importantly the marble cladding is an attempt of devotional contribution towards beautification.



Figure 8: A temple under restoration: a typical process of restoration/reconstruction of timber and brick structures.



work ‘jirnoddar’ completed with the instruction of three specialists e.g. ‘jirnoddaravidhanesmim’ (expert in the rules of renovation), ‘daivagnya’ (astrologer priest) and ‘jajamand’ (family priest).”

“From the Malla period we find discontinuation of the term *pratisamskar* used by the Lichchhavi, in favor of *jirnoddhar* (in Sanskrit and in Newar), *navakam vara* (new cover), *punah samsthapana* (reconstruction), and other phrases with similar meaning. One of the key reasons for the shift from *pratisamskar* to *jirnoddhar* may be the fact that the later conservation involved less of repair and re-consecration of images and more of restoration, repair and reconstruction of buildings and building parts. This also substantiates that the material nature of the ensemble of architecture had changed with development of comparatively tall temples in brick and wood and construction and reconstruction methods informed with a greater empirical understanding

of the action of deteriorating agents of climate, earthquake and fire.” (Tiwari, 2009)

Hence, it can be seen that these concepts have evolved through a historical process, and are still seen in intuitive, community-led practices which are often adopted by the Department of Archaeology as well. It is in this context that the case of Kathmandu valley’s living heritage deserves a contextual reference to ‘authenticity’ rather than an ‘pre-implicit’ notion of authenticity as been followed in internationally prevalent ‘guidelines’, ‘mindset’ and ‘way of thinking’ about a heritage site.

These issues, however, are not confined within the Kathmandu valley. I have elsewhere discussed the case of Murtiya in Southern Nepal as well as the issues related to wall paintings conservation in Upper Mustang in Northwestern Nepal - which I briefly touch upon now.

## Murtiya in Sarlahi district, Southern Nepal

Elsewhere within Nepal, there are many sites of local, regional or national importance which too demonstrate the similar complexity as those in Kathmandu valley. A place called Murtiya in the Southern plains of Nepal, in the district of Sarlahi is just a case in this regard. The name “Murtiya” of this place literally means “a number of murtis (idols)” - referring to a site of collapsed stone temple (Fig. 7). The stones and idols from the collapsed temple is still lying

around the site which resembles to an archaeological site due to its mounds of earth and stone giving a distinct physical appearance in the rural agricultural setting within which it is situated. Some of the stone fragments of the temple are also used by the local population for religious purposes on-site, and some stones have even found their place in some domestic uses in the vicinity.



Figure 9: Site of a ruined temple complex at Murtiya in Southern Nepal (Picture taken in 2001)



Figure 10: A new temple on the edge of the site of a ruined temple complex of Murtiya (2001)





Figure 11: Everyday rituals on the remains of the ruined temple complex, Murtiya (2001)

A new temple in brick and cement is constructed at one corner of the site, in front of which several of the stone idols from the earlier temple are placed, seemingly without any order (Fig. 8). Moreover, some stone fragments – some carved and some plain – from the ruined temple are regularly worshipped using water, vermilion powder and flowers. On special occasions, the worshippers take time to visit all the formally designated and non-designated shrines scattered all over the site (Fig. 9). The site is also a popular place for children to play, to climb on the stones, and run around among other activities. No strict regulations or protective devices were in place by any level of government authority until few years back when I visited the site, yet the site clearly exhibited its continued use through everyday rituals and engagements, with due regards of being a sacred site.

Someone interested in heritage and conservation may be bemused – like me – what constitutes heritage here – the stones or the sanctity of the place? The temple or the rituals?

The worship or the play and everyday use? If we think from a material-centric heritage management approach, we may at once want to advocate for the protection of the “archaeological” and “historic” remains in the site from perceivable threats of local practices in the decay of those remains. Evidently, the stone fragments that are continuously being visited and worshipped are showing signs of decay. But it is these visitation and practices that are still enlivening the cultural importance of the site. Similarly, the construction of a new temple could be argued as being appropriate or inappropriate depending on one’s view on historic authenticity, stylistic coherence or design authenticity. Yet, the fact that a new temple and continued practices of carrying out rituals at this very site still makes the long-fallen temple alive. In order to understand the nuanced continuity of heritage in this particular site, reference to intangible aspects is crucial than the material aspects.



## Question on wall paintings of LoManthang

To further complicate the observations, my final reference is from the walled settlement of Lomanthang in Mustang district of Nepal - in the North-western part of the country, on the other side of the Himalayas<sup>3</sup>. In a project to restore one of the oldest gompas (Buddhist temples) in Lomanthang, I witnessed an interesting debate between the wall paintings conservators and some elders in the community. Obviously, from a conservation ethics, the conservators could not think of restoring larger sections of missing wall paintings, however the community wanted to see the images of Buddha to be complete so that they could worship properly. On the one hand, the conservation team was suggesting to provide only an outline of the lost section to remind one of the extent of the whole painting; whereas on the other hand, the community desire was to even go for a complete re-painting if the conservators could not restore the remaining parts. This was a very complicated scenario, which is still unresolved. This example also highlights the challenges to material authenticity even in case of excellent works of art from the 15th century.

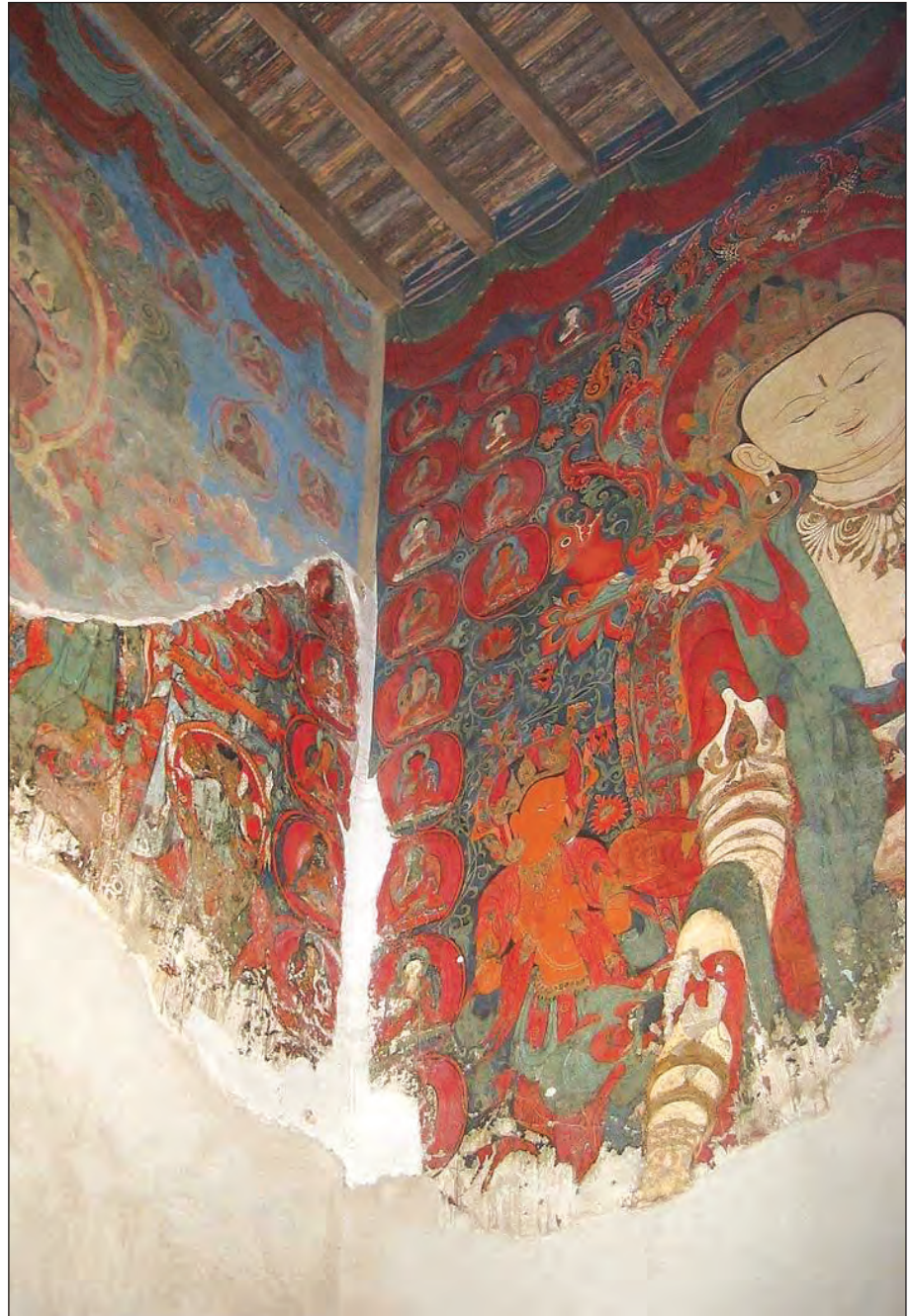


Figure 12: Restoration of mural paintings in Lomanthang

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## Conclusion

Hence, it is evident that in case of Kathmandu valley - and some participants from other Asian countries opined that the case applied to their countries too, the process of conservation historically and traditionally is no different than that of re-construction, restoration in different ways, and more importantly beautification and improvements to some extent. What is more important is the underlying intent of 'merit making', 'doing one's duty' and continuing

the rituals and values. Further, the act of conservation seems to draw upon the craftsmanship and employing same, similar or compatible materials (rather than sticking to the same material for the sake of keeping the antiqueness). However, it is also seen that newer materials like gold and silver have also been used on top of the original or traditional timber or brick structures, as a gesture of enhancing the value. Such scenarios demand that the concepts like values and

authenticity be discussed in a broader framework beyond the conventional material and fabric centred notion of authenticity. Despite acknowledgement of the diversity of cultural contexts by the Nara document as well as Yamato declaration, the challenge as stated in Nara document still seems to prevail.

Therefore, I would strongly urge the professional community and institutions - both within Nepal and at international arena, to re-think the major concepts including that of 'authenticity' particularly in view of 'living heritage sites' like that of Kathmandu valley, and to properly contextualize the methodology of examining and applying these concepts.

Personally, I would suggest the professionals to first understand the local contexts, then see how far the universal concepts like 'authenticity' and 'Outstanding Universal Value' (OUV) etc. make sense - and if so, to articulate in what ways the concepts make sense and then only to proceed with decision making process as it suits the local context. This is not a blind rejection of the universal concept but an invitation for localization of the global concepts if and only if it contributes towards continuity of living heritage. The continuity of living heritage is possible only through collaboration, rather than imposition of concepts and practices that may not go along with the locally evolved concepts and practices.

## Notes

- 1 This clarification is necessary as there was a discussion during the 'Revisiting Kathmandu' symposium whether we were confusing 'authenticity' with 'values'; and my response was that the discussion of authenticity unavoidably leads towards the discussion on values.
- 2 There were a few readings that were provided as background readings while the symposium announcement was made.
- 3 I have discussed this case elsewhere too, i.e. in my chapter on 'conservation in Buddhist context' in Silva and Chapagain eds. 'Asian Heritage Management: Contexts, Concerns and Prospects', Routledge, 2013.

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© K. Weise - Pashupati Temple and Ghats to the Bagmati River, Kathmandu

## Section B: Heritage Management

# Historic urban landscape, a management approach for cities of heritage-values

Ping Kong and Zhou Jian

## Short biodata

Dr Kong Ping completed her PhD research on 'Social Quality in the Conservation Process of Living Heritage Sites' at Delft University of Technology in 2008. She is currently the Assistant Researcher at Institute for Advanced Study of Tongji University and works as international project coordinator for WHITRAP.

Prof Zhou Jian is the Deputy Dean and Professor of the College Of Architecture and Planning, Tongji University, the Director of World Heritage Institute of Training and Research for the Asia and the Pacific Region WHITRAP, under the auspices of UNESCO. He has gained reputation in both practice and teaching in the field of heritage conservation and development, particularly for historic cities/towns.

## Abstract

Drawing upon the recent Statement of Conservation reports from UNESCO World Heritage Centre, this paper analyzed the current challenges in urban heritage conservation and highlighted the debates on the impacts of development projects imposed on heritage conservation. It further reviewed the conceptual development of Historic Urban Landscape, HUL as a management approach to integrate heritage management in a broader landscape context by understanding the layering of heritage values and associated attributes and the interlinks with social, economic and environment communities/factors, which demonstrated potential to address the integrity and authenticity issues raised in most conservation and development disputes. This paper explained the critical steps to implement the HUL approach and stressed the importance of mainstreaming heritage conservation in a wider framework of urban development policies and strategies.



## Challenges in managing cities of heritage-values

As of July 2013, the World Heritage List includes 981 properties from 160 State Parties. Among them, over 250 properties are located in cities, involving a combined population of over 130 million<sup>1</sup>. The historic environment is shaped and continuously being shaped by the people living at and around heritage properties. The large scale of social immigration and growing demands for better quality of life manifest in various forms of contemporary intervention. Therefore, heritage in urban contexts is not static, instead is faced with an ever-changing environment and close interactions with multi-stakeholders, which add to the dynamics of its management. Urban heritage management is considered as one of the most complex and daunting tasks in the fast pace of urbanization and globalization (Van Oers, 2010). On the other hand, heritage is widely recognized as a rare and irreplaceable resource to counteract the negative impacts of urbanization and globalization through maintaining identity, promoting creativity and strengthening social cohesion (UNESCO Thematic Think Piece, 2012).

The World Heritage Committee noticed with alarm, the increasing number of conflicts between urban conservation

and urban regeneration/development projects, particularly interventions of contemporary architecture. The first cultural property removed from the World Heritage List is the 'Dresden Elbe Valley' in 2009, due to the construction of the Waldschlösschen Bridge, a four-lane bridge in the heart of the cultural landscape, which compromised the integrity of heritage values. The dispute continues in the Upper Middle Rhine Valley for the proposed Rhine crossing, in the settings of Tower of London, Westminster Palace, Westminster Abbey and St. Margaret's Church for major skyscraper proposals, and most recent in the Liverpool Maritime Mercantile City for the proposed massive redevelopment of the historic docklands, which placed Liverpool on the List of World Heritage in Danger in 2012. Most conflicts, as revealed by Statement of Conservation reports, came from beyond the confines of heritage properties. The emerging challenges require a critical review on current approaches of heritage management, which tend to isolate heritage with its setting and to set conservation against development.

## Historic urban landscape, a heritage management approach

The notion of Historic Urban Landscape (HUL) emerged from the Vienna Memorandum<sup>2</sup>, to include 'the broader territorial and landscape context' in the impact evaluation of contemporary development. It is built upon the recognition of continuous changes in conjunction with forward-looking actions to improve 'quality of life and production efficiency' (Vienna Memorandum, Principles and Aims) of the city as a whole. There have been arguments on whether HUL is a new type of heritage to be categorized under historic cities or cultural landscape, or whether it is an approach of heritage management. Following a series of regional workshops and discussions, the new UNESCO Recommendation on the HUL<sup>3</sup>, was adopted by UNESCO's General Conference on 10 November 2011, which defines HUL as 'a new standard-setting instrument, an innovative way to preserve heritage and manage historic cities.'

The HUL as an integrated approach to urban heritage conservation is not a totally new concept, but it strengthens the intercommunication between cultural and natural sectors

by revisiting the 'landscape approach' employed at natural properties to understand the identity and diversity of urban areas. It is inspired by the 'overlay method' for site analysis (Mcharg, 1969) and highlights the nexus of cultural / natural communities in a broad scale, to avoid the social and spatial fragmentation in a rapid urbanization process. The 'landscape approach' has gained prominence in the search for solutions to reconcile conservation and development tradeoffs (Sayer, 2009). The HUL approach perceives urban area as a process instead of an object and evaluates attributes associated with heritage values in an inclusive manner of both spatial and temporal dimensions. It underscores the message advocated in the Burra Charter<sup>4</sup> (1999) with regard to changes in heritage management. The HUL approach focuses the attention on the intrinsic mechanism to sustain the characteristics / values of heritage properties, and sheds light on the potential to address integrity issues of historic environment, raised in most conservation and development disputes.

As suggested in the Recommendation on Historic Urban Landscape, critical steps to implement the HUL approach include: mapping natural, cultural and human resources and determine values and associated attributes through participatory planning and consensus building, assess vulnerability and integrating heritage values and vulnerability into a wider framework of urban development; prioritize

conservation and development actions in partnership with public and private sectors. The application of the HUL approach resides in the integration and community participation through layering values/attributes and engaging multi-stakeholders to assist the decision-making process in the pursuit of balance between development and conservation.

## Application of historic urban landscape in Asian contexts

Asia is characterized with rich and diverse cultural heritage, while experiencing an unprecedented pace of urbanization. Recently, Asia has been the fastest growing economic region and continued to be an engine of global growth, contributing around 40 percent of global growth in 2012 (World Bank, 2013), and tourism is recognized as a key economic driver for the region. This implies massive urban infrastructure and tourism related development, as well as huge demands of housing and commercial activities. Reviewing the recent Statement of Conservation reports required by the World Heritage Committee, major threats to the authenticity and integrity of historic environments stemmed from uncontrolled urban development and tourism-related interventions. For example, the Town of Luang Prabang (Lao PDR), the Old Town of Galle and its Fortifications (Sri Lanka), the Old Town of Lijiang (China) and the Kathmandu Valley (Nepal), are all experiencing uncontrolled urban sprawl, resulting in the loss of traditional urban fabric. For the old Town of Lijiang ‘a progressive loss of integrity and authenticity due to the new tourism and other commercial developments’ (World Heritage Committee Decisions 31COM7B.69, 32COM7B.67, 33COM7B.66, 35COM7B.63) was noticed with great concern. Due to the conflicting interests with heritage resources, huge amounts of investment for infrastructure development could end up in vain and additional costs would be required for mitigation measures, for instance, the proposed road crossing the Pashupati Monument Zone of Kathmandu Valley in 2007 (World Heritage Committee Decisions 37COM7B.65). The Advisory Bodies (ICOMOS, IUCN, ICCROM) called for an integrated management plan and Heritage Impact Assessment to control negative impacts of relevant development projects, which are embedded in the HUL approach.

The HUL approach in heritage management recognizes the inexorable force of development in the expression of

continuous transformation of urban forms. It integrates heritage management with land-use and transportation planning in a broader landscape context, and mainstreams heritage resources into urban development strategies. Impact assessment is embedded in the HUL approach to prioritize various interventions and balance the interests of different stakeholders. The application of the HUL approach demonstrates the potential to address the above challenges and manage changes through understanding historic environment in a layering and interwoven structure from a gradual evolution. It emphasizes the importance of engaging various stakeholders and multi-sectoral disciplines in the management process of living urban heritage. The recent development of an overall strategy for the protection of cultural heritage in the Historic Centre of Macao indicated the attempts to apply principles of the HUL approach in response to the dilemma of conservation and development. Macao enlarged the protected areas beyond the limits of buffer zones to mitigate negative impacts of development projects and to address the integrity of heritage values. It further took the opportunity of the retrospective Statements of Outstanding Universal Value, accomplished in the recent Periodic Reporting exercises in Asia and the Pacific, to refine heritage values and associated attributes, and review opportunities and threats in the management of the property.

WHITRAP<sup>5</sup> in cooperation with Tongji University is undertaking a HUL Research Programme to assist the State Parties of Asia and the Pacific in the application of the HUL approach. There is considerable room for the improvement and application of the HUL approach. It draws upon regional and international expertise and Best-Practices to develop practical tools and guidelines for local contexts. The application of the HUL approach is not limited to World Heritage sites, but to all cities of heritage-values, which face similar challenges and require adaptive measures to manage changes.



## Towards sustainable development

The UNESCO Thematic Think Piece (2012) took ‘Culture: a driver and an enabler for sustainable development’ as the title to propose for the Post-2015 UN development agenda<sup>6</sup>. The report underscored culture as ‘a powerful driver for development, with community-wide social, economic and environmental impacts.’ The international congress ‘Culture: Key to Sustainable Development’ (Hangzhou, China: May 2013) reiterated the linkages between culture and sustainable development. Accordingly, cultural heritage as a fragile and non-renewable capital shall be managed in a sensitive and inclusive manner to favour multi-sectoral

development strategies. In this way, the HUL approach serves as a forward-looking conservation approach. It takes conservation of heritage resources as a departure for long-term urban development.

Analyzing the layers of heritage values and associated attributes, and connecting them with environmental, social and economic transformation in a broader landscape context are the prominent characters of the HUL approach in the value assessment and management process. It aims to maximize the added values of heritage in urban

*View from Mount Fortress Macao* © Van Oers Ron



development and engage wider communities as contributors and beneficiaries of heritage conservation. One of the practical principles for applying the HUL approach towards sustainable urban development, as incisively described by Prof Turner is: ‘minimal necessary, maximal possible,’ which the author interpreted as restricting heritage attributes as

less as necessary to express heritage values, while expanding the beneficiary heritage-related environment as much as possible. Therefore the value-added space related to heritage resource is provided for current and future development in a sustainable manner.

## Notes

- (1) Information from the Organization of World Heritage Cities, available at <http://www.ovpm.org/en/presentation>
- (2) It is the outcome of the international conference ‘World Heritage and Contemporary Architecture - Managing the Historic Urban Landscape’ which took place in Vienna, Austria, from 12 to 14 May 2005, based upon the draft memorandum. The Vienna Memorandum was presented to and welcomed by the WH Committee at its 29th session in Durban (South Africa) in July 2005
- (3) Resolution adopted on the report of the CLT (Cultural Commission Team) Commission at the 17th plenary meeting. On 10 November 2011, the recommendation was presented and adopted at the 36th Session of General Conference of UNESCO (25 Oct-10 Nov, Paris).
- (4) Original text in Burra Charter is “do as much as necessary to care for the place and to make it useable, but otherwise change it as little as possible so that its cultural significance is retained”.
- (5) Abbreviation for the World Heritage Institute of Training and Research for the Asia and the Pacific Region, under the auspice of UNESCO. It is a category II centre adopted at the 34th Session of UNESCO General Conference in 2007.
- (6) Following the Summit on Millennium Development Goals in 2010, the United Nations established a UN System Task Team to prepare the Post-2015 UN development agenda, supported by a series of consultation initiatives, bringing together senior experts from over 50 UN entities and international organizations.

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# Historic Urban Landscape

## World Heritage Cities Programme

<http://whc.unesco.org/en/cities/>

New Recommendation on the Historic Urban Landscape

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

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

- adapt this new instrument to their specific contexts;
- disseminate it widely across their national territories;
- facilitate implementation through formulation and adoption of supporting policies; and to
- monitor its impact on the conservation and management of historic cities.

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

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

The Recommendation on the Historic Urban Landscape was adopted on 10 November 2011 at the 36th session of the General Conference. The Recommendation on the Historic Urban Landscape, including a glossary of definitions can be found from [here]. <file:///C:/Users/DELL/Downloads/news-1026-1.pdf>

## Historic Urban Landscape approach explained

<http://whc.unesco.org/en/news/1026/>

The Historic Urban Landscape approach moves beyond the preservation of the physical environment and focuses on the entire human environment with all of its tangible and intangible qualities. It seeks to increase the sustainability of planning and design interventions by taking into account the existing built environment, intangible heritage, cultural diversity, socio-economic and environmental factors along with local community values.

This booklet calls to involve more people in preservation efforts, raise levels of awareness, and seek innovative schemes. By actively engaging public, private and civic sectors the city, historic and contemporary, can be better preserved and celebrated.

# Review of the integrated management plan of Kathmandu Valley World Heritage property

Kosh Prasad Acharya and Saubhagya Pradhananga

## Short biodata

Kosh Prasad Acharya is Executive Director of Pashupati Area Development Trust. Previously he was Director General of the Department of Archaeology during the preparation of the integrated management plan for the Kathmandu Valley World Heritage Site. He has been involved in various excavations in Lumbini including being the co-director of the recent excavations carried out within the Sacred Garden in Lumbini and in Tilaurakot under the UNESCO Japanese Funds in Trust project. He is also a member of ICOMOS Nepal.

Saubhagya Pradhananga is currently working as a Chief Archaeology Officer, World Heritage Conservation Section, Department of Archeology, Ministry of Culture, Tourism and Civil Aviation. She has completed her Master's Degree in Nepali History, Culture and Archaeology from Tribhuvan University, Nepal and was awarded the Mahendra Bidhy Bhushan. She has been involved in the field of cultural heritage and its conservation and raised awareness on Heritage preservation and conservation in Nepal. She has published more than 40 articles on tangible and intangible heritage. She is now actively involved in the review of integrated management framework of Kathmandu Valley WHS.

## Abstract

The Kathmandu Valley was inscribed on the List of World Heritage in Danger in 2003 due to uncontrolled urbanization and loss of historic fabric. To control this trend, an integrated management plan was prepared which was adopted by the Government of Nepal. This allowed for the Kathmandu Valley to be removed from the danger list in 2007. In the management document, provisions were made to review the entire management system every five years. This process of review is presently being carried out. The review process and the main outcome of the review will be presented.



## Establishment of the Kathmandu Valley integrated management plan

Once Kathmandu Valley was inscribed on the List of World Heritage in Danger, we were forced into action. The issues related to the site came into focus and actions were initiated at all levels in the government from the high level officials to the management authorities. Kathmandu Valley was inscribed based on criteria (iii), (iv) and (vi) which would be the testimony of living cultural heritage, architectural ensembles together with the intangible values. The property is a single site with seven monument zones: three durbar squares of Hanuman Dhoka, Patan and Bhaktapur, two Buddhist stupa complexes of Swayambhu and Bauddhanath and two Hindu temple complexes of Pashupati and Changu Narayan.

Regarding the uncontrolled urbanization and loss of historic fabric, the discussion started in 1992 and ultimately in 2003, the site was inscribed on the danger list. It was then that we started formulating the Integrated Management Plan (IMP). It was started in 2004 and completed in 2007 and was approved by the Cabinet of the Government of Nepal and in the same year Kathmandu Valley was taken off the danger list. In 2006, we redefined the boundaries of the monument zones and introduced buffer zones in six out of seven monument zones. We are now in the process of implementing the IMP and there is a continued effort to improve the management system. There are provisions in the IMP for a periodic review of the entire system every five years.

When we formulated the IMP, we tried to identify the various components of the heritage site such as the monuments, private property, the institutions, as well as the public open spaces such as squares, streets and courtyards. On the other hand we defined all the actors such as the community, the local government, the district authorities, the central government as well as the expert groups, INGOs and NGOs. The Department of Archaeology is of course the nodal agency for the World Heritage Site. The linkage between the components of the site and the management actors are specific processes; such as when carrying out restoration, getting building permits, getting service connections, payment of taxes and obtaining incentives.

The management system needed to respond to site-specific issues. This required management framework such as defining the site, conservation approach, and institutional, legal and economic frameworks. The outcome was a set of documents: the integrated management framework document as well

as management handbooks for the individual monument zones. The management plan also required processes that were formulated and based on management objectives, actions, coordination and periodic review. This led to a set of documents: the Integrated Plan of Action along with a Plan of Action for the individual monument zones. The overall system needed to utilise available resources to protect defined OUV, while responding to conditions in the given context.

The institutional framework was amended. Initially there was the Department of Archaeology that directly looked after the seven monument zones. It was necessary to get the local government involved along with the local committees and NGOs. They were the interface between the community and the government authority. Each monument zone had a specific system of management already in place which needed to be coordinated with the local government as well as with the Department of Archaeology. A Coordinative Working Committee (CWC) was established to coordinate between all these many components of the institutional framework. The CWC also had the task of coordinating with UNESCO and other related national authorities.

The legal framework was established based on identifying specific realms such as the monument realm, the public realm and the private realm. Different approaches were adopted for the different realms. Conservation guidelines were prepared for the monument realm. Development guidelines were prepared for the public realm. Building bylaws were prepared for the private realm to deal with new construction carried out by private owners. Additionally for the inappropriate buildings, rectification guidelines were prepared.

The economic framework was based on numerous considerations, especially to ensure that the local community profited from the heritage site. The income for the site was based on taxation and entrance fees from tourists and visitors. Other funded sources were identified as donations from the community and Philanthropists as well as funds from donor and funding agencies. To guide the development within the monument zones, incentives were planned. Subsidies were planned on restoration costs and services. Tax exemptions were considered for house, land, material and building permits. It was also discussed to get banks to provide loans for restoration. These have not been implemented effectively. Additionally a fund was set up by

Department of Archaeology with matching funds from Site Managers (Municipalities) to help private owners to conserve their historic buildings. The funds could also be used for expropriation of critical buildings. This however did not function properly.

The existing management processes were surveyed. For example the building permit process was documented in details; including each step and the time taken. The processes were divided into the planning phase and the monitoring phase. The inefficiencies of the process were identified by going through each step. For example the designs for buildings in the monument zone were first checked by the heritage section and then moved on to be checked for earthquake safety. Often engineers consider the non-engineered structures not to be of sufficient strength and could alter the design. The process however does not account for these changes to again be checked by the heritage experts. Even in the monitoring phase, only earthquake safety is checked, but not compliance to heritage requirements.

Management of a heritage site can be very complex. Consideration must be given for the site to be living, with

people performing rituals and festivals. Visitors and tourist touch the artefacts and devotees offer flowers and colour powder to the statues. The inheritance practices lead to historical buildings being divided vertically, often with each owner demolishing their part and constructing a new concrete building.

The preparation of the IMP would not have been possible without Herb Stovel, the international expert and Junko Okahashi, the World Heritage Centre. An excerpt from their 2006 mission report provides a summary of the Kathmandu Valley IMP.

‘In brief, the establishment of the IMP of the Kathmandu Valley could be seen as a MODEL PROCESS for all World Heritage Management Plans. It is not a study document to describe the site or to provide ideals for the site-management, but has gone through a thorough process of site-based information gathering and commitment by the concerned site-management authorities, and the draft has incorporated the viewpoints and realistic possibilities of the complex management structure.’ WHC/ICOMOS Mission Report June 2006 Prof Herb Stovel & Ms Junko Okahashi

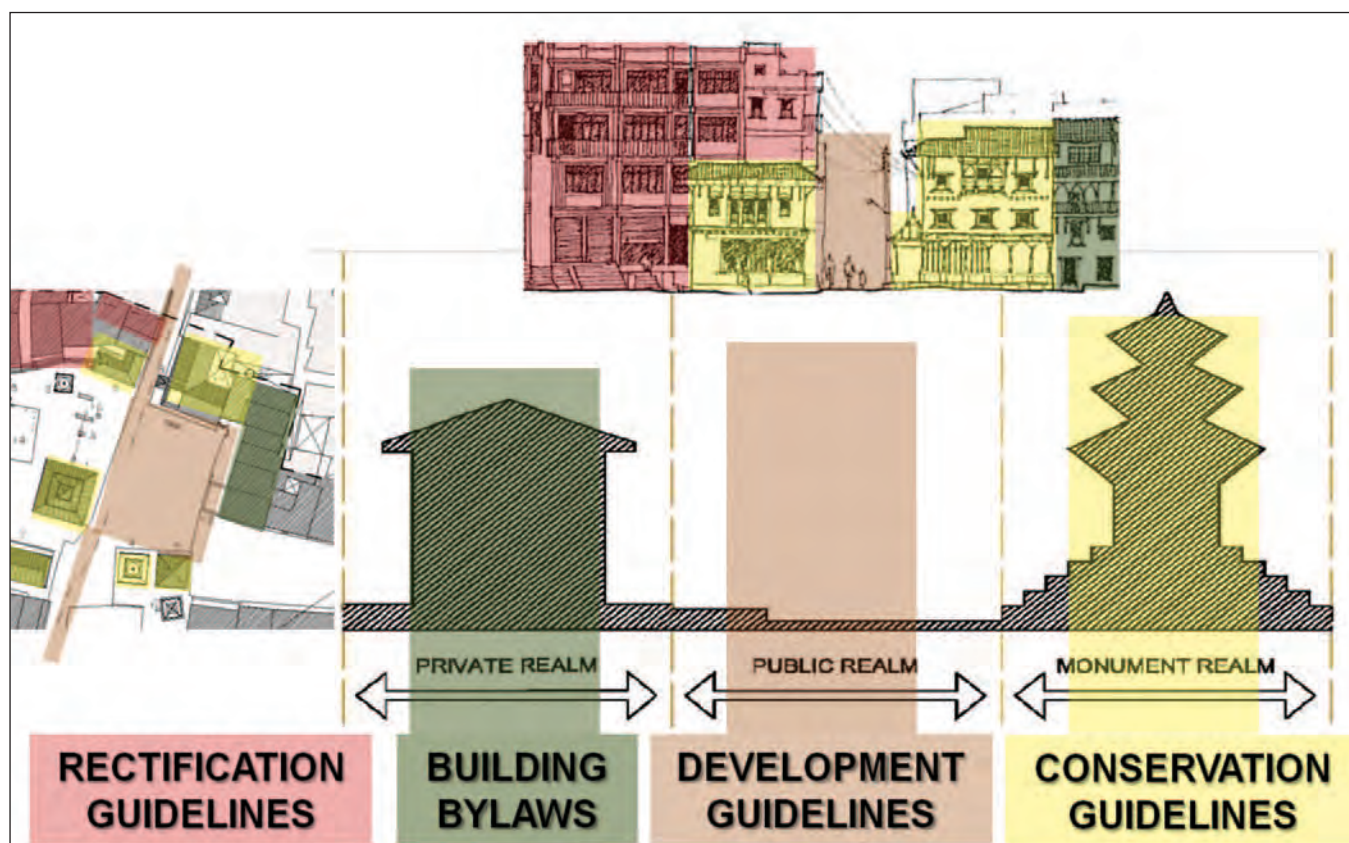


Figure 1: Legal provisions for various components of the World Heritage property of Kathmandu Valley



## Review of the Kathmandu Valley World Heritage Integrated Management Plan

In the Integrated Management Framework document which was adopted by the Government of Nepal, there are provisions for assessment and review of the management process. Periodic Assessment shall be carried out by the Coordinative Working Committee (CWC) on the progress of implementing the IMP and the state of conservation of the Monument Zones. Five-Year Assessment of the components of the IMP will be carried out. The Integrated Management Framework and Management Handbooks

for the Monument Zones, including institutional, legal and economic frameworks will be reviewed and if necessary amended. The IMP will need to incorporate the achievements and experiences of the previous five years and address the issues that are predominant in that given time. The IMP must remain flexible and adapt itself to ascertain the long-term objective of conserving the outstanding universal value of the Kathmandu Valley World Heritage Site.

### Achievements and improvement

The IMP has become a set of guiding management tools for preservation of the property's outstanding universal value. A great achievement of the IMP is the establishment of the CWC, which is an effective platform to share experiences and resolve issues. The management capability and the sense of ownership of the site-managers and stakeholders

have improved. The working method has been developed to manage the World Heritage site in cooperation between the Department of Archaeology, the local authorities and site managers. Problems are resolved through dialogue and discussions between all stakeholders during the CWC meetings.



Figure 2: Daily activities around Hanuman Dhoka Durbar Square, Kathmandu

## Lessons learnt – ongoing challenges

There are lots of challenges in conservation. Due to frequent staff transfers from one department to another in the local government, the site managers often lack knowledge of the IMP making it difficult to implement the IMP effectively. There is also lack of cooperation between the departments and often the restructuring of the institutions leads to confusion. There are provisions of monitoring and reporting

by the site manager but it is not being carried out. There is also the problem of unavailability of traditional construction material like wood, traditional bricks and mud as well as the craft persons. Another great challenge is that the expectations of the people differ from the norms of conservation, since they want to build new structure on public and private land.

## Review process

### First phase - Steps taken

First, questionnaires were distributed to all site managers to evaluate the IMP. There were questions related to understanding of outstanding universal value, defining boundaries and buffer zones, improvement of institutional, legal and economic frameworks, coordination with other organizations as well as management process and reporting. The following issues and challenges were identified through this process.

### Issues and challenges

During the review process many issues were raised related to the management of the site, control of illegal buildings, lack of traditional construction material, the building permit process, the overall loss of OUV of the sites and the required control of new development. Some of the main issues are presented below.

Overall the Institutional Framework is functioning. However, problems arise when the internal organization of the site managers change. It would be better if each site manager appoints a focal point. The coordination within the local authority is also not satisfactory, especially between the heritage, building permit and legal sections.

Each authority has its own legislation and therefore they function according to their own principle act. The Department of Archaeology functions based on the Ancient Monument Preservation Act 1956, the municipalities are bound by the Local Self Governance Act 1999, while the Pashupati Area Development Trust has their own act from 1987. This can create problems with coordination and clarity of responsibilities as various development works have been carried out. For example there is the Buddha Park to the west

side of Swayambhu that reduces the value and importance of the main chaitya. There is the construction of the new Tilganga and Tamraganga road which impacts Pashupati monument zone. A more recent challenge is the proposed construction of the largest prayer wheel to the south west side of Swayambhu which has been stopped with the help of the Federation of Swayambhu Management and Conservation along with the police. In all these cases there are sufficient legal provisions to control such activities but the problem lies in implementation and enforcement. Site managers have mentioned the possible need for a special law for World Heritage areas. There are however already provisions in article 3 of the Ancient Monument Preservation Act 1956 for protection and management. The main issue was how to implement the law effectively.

Many possibilities for fund raising have been mentioned in the IMP, however most funds come from either the central or the local government. In some cases, national and international organizations have also funded conservation. Entrance fees are collected in all monument zones that need to contribute to its conservation. A Conservation Assistance Fund needs to be set up for conservation and possible expropriation (as mentioned in the IMP) however the modality might need to be reconsidered to ensure that it is legally acceptable and practically functional.

One of the biggest problems is the vertical subdivision of plots which can lead to plots that end up being only three foot wide. This is a problem for conserving historic buildings and is often the reason for windows being cut into pieces. To address this issue, the graded inventory must be linked to practical implementation regulations. There has to be clear provisions for how to deal with each grade of monuments within the inventory directly linked to preserving specific value of the monument. Provisions need to be put in place



to ensure that all structures on the inventory are conserved. Additionally blacklisting of buildings must be carried out which identify the owners and the reason. Documentation of all buildings is required to establish an overall understanding of the state of conservation of the monument zone.

The building completion certificate should be linked to the line agencies including Nepal Electricity Authority (NEA), Water Supply Corporation (WSC), Nepal Telecommunications Corporation (NTC) as well as the Department of Land Revenue and Survey. For enforcing bylaws, links are important with the office of the Chief District Officer and the police. Coordination is also necessary with the Kathmandu Valley Development Authority to ensure that such projects as road widening is not carried out within the World Heritage areas.

Monitoring and reporting are one of the most critical issues. This is the only way to catch illegal activities and try to stop it as soon as possible. The format and process need to be clarified. There has to be a team established, with specially trained supervisors as well as community involvement. There was a proposal to have a standard monitoring team and an enforcement (response) team. It is also important to ensure that the entire reporting process is clearly identified: regular reporting as well as emergency reporting and response. The process has to be officially institutionalized to make it functional.

The management system must take into account issues such as tourism and visitor management. Tourism planning is required to improve tourism, while taking into account the carrying capacity of the sites. The infrastructure and services need to cater to the growing need of visitors without having negative impact to the property. There needs to be a link to the reality of various sites, as being a religious place, there will be increased visitors. There also needs to be facilities and controls to deal with the masses, especially on days when several hundred thousand visitors arrive.

Traffic needs to be controlled within monument zones. This is closely linked to discouraging the inappropriate use of the site. In many cases, the urban planning or specific Master Plans need to be linked to the Integrated Management Plan (IMP). Master Plans need a clear orientation towards conservation and they need to be submitted to the World Heritage centre for review and acknowledgment. The process of carrying out Heritage Impact Assessments need to be established with standardized formats and procedures.

Issues have also arisen with the Earthquake Safety Unit and their approach towards historic buildings. The ongoing preparation of retrofitting guidelines by UNDP and the Ministry of Urban Development has not considered the special requirements of historic buildings. The heritage sites

need to be appropriately linked to the overall disaster risk management established by the government.

## Second phase – Way ahead

The second phase of reviewing the IMP will comprise of another round of meetings with related agencies and stakeholders in each site. All the issues that have been raised need to be sorted out and listed by priority. This would then be followed by interaction programmes with experts to discuss whether these issues are being addressed by the IMP and if not, how these issues can be addressed. This would allow for a draft amendment to the IMP, specifically the integrated management framework document. This would be followed by the official process of amending the document by the cabinet of the Government of Nepal.



Figure 3: Conservation priorities - the windows

# Enhancement of the implementation of the World Heritage convention through strengthening the protection and management mechanism in the historic centre of Bukhara

Ona Vileikis and Sanjarbek Allayarov

## Short biodata

Ona Vileikis is an architect with international experience in heritage and conservation. She is a doctoral researcher at the RLICC, KU Leuven, Belgium. Her research examines monitoring of serial transnational World Heritage properties and the use of digital technology, focused on the Central Asian Silk Roads case study. During this time she was also project manager of the Silk Roads Cultural Heritage Resource Information System (CHRIS), initiative of the UNESCO WHC funded by BELSPO, and worked on the Petra Risk Management project in Jordan. She holds a M.A. in World Heritage Studies from BTU Cottbus, Germany. Her studies were accompanied by research in Australia as part of the Master in Tourism Planning (UWS) and at ICCROM. Ona is an active expert member of ICOMOS CIPA Heritage Documentation.

Sanjarbek Allayarov is Culture Officer at the UNESCO Office in Tashkent mainly responsible for operational and training projects, in particular within the framework of the preservation of cultural tangible heritage including monuments and sites and historic centers. Previously, he was project coordinator at UNESCO Office in Tashkent of the Preservation and Conservation of the Buddhist temple Fayaz tepa in Termez.

## Abstract

For more than two millennia, the Great Silk Road was a path of integration, exchange and dialogue between East and West. Numerous monuments and sites are still represented with their outstanding values and attributes making them exceptional examples, such as the Historic Centre of Bukhara in Uzbekistan, World Heritage listed since 1993. The monuments are under State protection. However, there is still need for an improved management, as well as conservation and preservation tools, and a provision of a methodology for their implementation. In context of the preparation of the Management Plan of Bukhara, the UNESCO Office in Tashkent in cooperation with international and local universities has gathered data from 2008 to 2013 by field surveys. Values and condition assessments of dwellings and monuments were carried out and a GIS database was created. Additionally, in 2013, research on the legal context, buffer zones and boundaries also took place. This paper focuses on the condition and values assessment of the dwellings within the nominated area, and presents final results of the field surveys for the protection of Bukhara for future generations.



## Introduction

Currently, Uzbekistan counts with four World Heritage Properties, namely, Itchan Kala (1990), the Historic Centre of Bukhara (1993), the Historic Centre of Shakhrisyabz (2000), and Samarkand – Crossroad of Cultures (2001). The monuments within these properties are under State protection by the Law ‘On the preservation and Utilization of Cultural Heritage Properties’ (Republic of Uzbekistan 2001) and the ‘Law On the Protection and Use of Archaeological Properties’ (Republic of Uzbekistan 2009), and conservation and maintenance activities are regularly carried out. However, following the World Heritage Operational Guidelines (UNESCO 2013, para.108) there is still a need for the development of a proper management mechanism for the protection of the values of these World Heritage Cities.

Recently, a GIS database of the Historic Centre of Bukhara has been developed based on field surveys carried out from 2008 to 2013 for the preparation of the Management Plan (MP). Nevertheless, there is still need for input in the development of management, conservation and preservation tools, and a methodology for their implementation. This paper presents the documentation methodology and implementation for gathering baseline information with the support of a GIS database for the inventory, management and future monitoring of the property. It focuses on the condition and values assessment of the dwellings. It could serve subsequently as an example for the management of other sites listed as World Heritage with the same characteristics.



Figure 1: View of Bukhara

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## Location and context

Bukhara is one of the main examples of medieval Central Asian cities along Silk Roads, path of integration, exchange and dialogue between East and West. It is located in the Republic of Uzbekistan and was part of the old way from Penjikent (Tajikistan) towards Merv (Turkmenistan).

Its history dates back to the 2nd century BC, as a part of the Kushan state. It was part of several main kingdoms, such as the Caliphate of Baghdad (709), Samanid Kingdom (802), the Eshlita State (4th Century), the Timurid Empire and Bukhara Khanate. However, it was after the beginning of the 16th Century, when a large number of Bukhara’s monuments were constructed and preserved until today (Asimov & Bosworth 1998). Bukhara once counted with fortress walls erected in the 9th Century but those were destroyed and rebuilt several times, changing the urban configuration of the city. The fortress walls had eleven gates and contained the Ark, a Shakristan and a rabad.

Nowadays, the World Heritage Historic Centre of Bukhara covers 196 ha. It contains buildings of exceptional examples in architecture, and religious interaction illustrated by more than 100 monuments, including ensembles, mausoleums, madrasahs, mosques, trade cupolas, baths and caravanserais (Republic of Uzbekistan 1993) and 100 traditional houses registered on the National Heritage list. However, its value lies not just in its single monuments but in its urban fabric starting with the Shaybanid dynasty in the XVI Century.

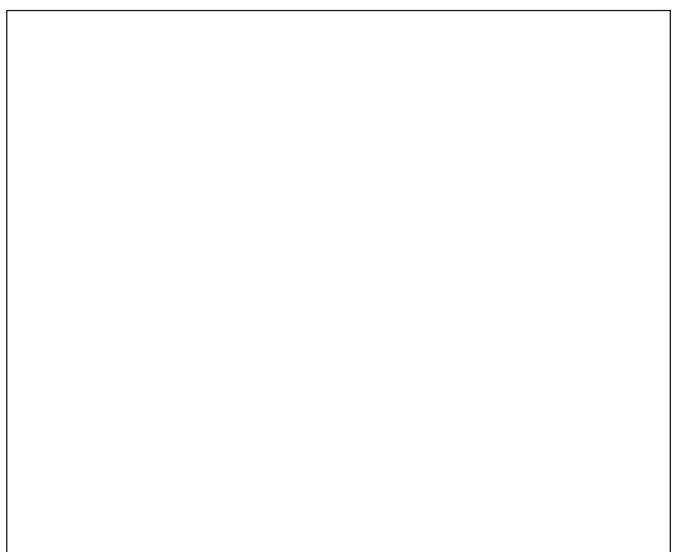


Figure 2: Location Map of Bukhara, Uzbekistan

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## Values and the World Heritage Convention

Bukhara has been inscribed as a World Heritage cultural property under criteria (ii), (iv) and (vi)<sup>1</sup> highlighting its unique example of urban layout and its importance as a centre of Sufism made tangible by hundreds of mosques and madrasahs (UNESCO WHC 2012).

Aside from its superb monuments, the historic urban layout of Bukhara is characterized by its traditional houses, ancient narrow streets and densely packed building blocks with inner courtyards. Within these blocks 440 traditional houses with high or medium heritage value are located. They are an integral part of the city fabric, main important elements to understand the way of life, traditions and customs.

As depicted in Figure 3, traditional Bukharian house consists of 1-2 stories with a basement for storage of products or livestock. Summer premises of the house face to the North, and winter rooms to the South. There is a rich decorated ayvan along the house that allows enjoying the coolness during the summer. The ayvan adjacent to the premises leads to the mehmonhona (living room), which is the most beautiful and well-decorated room to receive guests. Special attention is paid to the element called ‘madona’, a small niche in the wall decorated with carvings and paintings cluttered with all kinds of utensils, dishes, or traditional ceramic.

Dwellings are arranged around an interior courtyard with a ‘nim ayvan’ a small terrace leading to them. Dwellings are also decorated with carved and painted roof beams. For centuries, the basic building materials were clay (pahsa) and bricks (raw or burnt). Both materials had been adapted to the differences in temperature throughout a year (-30 C to more than 40 C) and created a perfect interior microclimate.

## Management and legal framework

After 10 years of being designated as Museum Reserve (Decree No. 308 - 16.05.1983), in 1993, Bukhara was listed as World Heritage property right after the Convention entered into force in the Republic of Uzbekistan. This status also brought more responsibilities to the State at a national as well as an international scale as stated by the World Heritage 1972 Convention<sup>2</sup> (UNESCO 1972 Art. 4-5).

The management of the historic monuments in Bukhara is carried out by the Ministry of Culture

and Sports of the Republic of Uzbekistan. The Principle Scientific-Production Department for the preservation and utilization of objects of cultural heritage (Board of Monuments) is in charge at a national level, with a focal point for UNESCO World Heritage (Cabinet of Ministers 2002). At a regional and local level, the Bukhara Regional Inspection and local authorities are responsible for the management, monitoring and maintenance of the listed monuments. However, at the city level, other stakeholders play an important role in its management within the historic centre, especially the State Committee for Architecture and Construction responsible for the management and development of the city, the Department of Museums as well as the Culture Department of Hokimyat (City Government).

As previously mentioned, Bukhara’s heritage is protected by two main national Laws related to cultural heritage together with other laws, resolutions and normative. The most relevant of these are the Town Building Code (Republic of Uzbekistan 2002) and its Normative Document IIIHK 2.7.2001- 2003 (State Committee of the Republic of Uzbekistan on Architecture and Construction 2008) as well as the resolution “On the issue of protection of objects of cultural heritage in the historic centre of Bukhara” (Cabinet of Ministers 2007). They aim to regulate new constructions and stop building permits within the defined boundaries of the WH property in order to improve the protection of the historic centre. Moreover, a Master Plan for the whole city is under preparation. However, following the recommendations of a reactive monitoring mission carried out in 2010 and the decision made by the World Heritage Committee on the State of Conservation (SoC) of Bukhara, a MP for the historic centre is still essential (UNESCO WHC 2011).



Figure 3: Bukharian Traditional House



## Heritage information in Bukhara

As stated by Clark (2007, p.3), 'Understanding the physical fabric of a site is an important first step in finding the right conservation strategy, and documentation is the first step in understanding.' Thus, efforts to start a MP should initially be directed towards gathering the right baseline information.

Currently, no complete or updated available information exists about the monuments or dwellings within the Historic Centre of Bukhara. Monuments are recorded under the monuments passport system. However, these forms are most of the time in hard copies and thus cannot be easily accessed or shared. Due to that different institutions produce their own data without setting common priorities and requirements, which might lead to duplicate information and inefficient resource use during data gathering.

Since 2008, in response to this need, the UNESCO Office in Tashkent has been working together with the Board of Monuments on the development of a GIS database of the Historic Centre of Bukhara including monuments and dwellings. In 2013, additional research was carried out to support the development of the MP by: identifying the current boundaries and uses of buffer zones; collecting legislation, decrees and local strategic plans; conducting interviews with stakeholders in order to identify management issues and challenges; developing a children's awareness brochure; and finally drafting recommendations for the MP and immediate actions for the protection of the values. The following section will focus on the methodology and results of the five years of condition and values assessments.

## Condition and value assessment

### Survey phases and areas

As shown in Figure 4, five phases were implemented from 2008 to 2013 during summer in blocks of one or two months. Data was collected within the World Heritage boundaries. The first phase was carried out in Shakhristan area with 31 blocks. The second phase included Khodja Zayniddin area including 39 blocks. The third phase focused around the Lyabi Hauze and counted with 82 blocks. The fourth phase included 59 blocks and was conducted in the north of the Kokaldosh madrasah. Finally, in the fifth phase survey teams

focused on the areas around the Jewish neighbourhood, and some missing blocks situated in the north and east counting with 52 blocks. All phases counted with field and office work. Due to high temperatures of more than 50° Celsius, field work was divided into two shifts, early mornings and late afternoons. In the evenings the information collected was discussed and added to the digital databases.

At the beginning of each field work, an informative meeting took place to familiarize the participants with the national context, Bukhara as World Heritage, the assessment forms and the relevance of the work for the development of the MP. During each survey phase, a first example of assessment was carried out on site in a Bukharian traditional house.

During each field survey the participants were divided into teams. The teams were multidisciplinary, included experts of the BoM and UNESCO Office in Tashkent, and counted with different nationalities and institutions. Teams were mostly composed of three members, each of them with a different function as illustrated. One member was in charge of interviews, mainly an Uzbek. A second team member took measurements and sketched the floor plan, while a third one took photos of the condition and the

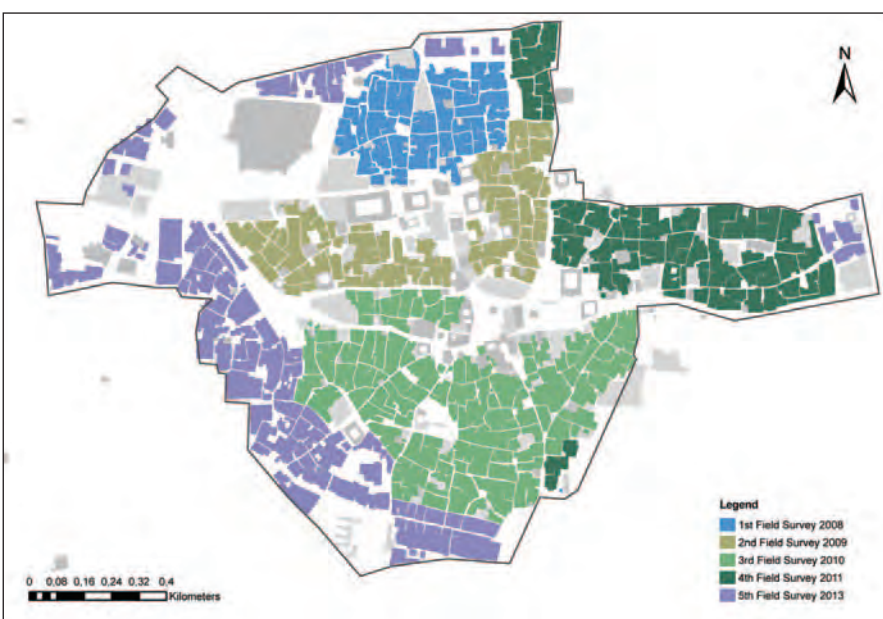


Figure 4: Survey Phases and Areas

disturbances of the dwelling. Each survey took around 15-20 minutes and at the end of each survey month, each time had visited an average of 250 houses.

## Documentation tools and implementation

All teams were equipped with a Leica Disto D5, distant laser meter, to take main measurements of the facades, the width of the roads and the interior of the houses. Moreover, the teams used digital photography to record physical condition and identification of disturbances. Cameras used included a typical pocket/compact-size Canon Power-shot or reflex cameras D5000 and D3000 from Nikon that also used lenses such as Nikkor Fish-eye 10.5 or Nikkor 18-200 mm. A tripod with panoramic header was always available to take details of disturbances or general conditions of the houses as well as panorama photos.

Furthermore, each team was equipped with an official letter of the BoM to access the buildings, key maps by block and assessment forms to be filled out during the visits. The forms comprised worksheets as well as guidelines on how to carry out the assessments and document the data in a standardized manner. The surveys aimed to identify and collect information about the legal, social and physical aspects of the property at a reconnaissance documentation level. It also included a selected number of photographs with sketched floor plans allowing a rapid identification of the current condition and future threats.

Aside from the assessment form worksheet two visual glossaries were developed in 2013 that served for common and consistent understanding of the elements. One glossary focused on physical aspects, including type of building, type of open space, type of intervention and building materials; while another glossary depicted examples of threats and



Figure 5: Field survey documentation tools

disturbances. Additionally, the Nara Grid (Van Balen 2008) was introduced for the values assessment of traditional houses and a form was developed for the identification of threats, disturbances and agents of deterioration as proposed by Vileikis et.al (2014). The form aimed to collect more accurate and detailed information to support the prioritization of management actions in the future.

The following software was used for data analysis, and digitization:

AutoCAD 2010 to draw floor plans of the houses, PTGui photo stitching to create panoramas as well as Microsoft Office Access 2007 and ESRI ArcMap 9.3 to transfer the information recorded in the assessment forms into a digital format. Additionally, folders were created containing scanned questionnaires as well as corresponding photos and floor plan drawings.

## Processing information collected in the GIS database

A GIS database was selected as the digital documentation tool. A high resolution Quick Bird satellite image of Bukhara Historic Centre was acquired in 2008 by the UNESCO Office in Tashkent and used as a background layer to prepare a reliable GIS map of all surveyed zones. The database structure was based on the survey forms and allowed the superposition of layers, an easier visualization and a large number of queries. Thematic Maps were created serving to illustrate changes in the values of the dwellings, for example due to the change of use or building materials.

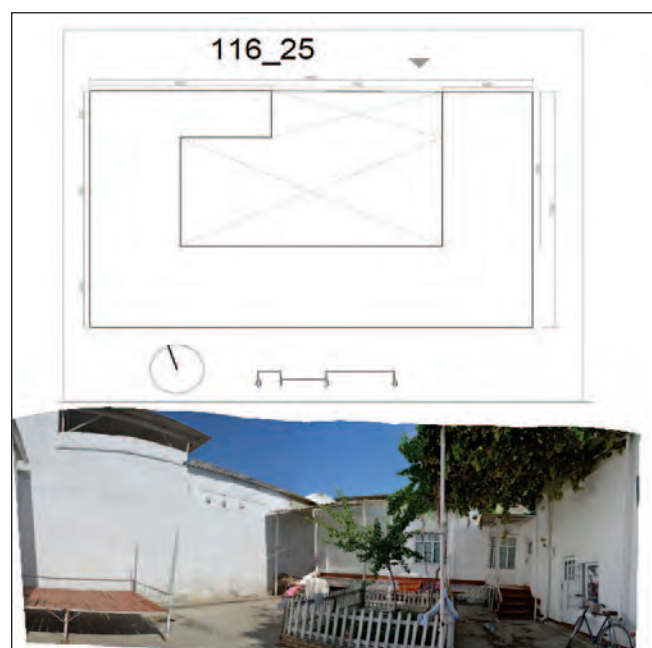


Figure 6: Data processed and digitized



## Results

The GIS database includes information of 132 historic monuments, 203 municipal buildings and 4034 dwellings. Historic and municipal building were surveyed in its totality, 732 dwellings were not surveyed.

### Values thematic map

The values thematic map shows that 172 houses still have high heritage value, of which 83 still contain most of the elements of a Bukharian traditional house. Of the 172, 144 show good or fair physical condition. One positive example is the Jewish house restored by UNESCO. Traditionally there has been an important Jewish community in Bukhara. However, many of its members left after the independence of Uzbekistan from the Soviet Union and sold their houses often presenting a high heritage value. Today, some of these houses suffer from the lack of maintenance. The Jewish House after conservation interventions is in good state serving as a tea house and also used for workshops or other educational activities. In the future it will be used for a museum of the Jewish community.

For a better reading and understanding of the traditional buildings, the Nara Grid (Van Balen 2008) was used as a tool to assess the values of a selection houses with high heritage value and good physical condition such as the Jewish House.

The tool correlates dimensions and attributes. Dimensions are considered historic, social/economic, scientific/traditional knowledge and aesthetic/artistic. Attributes or features are form and design; material and substance; use and function; traditional techniques and workmanship; location and setting; and spirit and feeling.

Most of the houses still conserve its original use as residential. However, there is an increasing trend of change of function

to hotels and B&B, presenting high interventions. Turning into a threat to the traditional values of the houses. This phenomenon is mainly seen in the south of the Lyabi Hauze close to its promenade. Despite of the development regulations and regularly monitoring new constructions are still ongoing.

### Physical condition thematic maps

The physical condition thematic maps identify the current state of conservation of the houses and their threats. The information is part of the inventory of the historic centre and could help prioritize future interventions and management decisions.

According to results, more than half of the houses still keep their traditional courtyard, a height of one to two floors, adobe brick with wooden frame or burnt brick construction, and present a good or fair physical condition. However, as it can be seen in a comparison of the number of disturbances, mainly, fissures and cracks caused by erosion, structural deterioration or deformation pose a serious problem. Followed by negligence or abandonment due to lack of maintenance, and rising damp caused by streaming water.

Furthermore, the survey data suggests that based on the original construction materials, there is a loss of traditional techniques. For example, building structures and roofs in earthen or brick construction have been already replaced by reinforced concrete skeleton especially towards the limits of the nominated area.

Finally, results revealed that the lack of infrastructure could still pose problems. For example, 2673 dwellings, more than half of the surveyed dwellings, are not connected to any sewage system.

## Conclusion and future outlook

Field surveys as well as condition and values assessments contributed greatly to assess and understand the fabric of Bukhara, specifically its dwellings and their current state. They also allowed us to define the needs of the property and based on that to develop future approaches for the preservation of the Outstanding Universal Value of the Historic Centre of Bukhara.

Digital technologies such as photography and GIS proved to be useful tools for data analysis and for future accurate



Figure 7: Heritage Values' Assessment

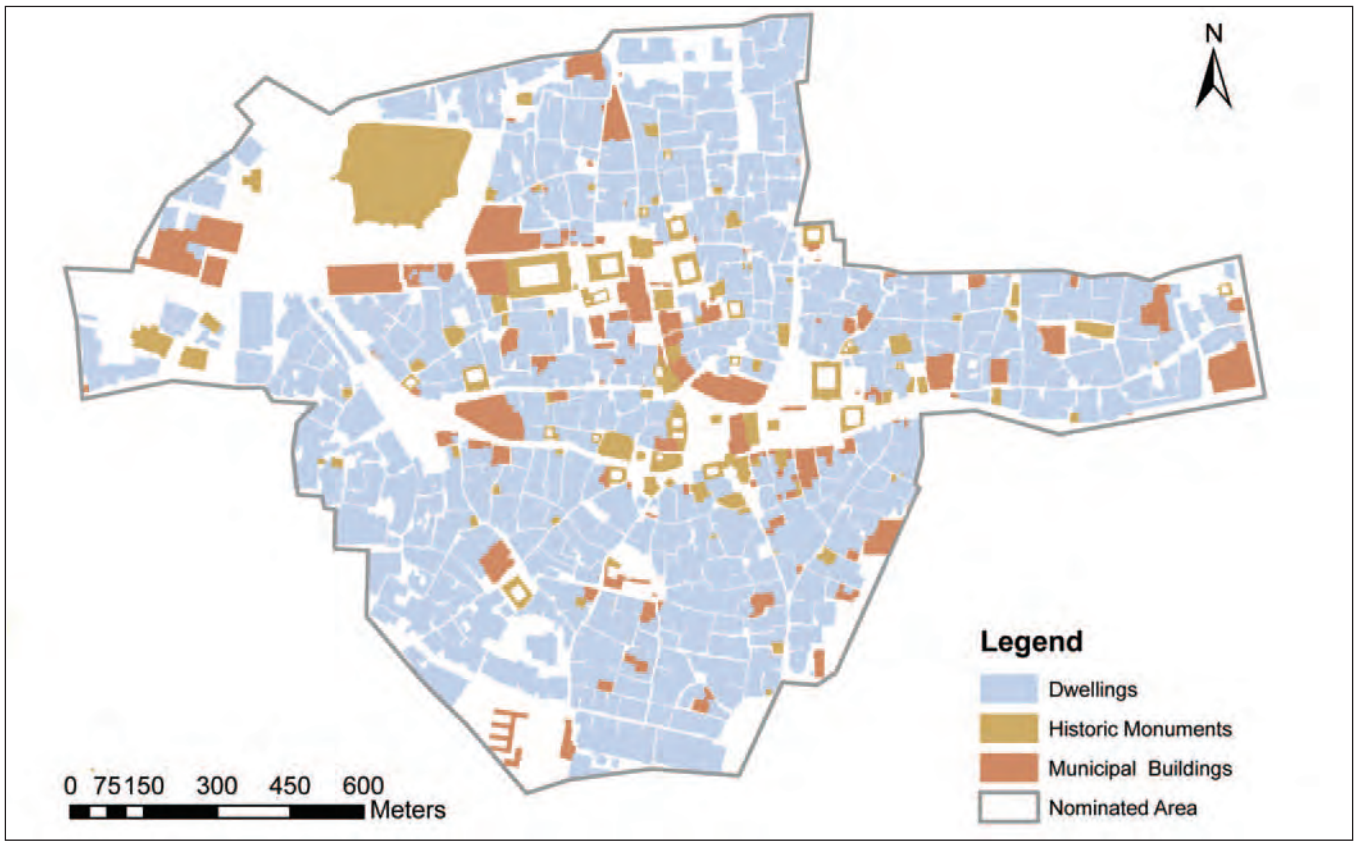


Figure 8: Type of Buildings surveyed

monitoring and reporting of the state of conservation and threats of the World Heritage property.

In the future, more detailed assessments of the traditional houses identified with high heritage value could be carried out as well as more detailed condition and values assessment of the historic monuments.

Overall, the Bukhara field survey project was an eye opening experience for national and international heritage

experts and students as well as the local community. The recommendations made by an interdisciplinary, intercultural and inter-institutional team brought the attention of the relevant stakeholders. Thus, a round table will be organized for discussion and agreement on the actions to be taken towards the preservation of the WH property and raising awareness. As the main objective of the activity, a MP will be an essential tool to be developed and integrated into the national management system.



Figure 9: Building Function of dwellings



Figure 10: Local children proudly showing their drawings of their city



## Notes

1. Criterion (ii): The example of Bukhara in terms of its urban layout and buildings had a profound influence on the evolution and planning of towns in a wide region of Central Asia.

Criterion (iv): Bukhara is the most complete and unspoiled example of a medieval Central Asian town, which has preserved its urban fabric to the present day.

Criterion (vi): Between the 9th and 16th centuries, Bukhara was the largest centre for Muslim theology, particularly on Sufism, in the Near East, with over two hundred mosques and more than a hundred madrasahs.

2. Notification of succession 13/01/1993. States Parties: Ratification Status. Available at: <http://whc.unesco.org/en/statesparties/> [Accessed October 13, 2013]

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# Challenges in conserving living urban heritage

## Case study – the historic town of Blagaj, managing change

Mirela Mulalic Handan

### Short biodata

Mirela Mulalić Handan, architect (dipl.ing.arch) graduated from the Faculty of Architecture at the University of Sarajevo in Bosnia and Herzegovina in 1985 and has 27 years of experience in heritage protection. For the past 11 years she has held the post of executive director at the Commission to Preserve National Monuments, a state institution that received the European Union Prize for Cultural Heritage/Europa Nostra in 2010 for dedicated service. She was an ICCROM scholar for the international course on Conservation of Built Heritage, 2009, Rome. She has worked on numerous projects for the conservation of the built heritage. She is the author of papers on the preservation and management of the built heritage and served as coordinator for Bosnia and Herzegovina for the Council of Europe and European Union Regional Programme for South-East Europe's Integrated Rehabilitation Project Plan (2003-2010). She has been coordinator and leader of experts drafting management plans for historic monuments and sites nominated for inscription on the World Heritage List.

### Abstract

Over the centuries, Bosnia and Herzegovina's heritage has faced changes due to neglect, destruction of various kinds, and exploitation. The 1992-1995 war in Bosnia and Herzegovina is a drastic example of attitudes to heritage, which was the target of destruction. During the post-war renewal of social communities, tensions have arisen between the need to preserve traditional values and the need for development. This paper will focus on a case study – Blagaj, a historic urban area of the greatest importance for Bosnia and Herzegovina – and on the development of a management concept designed to mitigate the tensions between heritage conservation and development. The basic value of the town is its outstanding landscape and its blend of natural landscape, geomorphological and man-made features. The Tekke on the Buna, Blagaj's religious and spiritual centre, is one of the most iconic sites in BiH. The effects of development and demographic growth, however, have led to inappropriate interventions in the historic area like traffic congestion, inadequate parking facilities and neglecting of some properties. The greatest threats are the pressure from tourism and religion for the benefit of the market economy. Since Bosnia and Herzegovina intends to nominate the historic area of Blagaj for inscription on the World Heritage List, management tools need to be developed that will restore lost values and respect for the sanctity of the spiritual elements and lifestyle of the Tekke. Focusing on management tools makes it possible to analyze the strategies implemented and to develop alternative solutions. These instruments need to be under constant development, and to be combined and applied appropriately.



Bosnia and Herzegovina is recovering from the 1992-1995 war, during which its cultural heritage was systematically targeted; over 2770 cultural properties were damaged and destroyed, and the heritage protection system was undermined. The heritage has also been affected by the country's political and economic transition from a socialist to a capitalist, market-economy system. The war and post-war changes have resulted in high levels of unemployment, destruction of economic resources and use of outdated technology. Half the country's population are internally displaced or living as refugees in third countries.

Blagaj is one of Bosnia and Herzegovina's most noteworthy historic towns, with its iconic tekke (Sufi lodge) on the River Buna, making this small town a spiritual and religious centre.

## Blagaj's heritage

### *The town's situation and development*

The town's unique natural setting, with its towering crags and the River Buna, combines with the mediaeval fort known as Stjepan-grad, the township on its outskirts and the urban settlement that took shape during the Ottoman period, with its many townscapes and individual buildings of note, to form a unique, natural, rural and urban ensemble.

Blagaj is in the Mostar valley in southern Bosnia and Herzegovina, which enjoys a Mediterranean climate. The development of the town was influenced by the proximity of the Adriatic Sea and the River Neretva, which provides a route into the hinterland. Blagaj is set in a typical karst landscape of rocky hills and rivers, including those that flow underground for much of their course. The source of the Buna is a magnificent example of such underground karst rivers, welling out of the rocks, making it one of the largest of its kind in Europe. The area is also known for the diversity of its flora, with a number of endemic species.

Its mild climate and geomorphology have made it ideal for human habitation since prehistoric times. Archaeological finds on the slopes of Blagaj Hill attest to settlements in prehistoric and Roman times. Cave dwellings dating from the Palaeolithic (Ševrljica cave) and the Neolithic (Zelena [green] cave) have been discovered here, along with significant archaeological sites dating from the Bronze and Iron ages.

It is subject to the highest level of statutory protection by virtue of its status as a national monument, and is on the UNESCO Tentative List to be nominated as a world heritage monument. However, even strict legal provisions and international conventions are unable to ensure the preservation of the heritage, as the decision-making process is dictated by the changes affecting the country. The historic town of Blagaj should be seen as an organic, dynamic system vulnerable to developmental, demographic and even natural factors. Its heritage is at risk in particular from unplanned tourism development and the need to make 'a quick buck.' There is an imperative need to develop principles that will create a balance between the need to conserve heritage, preserve religious character of the Tekke and allow for development.

The earliest written records of Blagaj as one of the towns in the region known as Zahumlje, albeit indirect, are to be found in the *De Administrando Imperio* compiled by the Byzantine Emperor Constantine Porphyrogenitus between 948 and 952. In mediaeval times, Blagaj was the seat of Bosnian landowners. The fort known as Stjepan-grad is named after one of them, herceg Stjepan Vukčić Kosača.

The Ottoman period (1466-1878) saw the rapid development of the township below the fort into the town of Blagaj, with dwellings, public facilities, and the *čaršija*, the trade and crafts quarter, in the town centre. The mills on the river, built mainly to grind grain for the military, played an



Figure 1: Fortress Stjepan grad

important part in the urbanization process, as did the tekke with its musafirhana (hostel), making Blagaj and religious and spiritual centre. The whole of tekke, and the town, is associated with dervish (Sufi) gatherings and rituals.

The planned layout of the town developed in the Ottoman period has survived, mainly due to sluggish economic development from the outbreak of World War I in 1914 to that of the most recent war in 1992. Such new buildings were not so extensive as to disrupt the scale and proportions of the Ottoman town.

During the 1992-1995 war, Blagaj became a place of refuge for large numbers of people displaced from nearby towns and villages. Weekend cottages have also been springing up since the war. All this is affecting the townscape.

### *The urban morphology*

Blagaj's historical evolution may be traced from the first mediaeval fortifications (Mali grad or small fort, and Stjepan-grad) to the three-branched layout with surrounding residential quarters (mahalas) developed in the Ottoman period (15th to 19th century). The River Buna and the Bunsko brook form the boundaries of the historic core of

Blagaj, consisting of the oldest mahalas and the čaršija. The residential quarters, which are separate from the čaršija, the trade and crafts zone, are connected by a network of roads parallel with and at right-angles to the contours. Topography and water use dictated the construction of the mahalas.

One of the first public edifices to be built was the Careva (Emperor's) Mosque, in 1520/1521, which gave the town the status of a kasaba (kasbah, qasba: in Turkish, a settlement larger than a village but smaller than a city), followed by the Karađoz-bey Bridge in 1570 and the Leho Bridge (before 1664), the Karađoz-bey Hammam (1570-1664), a han (caravanserai, before 1664), a range of artisans' workshops, some more substantially-built store-rooms, and houses.

The Tekke on the Buna is the religious and spiritual heart of Blagaj. The musafirhana or hostel (1664, rebuilt in 1851) and the turbe (mausoleum) with two graves, which have survived since it was first constructed, combines with the soaring cliffs and the source of the Buna to create an outstanding cultural landscape. The musafirhana was originally run by the Bektashi order, but later, in the 18th century, it became a Halveti (Khalwatiyya) centre. The musafirhana is one of the original buildings influenced by Ottoman baroque architecture. (Fig. 2)

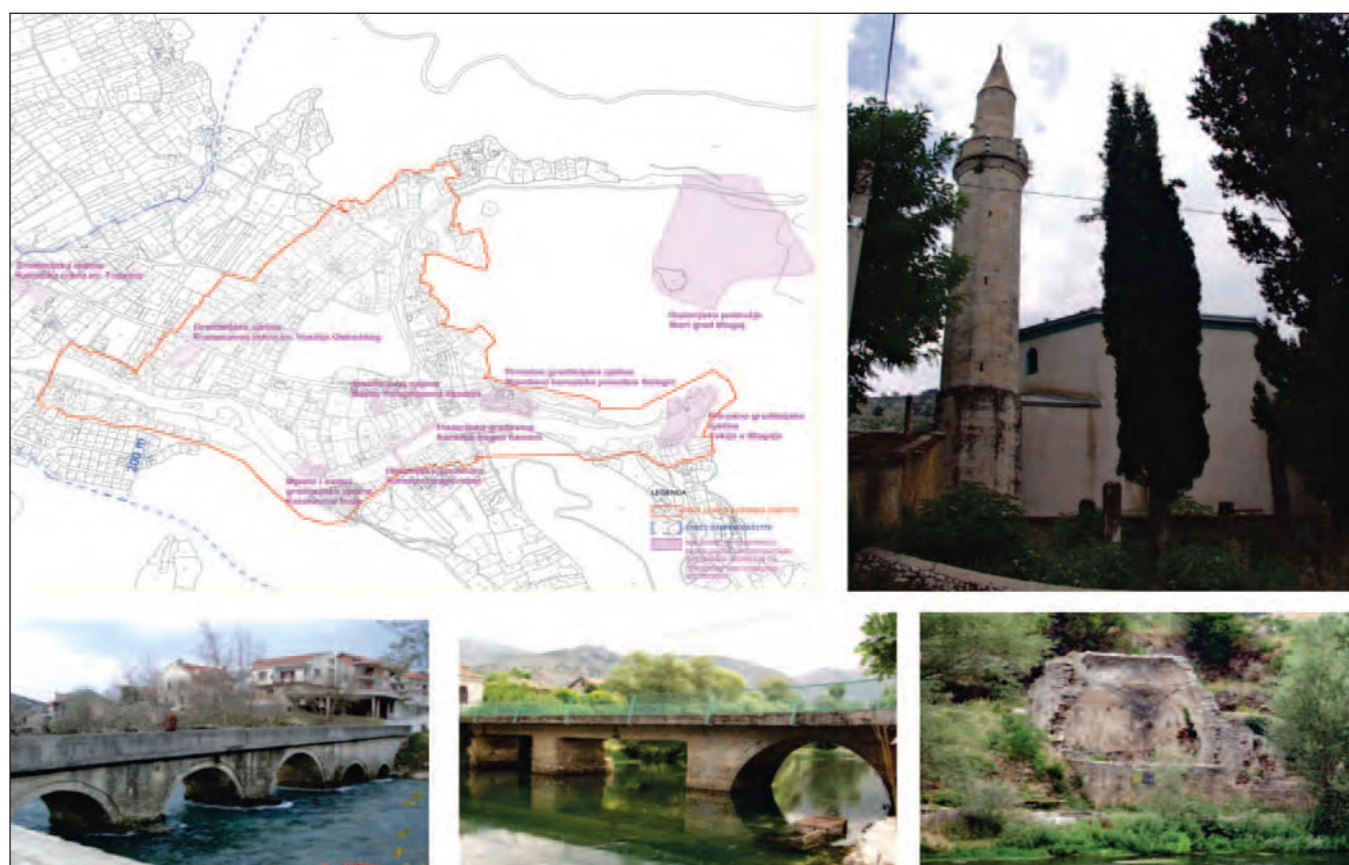


Figure 2: Urban morphology



Stjepan-grad, the Blagaj fort, stands on a natural area of level ground atop precipitous slopes. The fort is polygonal in plan, reflecting the configuration of the site, and has seven rectangular towers, a projecting angle and an entrance to the east, the approach to which rises via a succession of hairpin bends (cover).

The 17th-century residential complex of the Kolaković house is an example of a landlord's house, with its selamluk or public quarters where guests were received, and a haremluk or family quarters. It was damaged in 1993, during the war.

The residential complex of the Velagić house, built before 1776, is the best-preserved group of family houses with surrounding plots and outbuildings, where the lifestyle of Herzegovina was at its best. (Fig. 3)

The Kosić tower-house at the entrance to the town belongs to the type of mediaeval fortified residence solidly built of stone.

The Orthodox Church of St Basil of Ostrog (1892-1893) and the Catholic Church of the Holy Trinity (1892-1893) were both built in the Austro-Hungarian period in the neo-Romanesque style. Both were damaged during the 1992-1995 war and restored in 2013.

The water mills near the Tekke on the River Buna, just below the source, were built with channels and leats to power the water wheels. A number of grain mills and fulling mills for stamping cloth were built. There is one mill on each side of the river. These mills, with one or more millstones, are usually simple stone-built structures with a gabled roof clad with stone slates.

### *Statutory heritage protection*

The principal legal document ensuring that Blagaj is subject to the highest level of statutory protection is the decision designating the historic and natural area of Blagaj as a national monument (Commission to Preserve National Monuments, 2004). The decision defines the boundaries of the protected site and the individual buildings and groups of buildings, townscapes of particular value and natural features within the site, prescribes protection measures, and requires all relevant institutions to implement the decision. All executive and development planning acts contrary to the provisions of the decision are revoked.



photo by Amel Emrić



photo by Amel Emrić

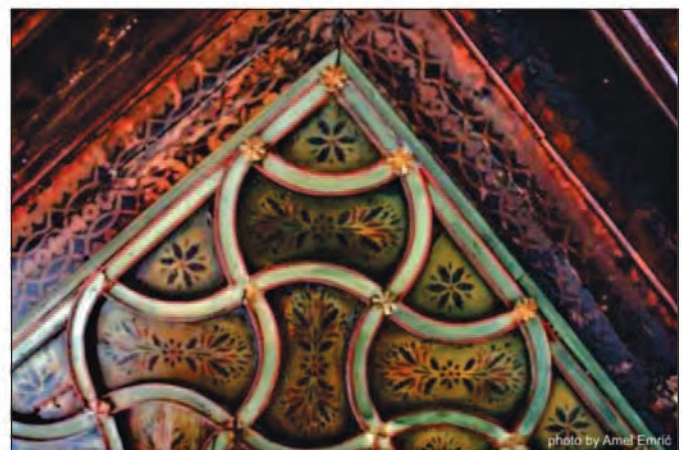


photo by Amel Emrić

Figure 3 Tekke on Buna river



### *The decision prescribes three levels of protection*

Protection level I relates to buildings and sites of monumental, significant townscape and/or natural value. The only interventions permitted are those designed solely for the protection and presentation of the heritage.

Protection level II allows for interventions that will not compromise the functional and/or formal integrity of the area and for properties to be adapted to suit contemporary use. By way of exception, new infill may be allowed provided that it will not compromise the value of the protected area.

Protection level III applies to the buffer zone. Interventions that will not compromise the existing urban structure are permitted, and the number of storeys (a maximum of two) and footprint of new buildings are restricted. The banks of the River Buna are to be refurbished, as are courtyards and public spaces, using indigenous plant species. Quarries, environmental polluters, major infrastructure and industrial facilities are prohibited.<sup>2</sup>

Heritage protection is also covered by other legislation relating to spatial planning, inspection, the penalties for damaging or destroying heritage, the production of documentation, investigative and other works on monuments, and the supervision of these works.

## Vulnerability / risk assessment

Despite this framework of strong legislation, there is an obvious inability to enforce the legislation that would ensure that Blagaj's heritage is protected from unplanned and illicit building.

The findings of the Preliminary Technical Assessment of the Architectural and Archaeological Heritage in South East

Europe<sup>3</sup> are that the historic urban area of Blagaj is either directly or indirectly endangered by the following:

- Inappropriate interventions in the historic area – As a result of recent development and demographic growth the adjacent settlement is being developed in an unplanned and uncontrolled way. New buildings, in some cases are being



Figure 4: Residential complex Velagicevina





constructed against the monumental buildings and areas, and the settlement is being extended in all directions. At the same time there are numerous abandoned buildings and residential ensembles of monumental value and importance in the settlement centre which badly affect the ambience and setting of the historic area.

- Lack of management and maintenance - The site is large and diverse and needs proper management structure for both day-to-day management and development of a master plan which does not exist now. Maintenance appears to be reactive and sporadic with no overall plan.

- Resources - The site is very extensive and the scale of the problem is so large that consolidation of buildings and structures will inevitably take a long time and requires major commitment of financial and management resources.

Three points in the historic centre are at particular risk and have development potential.

Café-restaurants and a bridge over the Buna have been built in the immediate vicinity without planning permission. Though the authorities have issued a ruling requiring these illicit structures to be demolished, this has yet to happen. The restaurants built without planning permission are exploiting the amenities of the Tekke for their own gain, without any compensation for the benefit of the monument. In 2011 the religious community erected a large building in front of the musafirhana, which is being used as a konak (motel) by guests of the Tekke. This building completely hides the Tekke from view, so that it can now only be seen properly from the opposite bank of the river, from the illegally-built restaurant, which benefits from the view and thus has more visitors, and hence greater income. Part of the revenue realized by the religious community from the

konak, entry fees to the Tekke and the café and souvenir stall in the musafirhana, is used to maintain the musafirhana. The approach road and footpath leading to the Tekke are cluttered with parking areas and souvenir stalls. All this has compromised both the visual and functional identity and the religious nature of the Tekke.

The čaršija has retained its primary use as Blagaj's crafts, trades and commercial quarter. However, the use of the properties has not been defined appropriately. The façades of the buildings are in poor condition and there is no street furniture. A particular problem is that buildings of townscape value have been vandalized and are in a state of neglect. A few new buildings have been erected with several more storeys than the single-storey or two-storey buildings typical of the quarter. The town's busiest street runs through the čaršija, which is cluttered with parked vehicles.

The use and maintenance of Stjepan grad, despite the conservation works recently carried out on the curtain walls, remained unresolved. The fort is very difficult of access and there is no provision for alternative means of transport, making it impossible to integrate the fort into the town's tourist attractions (Fig. 4).

A study conducted in 2008<sup>4</sup> revealed that the urban matrix has been preserved, as has the use of the properties, with the old division into the business quarter in the čaršija and residential quarters in the mahalas. 70.5% of the properties are residential, many of them derelict and empty, as a direct result of the war. 76% of the total number of properties was built on the site of earlier buildings, using modern materials and contemporary construction methods. Most of the taller buildings are on the western limits of the historic centre, with a few in the town centre. Pedestrian areas are used by motor vehicles and as car parks.

## Focusing on management tools

The adverse impact of development, natural and demographic pressures can be mitigated by creating a development vision and activating appropriate management tools. New instruments must be employed to preserve the town's physical structure and intangible values and to determine the appropriate use of space and the various properties. Blagaj's cultural and natural heritage should be seen in the light of its development potential. If development programmes are implemented with due respect for the heritage and concern for long-term sustainable development, they will help to achieve the strategic goal of achieving a balance between development and heritage conservation. Implementing such

a strategy requires an innovative approach and conservation instruments. The conservation principle of managing change so as to minimize harm to the heritage is applicable in the case of Blagaj.

Additional management tools that have not yet been activated are proposed as part of the basic sets of legislation, funding heritage protection and management, introducing incentives and disincentives for property owners and occupiers, and the use of information, which includes research, interpretation and education.<sup>5</sup>

The authorities responsible for heritage protection and management in Blagaj should continue to develop and implement these proposed tools in collaboration with the local community and the private sector.

## Legislation

Blagaj's heritage enjoys the highest level of statutory protection, but it is proving difficult to enforce the legislation. The authorities have issued demolition orders for properties built without planning permission and contrary to the prescribed protection measures. But these orders have never been enforced. Official tolerance of illicit building undermines public confidence in the heritage protection system and encourages others to build without permission. The legislation as it stands proves to be inadequate to protect the heritage, and new mechanisms are therefore required for the rapid and effective implementation of inspection supervision, the enforcement of demolition orders at the expense of the investor, and the use of penal measures.

Legislation should also be enacted to prevent buildings erected without planning permission to receive electricity, water supply and other utilities.

Statutory protection should include the proper use of properties and space, as well as management and maintenance. It is essential to draw up spatial planning documentation (regulatory plans, in the legislation of Bosnia and Herzegovina, are the equivalent of Master Plans).

Planned land use has the potential to yield significant results in the preservation and advancement of Blagaj's natural and historic assets.

The project to support tourism development in Blagaj through sustainable management of the natural, historical and cultural heritage, includes the recommendation that a Management Plan and Master Plan be produced, to cover the revitalization of the čaršija as the commercial quarter, the refurbishment of façades and the proper use of historic properties, as well as a solution to the problem of vehicle parking at the entrance to protection zone I and an appropriate system to control traffic through the town.

Alternative tourist routes through the čaršija and up to the fort need to be developed to reduce tourist numbers at the Tekke. The introduction of alternative means of transport for visitors (electric vehicles, cars, horse-and-carriage, bicycle) and of a system of footpaths, and a ban on motor vehicles except for deliveries and the limited requirements of local residents would reduce or eliminate the adverse impact of traffic. The planning documents should also provide for the riverside area to be regulated and refurbished.

Access to Stjepan-grad needs to be provided, as well as an alternative means of transport (cable car) and infrastructure to enable it to be used for cultural, educational and recreational purposes.

An analysis is required of the potential for dispersing central functions in the protection zone, and for ensuring that



Figure 5: Focal points - endangered spots with potential for development



functions and content are concentrated on the basis of the complementary and cumulative attractions of the place. The logical, organic development of the historic centre within the protected zone can be ensured by using vacant areas. Planned interventions within the protected zone should be subject to finding ways of relieving the pressure on the historic centre from motor vehicle traffic, introducing suitably located car parking areas and providing appropriate transport for tourists to the sites of historic and natural assets.<sup>6</sup>

The construction in 2011 of the konak in front of the musafirhana of the Tekke has compromised both its townscape value and the sense of its being a sacred place. The religious community obtained the necessary permits to build the konak, so it is up to the authorities to provide compensation if agreement is reached to demolish the building. The religious community could be offered the han (caravanserai) to accommodate guests instead of the konak – in any case, the han needs to be revitalized.

Separate regulations are required to set up a monitoring system, to monitor the state of conservation of the built stock, implement conservation measures and other interventions, oversee construction, plan the use of space, issue permits for interventions, rule on whether projects/designs conform to the provisions of decisions designating national monuments and whether the building works conform to the permits issued, as well as issuing orders to suspend works and demolition orders.

### *Financing heritage preservation and management*

Under the terms of the law, the government is responsible for securing the funds for the protection and conservation of national monuments, regardless of whether they are in public or private ownership or are the property of religious communities. The need to fund heritage preservation greatly exceeds government's resources, making it essential to spread the financial load between the public and the private sector.

The justification for such a division is clear from the ownership of properties in the historic centre of Blagaj. The findings of the 2008 survey<sup>7</sup> reveal that 3.9% of the properties are in public ownership, 4% are owned by religious communities, and the rest are in private ownership. Roads and streets, open space and infrastructure increases public ownership to 10-15%. Public funds are used to protect and conserve the heritage, to maintain properties and land in public ownership, and to improve roads and infrastructure. The authorities are thus encouraging development and private investment in the improvement of its own properties.

The Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas (UNESCO 1976) encourages the setting up of public and/or private financing agencies for the safeguarding of historic areas and their surroundings. These agencies should have corporate status and be empowered to receive gifts from individuals, foundations and industrial and commercial concerns. The possibility of setting up such a body to safeguard the historic area of Blagaj should be considered. Funds from a range of sources would be directed to this body, and used in accordance with a list of priorities established on the basis of agreed criteria (e.g. the degree of risk to the property and the necessity of intervention).

Tourism must be developed in a manner that will not endanger Blagaj's heritage, and a meaningful proportion of the profits from tourism should be used for the conservation and maintenance of properties in the historic area. Instead of an entry fee just for the Tekke, a fee should be charge to visit the historic area of Blagaj as a whole. This would also make it possible to control and limit visitor numbers.

Other income from various sales in and around the town centre, such as the sale of souvenirs, can be regarded as primary benefits. Given the attraction of the historic area, it is essential to upgrade the current system of local taxation, fees and ground rents. One possible solution would be to introduce special taxes (5% or 10%) for tourist/travel agencies, hotels, restaurants and souvenir sellers, payable on their earnings from tourism.

One way of managing the funds would be to set up a foundation. This would be supported by private investment and public funds, and would manage the properties in public ownership (the han, Stjepan-grad) and those that might be gifted or conceded for use/occupancy under certain conditions. The latter could include the mills on the Buna and some of the properties in the čaršija, which their owners are unable to maintain. The foundation could also take on responsibility for the purchase, restoration and resale of properties.

The introduction of incentives and disincentives for property owners and occupiers should ensure that protection measures are implemented to a greater degree than is possible under current legislation. Legislation should be enacted to govern the right to certain privileges or concessions, as well as restrictions on the rights of private owners, with a view to enhance heritage protection and preservation.

Private owners and occupiers of cultural properties are required to implement protection measures and to keep their properties well maintained. They are required to notify the heritage protection authorities of any changes, damage

or risks to the property, to allow the relevant authorities to conduct surveys and expert inspections, to allow for inspection supervision, and to allow the general public access to their properties. Owners have the right to sell their properties, and the responsibility for implementing the protection measures then passes to the new owner.

Public investment in privately-owned properties should be subject to the owner's or occupier's undertaking to meet these requirements and to collaborate in the protection and use of properties. Every grant should be implemented by contractual agreement between the property owner and the body making the grant, which should bind the owner or occupier of the property to maintain the property as required by the protection measures and to allow the general public access to the property.

The introduction of measures that would reduce the cost of maintenance, conservation and restoration of privately-owned properties and the costs of ownership if the properties are adequately maintained would ease the burden on the owners and compensate them for the restrictions imposed by the protection measures. In such cases, property owners should have the right to tax, customs duties and loan concessions. Furthermore, if the maintenance of or restoration works on a property require greater investment than the cost of routine maintenance or the income from the property, the owner should have the right to compensation.

On the other hand, if an owner fails to maintain the property and is at risk of damage or destruction, or if an owner abandons the property, the penalties prescribed by law should apply. The possibility should also be considered to introduce new legislation restricting the right of ownership, and the authorities should intervene by compulsory purchase or denying the right of occupancy.

The Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas (UNESCO 1976) highlights the need for research, education and information for the benefit of the heritage.

## Conclusion

The development, combination and application of management tools should be an on-going process, as appropriate to each set of circumstances. The choice of tools is influenced by politics, development needs, social and economic relations, the willingness and ability of institutions and local communities to employ such tools, and so on.

The general public should be made aware of the cultural and historical significance of Blagaj and of the importance of heritage protection and the role of heritage in development. Interpretation could be improved by the provision of live, printed and visual information at local monuments. Setting up a history museum in Blagaj, with artefacts and displays presenting the history and traditions of the area and its rich ethnological heritage, would also enhance the interpretation of Blagaj for visitors.

Guidebooks, recommendations, standards and codes of conduct are all forms of information that should be drawn up to ensure that both local residents and visitors to Blagaj are better informed about heritage protection measures, maintenance and use.

The Recommendation concerning the Safeguarding and Contemporary Role of Historic Areas (UNESCO 1976) includes research, education and practical training. Research should be encouraged with a view to document Blagaj's heritage, conservation and restoration focused on materials and techniques, and research designed to define protection projects and programmes.

The training of skilled workers and craftsmen specializing in the safeguarding of historic areas should also be encouraged, as should the education of administrative staff responsible for the safeguarding and management of the historic area of Blagaj. Ideally, education for local residents would be provided to take advantage of sustainable tourism development. They could also be trained to act as tourist guides.

The Recommendation concerning the Safeguarding of Beauty and Character of Landscapes and Sites (UNESCO 1962) encourages holding events devoted to encouraging the appreciation of natural or man-made landscapes and sites in order to direct public attention to the fact that the protection of their beauty and character is of prime importance to the community. Special events on the attractions of Blagaj should be created. These would serve to educate visitors, promote Blagaj's cultural, traditional and natural assets, and raise funds.

Focusing on management tools makes it possible to analyze the effectiveness of the measures taken and to develop alternative solutions.

The appropriate safeguarding of the historic urban area of Blagaj and the planned development of its protected zone can



be achieved through planning policy. The authorities must create instruments that will encourage, facilitate and compel the owners and occupiers of properties in the protected zone to respect and implement statutory protection measures. The establishment of a foundation is a model for replacing the former institution of the vakuf, to be maintained by private and public funds and to invest in the maintenance

and conservation of properties in the protected zone. The general public should be made aware of the cultural and historical significance of Blagaj and of the importance of heritage protection and the role of heritage in development. Ideally, education for local residents should be provided to take advantage of sustainable tourism development.

## Notes

- (1) Decision designating the historic and natural area of Blagaj as a national monument, Commission to Preserve National Monuments, 2006
- (2) Decision designating the historic and natural area of Blagaj as a national monument, Commission to Preserve National Monuments, 2006
- (3) Preliminary Technical Assessment (PTA) of the Architectural and Archeological Heritage In South East Europe
- (4) Survey conducted in 2008 for the Sustainable Tourism Development project, Commission to Preserve National Monuments
- (5) J. M. Schuster and John de Monchaux suggest a list of five generic tools of government action for built heritage preservation: ownership and operation, regulation, incentives (and disincentives), establishment, allocation and enforcement of property rights, and information (Schuster 5).
- (6) Recommendations of the project to support tourism development in Blagaj through sustainable management of the natural, historical and cultural heritage zone, Commission to Preserve National Monuments, 2009
- (7) The survey was conducted by the Commission to Preserve National Monuments

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- Recommendation concerning the Safeguarding of Beauty and Character of Landscapes and Sites (UNESCO 1962)

# A rational approach for sympathetic intervention in heritage zone

## A case study of Bhubaneswar old town

Vaswati Chatterjee and Sanghamitra Basu

### Short biodata

Ms. Vaswati Chatterjee completed her Master's Degree in City Planning from IIT Kharagpur in 2012 and has a keen interest in areas of urban and architectural heritage conservation. The article is based on the dissertation of the fulfilment of her Master degree which has been awarded the "Late Satyanath Haldar Best Thesis Award" by the Indian Institute of Town Planners, India. Currently she is a doctoral student at the University of North Texas, USA.

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### Abstract

Management of heritage at present times no longer limits itself to standalone conservation efforts pertaining to a single structure; but on the contrary, it implies dealing with a vast array of heritage resources spanning over larger physical extents. Management techniques involve identifying the unique attributes encompassing a certain area followed by formulation of suitable legal and regulatory frameworks for maintenance of such attributes. The huge spectrum of built and cultural environments that need to be managed with only limited resources leads to the fundamental issue of 'what needs to be preserved, what can be preserved and how.' Techniques like assessment of cultural values and grading of resources embodying such values have been a common practice in heritage management. In spite of their wide applicability, some of the issues that have often emerged are (i) objective assessment of cultural values and a transparent grading methodology (like multi-criteria analysis of the values) to ensure their applicability even at a later date (ii) involving the local community at every stage of a conservation program starting from assessment of values to formulation of regulatory framework: i.e. improving stakeholder participation that might determine the validity of the proposed guidelines (iii) devising an objective analysis for formulating policies and identifying the impacts pertaining to management of cultural resources (like adaptive reuse) and dealing with what is new (more commonly seen in urban heritage areas experiencing rapid development). The article addresses these various issues with the help of a case study of the old city core of Bhubaneswar: commonly referred to as 'The Temple Town of India.'



## Introduction

Heritage resources in urban areas pose an imposing challenge for planners and architects. Conservation policies need not only be responsible for preservation of historic areas but also include ushering in new developments. The Operational Guidelines [7] states: ‘...no area is totally pristine and that all natural areas are in a dynamic state and to some extent involve contact with people.’ Respect towards past and aspirations for new development, require sensitive approach and multi-disciplinary involvement. Moreover, heritage resources need to be graded in a rational manner as they affect the overall policies implemented in heritage areas. Dichotomy between

emotional values associated with heritage structures on the one hand and logical reasoning and rationale on the other is a difficult task requiring prudence and sensitivity. This paper aims to deal with the challenge of how to deal with a wide array of built cultural resources that exist within a special heritage zone so that conservation can be integrated with development. The area selected to exemplify the methodology is Bhubaneswar old town. The study area is a typical urban heritage zone and is also known as “the temple town” because of the concentration of large number of ancient monuments and spiritual structures within the area.

## Methodology: Intervention for heritage resources: What is being done?

Current practices regarding intervention for heritage resources are directed by the challenge of paucity of funds and resources. Identification of various levels of significance attached with the structures followed by grading is one of the basic criteria for deciding the type of intervention for a particular entity. Such categorization has been implemented in various cities and ‘The Heritage Regulations for Greater Bombay, 1995’ [3] can be cited as a good example. The methodology has been discussed and shall eventually guide the intervention process within the study area.

### Identifying the values associated with a particular resource

The various types of significance/ values which are usually associated with a heritage resource according to the prevalent modes of practice (ref: Heritage Regulations for Greater Bombay, 1995; the Burra Charter, Australia) are usually classified under the heads of emotional value, cultural value, associational value and use value. Whereas emotional value signify those levels of significance associated with a heritage resource which can invoke emotions like identity or wonder within an onlooker, cultural values primarily encompass historical/ architectural/ documentary/ aesthetic attributes of a particular resource. Identifying such values might become a subjective decision on part of the decision maker which may be challenged by others. It is implied that identification of such aspects are usually done by experts but it can also be argued that heritage resources are for the society as a whole and identifying the intrinsic values of a certain resource need the participation

of other stakeholders: say the local community who have been associated with a particular resource through ages. As per Caro and Wijesuriya, ‘This heritage is strongly linked to a community, subject to a continuous process of evolution and in this sense change is embraced as part of the continuity or living nature of the heritage place.’ [8] But again, studies have shown that assessment of cultural heritage resources by the local community and various stakeholders often turn out to be contradictory especially in cases of resources of spiritual value. As per Han, ‘The local community members will be able to understand the practical values as well as the symbolic ones of the heritage through their own proper utilization.’ [9] Hence the foremost challenge would be to find out a more transparent process in identifying the values taking into account the opinion of both experts and the local community.

### Grading of heritage resources and successive intervention

Grading of heritage resources becomes particularly important in cases of larger heritage precincts or special heritage areas within an urban context, wherein it often becomes impossible to preserve all such entities due to constraint of available resources and the primary challenge that needs to be addressed is what can be maintained and how is it to be maintained. A rational process of grading is likely to provide an acceptable solution. Depending on the levels of significance of the various values associated with a certain resource (as identified in the section II. A), heritage resources are graded and interventions measures depend on

the identified Grade. The process has been implemented in some Indian cities particularly in Mumbai. [3]

The primary issue in such cases is lack of transparency. The decision making process is often dependent on subjective analysis on part of the planner. As per Boccardi, 'The concept of OUV is in itself rather ambiguous and difficult to capture in quantitative terms.' [10] What requires to be done is to devise a more objective analysis of values attached to heritage resources. The process needs to be lucid, well

defined and suitable for long term use. It should encompass all the heritage values which a resource is identified with; namely archaeological, historical, architectural, technical.

Thus to formulate future guidelines, analyses of the various categories of built cultural resources and their significance need to be done in an objective manner, taking into account the overall context of a particular city and the cultural contexts to which they belong [12]. A methodology has thus been devised with respect to Bhubaneswar Old Town.

## Introduction to Bhubaneswar old town

The old town of Bhubaneswar is part of a larger urban area, the capital city of Odisha and has been designated as a 'Special Heritage Area' in the Comprehensive Development Plan for Bhubaneswar Urban Area prepared by IIT Kharagpur. [1] (Refer Fig.1)

Neolithic evidences suggest that the history of Bhubaneswar dates back to prehistoric times and archaeological and historical evidences suggest development from 4th century BC onwards in and around old city core when Buddhist and Jainism prevailed in the area. The old town has historical evidences primarily ranging from 6th to 16th century AD. It was during this period that the region had come under a series of Brahmanical dynasties who established the present old town as a spiritual centre. Numerous Saivite temples were built with the distinct Kalinga style of architecture with many of these monuments carrying inscriptions of the way of life prevalent during that time. The shikhara of the Vaital temple for example, is shaped like the sail of a

ship reflecting maritime trade relations with other parts of Asia. [11] Having acquired a strong spiritual significance, the temples of the old town have kept alive numerous ancient traditions which till to date attract thousands of devotees every year from all over the country. With its numerous nuances, the Bhubaneswar old town is both a historian's and an archaeologist's delight.

Other than its temples, the old town has developed numerous other religious centres and places of monastic learning more commonly known as mathas which contribute to the unique setting of the area. These mathas, like monasteries, are partly residential in nature. Religious processions that follow specific routes are borne out of numerous customs and practices and have guided development of typical morphology of the area. Indigenous settlements built by priests and temple communities have not only established a unique community structure but has also influenced the urban fabric of the area.

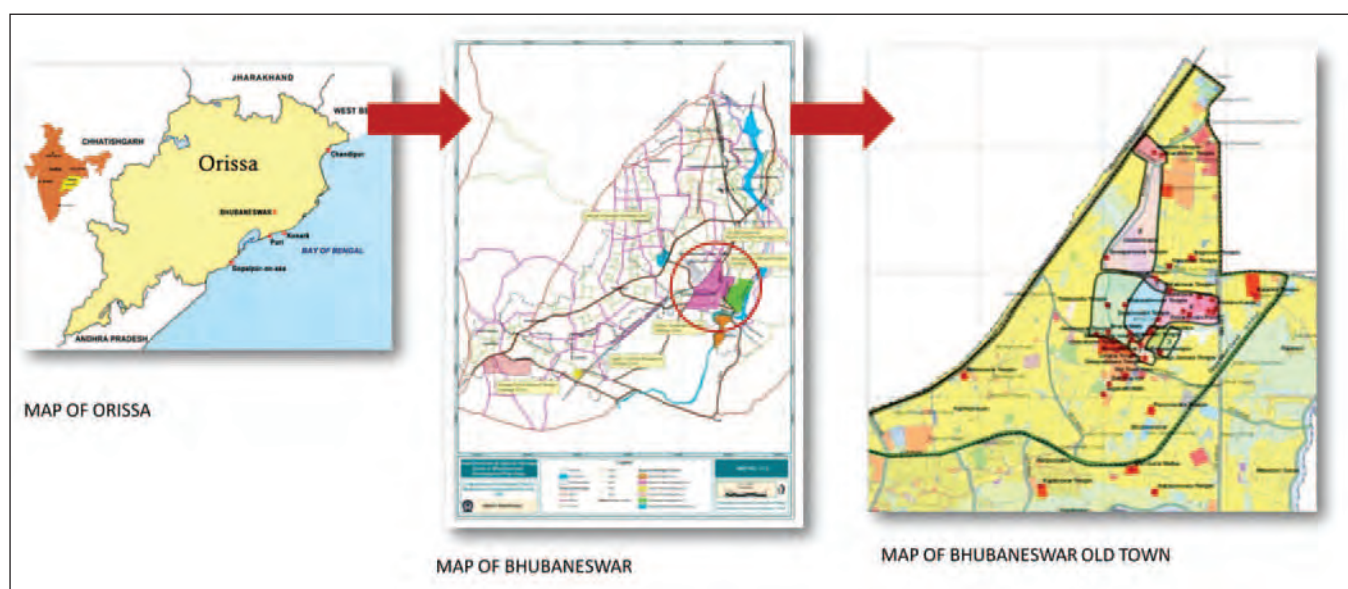


Figure 1: Extent of Bhubaneswar Old Town (Area: 510 hac.)



Since independence of India in 1947, the old town has seen fast paced development. As a part of a rapidly developing capital city of the state of Odisha, a new town designed by Otto Koeinsberger based on modern town planning principles, the case of Bhubaneswar Old Town is a befitting example of a heritage area locked within a rapidly changing urban context. New settlements have come up in the vicinity of old town. The settlements predominantly include residential and commercial development along with pockets of government institutions. The growing importance of the new areas of the capital city is gradually overshadowing the cultural and religious significance of numerous monuments. In absence of any concerted effort, impacts of new developments may negatively impact the heritage significance of the old town. In fact numerous historic monuments have already started succumbing to the unsympathetic encroachment of surrounding developments.

Out of the few monuments that have survived in Bhubaneswar, sixteen have been declared as protected by Archaeological Survey of India (ASI) and eleven are being protected by the State Archaeology. Other than that, a vast expanse of heritage resources remains unprotected and is on the verge of obliteration.

In formulating future guidelines, analyses of the various categories of built cultural resources need to be done within the overall context of the old city. The broad categories of built structures that exist in Bhubaneswar Old Town are as follows:

### Heritage structures of outstanding significance

This category would primarily consist of the existing monuments which contribute to the religious and cultural significance of the Old City, have an overwhelming visual impact on surrounding urban fabric and have a pivotal role in the socio-cultural or community life in the adjacent areas.

### Unprotected Heritage structures of moderate significance

This category includes various religious mathas and Brahmanical schools that have developed over the ages in response to the religious activities of the spiritual site. These mathas may not be as significant in the spiritual context when compared to the protected monuments/temples but still accommodate a number of ancillary activities that support the functioning of the major Temples. Other than their spiritual significance, many of these mathas lend a distinct quality to the urban setting and have intrinsic heritage values of their own. Some of these mathas date back to around 15th-16th century A.D. and hence have acquired significant historical value. Apart from such religious entities, the old town is also endowed with a number of non-religious but culturally/socially significant structures. Such structures primarily include dharamshalas (resting places for religious pilgrims) and houses of temple priests or clusters of indigenous settlements.

### Non-descript structures

These structures refer to more recent constructions or neighbourhoods that have come up in the surrounding areas mainly in the vicinity of the major monuments. Whereas some of these areas have retained elements of indigenous urban fabric like plot size or street patterns, others are similar to any contemporary settlement and without any resemblance to the special urban setting. In spite of not having any distinct value, because such structures are part of the cultural setting as a whole, and have relevance to the contemporary life of community who endeavour to draw different benefits, [8] they have to be dealt with in order to ensure a holistic development.

## Intervention of heritage resources: Bhubaneswar old town

Having categorized various types of built environment within a particular heritage precinct, the next step would be to decide about the interventions that are needed. In this section, the types of intervention are discussed under two sub-headings namely:

- Intervention for heritage resources which would primarily include all types of culturally significant structures, both of outstanding as well as moderate significance
- Intervention for non-heritage resources which will deal with the third category of built environment namely

non-descript structures mostly built in contemporary period.

In coherence with the present practices, the intervention of built cultural resources in Bhubaneswar old town can be hence explained.

## Intervention for protected structures

As suggested earlier, this category includes various protected monuments. During an initial survey of the area the primary challenge realized was that in spite of being legally protected, many of the monuments are in a bad state of preservation or maintenance because of inappropriate usage. Hence it was identified that structural preservation may not be a sufficient process for maintenance of such structures. Adequate provision of amenities supporting active usage of the monuments is a necessity. Since the structures are already protected, grading of such structures was not required in order to establish their significance. The methodology that was hence followed for maintenance of such protected monuments was:

Firstly, taking stock of the present situation of the monuments: This implies finding out the present state of preservation of the monuments through extensive survey of the study area. The study on state of preservation was done in co-relation with the data on the agency in charge of a particular monument. This can be instrumental since any kind of intervention would inadvertently involve the protection agency involved with a particular monument.

Secondly, finding out the usage of such monuments (in order to identify the amenities which may be provided to support such activities). It was found that the two types of activities for which the monuments were being used were: religious/spiritual activities by the local community and tourists and functioning as cultural tourist destinations.

In the study it was identified that a number of monuments either had absence of community usage or very low usage. The reasons, when explored through household survey, were primarily attributed to misuse of the monuments (40%), surrounding encroachments leading to lower accessibility to the monuments (40%) and improper management within temple premises (20%). It should be noted that each of the three factors are co-related. Often low-accessibility and improper management have resulted in relatively less number of visitors to the monuments leading to misuse like breeding grounds of drug usage, petty crimes, etc.

Hence, it was concluded that many of these monuments can function better only if a compatible form of usage is assigned to them which will ensure efficiency in its operation and maintenance. In order to identify the possible usage, an assessment was made in order to determine the potential usage of the monuments. The methodology that was followed was:

- Identifying five factors instrumental in determining usage of the monuments: accessibility, surrounding land use, unique features, scope for landscaping and proximity to other heritage structures were factors determining tourism potential of the monument (since tourism is one of the major usages for the monuments along with community usage).
- Expert opinion taken on the priority of ranking of the determined factors: during the survey each person surveyed was asked to rank the factors from 1 to 5.
- Final weightage given to all the aspects: This indicates importance of each aspect. In each of the survey entries, the first rank (1) implied highest weightage of value of 5 and the lowest rank 5 implied the least weightage of value of 1.

Table I shows that according to the opinion survey, Accessibility and Unique Features got the highest score whereas surrounding land use got the lowest.

Factors considered	Accessibility	Surrounding landuse	Unique features	Scope for landscaping	Proximity to other heritage structures
Opinion 1	2	5	1	3	4
Opinion 2	2	4	3	5	1
Opinion 3	1	5	2	4	3
Opinion 4	3	2	1	3	4
Opinion 5	1	5	2	3	4
<b>Resultant weight</b>	<b>21</b>	<b>9</b>	<b>21</b>	<b>12</b>	<b>14</b>
<b>To 5 pt. Scale</b>	<b>4.20</b>	<b>1.80</b>	<b>4.20</b>	<b>2.40</b>	<b>2.80</b>
<b>Weightage</b>	<b>4</b>	<b>2</b>	<b>4</b>	<b>2</b>	<b>3</b>

Table I: Assigning weightage to aspects: Expert Opinion

- Resultant weight: Summation of weightage assigned to each rank as indicated by each person surveyed.
- To 5 point scale: (Resultant weight)/5
- Weightage: Rounded off to nearest integer value



Different levels of ranking given to each factor at a scale of 3					
Scale	Accessibility	Surrounding land use	Special feature	Scope of landscaping	Proximity to other heritage structures
3	Abutting a primary corridor	Commercial	Architectural & spiritual	Scope of landscaping of larger scale	<300m
2	Abutting a tertiary corridor	Mixed use	Architectural	Scope of landscaping of a smaller scale	300 to 500 m
1	Remote accessibility	Residential	Spiritual	No scope of landscaping at all	>500m

Table II Defining scales for each aspect

Final score for potential usage							
Monument	Accessibility	Surrounding landuse	Special feature	Presence of landscaping	Proximity to other heritage structures	Score	Potential
Rajarani temple	3	2	2	3	2	36	
Nageswar temple	1	1	1	3	1	19	
Mukteswar/ Siddheswar	3	2	3	3	3	43	
Kedargouri temple	3	2	1	1	3	31	

Table III Determining potential for usage of each monument

$$\text{Final Score} = \sum(\text{score for each aspect} \times \text{weightage of each aspect})$$

Next, three levels of parameters were identified for rating the monuments in each of the aspects. (Refer Table II)

The higher scores were interpreted as those to be developed as tourist places whereas the lower scores could be termed to be developed as community infrastructures. The monuments with different potential index were thereafter mapped. The map may be utilized in the following proposals:

- Developing heritage trails for tourists.
- Identifying investment areas and management strategies for proper functioning of heritage structures.
- Developing appropriate infrastructure around the monuments.

Implications of the methodology followed:

Considering the present scenario, it is often seen that preservation of protected monuments often turn out to

be challenging because of management issues. Whereas conservation bodies like ASI and the State Archaeology limit themselves only to structural restoration of such monuments, the overall functioning of the structures within the surrounding cultural setting becomes a responsibility of the administrative agencies of the area. The methodology that has been given can be utilized by such agencies to identify what kind of development can be brought around such protected monuments so as to bring in profitable ventures that commensurate with cultural values of such a structure. The process ensures compatible utilization of such structures and at the same time brings in more opportunities for the local community through additional activities in the adjoining areas. Public private partnerships or involvement of corporate bodies as voluntary services may also be encouraged in such areas.

## Intervention for unprotected heritage structures of moderate significance

In case of the study area, heritage structures of moderate significance were classified into religious (e.g. mathas) and secular structures. Since this category consists of unprotected resources of special heritage value, it was necessary to devise

a grading process in order to guide the intervention process for their maintenance. The methodology that has been followed in dealing with this category is as follows:

- Creating a detailed inventory including their historic context, physical condition, ownership etc. through extensive survey.
- Grading the structures.
- Determining the intervention process, which included adaptive reuse, structural restoration and development of infrastructure facilities in support of appropriate activities.
- Architectural: Having the characteristics of a heritage district with a history spanning over a period of centuries, the structures of the old town are a reflection of a unique style of architecture and technological process characteristic of their respective periods. Hence architectural significance was considered.
- Spiritual: Being a spiritual hub dotted with various temples and institutions which have evolved in various time periods; the significance of each structure in the spiritual context was taken into account.
- Historic: Historic value primarily refers to how significant a structure is in the historic evolution of the old town. For example, some of the structures that were identified in the old town have been housing the head priest of the Lingaraj temple over many generations. Invariably with time such structures have acquired both historic and social significance in the local context and hence contribute hugely to the overall unique character of the temple town.
- Townscape: In some of the cases it was seen that individual structures when taken into consideration, may not be deemed to have a special value; for example residential structures having indigenous characteristics. But when such structures are taken as clusters they contribute to the townscape by acting as landmarks or developing special streetscapes.

## Grading the structures

For both religious and secular un-protected heritage structures, the first step was to identify the different cultural values associated with the structure. The values that were identified pertaining to the context are listed below. It should also be noted that in determining the values to be considered; other than expert opinion involving academic professors and professionals involved in the development process of the old town, local opinion was also taken by including assessment of heritage values like identity, emotional, spiritual or aesthetics in the local context within the household survey form (simple questions like which heritage value they considered to be mostly valuable to them, supported by various options were asked). Values were defined as:

Features considered	Architectural	Spiritual	Historic	Townscape
High	Of high level of visual/technological quality	Devotee number/ year: >1000/yr	Associated with event of national significance	Significant contribution to a unique urbanscape
Medium	Of medium visual/technological quality	Devotee no./yr>500, <1000	Event of regional significance	An important part of a unique urbanscape
Low	Of minimal visual/technological quality	Devotee no./yr>100, <500	Event of local significance	Of not much importance to a unique urbanscape
Insignificant	Nil	Nil	Nil	Nil

Table IV Levels of Significance attached to each value

Having identified the associated cultural values, the next step was to assign various parameters to each of the values in order to evaluate a structure. (Refer Table IV)

As Table IV suggests, major stress was laid on keeping the assessment with respect to each value to be objective and transparent. Quantitative parameters were used wherever possible. But since cultural resources have intangible values attached to them, parameters have also been qualitative.

The next step was to grade the structures. (refer Table V) It should be noted that the ultimate grading terminology that was stated encompassed the predominant significance of the structure along with the state of preservation that has been termed as good, bad or medium. This was done in order to make the terminology more comprehensible.



Structures	Architectural	Spiritual	Historic	Townscape	Grading
Group of dharmshalas	3	1	3	4	Heritage resource of outstanding townscape value & good state of preservation
Bharat matha	3	3	4	2	Heritage resource of outstanding historic value & bad state of preservation

Table V Grading of structures

The result has brought out few interesting observations such as - in case of Dharmshalas (Refer Fig 2) whereas spiritual value received a score of 1 (insignificant), it has a townscape value of 4 (outstanding); being a very predominant feature along the central Bindusagar lake acting as a significant landmark. Similarly in case of Bharat matha (Refer Fig 3) whereas spiritual value was given a score of 3 (medium) on account of the data on inflow of devotees to the matha as recorded in the survey, its historic value was given as 3 (medium) for having regional significance since it played an important role in assisting the spiritual activities of the Lingaraj temple. The state of preservation was recorded through visual survey of the structures.

### Intervention process

Having analyzed the grades of the structures the next step was to identify the intervention process. The levels of intervention that have been identified are:

- Adaptive reuse.
- Developing tourist or community infrastructure around the structures with no change in usage.
- Authentic restoration works for maintaining the structures with no change in usage.

The basic methodology that was followed to identify the various levels of intervention for each of the structures was as follows:

- Assessing whether a structure can have adaptive reuse.
- In case a structure is applicable for adaptive reuse, identifying the level of significance and analyzing whether it has the potential to be developed as a tourist destination or a community infrastructure and accordingly planning development of infrastructure around it.
- In case a structure is not appropriate for adaptive reuse, but has cultural values associated with it, designing management for restoration or maintenance of the structure.

Four sets of criteria were identified for adaptive reuse (Refer Table VI). Accordingly, for each structure a matrix was developed (Refer Table VII). In case a structure does not satisfy any criteria (that is the answer is a No), the cell was left blank. On satisfying all the four criteria, the structures were assigned for adaptive reuse.

Having identified structures for adaptive reuse, their potential usage was identified in a similar process as was done for protected monuments (Refer Tables I, II & III). Such a process can optimize the intervention process, fostering activities conforming to the symbolism, significance, and the values of the heritage [9]. The process can also act as a guideline for policy makers and administrative bodies.

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Figure 2: Group of Dharamshalas



Figure 3: Bharat Matha

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BASIC CRITERIA FOR DETERMINING POSSIBILITY OF ADAPTIVE REUSE	
➤ Has a certain level of significance:	A
➤ Is structurally stable	B
➤ Has lost its original use	C
➤ Is under-utilized (the monthly income recruited from the structure is taken into account)	D

Table VI Setting criteria for adaptive reuse

Structures	A	B	C	D
Group of dharmshalas				
Bharat matha				
Group of <i>mathas</i> on Jameswarpatna Rd.				

Table VII Matrix for identifying structures for adaptive reuse

## Intervention for non-heritage resources

Considering heritage precincts in urban context, a very challenging aspect is to manage new development within heritage precincts. Whereas on one hand encroachment seems to put the unique characteristics of a heritage precinct at peril, on the other hand stopping such developments would mean thwarting the needs of the local community. Hence, management policies of heritage areas should also cater to managing new development within the area. Considering the present scenario, the major modes of building new structures within heritage areas are [5] (i) matching: new construction imitating the existing indigenous styles (ii) compatible: the new construction does not match the existing structures exactly but follow basic urban design guidelines like plot widths, building lines or color and texture (iii) contrasting: viewing any construction as a product of its own age and not following indigenous styles and (iv) facadism: retaining facades of heritage structures and building high density development behind; and relevant in maintaining streetscapes when the structure is too deteriorated to be maintained as a whole.

Out of the various approaches mentioned; proposing compatible guidelines for new construction is more widely followed in urban heritage precincts. The methodology that has been followed in the study area to bring in compatible heritage guidelines is as follows:

- Analysis of the original scenario along with existing trend: This was done to identify the type of development that can be brought in and accordingly policies were formulated. The original historic pattern of development was studied followed by existing trends.
- Identifying tools needed for formulating byelaws: Formulating byelaws to ensure compatible infill solutions indicate that the methodology followed should be case specific. Identifying the adequate tools

which can be used for proposing byelaws depend upon individual scenarios. For example, for a certain zone within the study area, it was realized that increasing height of recently built residential buildings was creating a negative impact on the overall urban integrity. Hence Heritage Impact Assessment was used in order to formulate height restrictions. Similarly in another zone Visual Integrity Scale was deemed to be a better technique for formulating building height. Similarly in areas of unique streetscapes, streetscape analysis was also done. Adequate attention was paid to keep the guidelines flexible.

The explained methodology is elaborated and explained for one of the cases. The zone chosen to exemplify the process is the area abutting Ratha road in the vicinity of the Lingaraj temple which is considered as pivotal and the most predominant structure within the heritage area (Refer Fig 4). The zone is characterized by strong visual linkage with the Lingaraj and has indigenous, but rapidly changing, settlement patterns.

### Analysis of the existing scenario and current trend of development

The existing scenario shows narrow plot layouts with row houses. Some of the older structures are courtyard houses. The building height is primarily restricted to 10-12m (3 floors) with coverage of 70% to 90%. Existing trends show increase of height till 15-18 m with trends of plot amalgamation and usage of incompatible colours on building facades. In cases where the ground floor has been turned into commercial usage, haphazard advertisement signboards pollute the visual environment.



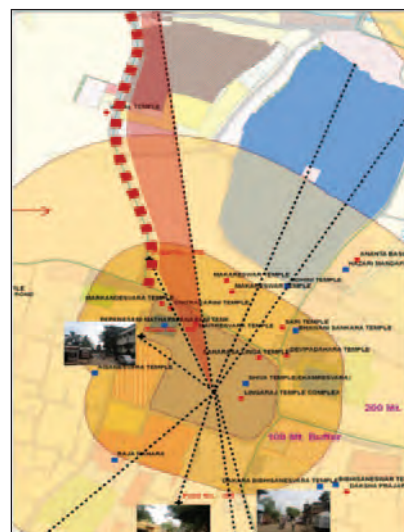
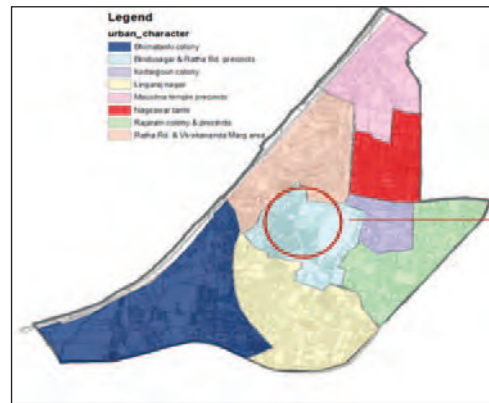
### Formulation of heritage byelaws

The case study area was found to provide a very strong visual linkage to the existing Lingaraj temple. Historically, the urban fabric around the temple was consciously kept low rise in order to retain the overpowering impact of the temple (it should be noted that this particular feature is usually evident in spiritual sites). Any increase in heights of surrounding residential structures hence automatically challenged the urbanscape. As a result, a heritage impact assessment was deemed necessary to study the effects of such increase in heights.

Methodology for Heritage Impact Assessment: The methodology followed can be described in five basic steps [2]: (i) baseline investigation (ii) identification of change (iii) assessment of resultant visual impacts (iv) formulation of guidelines and (v) recommendation of mitigation methods.

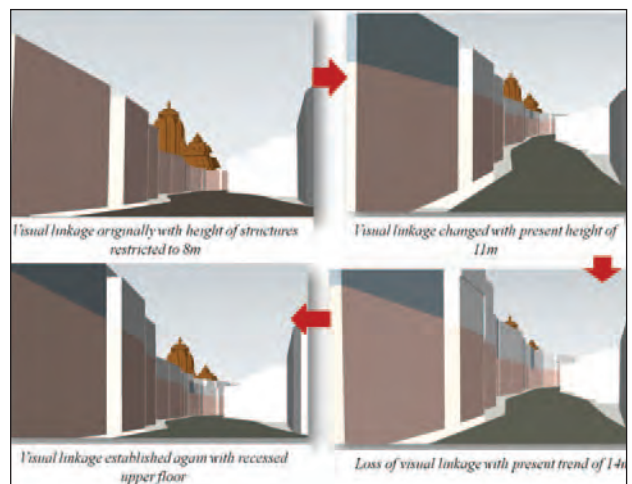
The whole process of visual simulation is elaborated in figure 5. As an initial step, the visual linkage to the Lingaraj temple from the zone considering the original heights of the structures (up to 8ms) of the zone was analyzed. The heights of the structures were then subsequently increased to 11m and 14m considering the present trend of increasing heights within the zone. The disruption of the unique character of the zone with its strong linkage to the monument was hence very evident through the simulation.

The simulation hence demanded restriction of height for the structures of the zone. Whereas restriction of height was deemed to be necessary, consideration of present living standards and economic feasibility demanded increase in heights. Hence attempt was made to keep the height limits to an optimum level keeping in mind non-interference to the unique character. It was hence observed through the simulation process that desired visual linkage can be retained by keeping the height of the structures to four storeys and making the top most floor recessed. The outcome can hence be interpreted to be in compliance with maintenance of the heritage character and answering to the local aspirations at the same time.



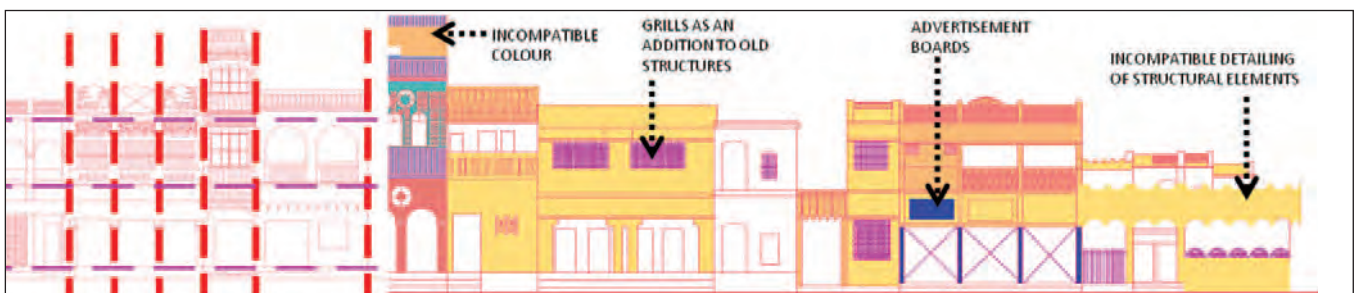
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Figure 4: Region of analysis for proposal of heritage byelaws



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Figure 5: Heritage Impact Assessment



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Figure 6: Identifying major and minor building lines

Streetscape analysis: Since it was identified that the area has a unique streetscape, an analysis of the elements of building facades was also done to formulate urban design guidelines. The methodology included studying the major and minor building lines, compatible and incompatible features and the predominant details on indigenous building facades. As per the study, major vertical lines were found to be at an interval of 3-5ms. (as shown in the fig: 6) Similarly recessed verandahs were found to be the most predominant element of the facades. (as shown in the fig: 7)

The methodology can be greatly instrumental in designing building byelaws even in cases of plot amalgamation which is a major trend of the area. For example the major vertical building lines can be maintained even if the structure extends over multiple plots, thus avoiding any incongruent impact on the overall streetscape of the area.

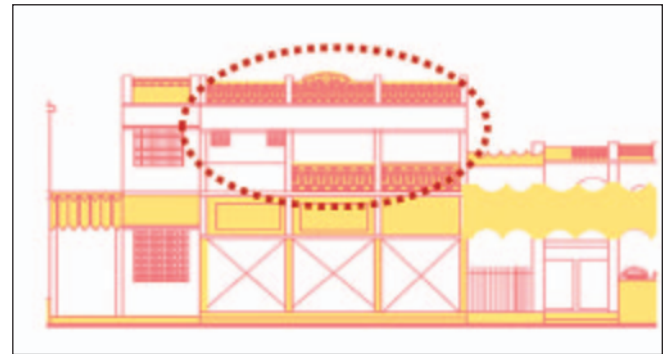


Figure 7: Identifying special features: Recessed verandahs

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## Management of intangible heritage

Though the article primarily limits itself to management of built resources, it would be imperative to mention that management policies have a major challenge of integrating development with maintenance of intangible heritage. Heritage areas are usually associated with innumerable activities, some of which have traditional backgrounds. As per Caro & Wijesuriya, 2012, such activities include ‘continuing the activities historically accommodated by the heritage,

those carried out for the public interest of the community or helping to strengthen the sense of community.’ [8] Management policies may hence be supported with adequate behavioral surveys, which might help in identifying specific props and physical environments supporting such activities. Again, the process of introducing such interventions would definitely involve multiple organizations and subsequently, possible collaborations between multiple stakeholders need

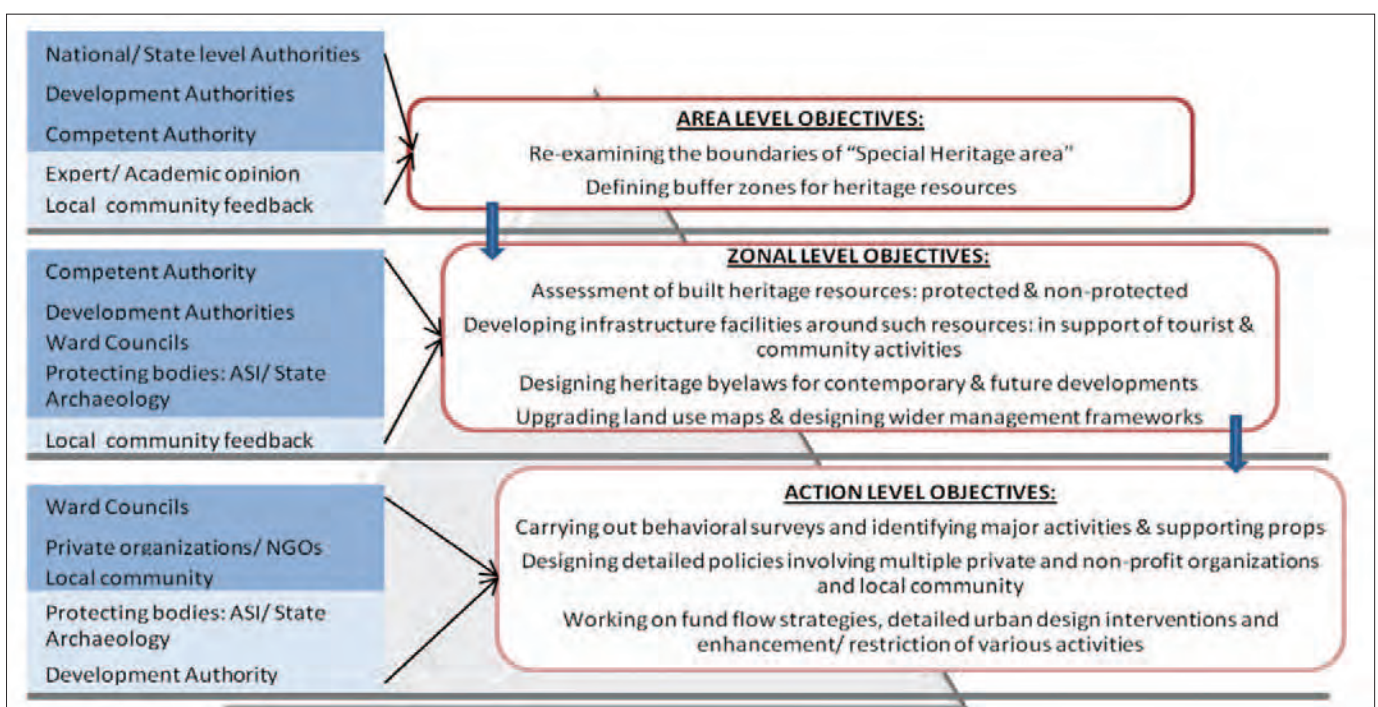


Figure 8: Flowchart for the total intervention process



to be worked upon. Directing funds from tourism benefits and introducing incentives to the local community for compliance to designed policies may be followed.

## Conclusion

The various methodologies described in the paper through the case study of Bhubaneswar Old Town may be instrumental in the following cases:

- Assessment of cultural and heritage values and subsequent grading of resources in a more objective and transparent manner that may be applicable to similar heritage areas. The methodology can be modified depending upon case specific requirements.
- Methodologies described to determine potential usage of monuments or the necessary intervention of cultural property like adaptive reuse may be helpful for policy makers or tourism planners involved with heritage areas.

The project worked upon in Bhubaneswar catered to such multiple aspects within urban conservation policies. The basic methodology that has been followed has been illustrated with the flowchart in fig 8..

- The urban fabric and the visual setting identified in Bhubaneswar old town is a characteristic feature of numerous other urban areas developing around ancient temple towns. The methodology described for proposing heritage bylaws can be followed in similar case studies.

One of the limitations while conducting the study was limitation of resources to conduct extensive household surveys. But it should be noted that understanding community sentiments and needs is inherent to dealing with such culturally sensitive areas and adequate study is still required for community impacts and economic costs-benefits guiding management policies for cultural heritage.

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# Preserving values by the application of aesthetic principles of historic urban sites during development

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and Farhang Mozafar

## Short biodata

Reihaneh Sajad is a PhD student in conservation of historic buildings and sites and has a master's degree in Architecture. She is now working as a tutor in university and also in the field of architecture design.

Fatemeh Mehdizadeh Saradj graduated from the department of architecture at Tehran University in 1993 and has completed her PhD from Sheffield University in England in 2005. Currently she is an associate professor with Iran University of Science and Technology, teaching mainly in the conservation department of IUST and research method module for research students. She has also carried out workshops in relation to the risk management of cultural heritage sites after participating in the training course at Ritsumeikan University in Japan. She has published 5 books in the field of Persian architectural heritage and 64 papers about saving the fabric and also various messages of built heritages by herself and in collaboration with her students.

Farhang Mozaffar, is born Tehran, Iran, 1956. He got his PhD in Architecture at Sheffield University, UK. Now he is associate professor at Iran University of Science and Technology, Tehran, Iran and head of the Art University of Isfahan.

## Abstract

Development of cities is indispensable for their continuous living. While, on the other hand, however, the value of each area enhances the nation's pride and increases the sense of belonging to the location. The most outstanding value of historic urban areas could be aesthetic value. The results of previous studies show the importance of aesthetic values of historic urban features in the continuity of their living. Intelligible aesthetic values for residents are one of the strongest impetuses for preserving historic sites and their assets. Extracting the aesthetic principles of each area would be helpful in the proper and deep diagnosis of the values of sites. Moreover, employing the aesthetic principles of historic areas in the newly built surrounding during their development could be a practical solution for presenting and protecting the aesthetic value of historic areas. This paper will describe the method of extracting aesthetic principles from historic urban fabrics. It has been developed through questionnaire filled by residents of some historic fabrics in Isfahan, Iran, and then finding the most effective factors in people's aesthetical experience. At last this paper will propose some strategies about the methods of applying the aesthetic principles in the newly built areas and also in preservation of historic fabrics.



## Introduction

Aesthetic has a broad range of meanings; from sense of concerning art, aspects of form in works of art, to elements arising from experience with beauty. The 'experience' requires a consumer to make experience of beauty possible (Maanen, 2009; 165). Aesthetic description can be addressed to Baumgarten's finding in this field and definition of 'aesthetic experience,' as the 'perfection of sensate cognition,' following by Kant's harmony of aesthetic judgment.' This is linked to the definition of beauty as well as hedonic value free from thoughts of utility. Fenner defined this as a mode of detached pleasure. Due to Beardsley, Eaton, And Fenner, this extends to 'aesthetic attention,' 'perception in which one moves past worldly disruptions, one's desire, and negative emotions to heighten state of pleasurable scrutiny' (Pelowski and Akiba, 2010; 2-3). Contemporary researches involved with sociology of taste, show that taste judgment and the aesthetic principles related to it, are a matter of social determination (Woodward and Emmison, 2001; 296).

Aesthetic quality is normally difficult to articulate, as it involves the physical environment and the response or perception of humans interacting with it (Daniel, 2001 Cited in Chen et al, 2009; 76). Some studies claim that aesthetic judgements and experiences are affected by the symmetry or asymmetry of an object (Fechner, 1876; Berlyne, 1971; Jacobsen & Hofel, 2002), complexity or simplicity (Berlyne, 1970, 1971), novelty or familiarity (Berlyne, 1970, 1971), proportion or composition (Hoge, 1995; Locher, 2003), semantic content as opposed to formal qualities of design (Martindale, 1988), prototypically of an object (Hekkert & van Wieringen, 1990; Hekkert et al. 2003) and the significance or mere exposure of a stimulus (Leder et al. 2004).

Furthermore, many factors influence aesthetic judgements, such as person's emotional state (Konecni, 1979), interestingness of a stimulus (Berlyne, 1971), appeal to social status or financial interest (Konecni, 1979; Ritterfeld, 2002), educational, historical, cultural or economical background in general (Konecni, 1979; Jacobsen, 2002; Ritterfeld, 2002). In addition, individual differences affect aesthetic judgment (Fechner, 1876; Berlyne, 1971; Whitfield, 1984; Martindale, 1988; Jacobsen, 2002, 2004a; Jacobsen & Hofel, 2002). These and other factors show that aesthetic experiences and behaviour are 'subject to a complex network of stimulus person and situation-related influences' (Jacobsen, 2010; 185). Amir and Gidalizon (1990) showed that personality of

observer, location of observation, socioeconomic profile of observer, scene composition and complexity affect aesthetic perception. Therefore, aesthetic quality assessment is a very subjective issue (Chen et al, 2009; 76).

Several studies have expressed that the art of understanding and perception results in activation of the rewarding centres in the brain, so in aesthetic experience, solving of perceptual problems is self-rewarding. So perceivers continue to perceive art (Leder et al, 2004, 500). This reward seems to be the same as aesthetic pleasure.

Therefore, an object does not necessarily create the aesthetic value one may derive from the beauty in an environment, but rather the emotions generated from gazing upon or contemplating the item (Beza, 2010; 307). So being beautiful is not just a quality of an object regardless to percipient but a value that percipient put on that object. It means that aesthetic appreciation is subjective (Eben Saleh, 2001; 974).

Beardsley, in his book 'Aesthetics,' says how fine art, can be spoken of in terms of a uniform language of 'Unity,' 'Intensity,' and 'Complexity,' the formal aspects of artworks, giving rise to aesthetic experience. Beardsley gives an enumeration of the constituent elements of artistic form (Carroll, 2003; 35).

Galindo and Hidalgo due to Nasar underlined three attributes of formal aesthetic for scenic beauty in the context of urban design;

- Openness (and/or spaciousness),
- Mystery, complexity (both related to visual diversity),
- Order (or congruence between the elements that make up the scene)

(Galindo and Hidalgo, 2005; 21). It seems that second feature is related to Beardsley's complexity and third is unity concept.

## Research method

Literature review gives some general aspects of aesthetic values, which cannot be applied in designing new buildings or adapting old structures. On the other hand, it is necessary to find a way of bringing and increasing aesthetic values in designing or in existing buildings.

According to studies, as mentioned earlier, there are three features in every pretty object; unity or continuity, complexity or diversity and intensity. In this research, these 3 aspects are also subjective backgrounds and the main divisions of aesthetic values. To understand the main division of these aspects in historic fabrics, we chose 3 case studies in Isfahan, Iran, with different images and criterias;

- 1) Jolfa district located southwest of the city is a region from Safavi period that is originally an Armenian district.
- 2) Joubare district located north of the city is the oldest core area of city, which used to be a Jewish habitat.

- 3) Posht Masjed district located northeast of the city, and south of Masjed Shah and Naghshe Jahan square is a Muslim region

To understand appearances of aesthetic in urban fabrics in perceiver's view, an open questionnaire with 3 questions had been designed.

- 1) How much do you like this district?
- 2) How beautiful do you think this district is?
- 3) What matters of this district do you think is beautiful?  
Or not beautiful?

To find responses, some experts from architecture and urban studies had been brought to the three mentioned fabrics and were asked questions. Arranging answers we could classify answers for aesthetical pleasure of fabrics, in four major divisions.

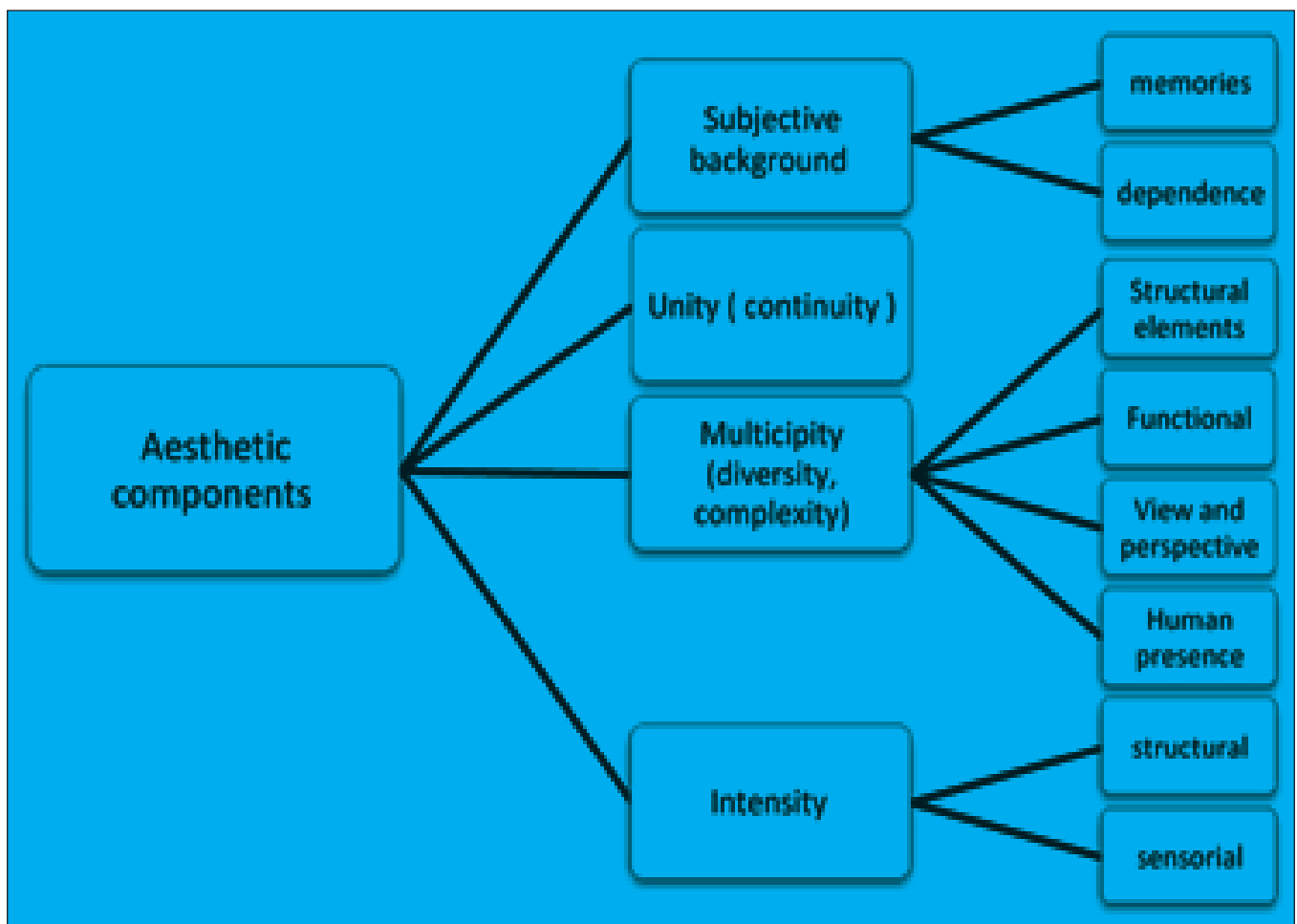


Figure 1: Aesthetic components





Figure 2: Khaju Bridge, Isfahan

## Results

Arranging these aspects we prepared a close questionnaire with 69 questions and asked residents in fabrics to find the most important factors.

After test calculating Cronbach's alpha, some factors were omitted. After factor analysis, the factors had been reduced to 35. According to the perceiver's view, these were the more important factors in historic fabrics.

### *Unity – continuity:*

- o Fabric specified boarder of fabric
- o Historic buildings lighting
- o Flooring, which link whole fabric
- o Thatch finishing of all walls as a character of fabric
- o Repetition of some elements like streams, stone benches in entrance of houses, some edge of roofs and character of fabric
- o Harmony of materials
- o Harmony between new constructions and old ones

### *Subjective backgrounds:*

- o Familiarity and dependence to fabric
- o Memories
- o Historical memories

### *Multiplicity – diversity – complexity:*

- o Different elements and functions which are particularly for our fabric such as domes, arches, pools, status, Sabat, mosque church, school, etc.
- o Diversity of colours (and harmony among them)
- o Significance of entrance of buildings with form and flooring
- o Diversity of form of windows (and harmony between them)
- o Diversity of form of buildings
- o Diversity of height of walls
- o Diversity in alignment of buildings
- o Indention of walls
- o Flexuous form of fabric
- o Separation of way of pedestrians and vehicles
- o Good places for car park
- o Lake of ruined places
- o Some special streams named Mudy
- o Enough green space
- o Trees in lanes
- o Crofts and jardinières near the door of places
- o Perspective of special places like dome of mosques, churches, synagogue, minaret and special buildings
- o Presence of people and sitting opposite the door of their house
- o Presence of youth in fabric

### *Intensity:*

- o Difference between construction in this fabric and whole city
- o Narrow alleys which is less seen in other parts of city
- o Low height of fabric as a character of fabric
- o Human scale of building as a character of fabric
- o Different appellation of places and lanes in fabric
- o Originality of residents (long time residence)



## Conclusion

To preserve aesthetic value in historic sites, some formal and social factors need to be identified and they need to be integrated into development processes. These factors can also be used in new built urban fabrics. In this research, surveying some historic fabrics we found important subjective aesthetic features in experts and checked them in residents and derived the most effective ones.

Therefore some guideline can be proposed;

- o Use some unification to link all fabric and give it some specified character which helps people identify the specific place, like; unique and special materials used in whole fabric, special flooring, repetition of some special elements such as benches, furniture, and ornaments all over.
- o Save and make harmony of materials and harmony between old and new buildings.
- o Save collective memories in district by remembering and being proud of it.
- o Designing memorable places.
- o Saving and designing some places for social gatherings.
- o Trying to keep residents by giving them some good facilities.
- o Preserving and designing diversity in colours, forms, height, alignment of buildings, indentation of walls, ornaments and furniture, yet not so disorderly.
- o Places for car park.
- o Enough green places.
- o Separation of way of pedestrian and vehicles.
- o Preserving Mudies.
- o Bringing and saving different functions and elements of fabric which could be cognitive for place.
- o Saving the perspectives to important places.
- o Trying to increase presence and social common aims for residents.
- o Saving specific difference between fabric and whole city.
- o Recognizing and saving characteristic features of fabric as low density, special appellation, original residents, etc.

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# Safeguarding living urban heritage of Yangon through World Heritage nomination

Su Su

## Short biodata

Su Su, born in Yangon, was fascinated by the historic buildings and areas of shared heritage. She got a Ph.D. from Yangon Technological University in 2006 by looking at urban management system of the 'Historic Centre of Yangon' and did her post-doctoral research work on heritage management system of 'Historic Centre Vienna and Budapest' at Vienna University of Technology in 2008 and 2009. Her interest for further research is on the issues concerning the new initiative historic urban landscape (HUL) concept, especially those reflecting on historic city centres of South East Asian Cities. She actively participated in preparation of 'Management Parts of Nomination Dossier and Property Management Plan of Pyu Ancient Cities.', and 'Myanmar National Building Code' drafting project as a member of 'Technical Working Group II Architecture and Urban Design' and 'Yangon City Comprehensive Land Use, Zoning and Urban Design Review Working Committee.'

## Abstract

The urban heritage management profession has developed significantly in the past several years both in theory as well as in practice. There are many interesting points that have been raised in several international charters and recommendations including 'UNESCO Recommendation on the Historic Urban Landscape.' Living urban heritage areas and places of Yangon are embedded with several different historic layers. Therefore, recognition of the multiplicity of heritage items should be encouraged. It is very interesting to consider the possible strategies for management of the diversified living urban heritage areas of Yangon utilizing heritage management policies with flavour of local context. At this point, national and local conservation legislations, planning and development ideologies and heritage management plans play an important role in order to make sure that the living urban heritage of Yangon is safeguarded. This paper highlights a matter of protection and survival of tangible as well as intangible living urban heritage of Yangon from viewpoint on how 'World Heritage Nomination of Living Urban Heritage Areas of Historic, Commercial and Religious Centre of Yangon' could be a way to safeguard them meaningfully.



# Introduction

Myanmar ratified the ‘1972 Convention concerning the protection of the World Cultural and Natural Heritage’ in 1994. According to the convention, cultural and natural heritage are increasingly threatened with destruction and needs to be addressed at international level because of the scale of the resources required and the insufficient economic, scientific, and technological resources of the country where the property to be protected is situated.

World heritage nomination provides an opportunity for the State Party and for the local community to celebrate the property as one of the most important natural and cultural places in the world and opportunities to mobilize technical and financial supports from local as well as international individuals and institutions such as the World Heritage Fund. Moreover, international interest in World Heritage often provides a stimulus for international cooperation and joint efforts to safeguard the property.

All historic core areas with urban heritage in Myanmar as well as all over the world are in need of stringent control over contemporary architecture. Many international charters including the Washington Charter refers to development over time. As there is physical degradation because of the impact of urban development, the conservation of these areas will include their ‘development and harmonious adaption to contemporary life’ (UNESCO 1987). Moreover, conserving living urban areas by focusing not only on heritage elements in physical setting, but also on their spiritual values is a vital topic to discuss among heritage professionals. In this case, some questions come up – What should be the conservation solution for living urban heritage in Historic, Commercial and Religious Centre of Yangon? How to maintain the values and authentic role of continuing landscapes? How should world heritage nomination speed up the process to manage the living urban heritage areas of Yangon from a landscape approach?

## The current trends of ‘historic centre with living urban heritage’

The historic core areas are classified into four categories in the Operational Guidelines for the Implementation of the World Heritage Convention (UNESCO World Heritage Centre 2005a). The ‘Historic Centre of Yangon with Living Urban Heritage’ falls into the third category; ‘Historic centres enclosed within modern cities that cover exactly the same area as ancient towns.’ However, globally, most historic core areas are actually today historic districts within larger modern cities (Serageldin 1996, 69 cited in Imon 2006, 25).

Nowadays, ‘urban heritage’ has been treasured along with Historic Urban Landscape (HUL). HUL concept and even ‘traditional communities and everyday places’ are to be protected. It is interesting to note how International charters have defined HUL. UNESCO World Heritage Centre (2005b, Article 7) has used the term ‘historic urban landscape,’ and defined historic urban centres as, ‘Ensembles of any group of buildings, structures and open spaces, in their natural and ecological context, including archaeological



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Figure 1: ‘Urban Heritage Conservation Areas of downtown Yangon’ (November 2013)



© Su Su

Figure 2: Around Mahabandola Park in downtown Yangon (November 2013)

and paleontological sites, constituting human settlements in an urban environment over a relevant period of time, the cohesion and value of which are recognized from the

archaeological, architectural, prehistoric, historic, scientific, aesthetic, socio-cultural or ecological point of view.’

## What is the significance of the ‘historic, commercial and religious centre of Yangon’?

‘Historic, Commercial and Religious Centre of Yangon’ is a simple combination of Urban Heritage Conservation areas of downtown Yangon and Shwedagon Restricted Area that are currently in provisional stage. A part of Shwedagon Restricted Area, Shwedagon Pagoda and surrounding area of the hill is designated as a Cultural Heritage Region by the Ministry of Culture.

The structure of space in an Asian urban setting is hierarchical; streets are ritual (cultural, social) paths and squares (pagoda platforms) are sacred of cultural places (UNESCO Beijing 2003, 35). At ‘Historic, Commercial and Religious Centre of Yangon’, the elements of the urban area which need to be the focus of conservation include streets, squares, blocks and buildings as well as the spaces around and between them. These buildings, streets and squares can tell the history of the city as well as the nation through the successive layers of buildings and ensembles.

They can be classified into buildings of the late 19th century and early 20th century such as: administrative, judicial and education buildings, trading facilities such as markets, warehouses and ports, Buddhist, Chinese and

Hindu Temples, Mosques, traditional semi-commercial shop-houses, residences of various social classes and ethnic groups such as Bhamas, Indians, Chinese, etc who settled there since the historic centre of Yangon was established, public places and spaces like lakes, parks, squares and streets.

Shwedagon Pagoda with its highest level of significance has potential to meet many criteria to be on the world heritage list. It was considered as a special place in ancient urban setting and development overtime. The Pagoda is designated as a Cultural Heritage Region by the Ministry of Culture. The surrounding larger area supposed to be the buffer zone is going to be designated as a restricted area for development with two levels of protection measures by the Yangon City Development Committee.

As we can see in the above figure, the areas within boundary lines coloured in red have potentials to be core areas and the rest of the whole area inside the larger boundary coloured in yellow has potential to be buffer area if at least one of the areas within boundary lines coloured in red is considered to be nominated to be included in the world heritage list.



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Figure 3: ‘Shwedagon Restricted Area’ from *Historic Urban Landscape Approach* (2013)

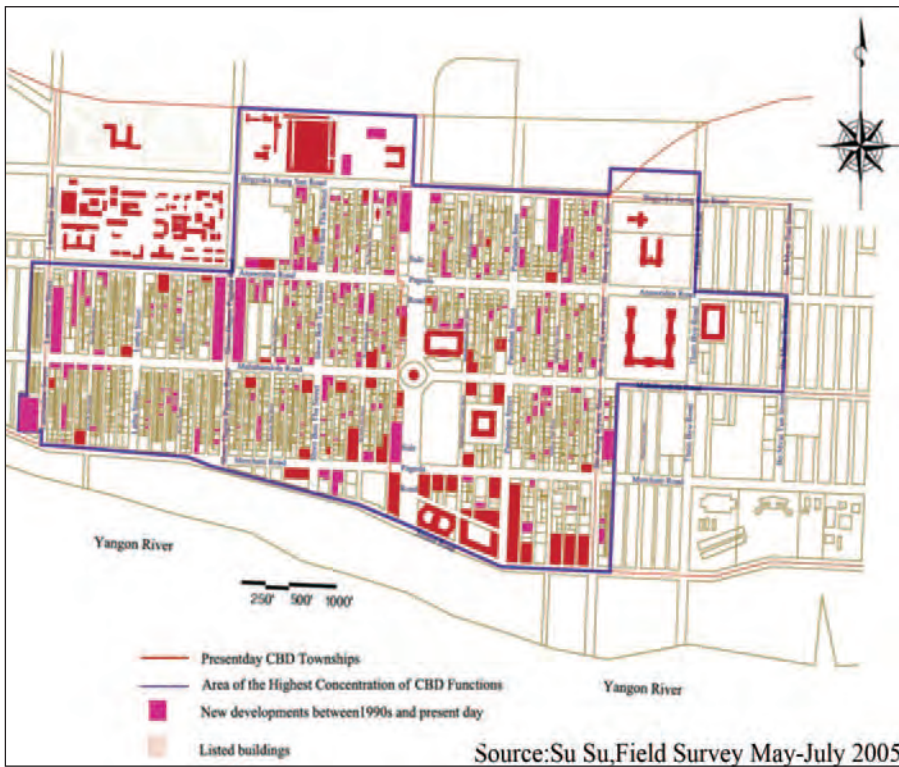


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Figure 4: Historic, Commercial and Religious Centre of Yangon



# What are the threats and opportunities of ‘historic, commercial and religious centre of Yangon’?



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Figure 5: Listed Buildings and Development after 1990s inside the Area of the Highest Concentration of Listed Buildings in 2005

Yangon Heritage Building List for conservation was issued in 1996. Altogether 189 buildings were included in the list. Since then, more stringent control measures have been undertaken in renovation and restoration of the buildings in the list. However, there is a need to control the surroundings of these listed buildings with a heritage management plan so that those inside ‘Yangon Historic, Commercial and Religious Centre’ maintain their beautiful urban landscape as well as the link to the buildings themselves. The following figure shows how development came into the area with the highest concentration of listed heritage buildings in 2005.

There are many controversial new developments in ‘Historic, Commercial and Religious Center of Yangon’. One particular extreme example is the construction of gigantic skyscrapers that overlook the area surrounding one of the most important monuments of the country, the Sule Pagoda in Yangon Central Business District (Messeri 2007).

Hoi An Protocol (UNESCO Beijing 2003, 33) classified the threats to the preservation of Historic Urban Areas of Asian cities such as the loss of historic structures and replacement with new buildings as a result of economic pressures, the slow decay of structural fabric due to lack of maintenance, a steady onslaught of pollution, damage from vibration and settlement, changes in water levels and moisture etc. in the urban environment, heavy, uncontrolled traffic and polluting vehicles within and around historic urban areas and finally the loss of traditional occupations and of the traditional economic – residential mix of the community. Needless to say,



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Figure 6: Threats to Urban Heritage Conservation areas of downtown Yangon (November 2013)





Figure 7: Land Use Map of the Area with the Highest Concentration of Central Business District functions in 2005

'Urban Heritage Conservation Areas of downtown Yangon' has been affected by these threats.

The land use map (Figure 7) shows locations of government, semi-government and public offices in the area. After moving the capital city to Nay Pyi Taw, some of these buildings were left vacant for several years leading to gradual deterioration or inappropriate adaptive reuse. As the area is densely populated, with many ethnic groups, it is important to consider the rights of the communities living inside the historic landscape in terms of 'development and modernization'. The areas are to be conserved authentically and the social pluralism of many ethnic groups has to be reflected and equitably represented in the image of the area.

'Urban Heritage Conservation areas of downtown Yangon' have a high potential, not only as a commercial hub but also as a social, cultural and recreational hub for local communities, citizens staying in and around Yangon, as well as tourists. For that, upgrading the public transportation system, creating pedestrian connections along the urban heritage conservation and waterfront redevelopment is crucial. 'Urban Heritage Conservation areas of downtown Yangon' are among one of Asia's historic urban landscapes, which remained intact and unique. Because of these qualities, the areas have to be treasured by local and international communities.



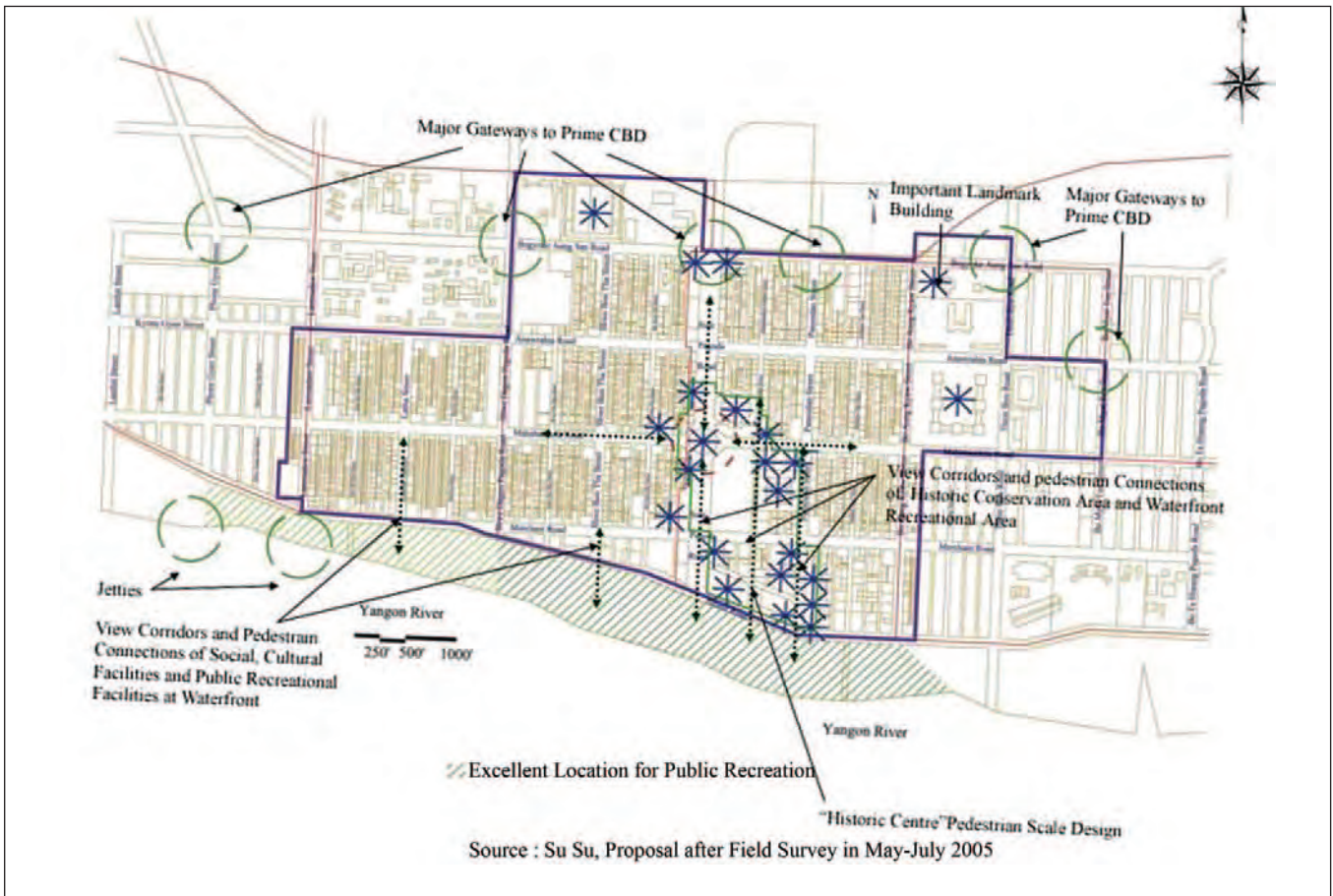


Figure 8: Proposal for View Corridors and Pedestrian Connections between Social, Cultural and Recreational Facilities at downtown and those at Water-front of Yangon River (2005)

## Steps towards the World Heritage nomination of living urban areas in Yangon

As heritage conservation and management becomes a multi-disciplinary subject, sharing our knowledge and thoughts with people outside our sphere of intellectuals is crucial. It is a complex matter, which is derived from the historical, cultural, religious and the life style values from generation to generation. That is why raising awareness and active

participation of stakeholders as well as local community and the joint efforts of the international community become critical for the management of living urban heritage areas of Yangon with HUL approach and the ultimate goal of nominating them to the world heritage list.

## Revising the tentative list

Current Tentative List of Myanmar since 1996 includes Bagan Archaeological Area and Monuments, Pyu Ancient Cities, Wooden Monasteries of Konbaung Period, Badahlin and associated caves, Ancient Cities of Upper Myanmar, Myauk-U Archaeological Area and Monuments, Mon cities, Inle Lake. We can clearly see that neither Shwedagon

Restricted Area nor Urban Heritage Conservation areas of downtown Yangon are on the list. Therefore, if concerned departments would like to prepare the nomination file for one or both together as one site, then the list has to be revised.

## National and local legal instruments and institutional arrangements to be in place

The 1957 Antiquities Act of Myanmar acknowledges the protection of place of worship and it shows the government's acceptance in the roles of the local community in safeguarding and maintaining the Buddhist heritage. But conservation works to be done on the heritage must obtain permission from the Government. The Government could provide a case-by-case agreement with regards to the preservation of a scheduled monument (Patcharawee Tunprawat 2009, 135). The Protection and Preservation of Cultural Heritage Regions Law of Myanmar (1998), changes the term 'antiquities' in Antiquities Act of Myanmar (1957), which refers only to places and objects with archaeological interests, to 'cultural heritage' which is 'to be protected and preserved by reason of its historical, cultural, artistic or anthropological value' for places that existed before 1886. The Law Amending the Protection and Preservation of Cultural Heritage Regions Law (2009) has changed the time frame to 100 years old. The Protection and Preservation of Cultural Heritage Regions Law of Myanmar (1998), is limited to ancient monuments and sites, and absolutely not to intangible cultural heritage. For natural areas, only caves, ponds and natural landscape surrounding ancient monuments are mentioned. According to this Law, since 1999 all nationally-declared Cultural Heritage Regions have to be registered and demarcated into three protection zones: Ancient Monumental Zone (MZ), Ancient Site Zone (AZ), and Protected and Preserved Zone (PZ). For application of a heritage site like 'Historic, Commercial and Religious Centre of Yangon' as a World Heritage Site, we need to submit the national level Urban Heritage Legislation (or revising 1998 Cultural Heritage Regions Law to include categories of urban heritage) together with a heritage management plan for the site giving the site national level protection since it is a prerequisite for inscription in the World Heritage List. A heritage management plan with the legislation to give it force of law is meaningful in any case.

Building codes which, form part of Rangoon Municipal Act of 1922 and which is still in force, required a person to obtain a permit from the Engineering Department (Buildings) of YCDC to construct any kind of building in Yangon. If the building is completed, permission to occupy it must be obtained from the same department. Moreover, the Myanmar National Building Code Development Planning Project was signed between UN-Habitat and national professional body, Myanmar Engineering Society (MES) in 2011. This project is endorsed by the Ministry of Construction, Department of Human Settlements and Housing Development. There

are seven Technical Working Groups and in Technical Working Group II Architecture and Urban Design, there is a chapter 'Existing Buildings and Structures, including Historic Buildings and Structures' which is now used as a provisional one. According to this chapter, 'Heritage zones/ areas are determined by the Ministry of Culture under the 1998 "Protection and Preservation of Cultural Heritage Regions Law" as Cultural Heritage Regions; but registered urban heritage places and urban heritage zones/ areas, listed buildings or structures are identified and determined by local authorities (for example, the Yangon City Development Council [YCDC]) or regional authorities. The intent is to preserve and enhance the heritage character of such places, including buildings or structures and zones/ areas. In relation to activities involving these places, including buildings or structures and zones/ areas.'

Some of the points in the chapter are:

- 1) Where the local authority considers new development to be appropriate, a high standard of design will be expected. Approval must be attained first at the planning stage from the concerned institutions with the requirement for Heritage Impact Assessment (HIA) for all projects (whatever the source of financing) for which the relevant planning authority, and/ or a committee formed by the relevant planning authority and/ or the commission formed by the regional government, have the potential to affect directly or indirectly any historic property (both public and privately owned), or any other cultural heritage resource (tangible or intangible), especially those within and around heritage places and zones/ areas. It is important that:
  - (i) The developer/ project proponent must not be the party to conduct the HIA. It must be conducted by an independent team of experts, commissioned and reporting to the relevant planning authority, and/ or a committee formed by the relevant planning authority and/ or the commission formed by the regional government.
  - (ii) The developer/ project proponent, however, should be the party to pay for the HIA.
  - (iii) The HIA must be conducted at the planning stage of the process- before any planning permission for redevelopment is given.



- 2) Adaptive reuse of listed buildings is encouraged to prevent their deterioration. The relevant authority must approve a Conservation Management Plan (CMP) for the building, and oversee compliance with it. Adaptive reuse must be accompanied by a sustainable maintenance strategy to ensure the preservation of the values of the historic site.

The World Heritage Committee is now looking for the incorporation of 'heritage impact assessments' in management plan, and preferably in the legislation as well, in order to protect and mitigate heritage resources against projected development plans. While this type of pro-active planning may be premature for our country, it is always possible that we may wish to leapfrog to the latest thinking on these matters.

Concerning conservation of historic urban areas, Hoi An Protocol (UNESCO Beijing 2003, 35) addressed as: 'Unlike discrete monuments or archaeological sites, living urban assemblages often have no institutional custodian. It is therefore important that an administrative and decision-making body be formed which combines local government, business and community representation with professional conservation and planning expertise. The function of this body is to plan long-term integrated conservation and urban improvement.' The government had amended or passed a number of Laws, and Acts, including Yangon City Development Committee Act (YCDC Act 1990). In 1990, central government gave full authority to YCDC, municipal

organization. YCDC is mainly responsible for urban heritage conservation along with sustainable development of Yangon. As a department responsible for urban planning of the cities in Myanmar, Department of Human settlements and Housing Development (DHSHD), Ministry of Construction is assisting YCDC in drafting Zoning Plan of Yangon. DHSHD, Yangon Heritage Trust, Ministry of Science and Technology and Association of Myanmar Architects, etc together joined 'Yangon City Comprehensive Land use, Zoning and Urban Design Review Working Committee' and are planning Yangon's future density and land use (floor area ratio, building use and plot area ratio) with special consideration on Living Urban Heritage areas of Yangon. Yangon Zoning Plan (which is now in a provisional stage) includes Low-Density Residential areas, Medium-Density Residential areas, High-Density Residential areas, Mix Use areas, Commercial and Business areas, Industrial and Warehouse areas, Ports & Related, Green & Blue, Government, Institute, Infrastructure areas, Urban Heritage Conservation areas and Water front special development zone. However, as Ken Talyor (2010,7) pointed out on the regulative effects of planning instruments and organizational structures on historic buildings and areas in Thailand, 'There is a deeply held and rich national consciousness of the country's vast and varied cultural heritage, but one that is not always appreciated or understood by municipal authorities, including planning department.' It is also very important to put more effort in terms of collaboration between concerned departments in Myanmar as well.



Figure 9: Mahabandola Park in downtown Yangon

## Drafting and endorsing heritage management plan/ plans for living urban heritage areas of Yangon

In order to nominate nationally-declared Cultural Heritage Regions and regionally announced Urban Heritage Areas as World Heritage Sites, we need to submit a property management plan for each site together with the heritage legislation giving the site national level protection. For application of a heritage site like Historic, Commercial

and Religious Centre of Yangon as a World Heritage Site, we need to prepare a heritage management plan with the legislation to give it force of law as national level protection since it is a prerequisite for inscription in the World Heritage List.

## Pros and cons of nominating living urban heritage areas of Yangon

### Pros

- Inventories which are the result of comprehensive survey on architectural, social, economic, cultural and technical data including systematic documentation of heritage buildings, ensembles, structures and open spaces, land use, change of use, the views, vistas and skyline and last but not least, all cultural assets of all ethnic groups of the areas would be quite completed while moving towards the nomination process. The basic ideas embedded in the inventory forms is to be well matched with the heritage management plan and to be kept them at National or Regional Repository or Archive that would act as a depository for records, drawings, information, etc. for both tangible and intangible heritage in order to be easily accessible for research purposes as it is important for authentic conservation.
- Integration of conservation policies and management into social, economic, cultural, urban planning and tourism development policies, strategies, legislation, guidelines and management at all levels through comprehensive heritage management system as it is a must for the State Party to prepare standard documents that advisory bodies as well as international communities could accept as mentioned in HUL recommendation 'to adopt the appropriate legislative institutional framework and measures.'
- Accelerating the capacity building of concerned parties involved in preparing nomination files, heritage management plans and implementation of heritage management plans which may lead to establishing

University Research and Training Centers for Tangible and Intangible Heritage to stimulate not only researchers, heritage managers and students but also concerned stakeholders and local communities to think locally as well as be aware of global trends in theory and practice of tangible and intangible heritage management.

- Considering Disaster Risk Reduction and Management for 'Historic, Commercial, and Religious Centre' of Yangon as top priority leading to preparing Disaster Risk Management Plan for Proposed Property Areas/ Area with the technical and financial assistance of international and local experts.

### Cons

- According to the Lebanon architect Jade Tabet, general enthusiasm for the cultural heritage often results in old core areas becoming mere sites of recreation and mass tourism, which in turn destroys traditional activities and creates a kind of urban Disneyland (City of Vienna 2005, 22). There is a question 'shall we allow our vibrant economic, cultural, religious and social hub to be a kind of urban Disneyland? How can we implement according to proposed management objectives for maintaining the essence of Living Urban Heritage Areas of Yangon?' However, when properly managed through the historic urban landscape approach, new functions, such as services and tourism, are important economic initiatives that can contribute to the well-being of the communities and to the conservation of historic urban areas and their cultural heritage while ensuring economic and social diversity and the residential function (HUL recommendation 2011).



## Conclusion

Values of tangible and intangible heritage of Living Urban Heritage Areas can be meaningfully conserved and heritage management plan can be holistically practiced with a very good foundation of reflecting comprehensive theory in the legal and institutional framework. Only by balancing and integrating the objectives of fulfilling the needs of local community and planning heritage to play as catalysts for livelihood of local communities in downtown as

well as inhabitants of Yangon, the role of heritage areas and places can be maintained and would be possible to prepare comprehensive nomination file if the concerned authorities and general public have desires. Thereby, historic, architectural, social, religious values of Yangon Historic, Commercial, and Religious Centre's historic urban landscape can be meaningfully conserved.

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# Managing the conservation of 20th century cultural heritage

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## Short biodata

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## Abstract

Natural deterioration caused by the ageing of the materials and their exposure to severe environmental conditions leads to a significant increase of the vulnerability of constructions. When facing the need to make conservation interventions to preserve or restore degraded cultural heritage elements, there are a number of restrictions that must be dealt with. Such restrictions are related to the safeguarding of the heritage's cultural value and significance that has to be weighed against safety and durability requirements, as well as against duration and budget constraints of the intervention. To assist in this decision-making process, a methodology is proposed which consists of an intervention index that gauges the criteria influencing the type of intervention. The development of this index is presented for the decision-making process related to the conservation intervention scheduled for the reinforced concrete decorative elements of the 20th century Teatro Nacional de São João (São João National Theatre), in Porto, Portugal. The selected criteria are presented and the advantages of the proposed procedure for the development of a sustainable conservation plan are addressed.



## Introduction

'Twentieth-century building materials and construction techniques may often differ from traditional materials and methods of the past. There is a need to research and develop specific repair methods appropriate to unique types of construction.'

Approaches for the Conservation of Twentieth-Century Architectural Heritage, Madrid Document 2011, ICOMOS

The conservation practice of historic and heritage reinforced concrete constructions in Europe from the late 19th and early 20th centuries is, currently, facing new challenges associated to the need for their consolidation, conservation and repair. Given that many of these constructions are relatively recent, the need for conservation interventions is a concern that is now starting to appear. Since the approach for interventions in 20th century, constructions are different than that usually utilized in older constructions. There is a lack of professional experience and know-how in their repair that must be overcome. These aspects are particularly relevant when dealing with decorative elements in reinforced concrete.

To help in the decision-making process about which type of intervention will be carried out, an adequate balance of the several constraints must be sought. To assist in this decision-making process, a methodology is proposed which consists in the development of a case-by-case intervention index that gauges the referred criteria influencing the type of intervention. The referred index weighs the influence of several qualitative and quantitative criteria which are graded according to the characteristics of the cultural heritage element under analysis.

The development of this index is presented for the decision-making process related to the conservation intervention scheduled for the reinforced concrete decorative elements of the 20th century Teatro Nacional de São João (National Theatre of São João), in Porto, Portugal. A detailed analysis of the selected criteria is presented and the advantages of the proposed procedure for the development of a sustainable conservation plan are also addressed.

## Concrete degradation process as a result of steel corrosion

Reinforced concrete, which is made by cement and steel, forms a composite material with a reduced lifespan, when compared to natural and traditional construction materials such as stone or timber. Among other sources of decay, reinforced concrete deterioration is often caused by the corrosion of embedded steel. Since the origin of this deterioration usually starts from inside the concrete element, available repairing approaches are seen to be considerably intrusive. Therefore, this particular source of decay is especially difficult to address when dealing with the repair of reinforced concrete decorative elements or sculptures, where conservation operations could destroy their authenticity. (Fig. 1)

Normally, the embedded steel reinforcement is protected against corrosion by being buried within the mass of the concrete and by the high alkalinity of the concrete itself. This protection, however, can be destroyed in two major ways. First, by carbonation that occurs when carbon dioxide in the air reacts chemically with the cement paste at the surface and reduces the alkalinity of the concrete. Second,

chloride ions from salts combine with moisture to produce an electrolyte that effectively corrodes the reinforcing bars. Chlorides may come from seawater additives in the original mix, or from prolonged contact with salt spray or de-icing salts. Regardless of the cause, corrosion of reinforcing bars increases its volume and causes expansive forces within the concrete. Cracking and spalling of the concrete are frequent results of this expansion phenomenon. Rust stains on the surface of the concrete are another indication that internal corrosion is taking place.

The 20th century constructions may present two types of problems associated to reinforced concrete degradation:

- ✓ Problems related to the structural stability of constructions
- ✓ Problems related to the conservation of decorative elements

The problems related to the structural stability of constructions are the result of a reduction in the load carrying



Figure 1 – Examples of reinforced concrete decorative elements and sculptures exhibiting some level of material degradation.

capacity of reinforced concrete elements due to the loss of concrete, to the loss of bond between steel and concrete, and due to the decrease in thickness of the reinforcing bars themselves.

The problems related to the conservation of decorative elements raise important questions associated to the safeguarding of the heritage cultural value and significance that have to be weighed against safety and durability

needs. During the decision-making process about what intervention has to be carried out to preserve, rehabilitate, or restore degraded cultural heritage elements, an adequate balance of these constraints must be found. To assist in this decision-making process, the proposed methodology will enable the development of an intervention index that weighs the influence of several qualitative and quantitative criteria associated to the state of conservation and characteristics of the cultural heritage element under analysis.

## Case study: the São João National Theatre

The São João National Theatre is a National Monument located in the city of Porto, Portugal. The construction of the current theatre started in 1910 under the direction of architect Marques da Silva, the most important architect of Porto at the time, after the original building was destroyed by a fire in 1908. The style of L'École des Beaux-Arts in Paris, where Marques da Silva studied, is clearly found in the São João theatre's architecture.

The Beaux-Arts architecture expresses a neoclassical architectural style that involved sculptural decoration along conservative modern lines and employed French and Italian Baroque and Rococo formulas combined with an impressionistic finish and realism. An abundance of balustrades, statues, columns, garlands, pilasters between doors and windows, and grand staircases is typical of this architectural style. In the case of the São João National Theatre, these decorative elements exist in all the façades (with a total area of approximately 4800m<sup>2</sup>) and are made of reinforced concrete. (Fig. 2). Some of the decorative elements having vegetal and geometrical patterns are seen to be repeated throughout the façades.

A few years ago, the façades of the São João National Theatre began to exhibit severe signs of deterioration due to the long-term weathering of the concrete surfaces, the corrosion of steel reinforcement and the fall of pieces of mortar (the latter enforced the need to install façade nets to prevent such pieces to fall over the pedestrians). The development of a conservation project for the façades was therefore needed with some urgency. Considering the previously referred degradation issues related to the steel corrosion and concrete spalling, the conservation and preservation of such rich and dense array of decorative elements presented numerous issues and several intervention options not easy to choose from.

Besides the severe cracking and spalling levels found in the concrete due to corrosion of the reinforcement, significant damages were also found to be related to bird dropping deposits and to the presence of black crusts. In order to illustrate the state of degradation of some of the reinforced concrete elements of the theatre façades, Fig. 3 presents some examples of damaged reinforced concrete decorative elements of the façades of the São João National Theatre.





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Figure 2 – Façades and reinforced concrete decorative elements of the São João National Theatre.



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Figure 3 – Examples of damaged reinforced concrete decorative elements of the façades of the São João National Theatre.



To adequately plan and prepare these interventions, a survey of the damages and degradation levels found on the façades and their decorative elements and sculptures was needed. A first assessment of their state of degradation was carried out before the cleaning operations of the façades took place, which resulted in an incomplete characterization of the elements' condition. A reliable assessment was only possible after the cleaning operations (Fig. 4). In addition to the damage survey, several concrete samples were taken from the façades for laboratory analysis and testing in order to determine the components and mix proportions of the original concrete, thus enabling the development of a repair mix with properties compatible with the original concrete.

The cleaning operations also revealed that a conservation intervention had been previously carried out on the façades in the mid-20th century because some decorative elements exhibited additional layers of mortar over the original ones which altered their original volumetric proportions. In other cases, by visual observation and by comparing the several types of mortars, it was possible to conclude that some of the original decorative elements were replaced during that intervention. Given these aspects, the current intervention project foresees the possibility of making casts of original elements to replace similar ones previously intervened in the mid-20th century. These replaceable elements are those exhibiting a current state of degradation that implies a level



Figure 4 – Cleaning operation to remove limewash (left), cleaning operation by micro-abrasion (centre left), example of a decorative element before (centre right) and after (right) the cleaning operation.

of repair incompatible with the simultaneous upholding of their authenticity and of their safety against falling.

Given the difficulty of balancing all the factors that influence the type of intervention to be carried out in a given decorative element under analysis, an intervention index was

therefore developed to help in this decision-making process. Even though the fundamental purpose of the intervention is to replace as few elements as possible, the main objective of the proposed index is thus to identify which elements exhibit the need for a more severe repair intervention along with a higher potential for replacement.

## The proposed intervention index

The proposed index was developed such as to establish a quantitative measure that would recommend either the in situ repair or the replacement of the element under analysis. This index weighs the influence of several qualitative and quantitative criteria which are graded according to the characteristics and the level of degradation of the element being analysed. This index was developed such as to account

for several restrictions that may control the type of admissible intervention. Some of these restrictions are related to the safeguarding of the heritage's cultural value and significance that have to be weighed against restrictions related to safety and durability requirements, as well to duration and budget constraints.



The proposed intervention index is quantified for each individual decorative element and reflects the weighted combination of seven criteria (C1 to C7) according to:

$$I_{PI} = \frac{\sum_{i=1}^7 C_i \times w_i}{\sum_{i=1}^7 w_i} \quad (1)$$

where  $C_i$  corresponds to the grade assigned to the  $i$ th criterion and  $w_i$  is the weight factor of the  $i$ th criterion. Some of the selected criteria are graded directly while others depend on the value of auxiliary parameters (P1 to P9). A description of the selected criteria, of the information and parameters considered for their quantification, and of their weight factors is presented in the following:

- C1 – Durability of the decorative element: The grading of this criterion combines information about the level of cracking of the element (P1), the existence and location of the reinforcement (P2), the level of corrosion of the reinforcement (P7), and the amount of repair required by the element (P8). The weight factor  $w_1$  is considered to be 5.
- C2 – Meeting the deadline for completion of the project: The grading of this criterion combines information about the size of the element (P3), the difficulty of making a cast of the element to replicate it (P4), the difficulty of fixing this replica to the façade (P5), and the amount of repair required by the element (P8). The weight factor  $w_2$  is considered to be 5.
- C3 – Risk associated to the fall of the decorative element: The grading of this criterion depends on the life-threatening hazard due to the fall of a decorative element and on the possibility of observing the state

of conservation of that element from the ground. The weight factor  $w_3$  is considered to be 5.

- C4 – Authenticity of the decorative element: The grading of this criterion depends on the decorative element being authentic or not (i.e. the decorative element is a replica or it has been previously repaired). The weight factor  $w_4$  is considered to be 4.
- C5 – Repetitiveness of the decorative element: The grading of this criterion depends on the number of times a given decorative element is repeated on the façades (P6). The weight factor  $w_5$  is considered to be 3.
- C6 – Evolution of the state of degradation of the decorative element since 1995: The grading of this criterion reflects the evolution of the state of degradation of the element based on its condition in 1995 when the state of conservation of the façades was surveyed and conservation interventions were carried out in some parts of the building. The weight factor  $w_6$  is considered to be 1.
- C7 – Replacement potential of the decorative element: This criterion depends on information about the level of cracking of the element (P1), the level of corrosion of the reinforcement (P7), and the amount of repair required by the element (P8), and its grading combines data about the size of the element (P3), the difficulty of making a cast of the element to replicate it (P4), the difficulty of fixing this replica to the façade (P5), and the level of cracking of the element (P1). The weight factor  $w_7$  is considered to be 5.

By combining the grading of the several criteria using Eq. (1), the intervention index is then obtained. The index ranges between 0 and 3 and if a value lower than 2 is obtained, the decorative element under analysis is recommended to be repaired and consolidated. Otherwise, the replacement of the element by a replica is suggested.

## Application of the intervention index to the São João National Theatre

To apply the proposed methodology, a preliminary identification and numbering of the individual decorative elements was necessary. This operation was carried out by the team of conservators, architects and engineers involved in the project. In some cases, this identification was not a simple operation due to the high level of interconnection

between consecutive decorative forms (Fig. 5). In these cases, individual elements were selected based on symmetry and repetitiveness criteria.

Although the proposed index establishes a set of objective criteria to characterize a given element, the grading of some



Figure 5 – Examples of the high level of interconnection between consecutive decorative forms.

aspects sometimes involves a certain degree of subjectivity. Grading the difficulty of making a cast of the element to replicate it (P4) or defining with absolute certainty the authenticity of a decorative element (C4) are examples of factors that may involve some degree of subjectivity. The cleaning operations of the façades are also decisive in the results of the index. As previously mentioned, a reliable assessment of the state of degradation of the decorative elements is not possible before such operations expose the true state of the elements which is, many times, hidden below several layers of dirt, black crusts or paint.

In order to illustrate some of the results obtained when applying the proposed methodology to the São João National Theatre, Fig. 6 presents the value of for seven reinforced concrete decorative elements. As can be seen, the replacement of elements 3, 6 and 7 is suggested by the

results. For the case of element 6, and comparing with the result obtained for element 5 which similar to element 6, the ‘replacement’ result given the index is because this element exhibits a high level of degradation with severe steel corrosion and concrete spalling, and more than 75% of its volume requiring consolidation. On the other hand, element 5 presents no steel corrosion, no spalling and less than 25% of its volume requires consolidation. With respect to element 7, the decisive characteristics for the “replacement” result are its level of steel corrosion and concrete cracking, the fact that it requires the consolidation of more than 50% of its volume and the fact that it is not an original element. In terms of element 3, aside from its high level of cracking and of needed consolidation, the fact that it is a small element easy to replicate is also a decisive factor to obtain a ‘replacement’ result.








1	2	3	4	5	6	7
						
1.21	1.71	2.48	1.47	1.77	2.52	2.34

Figure 6 – Sample results obtained by the proposed intervention index when grading different types of reinforced concrete decorative elements of the São João National Theatre.



## Final remarks

The conservation practice of historic and heritage reinforced concrete constructions from the late 19th and early 20th centuries is different than that usually utilized in older constructions. The lack of professional experience and know-how in their repair is particularly important, namely when dealing with decorative elements in reinforced concrete. The fundamental purpose of an intervention is to maintain as much of the elements as possible, involving repair and consolidation operations that will safeguard as much as possible the elements' authenticity. Aside from the need to safeguard the cultural value and significance of the heritage, other important issues must also be weighed, namely those related to safety and durability, as well as to the intervention's duration and budget constraints.

Given the difficulty of balancing all the factors that influence the type of intervention to be carried out in a given element under analysis, an intervention index was therefore developed

to help in this decision-making process. Even though the fundamental purpose of the intervention is to replace as few elements as possible, the main objective of the proposed index is thus to identify elements exhibiting the need for a more severe repair intervention along with a higher potential for replacement. These replaceable elements are those exhibiting a current state of degradation that implies a level of repair incompatible with the simultaneous upholding of their authenticity and of their safety against falling. Although the proposed index involves a set of objective criteria to characterize a given element, the grading of some aspects is sometimes subjective. Furthermore, a reliable assessment of the state of degradation of the decorative elements is not possible before cleaning operations expose the true state of the elements which is, many times, hidden below several layers of dirt, black crusts or paint.

## Managing Cultural World Heritage

**This manual provides guidance for States Parties and all those involved in the care of World Heritage cultural properties on how to comply with the requirements of the World Heritage Convention.**

It also aims to help States Parties to ensure that heritage has a dynamic role in society and harnesses, but also delivers to others, the mutual benefits that such a role can create. This manual is intended as a tool for capacity-building for the effective management of heritage, and for World Heritage properties in particular. It is designed to help all practitioners:

to strengthen the knowledge, abilities, skills and behaviour of people with direct responsibilities for heritage conservation and management;

to improve institutional structures and processes through empowering decision-makers and policy-makers; and

to introduce a dynamic relationship between heritage and its context that will lead to greater reciprocal benefits through an inclusive approach, such that outputs and outcomes follow on a sustainable basis.

The main text of the Resource Manual explains what is involved in management for World Heritage, its context, its philosophies and its mechanisms. A set of appendices then offers guidance on how to put them into practice.

The titles in this series are produced as PDF online documents which can be downloaded free of charge. Free/non-profit use/reproduction of this manual is encouraged, always quoting the original source.

### The World Heritage Resource Manual Series

Since the World Heritage Convention was adopted in 1972, the World Heritage List has continually evolved and is growing steadily. With this growth, a critical need has emerged for guidance for States Parties on the implementation of the Convention. Various expert meetings and results of the periodic reporting process have identified the need for

more focused training and capacity development in specific areas where States Parties and World Heritage site managers require greater support. The development of this series of World Heritage Resource Manuals is a response to this need.

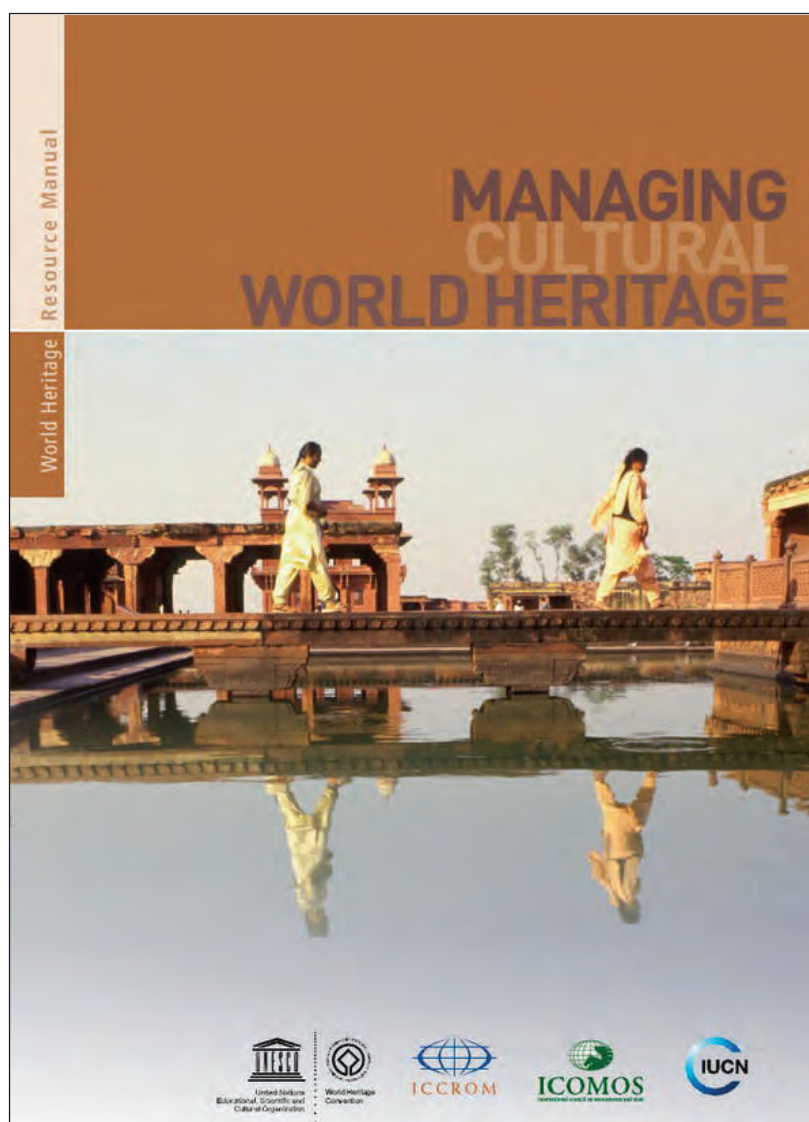
The publication of the series is a joint undertaking by the three Advisory Bodies of the World Heritage Convention (ICCRUM, ICOMOS and IUCN) and the UNESCO World Heritage Centre as the Secretariat of the Convention.

### Documents

Gérer le patrimoine mondial culturel

Gestión del Patrimonio Mundial cultural

Managing Cultural World Heritage







© K. Weise - Nyatapola Temple, Bhaktapur

## Section C: Community Involvement

# Revisiting Kathmandu Valley World Heritage site

## Community participation in heritage affairs

Sudarshan Raj Tiwari

### Short biodata

Born at Bishalnagar in Kathmandu in 1950, Sudarshan Raj Tiwari studied architecture and earned a Bachelor's degree from School of Planning and Architecture, University of Delhi, in 1973. He took his Master's degree in Architecture from the University of Hawaii, USA in 1977. He received a PhD from Tribhuvan University for his dissertation on ancient settlements of the Kathmandu Valley in 1995. He has served in the faculty of Tribhuvan University's Institute of Engineering Department of Architecture for almost 40 years, and was Dean of the Institute of Engineering between 1988 and 1992. Among his published works are: *The Brick and the Bull* (2001) and *Temples of Nepal Valley* (2009).

### Abstract

This paper will address the following points beginning with heritage, people and their participation in different heritage affairs over the past fifty years. In the 1970s, conservation meant preservation. In the 1990s, the idea changed from conservation to enhancement and promotion including the idea of financing. Today we are talking about sustainable conservation, taking into account the environment, the livingness, identity, and also livelihood and tourism development in relationship to the World Heritage site and to culture. It is evident that today heritage conservation must consider 'people', particularly their participation in heritage affairs.

There are several critical questions that need to be posed with regard to people's participation in heritage affairs, people's initiative and interest on heritage affairs and the relevance of heritage conservation to people. This, in respect to livingness, livelihood, identity and saving the community spirit. This paper will explore these issues drawing upon the experience and observations within Kathmandu Valley, particularly with reference to the World Heritage areas of Bhaktapur and Patan as well as that of Bouddha and Changunarayan, the traditional Guthi System and the temple of Bhagvati Bahal.



Architectural heritage is a major component of the Kathmandu Valley World Heritage site. Architecture as a material creative art is temporal and spatial: its immediate meaning lies in its specificity to time and season, and to space and people. For example if you think of time as linear, time is changing, people are changing, culture is changing and only the monument is standing. That is the conservation we are facing today. In eastern countries we have to think whether time itself is coming back again. We find heritage conservation with community participation, particularly during certain time of the year when these buildings were constructed.

Community participation in the past, consisted of heritage creation as public goods for merit and was managed by a Guthi; which would take care of the organization, finance and perpetuation of the heritage site. This paper will explain the present state of the Guthi. Community participation and tourism will be presented through two examples within the Kathmandu Valley World Heritage property: Changu Narayan and Swayambhu, and Bhagavatibahal a medium local heritage.



Figure 1: Community festival on a public square and in the back inscription stone protected by metal grill



Figure 2: Bhaktapur Durbar Square with Golden Gate and 55-window Palace

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## Bhaktapur Cultural City: From Bhaktapur Development Project 1973 to Kathmandu Valley World Heritage Bhaktapur Durbar Square monument zone 1979

Initially the Bhaktapur Development Project initiated in 1973 did not emphasize community participation. The traditional society of masons and carpenters were employed, and international donors considered that to be community participation. This was not accepted and was therefore reviewed. In the case of community participation, what people say and claim and what actually happens on site is often very different. In the 1980s the community paved the streets and public toilets were constructed. But, the craftsmen did not follow traditional methods. Modern forms of worker cooperatives were established with experts defining what community participation was. When the Kathmandu Valley was inscribed on the list of World Heritage in Danger, Bhaktapur Durbar Square monument zone was the only site not considered to be in danger. There were discussions whether Bhaktapur should be in the danger-

list. The conservation of Nyatapola and Fifty-five Windows Palace were however carried out in a different system, since the donors did not trust the workers' cooperatives.

Initially no one was concerned about the participation of the people. There was no 'community participation' in the conservation of Pujarimath (1971) and Hanuman Dhoka (1973). Participation was sought in earnest only in the third phase of the Bhaktapur Development Project (1980-1983). The focus of conservation changed from monuments to spaces and services. There was increased interest in the way these were maintained through involvement and participation of the community. It must be understood that if the benefits of conservation are not shared with the public, one cannot expect any community participation. Today's Bhaktapur is built on heritage conservation and heritage industries.



## From Bhaktapur Development Project to Patan conservation and development programme

The approach to community participation was different during the Patan Conservation and Development Programme. Conservation actions on neighbourhood heritage were integrated with development components. This is very important to get the community participating. The community has its own ideas of where they are living. To what extent much can experts accommodate the ideas of the community? Another important component is that conservation must benefit people, the living environment and their livelihood. In contrast to Bhaktapur, here

monuments were not prioritized for conservation. Here we see priority was given to the people. 'Lesser heritage' or the heritage of the weak, was prioritized. The programme considered participatory approaches, while seeking cost sharing and working with user committees. Sustainability would be achieved by the people having direct economic gains through cultural heritage tourism. This would support the domestic industry of metal crafts, paintings and jewelry. The traditional houses could be restored and refurbished for tourist accommodation and restaurants.

## Kathmandu Valley World Heritage site: In and out of danger 2003-2007

Conservation exercises fail to arouse civic participation. When considering living cultural heritage, the people know more about their own culture than the experts. The aesthetic and functional environment of the buffer has been lost. The local community has been flouting building controls and has rejected the conservation by-laws. Buddhanath monument zone is the worst. When illegal buildings were going to be demolished by authorities, people started chanting 'Viswasampada chaidaina; Gharbhatkauna paidaina!' (We do not want world heritage sites, our house are not allowed to be demolished). Once the management plan was prepared,

the site was removed from the danger list. The loss of buffer ambience and character however continues. Though there have been many community consultative meetings, they have had little impact on the ground and the civic response has failed.

The Integrated Management Plan for the Kathmandu Valley World Heritage Site includes conservation guidelines for monuments and buildings, development guidelines for spaces and streets, and building controls for private buildings. Is the community to blame for the failing of bylaws and development controls?

## Heritage and the people

There are several critical questions that need to be posed. How do we make heritage become that of the people? How can professionals be integrated in the heritage actions or act with the people? How can people be encouraged to take heritage action? Furthermore, how can heritage work for the people? This would be in respect to the livingness, livelihood, identity and saving of the community spirit. Livingness would mean for example images that are worshipped and continue to be worshipped. If the image is preserved as a stone, the livingness is lost.

Whose heritage is it? Heritage can be owned by someone, cared for by someone and worshipped by someone. This means different community base would have different

interests for the same heritage: as a physical, social or cultural asset. When inscribing as World Heritage, we refer to OUV, which distances immediate communities and potentially highjacks local cultural ownership. We should therefore be very careful, since the question arises whether it belongs to the community any more or not. The different categorization of heritage as world heritage, national heritage, regional heritage, risks to distance the locals from the heritage. The heritage has to be local, at least, spatially. Who are the stakeholders? The professionals need to be situated in the community.

The grading of heritage leads to conservation prioritizing heritage with the greatest significance. So the cultural heritage

of the weak and the ordinary citizen as well as the heritage of the living are not prioritized. Building national identity from heritage raises the problems of multicultural and multi-ethnic societies. The conservation of 'lesser heritage' of the weak, brings participation of lower rungs of society into conservation. This is also the case with conservation of intangible heritage. Heritage needs to develop into a local spatial and local people entity.

The local 'lesser heritage', often of the weak, can be religious, sacred and secular. These are managed by Guthis; community organizations. Guthis are self sustaining, self perpetuating and their agenda is guided by cyclical time: seasonal and spatial. It is a model for organization, function and decision-making. They are guided by traditions and craftsmen and ensure livingness and socio-cultural good. There is value addition though asserting the present time rather than history, and considering the season of creativity. The motivation for such work is philanthropy and public service; if you are rich you contribute for the good of the poor.

Cultures are transmitters of life and are an unconscious internal framework for the living. Reification transforms cultures into objects of consumption. It is necessary to be clear about the insider as creator and user and the outsider as consumer. The heritage community is usually the immediate spatial community. Communities could be creators or cultural insiders of living cultures, the possessor community or heritage inheritor and the consumer community such as tourists. Each has different expectations linked to values, attributes and benefits. There can be conflicting requirements and philosophical positions among the different communities.

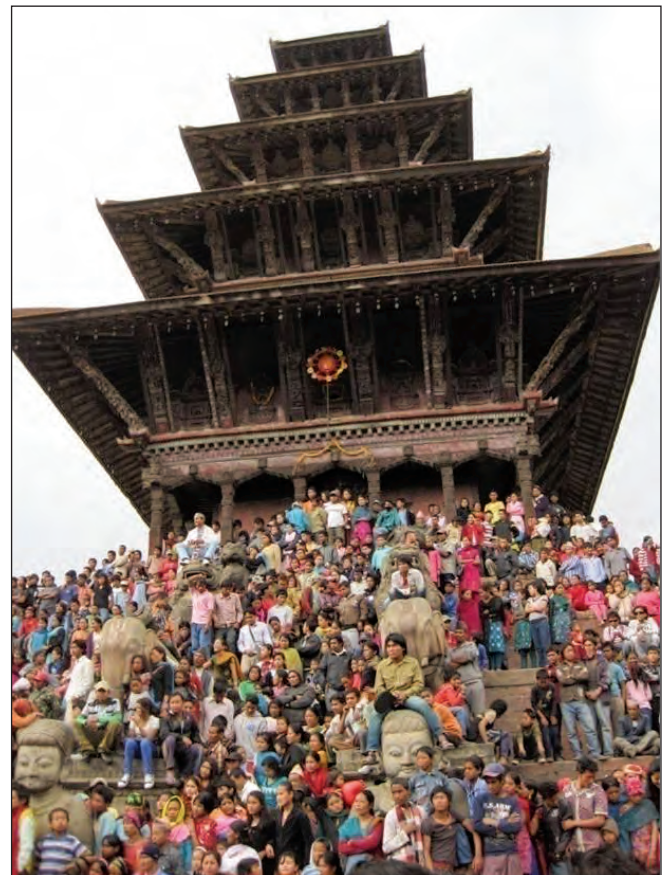


Figure 3: Crowds watching festival from the steps of the Nyatapola Temple in Bhaktapur Durbar Square

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Changes of rituals are often justified by tradition. Monks, donors and the user committee seek 'improvements.' On the other hand, professionals see this as a challenge to authenticity and historicity.

## Discovering Guthi aiming at cultural continuity and longevity

There are inscriptions that identify acts of piety in history that has led to continuity of public service. Land was donated to act as a source of income for maintenance and care of a certain temple or to pay for certain festivals.

- 491 CE, Jayalambha donates a land in perpetuity (dattamakshyayaniyam bhumi) for ritual worship of Jayesvora.
- 513 CE, King Basantadev grants use of annual state tax locally for repair of a water conduit set up by his sister Jayasundari. Jayasundari sought to enhance the merit of their father through her pious act.
- 533 CE, Dhruvasangha donates land and its proceeds for ritual worship and occasional repair of several linga set up by himself. He places the grant in care of Svajana Gosthi. (Charity board composed of own relations/members of own community)!
- The Guthi was established to ensure perpetuity of action, funds and organization. The objective was to care for one's roots, place, people and practice from the past and carry it into the future. The agenda was inspired automatically by the seasons. One was urged to



acts of piety into the future.

- Perpetuity of action: self triggering agenda based on a seasonal ID date (cf. Versabardhan day)
- Annual agricultural yield from land grants offered a 'perennial source' of fund – Akshyanibi
- Perpetuity of institution through membership drawn from the community, relations- Gosthi, Svajana Gosthi, Gosthika etc.

Principles for conservation were based on the 'pratisamskara' tradition. 'Pratisamskara' can be defined as: (Keeping) 'near to' (perfect) as created – like the original, (cf. samskaran = edition, not reprint), seem to be authorizing and accepting additions and embellishments. Some inscriptions mention 'Khandafutta partisamskara' which means repair of partial deterioration (chipping of stone/ loss of polish). Others talk of pratisamskara of 'kalkramena vishirna, bhagna' images, natural wear through passage of time. Still others mention pratisamskarascha kalanatikramenaiba karya or ravaged by time (over use, aggression of time). Lichchavi inscriptions distinguish construction from repair or restitution with specific terminologies (cf. sthapana, samsthapana with pratisamskara).

Two inscriptions of Amshuverma are instructive. 'On 607 AD, Amshuverma, having observed that the coat of arms was worn out from the top (to bottom) by time, restored it taking cue from the outline then existing – authenticity? (Kalenasirnam abalokya .. tasmannidarshanamvapy.. kritavan puna).' 'On 610 AD, Amshuverma declares, in another inscription "having repaired carefully so as to keep it in good condition for longer into future" (Yatnata pratisamskarya ... dirgatara Paschatkala sausthitya nimittam).' These clarify long term objective of conservation and the principle of design, style and material as per original.

The conservation practice during the Malla period saw changing needs and new responses. The Lichchavi idea of conservation was initiated with stone images and buildings. Further development appeared to have been caused by demands of brick and wood buildings, water canals and terracotta images. Standards and processes of conservation of buildings, urban utility and services in the Malla period largely related to brick and wood architecture, their methods of construction and their susceptibility to earthquakes and fires. By the 15th century, a new term had come into use for conservation, maintenance, repair and renovation e.g.



Figure 4: Chabel Chaitya restoration

Jirnoddhar (lhongn in Newari), whereas the term for new construction remained the same e.g. Sthapana (dayaka in Newari). This no doubt tells about the serious deterioration that can set in wood and brick buildings and standards developed for stone and metal images were simply impractical. Ravages of earthquake and fire, agents more destructive than natural wear and tear, sought drastic reconstruction based on fallen or charred buildings. Foundations were not changed, since they were often out of stone. It was only when the Chyasalin Mandap was rebuilt that a new concrete foundation was introduced. Otherwise the restoration and even reconstruction works were only carried out above the ground.

The Newar Guthis organized around activities. There were chains of Guthis for complex activities. Guthis also organized around spaces or artifacts located in spaces. They also organized around clans defining the division of

responsibilities. Everyone is on cue based on the season and calendar, which did not require special coordination.

Today the Guthi system is almost lost. The Shahs took land of Bahals of Patan and gave as Jagir to their supporters. The Ranas introduced institutional governance into Guthi and broke the community link. The cause of the loss of Guthi system is usually attributed to the establishment of the Guthi Samsthan, the tiller's rights and loss of guthi land. The Guthis are mostly religion based. They are a very conservative society, allowing only male members and no new agenda would be admitted. Would it be possible to reinstate the system in some way? The Nepal Heritage Society considering that the financial means has been lost, even though the social structures were still in place, tried to resolve this by depositing money into a bank account so that the bank interest would finance the Guthis.

## Partnership in quality tourism – projects in Changu Narayan and Swayambhu

The Changanarayan Community Development Committee did not have a traditional form since it included representation from the youth, elderly, housewives, children, males and females. This committee was taken over by the Village Development Committee.

In 1993 there were few visitors in Changu Narayan with few tourist service facilities available and unsanitary environment. The local share of tourism gains was minimal. It was however a great cultural attraction amid the natural setting. A Partnership for Quality Tourism supported the participatory management of cultural heritage tourism development which addressed the issues of cultural heritage tourism, conservation of heritage (priority to lesser heritage and intangibles), environmental improvement and community participation.

The strategy of Partnership for Quality Tourism in Changu Narayan consisted of enabling the local community to be a partner through awareness, training and capacity development along with management, media and marketing. It also focused on community building with motivators and 'experts' in the backseat. It was seeking partnership from the four sectors: government, private sector tourism industry, local community and tourists in development and conservation, planning and implementation as well as sharing in the costs, activities and economic gains. A four way partnership was established between the government, tourism industry, tourists and the



Figure 5: In front of the Changu Naryan Temple



community; enhancing community interest and ability. The benefit sharing was based on the following understanding. Profit is a private pursuit. Conservation is a public pursuit. The profit of conservation was shared with the community through tourism. This allowed for benefits to be better shared through conservation so that the community could improve the livingness of their environment.

A similar project was carried out in Swayambhu. There, the Federation of Swayambhu Management and Conservation, a federation of all the institutions and organizations, has survived.

## Bhagavati Bahal

When work was carried out in Bhagavati Bahal, the local donors and committee initiated and led the project. There was roof leakage and damage in structure as well as walls that were giving in with I-section supports. It was decided that total dismantling and reconstruction was necessary. This was craftsmen driven and professionals joined in after media

coverage only influencing several decisions. It was possible to get them to reuse struts and some windows. The main image of the deity was not moved. Several other planned changes were dropped such as the introduction of additional doors and a stone string course.



## Conclusion

There are changing guiding protocols. Before 2000 there was just conservation. Up to 2012 there was conservation enhancement and promotion. After 2012 there was community, living environment and sustainability. This included tangibles such as monuments, arts, crafts as well as the time sense of conservation and history. Intangibles have also been included; place, people, livingness and living cultures in the sense of continuity.

There is a problem of the 'expert' universalizing outstanding values of living heritage. There is a tendency of differentiating between local heritage and world heritage which distances the local community from the major monuments. We need to take into account human sociology, from the individual, to the family, to the community, to the society and possibly on to the nation and the United Nations. There are interests at all levels: global, national, community, household and individual. This again depends on the value system: Outstanding Local Values, Outstanding Universal Human Values and Outstanding Community Value.

Figure 6: Bhagavati Bahal under restoration

# Community involvement in management of communal space in Patan Historic City

## A case study of Ilanani tole in Patan durbar square monumental zone

Lata Shakya, Mitsuo Takada, Sachiko Morishige and Takeyuki Okubo

### Short biodata

Lata Shakya is a postdoctoral fellow at Institute of Disaster Mitigation for Urban Cultural Heritage, Ritsumeikan University, Japan. She completed her bachelor degree in Architecture from Mimasaka University (Okayama, Japan) and her masters degree in Human Environmental Science from Kyoto Prefectural University (Kyoto, Japan). She completed her Doctoral degree in Urban and Environmental Engineering from Kyoto University (Kyoto, Japan) where she dealt with the management system of communal spaces in Patan historic city. She is currently involved in the disaster mitigation planning of Patan historic city.

Mitsuo Takada is a Professor at the Graduate School of Engineering, Kyoto University. He has been working in various research projects related with urban housing environment and Japanese traditional house called 'Kyo-machiya' to promote reutilization of Japanese traditional culture of dwelling in new modern houses. He has published several books including his latest, 'Rural and Urban Sustainability Governance' published in 2014 March.

Sachiko Morishige is a research fellow at Graduate School of Engineering, Kyoto University and chief architect at ha+g Design Office. She completed her Masters degree in Architecture from Kyoto University. She is currently involved in research related with preservation of alleys in historic city Kyoto.

Takeyuki Okubo is a professor at the Graduate School and College of Science and Engineering, Ritsumeikan University and the director at the Institute of Disaster Mitigation for Urban Cultural Heritage. He is also a member of ICORP and JP-ICOMOS, an officer of the 'NPO for Protection of Cultural Heritage from Disaster' and the chairman of its Technical Committee.

### Abstract

After the Kathmandu Valley was inscribed on the list of world heritage in danger in 2003, the redefinition of the boundaries of monument zones in 2007 inscribed the old residential area of Patan city (ORA) as a buffer zone of Patan durbar square monument zone. In this paper, management of communal spaces so called 'courtyards' in an old residential area of Patan city is clarified through the analysis of management actors and their relationships. A block of three interconnected Buddhist monastery courtyards in Ilānani tole, which is included in the monument zone, was selected for the survey. The area has a historical norm and is in the transition stage of urbanization. The study figured out that for the management of courtyards, there exist three types of management actors; namely Buddhist monastery related, resident related and government related. The characteristic of community involvement in management is clarified through the analysis of actors' management activities such as decision-making, implementation and expense bearing.



## Introduction

The seven monument zones of the Kathmandu Valley were inscribed on the list of World Heritage Sites in 1979. Three of them are Malla Dynasty palaces of the three cities (Kathmandu, Patan and Bhaktapur) and remaining four are religious ensembles (Buddhist stupas and Hindu temples). The seven monument ensembles represent an exceptional testimony of the traditional civilization of the Kathmandu Valley, which was built by Newars, during the medieval period. After the unification of Nepal in 1769, Kathmandu city was declared as the capital of the nation. It gradually lured non-Newar immigrants from various parts of the country to the valley. At present time, Newars are no more the majority in the valley. Increasing migrant population has turned Kathmandu into one of the most heavily populated cities in the world. Kathmandu has a population density of 20,289 people per square kilometre. This uncontrolled urbanization violated the norms and values of heritage sites. As a consequence, in 2003, the Kathmandu valley was placed on the World Heritage danger list.

To improve the situation, Integrated Management Framework (IMF) was prepared by state party, which redefined the boundaries and buffer zones of monument zones and has promoted community involvement in their management. With the concepts of IMF documents, Kathmandu valley was removed from the danger list in 2007. But there still

remain many issues to be defined and resolved. One of them is the link between heritage property and the community due to ownership and right issues, which was mentioned in the Buyeo conference<sup>4</sup>. In the Kathmandu valley, heritage properties are commonly owned and managed by Guthi or Sangha organizations; socio-religious organizations which are not in territorial base. Hence, local community cannot support any heritage property although it is in weak condition. Another important issue which is dealt in the present research is the integrated management of buffer zones which include the surrounding spaces of the heritage property.

In 2008, Japan enacted the 'Law on the Maintenance and Improvement of Historic Landscape in a Community' (Rekishu Machitsukuri hou) that encourages making integrated plan including surrounding residential areas and open spaces of the heritage property. This act promotes the preservation of the beauty of the town as well as its historical and cultural value. Similar concept was recommended by UNESCO in 2011. The new 'UNESCO Recommendations on the Historic Urban Landscape' has been adopted as an additional tool for urban conservation and development of historic towns. It includes the historic centre and its wide territory; tangible and intangible heritage; as well as all features of the city and the landscape. Acts with these



Figure 1: View of Ilanani



concepts are also necessary in Nepal for the preservation as well as sustainable development of historic cities.

Buffer zone of Patan Durbar square monument zone is an old residential area. The ORA is formed by numerous courtyards, interconnecting each other that shaped a unique urban landscape termed as 'courtyard style settlement.' The courtyards are not always unitary quadrangles (normally found at Buddhist monastery or palaces); most of them are collectives of individual buildings. There exist 166 historic Buddhist monasteries; most of them are courtyard style structures and thousands of Buddhist monuments (Chaitya/ Dharmadhātu) in communal courtyards, which are circumambulated during urban ritual events. Courtyards are communal space for residents, worshippers and local people. Thus courtyard style settlement not only possesses cultural value but also establishes an important living heritage in ORA. For conservation and development of Patan historic town, the concept of courtyard style settlement can be a significant element. Moreover, courtyards are managed by local residents and they perform various local activities there. Hence, there is high potential that the conservation and

development of the ORA can be done with the involvement of the local community.

Due to rapid urbanization, the courtyards are being converting into commercial areas and parking spaces. In addition, migration of inhabitants to suburbs has weakened the community which makes the conservation and management of courtyards even a greater challenge. Hence, for the sustainable development and conservation of urban fabric of courtyard style settlement, focus on the management of courtyards is essential.

This paper presents the detailed case study of community involvement in the management of courtyards in Ilānani tole, which is included in the monument zone. The area has a historical norm and is in the transition stage of urbanization. The study also defines how the traditional Sangha and local authority are involved in management activities. Several tasks such as collection of relevant documents, interview with relevant officers, organization chiefs, and residents, observation of field area were conducted during field survey in 2010 and 2011.

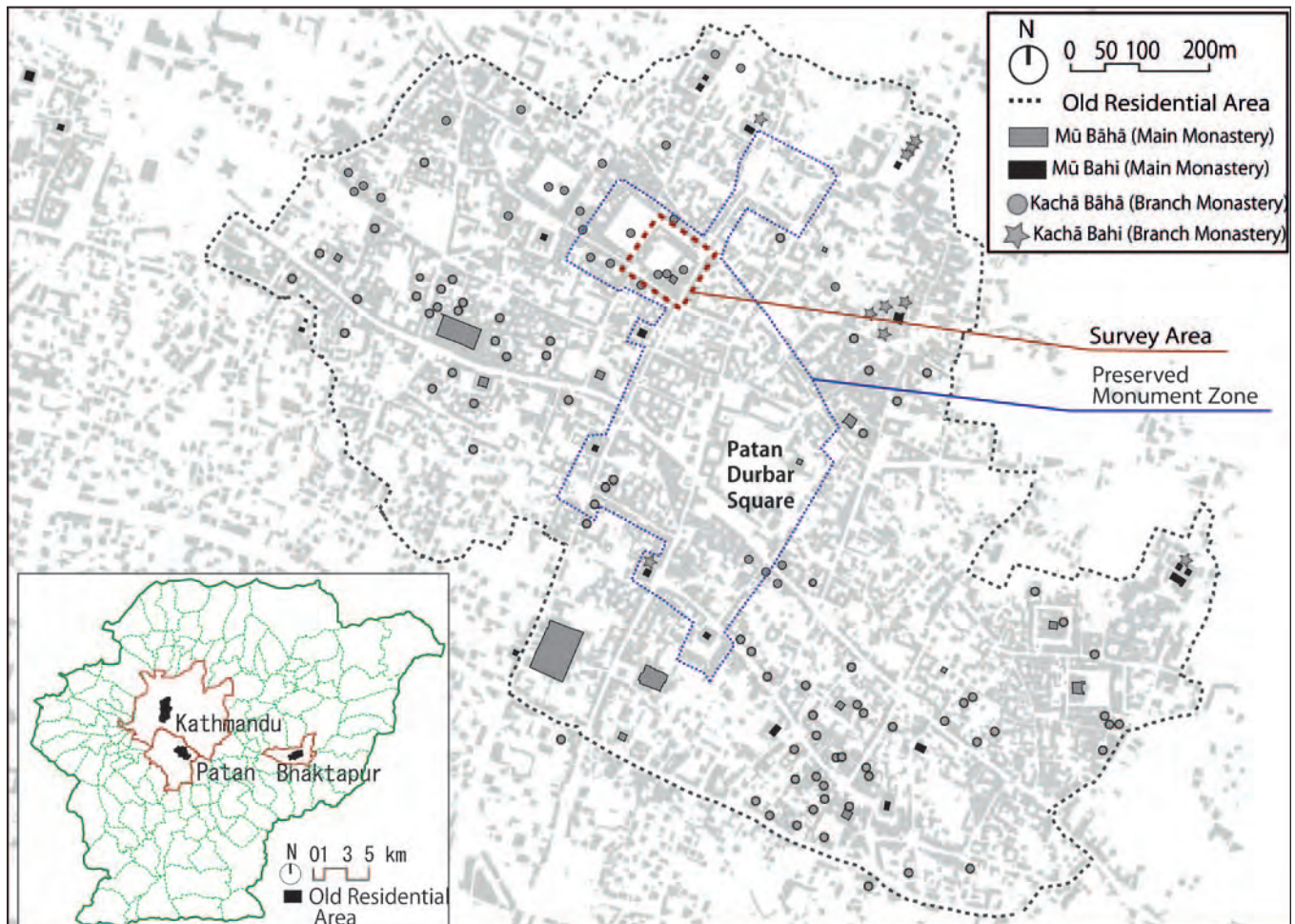


Figure 2: Distribution of Buddhist monasteries 'Bahā/Bahī' in Patan old residential area, location of monument zone of three cities



## Background of survey area

For the field survey, a block situated inside the Patan Durbar Square monument zone was selected (Fig. 2). The block is formed by three large courtyards (front courtyards) named Kwā Bāhā, Ilānani and Sasunani, which are accessible through communal tunneled alleys (Fig. 3). The access gates of the alleys to each courtyard are opened in the morning and closed in the evening. The block also has numerous small courtyards (back courtyards), which are accessible only through individual houses. However, this paper will only focus on the front courtyards.

Kwā Bāhā is a typical form of Buddhist monastery, in which the surrounding buildings and courtyards are united. Ilānani is surrounded by two different monastery buildings (Michu Bāhā and Baidhya Bāhā, branch monasteries of Kwā Bāhā), one outbuilding of Kwā Bāhā and numerous individual houses. Sasunani is surrounded by the Kwā Bāhā monastery building and individual houses. The Gandhakuti (G shrine

in Fig. 2) of another monastery (Bageshwari Bāhā, a branch monastery of Kwā Bāhā) is also located in the courtyard of Sasunani.

Kwā Bāhā is one of the most important and main monasteries of Patan, and was founded around AD 1045. It is also famous among foreigners as the 'Golden Temple' (derived from its Sanskrit name) as its roofs are covered with gold-plated copper sheets. Kwā Bāhā is always crowded, not only with regular local worshippers but also with foreign visitors and has established itself as a tourist area. Because of the popularity of Kwā Bāhā, souvenir shops are increasing day by day on nearby roads and even inside the Ilānani courtyard. Because of these characteristics, the block is selected for the field survey, to define the characteristics of communal spaces which have a historical norm as well as being in a transition stage.

## Objects placed in the courtyards

Two types of objects can be found in courtyards: one is related to religion and the other to residence. Numerous Buddhist monuments and shrines are found, not only in Kwā Bāhā, but also in Ilānani and Sasunani (Fig. 3). Although these religious objects are placed in courtyards for public worship, donors (establisher) are expected to take care of them and organize annual events, even if the donors do not live near the courtyard.

Wooden benches have been placed under the eaves of Kwā Bāhā courtyard where visitors can take rest. In Ilānani, two large spaces are taken up by parks. Two benches are placed under the trees for residents to use as a rest space. There is also a well, which is used locally by residents of Kwā Bāhā and to purify Kwāpādyo (main shrine of the monastery). Many temporary objects are also placed in the courtyards. In Ilānani these include a working space for Kwā Bāhā building maintenance, building materials (sand, bricks) owned

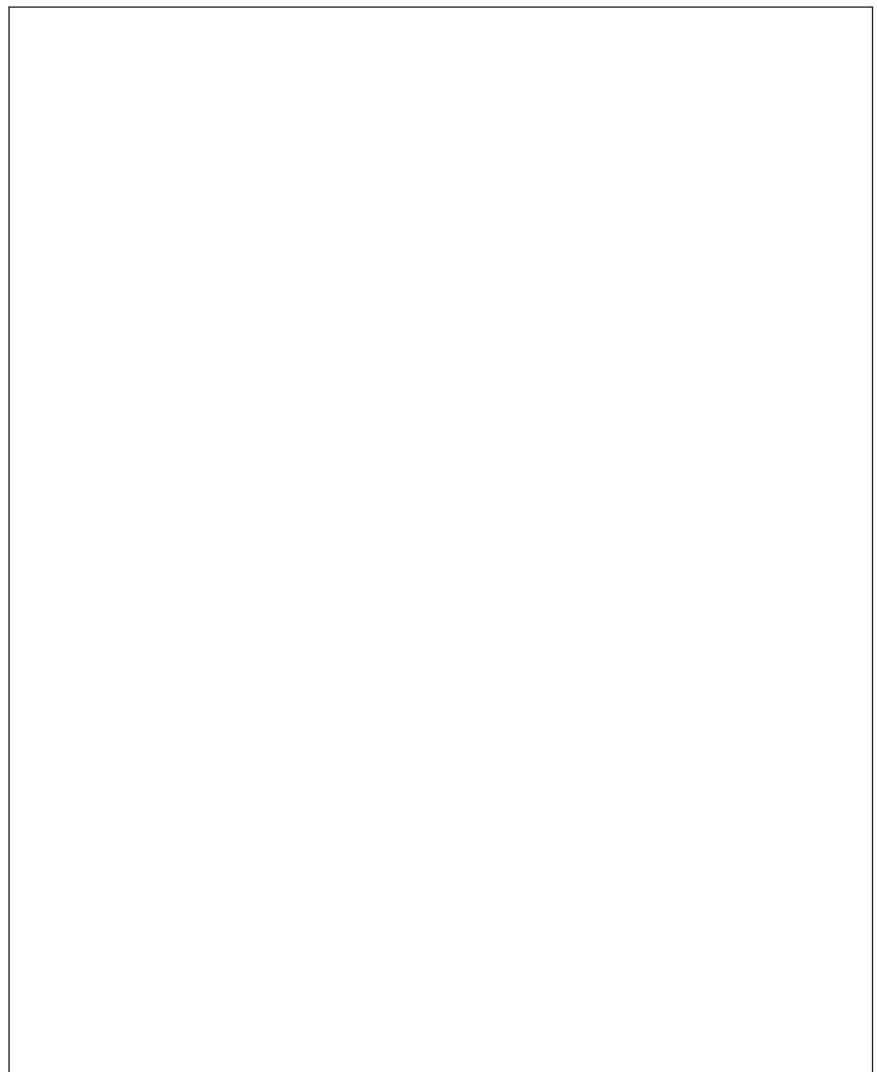


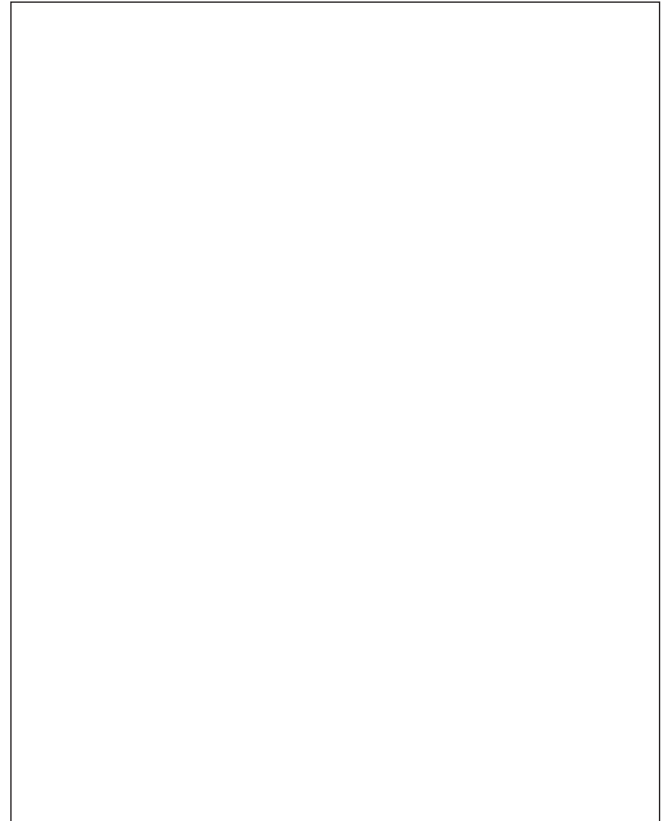
Figure 3: Plan of the field survey area



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Figure 4: View of Sasunani

by Kwā Bāhā and other residents, and parked motorcycles. In the case of Sasunani, temporary objects include parked motorcycles, flower pots, an old unused motorcycle and a



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Figure 5: Old residential area in Lalitpur city map, divided into 22 wards

water tank. Along with the parked motorcycles, other objects are placed under the eaves of individual houses in Sasunani.

## Community unit of courtyard style settlements

In the present days, Lalitpur sub-metropolitan city is divided into 22 wards constituting Nepal's smallest administrative unit. Figure 5 shows 22 wards of Lalitpur city and an area occupied by the ORA.

In ORA, there exist territorial neighborhood unit called 'Tole' which used to be administrative unit in medieval period. Before 1950, the city was divided into ten areas and they were sub-divided into 110 toles. But after 1950, the city was divided into 22 wards without indicating the boundaries of toles and hence, no official map exists that shows the boundaries of the toles.

Based on the concept that each tole contains a Ganeśa temple (a deity of the tole), Pant and Funo (2007) conducted a field survey



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Figure 6: View of Kwa Bahal



Figure 7: Resident units and the range of Ilānani Tole development committee

and illustrated the association of Ganeśa with the territory of a tole and figured out the existence of 57 toles within Lalitpur city. But due to lack of local activities within each tole, at present most of the residents are not aware of the boundary.

Besides the tole, the authors define a spatial unit composed of a group of houses in courtyards or streets based on the location of the main entrance of the houses as a 'Resident Unit.'

Moreover, there also exists a committee called 'Tole Development Committee' which promotes local activities in the particular area irrespective of the area of tole mentioned above.

With the above mentioned concept of community units, following points can be considered as community unit in survey area. Firstly, the block of survey area is located in ward no. 16. Secondly, regarding traditional tole, authors could not define the exact boundary by interview with residents. However it is assumed that the traditional tole boundary is not limited to the block. Thirdly, the survey area consists of six resident units, Ilānani residents, Sasunani residents, Dhalayechā residents, Kwālakhu residents, Nag Bāhā residents, Kutī Bāhā residents respectively (Fig.7). And fourthly, a local committee called 'Ilānani tole development committee,' which was founded in 1976 also lies within the survey area. From the interview with the leader of the committee, it was concluded that members of committee include Ilānani residents, Sasunani residents and partial residents of Dhalayecha residents and Kuwalakhu residents (Fig. 7 & Fig. 8). In this paper the members of tole committee are called 'Tole Residents (T-residents)'.

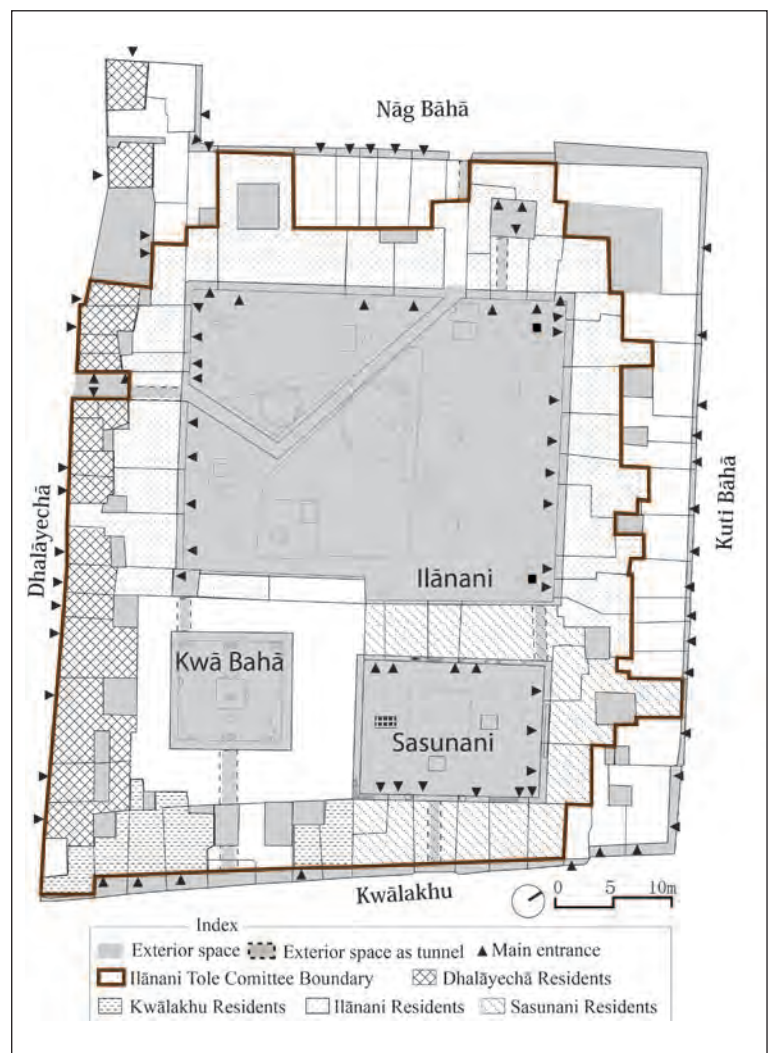


Figure 8: Members of Ilānani Tole development committee and resident units

Figure 9: Actors of management of courtyards in survey area



Figure 10: Households adhered with Sangha

Figure 11: Households receiving water supply service



## Actors of management

### *Buddhist monastery related actors*

There exist four Buddhist monasteries in the area and each has individual management organization called 'Sangha,' formed by Buddhist priest households. One of them is Kwā Bāhā Sangha, which has more than 2000 members. The other three are Michu Bāhā Sangha, Baidhya Bāhā Sangha and Bageshwari Bāhā Sangha, which are branch monasteries of the Kwā Bāhā. Fig. 9 shows the members of the Sangha are not in territorial base. None of the members of Baidhya Bāhā are tole residents. However the responsible member of the Sangha visits the monastery building everyday for the rituals. Fig.10 shows that nineteen households of Ilānani and six household of Sasunani are adhered to Kwā Bāhā Sangha. Six households of Ilānani are adhered to Michu Bāhā and three households from both courtyards are adhered to Sangha of other monasteries in ORA.

Besides Sangha, there exists Hiranya Varna Pustakālaya (library), established by Kwā Bāhā Sangha in 1968 for activities related to Buddhism. The library has been a tool for youths to get together and do volunteer works occasionally in cooperation with tole committee.

### *Resident related actors*

There are two resident related actors, Ilānani tole development committee (T-committee) and HiranyaVarna Misā Puchah (women's organization). T-committee has two sections; one of them is security section which has two groups, namely group of opening/closing of entrance door and group of emergency care. Former group is formed by Ilānani courtyard residents and Sasunani courtyard residents whereas latter group is formed by T-residents. Another section of T-committee is water supply section, which is established to distribute water of well to residents equally. Although the section is formed by T-residents, the service can be received by non-residents of tole too (Fig. 11).

Women's-organization is established in 2003 under a gender empowerment program of Community Development Section (SDC), Lalitpur municipality. The organization has 75 members, in which 35 members are not T-residents.

### *Government related actors*

Government related actors comprised of four sections of the Lalitpur municipality; Heritage Conservation Section

(HCS), Sanitation & Environment Improvement Section (SEIS), Community Development Section (CDS), and Ward Committee<sup>11</sup>.

### *Relationship between actors of management*

Fig. 12 shows the activities carried out in the courtyards and its actors. Numerous daily activities and occasional (on emergency time or festival time) activities are performed by various actors in the courtyard. Each courtyard activity can be defined by three different management activities; decision making, implementation and expense bearing.

### *Daily activities*

'Opening/closing of entrance door,' 'water supply' and 'cleaning' are the daily activities performed in the courtyard. For 'opening/closing of entrance door' activity, implementation and expense bearing are performed by a group of user residents (Ilānani residents and Sasunani residents) whereas decision-making is performed through the cooperation among user residents and security section of T- committee. For 'water supply' activity, decision-making is performed by the water supply section and T-residents whereas, implementation and expense bearing are performed by water supply section and user residents (includes Nag Bāhā residents also). For 'cleaning' activity, management activities are performed by the municipality as well as residents. Although, cleaning and garbage collection of courtyards are done by city-SEIS, the cleaning service is not good requiring the residents to help with the cleaning. Moreover, the women's organization used to participate in implementation as volunteers.

### *Occasional activities*

For 'emergency care' activity, group of Security section and T-residents perform decision-making, implementation and expense bearing together. Emergency refers to theft, disputes between residents and disaster etc. For 'repair/ building facilities' activity, T-committee is performs all management activities whereas city-HCS participates in decision-making and expense bearing. As mentioned in previous section, many religious monuments are placed in the courtyard. Thus activity of 'construction/ removal of monuments' rarely occurs. In this case, T-committee and related Sangha

of Donor (establisher) perform decision-making whereas implementation and expense bearing is performed by Donor.

Many rituals/ festivals are performed in the courtyards. Usual rituals/ festivals and 'preparation/clean up' activities are performed by residents themselves; although women's organization also participates in implementation. Some

important urban rituals (such as Matayā, Ganeśa puja, Basundharā puja etc.) are celebrated by circumambulating religious monuments in the ORA and are organized by different local communities of the ORA each year. Ilānani area is involved as organizer in Matayā and ilhane samyka (once in four years) collaborating with neighbor Nag bāhā

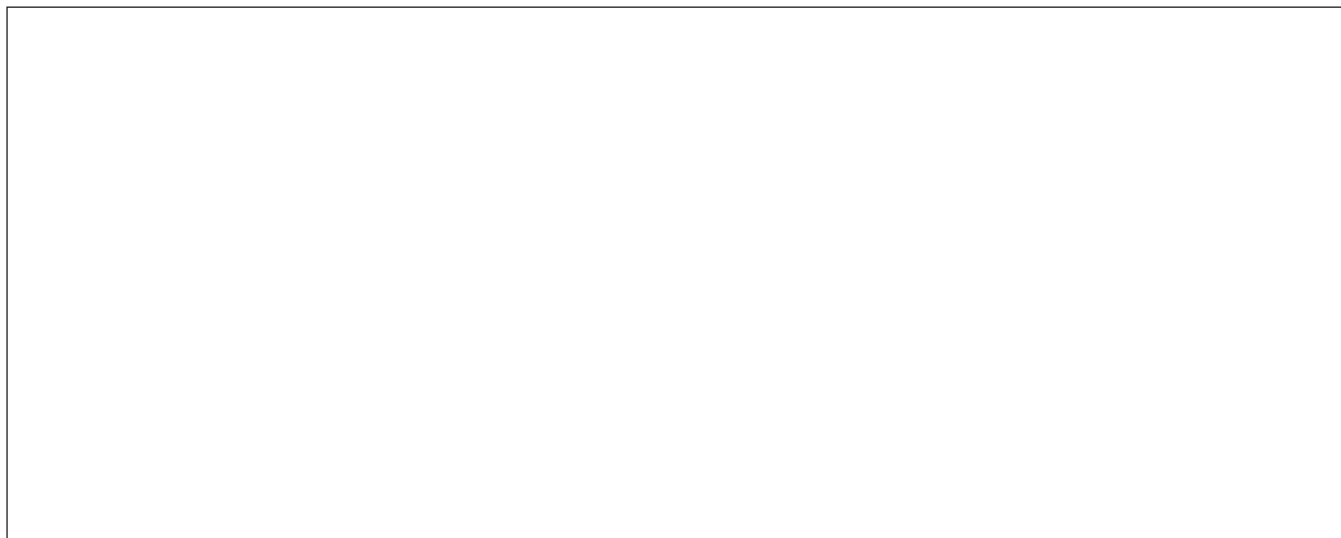


Fig. 12. *Activities in courtyards and its actors.*

community. During these festivals, management activities are performed by mainly T-committee and T-residents, however women's organization and youth organization volunteer.

Every religious monument has various rituals which is performed occupying courtyard space. For these rituals, management activities are performed by related Sangha

whereas T-committee participates in decision-making. Moreover, courtyards are used for social gatherings (like reception of wedding ceremony, anniversary programs of organizations etc.), which are rented or free of charge. For activity of 'using for event venue,' T-committee performs decision-making whereas event organizer performs implementation and expense bearing.

## Conclusion

In this paper, community involvement in management of courtyard is figured out. In the survey area, there exist the smallest administrative unit (ward) and traditional neighborhood unit, tole. From this study, a community unit termed as Resident Unit is discovered within the tole. Due to difficulties in demarcating the boundary of the traditional neighborhood unit, tole, tole development committee members are referred as the tole-residents in this study. For analysis, actors of management are classified in three types, namely monastery related, resident related and government related. Moreover, management activities are divided into three types, which are decision-making, implementation and expense bearing. From the analysis, following points can be figured out.

### 1) Diversified actors' participation in management

There exist various organizations such as women's organization, religious organization whose members are not limited to tole residents. In addition, many residents hold the membership of some or all of these organizations but play different roles in different organizations. Women's organizations were recently established whereas religious organizations have a long history.

### 2) Flexibility in management system

In the survey area, while conducting management activities, the residents are not forced to be involved



rather the residents participated willingly. Water supply/distribution in the community and opening and closing of the entrance doors in the courtyards are examples. Depending on the characteristics of activities, such kind of flexibility in management system can be observed. Hence, it can be expected that the interested actors within the existing actors can adopt new activities that can address the need of present days' issues such as disaster mitigation drills.

### 3) Existence of lead organization for management

Tole development committee is the lead organization for management activities in the survey area. However, daily activities are mainly performed by main user

residents (Ilānani residents and Sasunani residents). The committee plays a role of a facilitator to work for community development in cooperation with the government sector, religious organization and external event organizers. Hence, from this case study, it can be learnt that, to start or improve community involvement in management of a particular area, it must be insured that the lead organization can deal with residents, government and other organizations.

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# Mainstreaming local communities input for the incentives programme: Lessons learned from the historic villages of Hahoe and Yangdong in South Korea

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## Short biodata

Indera Syahrul Mat Radzuan is a PhD candidate at the Faculty of Built Environment, University of Malaya. He is carrying out his PhD research entitled ‘Cultural Heritage Incentives for the Sustainable Communities in Traditional Settlements: The Cases of Malaysia, Japan and South Korea.’ During his PhD studies, he was an exchange researcher at Waseda University, Japan and University of Seoul, South Korea. He has been awarded the Japan Foundation’s fellowship to conduct his research works in Japan. He is also actively involved in conducting numerous research activities on urban conservation, cultural heritage, sustainable communities, housing quality and waste management.

## Abstract

It has been globally recognized that conservation policies should respect the voice of the local communities in public policy decision-making and include them in conservation programs. In South Korea, there are numerous heritage incentive programs which have been developed by authorities to preserve their tangible and intangible heritage properties. For decision making to be inclusive and equitable, it must recognize the diversities and differences of a community’s aspirations. This consequently brings up the issue of empowering local input in decision making – the most challenging part in designing conservation policy in line with local community needs. This study employs mixed method approaches by using the questionnaire survey to residents and qualitative instruments namely in-depth interviews, involving officials and selected local leaders at the Hahoe Village in Andong and Yangdong Village in Gyeongju. This paper reveals several issues on conservation planning; most notably, incompatibility of local communities input with program outcomes. In designing applicable conservation incentive policy, this paper discloses that the implementation of the program appeared to gain heritage tourism advantages rather than to cater the local community needs.



## Introduction

It has been globally recognized that conservation policies should respect the voice of local communities in the making of public policy and this includes conservation programs. In South Korea, there are numerous heritage incentives program which have been executed by authorities to preserve their tangible and intangible heritage properties. In many part of the world, initiatives to promote cultural heritage preservation has faced tremendous challenges especially to engage the living people in the multiple decisions about how to protect cultural heritage, addressing the stigma surrounding the local values and culture, coping with the lack of local communities input in many settings, and recommending strategies for the sustainable living in the World Heritage Site (WHS). Despite these challenges, an increasing number of such initiatives are being put into place

not only because of its outstanding universal values, but also because there is growing evidence that these initiatives may have substantial positive impact to demographic and socio-economic effects (Wood et al., 2000).

This paper offers lessons learned from mainstreaming local communities input for the incentives program held in the Korean historic villages – the Hahoe and Yangdong. These lessons can guide appropriate and effective community involvement in the incentives policy mechanisms for the conservation of tangible and intangible heritage in WHS. This in turn brings up the issue of empowering local input in decision making – the most challenging part in designing conservation policy in line with local community needs.



Figure 1: View of Yangdong Village

## Mainstreaming community's input

There exists today considerable interest in the idea of mainstreaming local community's input and the term covers a diverse range of areas including public health, environmental issues, town planning and gradually moving into the area of heritage and arts sectors (Reddel and Woolcock 2004, Cuthill and Fein 2005, Lane 2007). Terms such as community's 'input,' 'engagement,' 'involvement,' and 'participation' are often used to refer the concept of empowering communities in the policy formulation. Common to this work, 'community input' therefore, will be used interchangeably for this study with other similar terms to carry the similar meanings of community engagement movement.

Moreover, in order for decision making to be inclusive and equitable, it must recognize the diversities and differences of the communities' aspiration. According to Leonard et al. (2001), understanding social phenomena from the perspective of people engaged-in will provide 'knowledge about how policy works, how it affects people, and how it can be changed or improved.' Lawson and Kearns (2010) added that by involving local people in decision-making process, they should be empowered by feeling that they have had some influence on the outcomes. In this regard, community empowerment also has a wider meaning to the extent to which it gives local residents the opportunity to develop skills and networks that they need to address social inclusion (Burton, 2004), it can boost the status of a community organizations (Taylor et al., 2007), lead to the revitalization of a community (Waddington, 2003), and the new strategy to increased 'responsibility' of communities using the participatory approach; see Dinham (2005), Flint (2003), Barnes, Newman, Knops, and Sullivan (2003).

A participatory approach uses public participation as a process of consulting communities in policy making. In the context of cultural heritage conservation, public participation is an essential element in which public can express their views through various methods such as public hearing, survey, informal meeting and so on. One important issue in public participation is how meaningful the public participation is. In 1969, Arnstein developed the concept of the ladder of citizenship participation. In Arnstein's view, participation begins with relatively non-participatory situations in which planners sought to manipulate public view in a paternalistic way as 'therapy' for the public, through relatively tokenistic stages of 'informing,' 'consultation' and 'placation' to situations in which the public gained real power through 'partnership,' 'delegated power' and 'citizen control.'

Wheeler (2004) added that the participatory approach can help to develop policies that are responsive to public needs.

In a similar view, according to DETR (2001), community engagement is a planned process with the specific purpose of working with identified groups of people, whether connected by geographic location, special interest, or affiliation or identity to address issues affecting their well-being. The linking of the term 'community' to 'engagement' serves to broaden the scope, shifting the focus from the individual to the collective, with the associated implications for inclusiveness to ensure consideration is made of the diversity that exist within any community. Cavaye (2001) extended this definition as specifically relating to the role of government, noting that community engagement '...is the mutual communication and deliberation that occurs between government and citizens.'

Furthermore, other scholars stressed that community engagement helps because communities 'provide a contrasting perspective to the view of professionals and political elites' (Burton, 2003), and their definitions of needs, problems and solutions are different to those of planners (Burns and Taylor, 2000). One good practice guide puts it residents are 'a vital source of information about local areas' and 'a valuable source of ideas about how to make improvements' (Lister et al., 2007).

Conversely, the assumption that community involvement in policy making is wholly positive, has been questioned. As Gardner (2007) argues, involving people in decision-making can make service delivery agencies more responsive to local needs and circumstances, and build capability, but involvement has only brought limited improvements in the socio-economic circumstances of local communities. Community involvement may have limited impact because initiatives are often short-lived, local views can be parochial, and deprivation is rooted in economic structures. Moreover, he asserts that communities themselves may want leadership rather than to be leaders. Some analyses by noted scholars have attempted to claim that negative aspects of participation; for instance, heightening of political conflict (Grant, 1994), few people taking opportunities for participation (Day, 1997), or citizens not being qualified to make a meaningful contribution to policy (Kweit and Kweit, 1990). In this article, we examine the current heritage incentives programs for both case study and whether or not the communities inputs were given adequate recognition in the decision-making process.



## Methodology

In order to fully capture the dynamics of community engagement, we combined qualitative research and quantitative data analysis. We focus specifically on the questionnaire survey to village residents and in-depth interviews, involving officials, groups of specialist and cultural reference groups. Stratified sampling was used in the questionnaire survey to classify the specific residents, based on the residents who received heritage incentives from the authorities. The survey data were collected from November to December 2012, with questionnaires written in Korean. Most questions were a combination of multiple choice questions, followed by open-ended queries. Selection of respondents was based on the following criteria: (i) residents who received heritage incentives from the authorities, (ii) residing permanently at the settlements. Survey questionnaires were held with 54 households, including 24 from Hahoe and 30 from Yangdong Village (Table 1). In this regard, face-to-

face interviews and mail distribution survey techniques were conducted. To attain a holistic view, 12 formal interviews were carried out with the officials of Cultural Heritage Administration, Andong City Hall and Gyeongju City Hall. The researcher also undertook on-site interview with groups of specialists (including academicians and curators), cultural reference groups (including community leaders, heritage managers, cultural groups, private sector and NGOs).

Table 1: Demographic profile of Hahoe and Yangdong

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## Case study

Hahoe Village is a valuable part of Korean culture because it preserves Joseon period-style architecture, folk traditions, valuable books, and old tradition of clan-based villages. The village is located in Andong, Gyeongsangbuk-do (Figure 1). To the north of the village are the Buyongdae Cliffs, while Mount Namsan lies to the south. The village is organized around the geomantic guidelines of Pungsu, so the village has the shape of a lotus flower or two interlocking comma shapes.

Yangdong Village is one of Korea's best existing examples of a banchon, a village where Korea's yangban (scholar elites) gathered to live in the aristocratic lifestyle. Its history goes back almost to the very beginning of the Joseon kingdom. In the mid-15th century, a village emerged composed of clan members and their countless servants. Such villages were quite common in the Joseon era, and Yangdong was one of the largest communities. Throughout its 500 year history, the village has produced a number of notable officials and scholars. Both villages were listed under the inscriptions of UNESCO World Heritage site in 2010 (Figure 2).

## Current incentives policy

Incentives of any type are generally required, because incentives often improve and enhance cultural heritage policy outcomes. In order to ensure the sustainability of the

protection of cultural heritage properties in South Korea, financial resources are among the vital components of the



Figure 1: Diagrammatic map of the study areas

whole conservation system. The main resources of financial support are the national and local government budgets, while



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Figure 2: A panoramic view of Haboe Village (up) and Yangdong Village (down)

the Cultural Heritage Administration and the Ministry of Public Administration and Security will act as administrator (Cultural Heritage Administration, 2011). General subsidies are allocated by the ministry to Local Government, while the Cultural Heritage Administration distributes state subsidies with the supporting contribution of 30% to 70% of the allocation portion to the state-designated cultural heritage. Local governments bear another 30% to 50% of the subsidies cost to the State-designated cultural heritage, while allotting subsidies to the local-designated cultural heritage (Figure 3).

sites in South Korea, can be divided into five types. These are public subsidies, loans, tax relief, planning incentives and fire prevention systems (Table 2).

The data obtained from the Andong City Hall (2013) show that the total value of support for Hahoe Village was in the form of monetary support. In 2008, the total value of support was US\$ 3,819 million, which decreased to US\$ 3,065 million in 2009 to the lowest in 2010 with the total allocation of US\$ 2,325 million. However, the total value of support shows a significant increase for the year 2011 and 2012 with the total value of US\$ 3,577 million and US\$ 2,848 million respectively (Table 3). Funding in this account also support direct grant to qualify individuals or organizations particularly in support of cultural heritage conservation, village facilities and infrastructure, visitor amenities as well as tourist facilities.

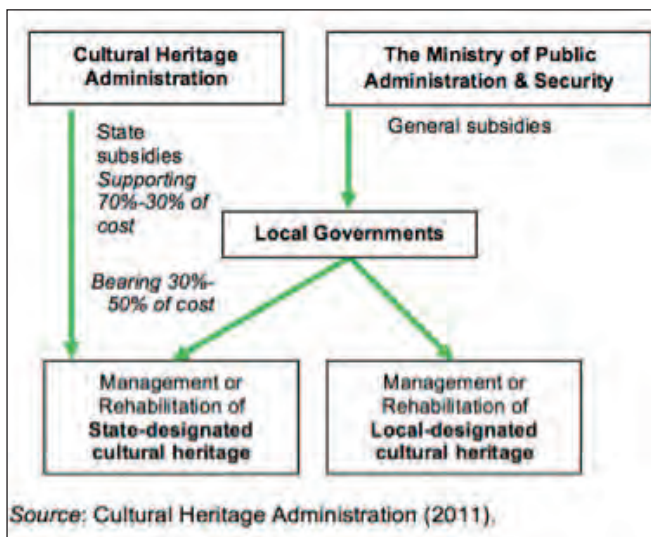


Figure 3: Flow of cultural heritage financial resources

Over the last few years, the current incentives policy has assisted local communities in developing and maintaining a positive attitude towards cultural heritage conservation, through the provision of the financial and non-financial incentives mechanism. The heritage incentives system, which promotes the preservation of historic property and

Table 2: Types of Heritage Incentives System in South Korea

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For the last five years, the Gyeongju City Hall has offered financial incentives in the form of preservation aids to the



owners of the historic property. In this respect, owners are given a specific amount of aid based on their financial needs to accomplish preservation and repair work for their designated property. Table 3 shows, the breakdown of the total value of preservation aids allocated for the Yangdong Village. The data show that allocations follow a fluctuating trend, with no allocation in year 2008 to US\$ 5,069 million in 2009, and rose to US\$ 7,675 million in 2010. Although in 2011 the value of support decreased to US\$ 4,326 million, but in 2012 the value increased to US\$ 5,246 million. It can be said that the financial aid has had a significant impact on the overall physical features of the historic villages, especially in preserving deteriorated houses.

## Community engagement in the policy process

This paper acknowledges that there are abundant studies looking at the community engagement in the policy process available in Korean language; see Kim (2000), Joo (2001) and Kang (2008). There are only few articles that provide good insights into the community engagement in the policy process in South Korea. These insights can be seen in recent articles written by Kim (2011), Kang (2008) and Kim & Lee (2012). Their insight have facilitated better understanding on how community engagement takes place in South Korean civil society in various policy arena. According to Kim (2011), several laws for open government and review processes have been adopted in South Korea for the last 20 years. Their immediate objective is to uphold citizens' rights to know and encourage communities' participation in policy and administrative affairs, ideally leading to increased justice, transparency, confidence in government, and government effectiveness (Im, 2001). According to Kang (2008), community engagement is divided into several stages in the policy process, as depicted in Table 4.

## Results and discussion

The findings of this paper are drawn from the questionnaires survey carried out with residents' of Hahoe and Yangdong Village. Based on the survey, a total of 24 questionnaires were returned in Hahoe and 30 questionnaires in Yangdong (Table 5). The gender breakdown of respondents was 67% male and 33% female in Hahoe, and 33% male and 67% female in Yangdong Village. The most represented age group in Yangdong village was 51-60 years (50%) and 61-70

Table 3: Total value of support for Hahoe Village repair and preservation aids for Yangdong Village from 2008 to 2012

Table 4: Community engagement in provincial level policy processes

Table 5: Respondents' social profiles

years in Hahoe (42%). For both villages, approximately 21% and 17% of the respondents in Hahoe and Yangdong were above 70 years, respectively.

In this study, the perception experiments were carried out with the respondents to gauge their perceptions towards cultural heritage conservation program. By using the three-point Likert scale, respondents were asked to assess four assessment criteria namely the tangible heritage, intangible heritage, heritage incentives program and the distribution of the incentives that have been applied to the sites and the advantageous parties. Table 6 shows the findings of the study in relations to mean and standard deviations of assess criteria. For those criteria, the data reveals that for both study areas generally, the mean score of intangible heritage, heritage incentives program and distribution of the incentives are lower than tangible heritage criteria (Hahoe,  $M=2.33$ ) and (Yangdong,  $M=2.27$ ). These findings imply that the tangible heritage magnitude is more frequent than others criteria. Moreover, the standard deviations show that there are relatively small deviations (differences) between respondents (residents) in terms of their perception in each level and study areas.

Indeed, this evidence can be supported by the view of the Hahoe Village leader concerned about the future of their performing arts: “That’s really true that the conservation activities are very successful in this village. However, one thing that concerns us most is the involvement of outsider dancers in performing the dance. I’m a bit worried on the future of the ‘mask dance.’ Why doesn’t the authority choose us to perform something that belongs to us rather than to the outsiders?”(Personal communication, December 5, 2012). One respondent felt that residents need skills and knowledge to inherit their cultural heritage value with the fact that: “Government should provide us sufficient financial aids to preserve our cultural heritage and provide in-house training (crafts making, music, folk performing art and festivals). It should be supported by the administration and should be provided accordingly based on our need” (Personal communication, December 6, 2012). One respondent in Yangdong Village pointed out, “It was hard to get funds from the government. We had to go through a lengthy process. Usually the government neither follows what people want nor executed what they promised us” (Personal communication, December 19, 2012).

Table 6: Respondents’ perception on the cultural heritage conservation program

The second analysis for this paper focuses on the respondents’ perception on the level of community engagement based on the community engagement principle developed by Brown and Isaacs (1994) – the six ‘C’s of successful community engagement. Analysis of mean are used to interpret the evidence of the program’s success according to six filters to measure the quality of the programs. The six Cs includes program (i) capability, (ii) commitment, (iii) contribution, (iv) continuity, (v) collaboration, and (vi) conscience. By using the five-point Likert scale, respondents were asked whether they agreed or disagreed with the statements pertaining to the level of success for the community engagement indicators. The results of the analysis are shown in Table 7. From the investigation, in Hahoe the highest mean score was recorded for; capability ( $M=3.83$ ) followed by contribution ( $M = 3.62$ ), commitment ( $M = 3.58$ ), conscience ( $M = 3.21$ ), collaboration ( $M=3.04$ ) and continuity ( $M = 2.83$ ).

In the case of Yangdong, the highest mean score recorded for; commitment ( $M = 3.37$ ) followed by capability ( $M = 3.27$ ), contribution and conscience (both  $M = 2.3$ ), collaboration ( $M = 2.97$ ), and lastly continuity ( $M = 2.83$ ). From the analysis, it shows that the variances of the two groups (Hahoe and Yangdong) are not the same, with the biggest mean score distributed mainly in the residents’ perception in Hahoe Village. In other words, evaluation from the residents’ in Hahoe with regards to their community engagement practice was more capable as compared to Yangdong.

Although the descriptive findings showed positive perception of respondents in Hahoe, one respondent in the village argued, however, people also have critical views on conversation planning in the study areas which eventually points out on the issue of community engagement as illustrated in this statement, “In many cases, government ignored some of our suggestions during the public hearing. They don’t consider our request, while they are so





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Figure 4: Typical Korean tiled-roof house at Hahoe Village, Andong.

considerate on expert and professional opinions” (Personal communication, December 5, 2012). This view was supported by the curator in Hahoe who added that, “We need experts to help us preserve our intangible heritage such as folk dance and music” (Personal communication, December 4, 2012). In Yangdong Village, one respondent stated that, “People are becoming more individualistic and looking for profit. I do believe that empowering the local community is essential” (Personal communication, December 19, 2012).

Table 7: Respondents’ perception on the community

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Furthermore, in Yangdong Village, one respondent expressed that, “When I was young, this village was very calm with traditional Joseon cultural landscape. Unfortunately, this village has changed dramatically after the UNESCO inscription. Since then, this village became a tourist spot; it has caused inconvenience for our daily life” (Personal communication, December 19, 2012). Another respondent complained that, “It is of inconvenience to us when tourists are making noises while walking around and taking pictures of our property. Some of them try to pluck our herbs like ginseng” (Personal communication, December 18, 2012). Despite these negative views, there was a reversal opinion from the resident involved in tourism business, which perceived that, “It was such a pleasure for this village to become a World Heritage Site. I have benefited a lot from this inscription, especially when people around the world visited and stayed. I ran a restaurant and homestay, so I think this was good for my business” (Personal communication, December 19, 2012).

## Conclusion

This paper reveals that community engagement in both study areas generally are in the state of compatible or acceptable, at least from the general respondents view. However, there are some fractions in the community that hold critical view on this aspect, in particular on the designing of the conservation program. The fact that local people's views were taken for granted and the program failed to fully engage local community in the program design eventually lead us to the big question: How long will the program in the study areas be sustained? Definitely, this remark merits attention from policy makers in both study areas as there are abundant empirical evidence, which suggest that the sustainability of

the conservation programs requires local community as a close partner in the program.

In designing applicable conservation incentive policy, this paper indicates that the implementation of the program appeared to accomplish the heritage tourism advantage rather than cater to the local community needs. With the lessons learned from the empirical evidence of the above issues, there is a need to rethink the importance of mainstreaming the local community input in the decision-making process. In achieving these goals, all stakeholders should work hand in hand to promote a 'win-win scenario' for better and meaningful living.

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# Cultural interpretations of Dong villages: Activities of local community

Xiaomei Zhao

## Short biodata

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## Abstract

Dong is one of the fifty-six cultural groups in China, whose culture remains vibrant, in terms of its agricultural production, daily life, social structures, spiritual beliefs, crafts, management of natural resources, as well as buildings and spatial uses. All these could be considered as elements of Dong culture, to which the community's activities in the public spaces are good interpretations. This research focuses on several Dong villages around Zhaoxing settlement in Guizhou Province, where Dong people are linked mainly by consanguinity. A social organization is set up according to their relations. The leaders who are selected by the villagers establish 'local laws' to deal with daily affairs, and organize public activities. Based on the long-time fieldwork in the Dong villages, this research discusses the cultural interpretation of the community's activities, which could be considered as a good way of community involvement. It includes the management of the villages and ensures authenticity of the site.



# Public activities as community involvement

Community involvement is vital in heritage conservation all over the world, especially in the living heritage sites where the community lives or has regular events. The community in the living heritage, as we have defined, is someone who has close and special relation(s) with the site. The community and their performances give the site a vibrant atmosphere, keep the function of the heritage and thus make it a living heritage. The community is identified as an indispensable factor of the living heritage in this sense.

The question arises; is it necessary to have community involvement as they have already been part of the heritage. Is it an antilogy? We could seek explanations from the

definition of heritage by Authorized Heritage Discourse (AHD). The community may not take the site as heritage, but only the place where they live or the property that they have. The inscription of heritage may remind the community of the significance of the site so that they could ‘protect’ it according to our principles.

The community may have weaker relations with the site. For example, many people leave the site, or events no longer take place there. The definition of heritage might be a positive motive to revive the site. Also, when experts as well as other people show concern, this external drive promotes the inner awareness and actions. The community would return to the

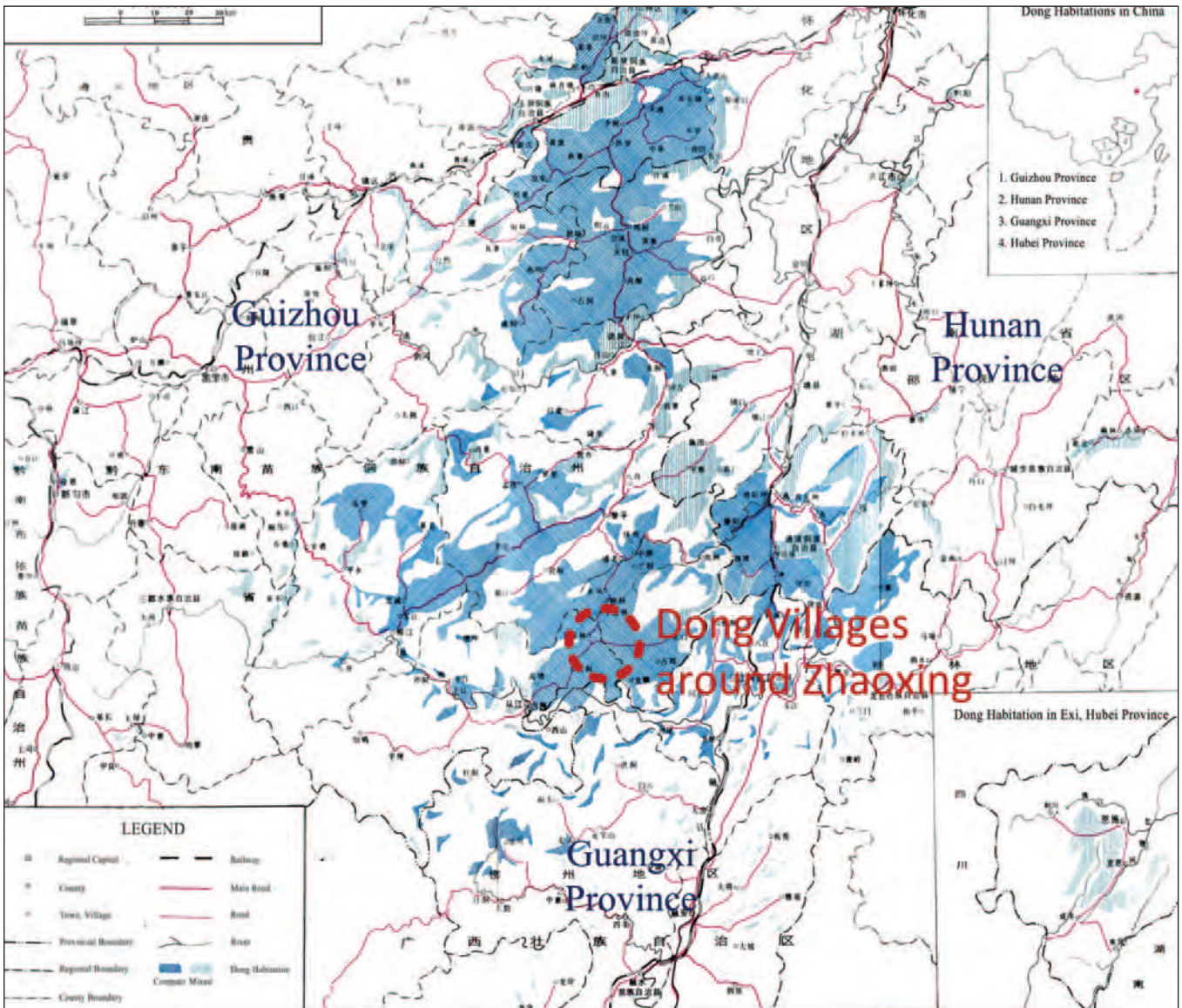


Figure 1: The situation of Dong villages in this research



site and continue with their activities. The inscription of the heritage gives a chance to involve the community back into the site.

Another question arises, how exactly does the community get involved? The basic involvement is to have the community's activities on site, which leads to further involvement of re-establishing their relations with the site and even managing the site on their own. It's almost impossible to keep their life and activities completely the same as in the past. However,

their activities are still good interpretations to the cultural significance of the site, as long as they continue using the site and keep their identity with the heritage from which outsiders can understand their culture more easily and clearly.

In this research, I will discuss about the Dong villages as a living heritage site and the local people's activities, through which they interpret the Dong culture and manage their villages quite well in their own way.

## Dong villages in China and their social organization

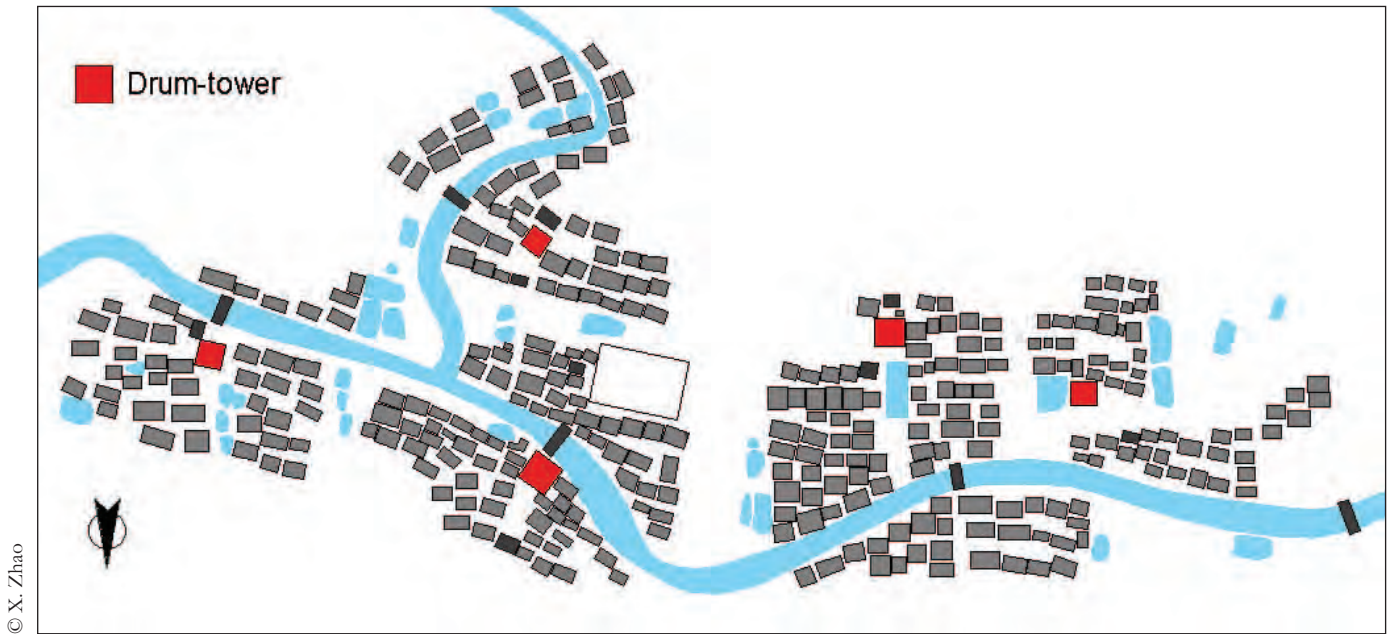
Dong is one of the fifty-six cultural groups in China, who live mainly in the junction area of Guizhou, Hunan and Guangxi Provinces. Dong habitation is divided into the northern and southern parts geographically and culturally,

the latter of which keeps Dong traditions better than the former. Zhaoxing is a Dong settlement, situated in the center of southern Dong habitation (Figure 1), which is focused in this research, together with a few other villages around it.



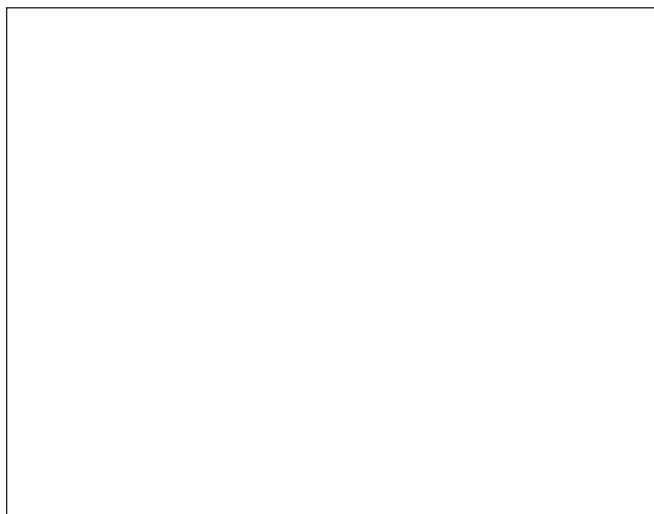
Figure 2: Dong village of Dali.





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Figure 3: The layout of Zhaoxing in its early period of development.

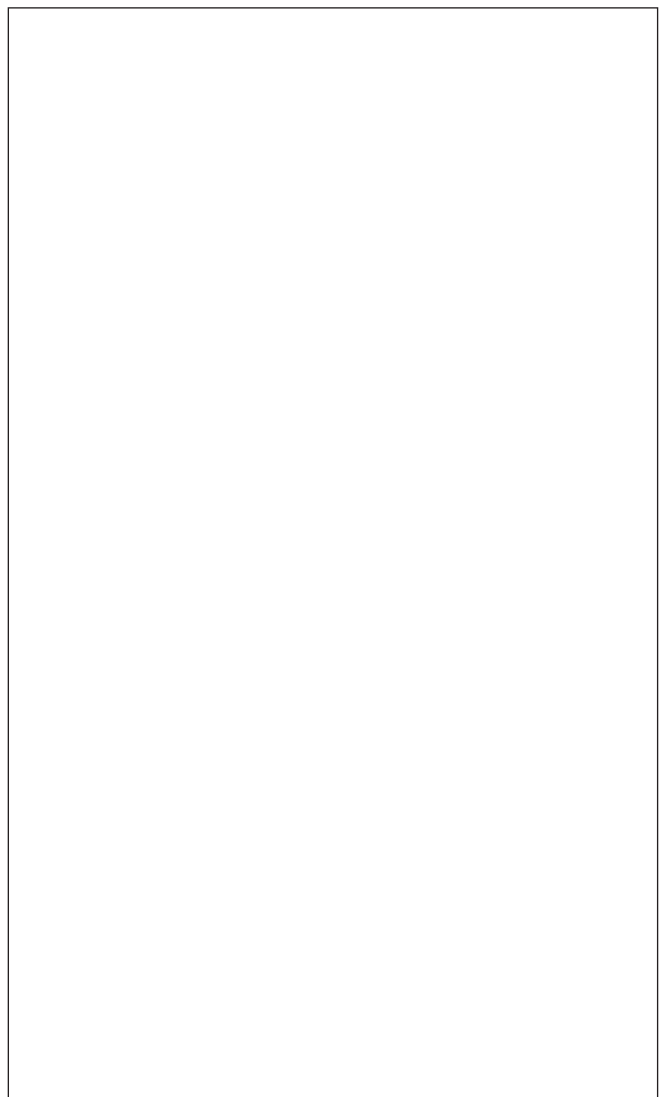


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Figure 4: The consanguineous social structure in Dong villages.

There is a drum-tower in each natural village, located in the center of the village and surrounded by other buildings (Figure 2). It functions as the most important public space for the villagers and is also the symbol of the village. There may be several drum-towers in a settlement, which means the settlement consists of several natural villages. For instance, Zhaoxing has five drum-towers (Figure 3), which means there are five natural villages in this big settlement. The drum-tower is also a basic and active social unit of Dong villages. In most cases, the villagers of the same drum-tower have close consanguineous relations.

There are several levels of consanguineous social organizations beneath the drum-tower (Figure 4) and this social structure connects every family in the village with each



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Figure 5: The social relations in the development of Dong villages.

other. The leaders of the drum-tower are male elders elected by the villagers every three years. They are in charge of daily issues and important events for the village, including taking care of the public property, organizing rituals and resolving disputes.

There are also connections between drum-towers, as the population may originate from the same ancestor, share the same Sa alter (the shrine of their female ancestor) and celebrate the festivals together. At the same time, the

geographic alliance is set up within a certain region. The regional alliance, named Kuant, whose original function was military alliance and to defend from their common external enemy, now still works as connections between villages for entertainment. People from different drum-towers together take part in some ceremonies and games like singing, music, drama and fighting their bulls. Both the consanguineous and geographic relations could be seen from the developing process of the Dong villages (Figure 5).

## Activities of local community in Dong villages

There are different kinds of public activities in the Dong villages, most of which take place in public spaces, for example, in and around the drum-tower, by the pools and wells, in the streets and the roofed bridge. According to the purposes of these activities, they could be classified into communication, relaxing, entertainment, family events and village events (Table 1).

As the central public space with a stage near it, the drum-tower holds all kinds of activities (Figure 6). The original function of drum-tower was gathering villagers, and the drum on the upper floor was used to warn them of the arrival of enemies. The space in and around the drum-tower is currently used for meetings, gathering and communication. It is still the place where leaders of the drum-tower (as a social unit) announce important decisions to the villagers and where they have daily communications. All kinds of information are posted on the drum-tower, such as the

Types	Activities	Public Spaces
<b>Communication</b>	Meetings, chatting	Drum-tower and other public spaces
<b>Relaxing</b>	Cooling in summer, toasting in winter, playing local chess	Drum-tower and roofed bridge
<b>Entertainment</b>	Singing, playing music, Dong drama	Drum-tower, roofed bridge and drama stage
<b>Family events</b>	Wedding, funeral, baby's first-month celebration	Drum-tower and streets
<b>Village events</b>	Festival celebration, sacrifice to ancestors, village dinner, games and matches	Drum-tower, Sa alter, certain playground

Table 1 Framework of community's activities in Dong villages

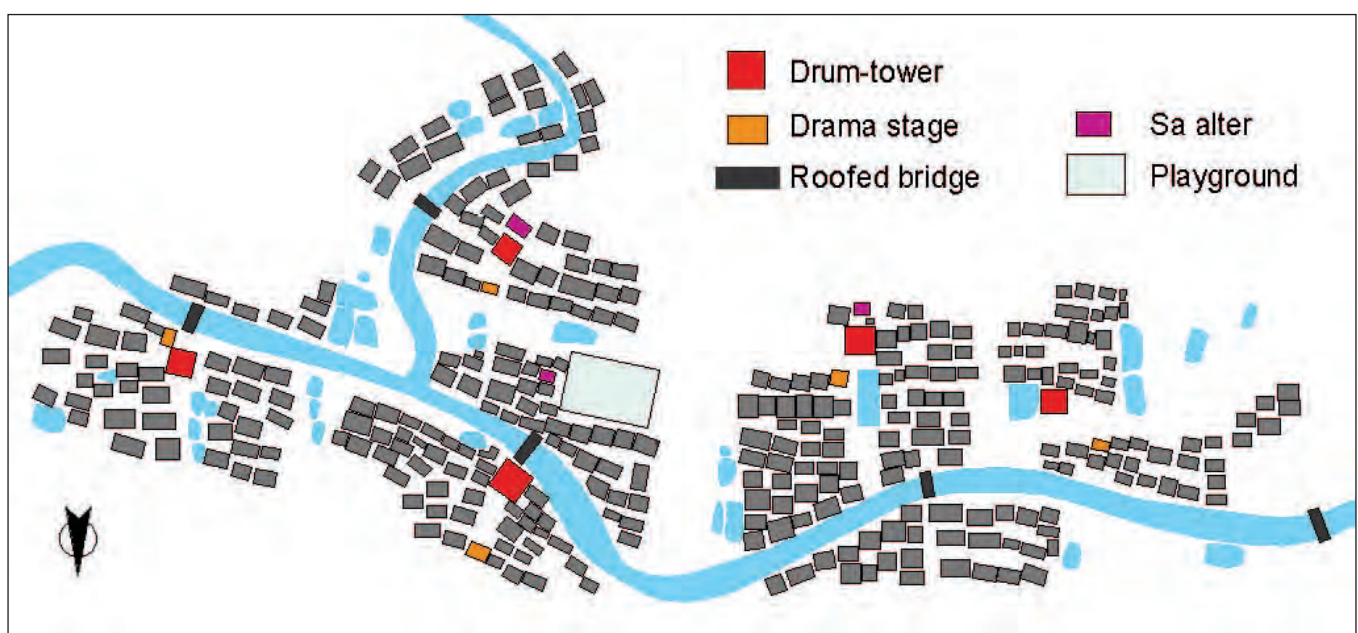


Figure 6: The public spaces in Zhaoxing in its early period of development.





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Figure 7: The villagers in Zhaoxing watching drama on stage in and around the drum-tower and the roofed bridge (2010).



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Figure 8: Dinner during a funeral around a drum-tower in Zhaoxing (2011).





Figure 9: The villagers sing and dance to amuse the spirit of their female ancestor in Shage settlement (2010).

current Dong calendar, rules to take care of the drum-tower, schedule of festival celebration and invitation from other villages.

The drum-tower is the most popular place for villagers to relax and amuse themselves. The elders sit, smoke and chat, while the children play games. It is where young girls and boys gather in the evenings to learn singing and playing instruments, which give them a chance to know each other as the first step to marriage. These activities might move to the roofed bridge in the summer. The bridge is built over the river or where it is needed according to the principles of Fengshui. It could also function as auditoria for drama when it is built close to the drum-tower and the stage, as in the case shown in one village of Zhaoxing (Figure 7).

The family events are constituted with the Red and White occasions, of which weddings and baby's first month celebration belong to the former, while funerals belong to the latter. Friends and relatives of the host family come and celebrate the occasions, and exchange rice and meat as presents. A person from the host family keeps a record of the presents gifted by other families so that similar presents can be gifted to those families when they host occasions. Guests enjoy the dinner offered by the host family and leave

with some presents from the host family (Figure 8). Rice is an important present on these occasions, which explains why they need to produce more quantity than the family actually consumes. Money has become a substitute in some villages where farming is less. The host family shows their presents to the village from the drum-tower. A new baby becomes a member of the village when he/ she is one month old; while a funeral means the dead person is eliminated from the member list.

The village festivals follow diverse ceremonies according to Dong traditions. Whatever the festival, the spirit of their female ancestor in the Sa alter is informed and prayed to. She is invited to the drum-tower on some important festivals, where the villagers sing and dance to amuse her (Figure 9). The ceremony is held in one drum-tower and then moves to another, who share the same Sa alter, meaning they have consanguineous relations. The villagers have dinner together in and around the drum-tower in the evening, and villagers from other drum-towers may be invited to dine, sing, dance, play music and act on the stage. Some games or matches are held between young boys and girls from different villages and are considered as village events. These activities between villages increase their sense of belonging to their own drum-tower.



The Dong traditions are shown in the community's activities. Many of the events are organized by their social organization, especially the village events where the leaders play a key role. These activities reinforce their communal identity. Even from the simplest activity of the daily toasting, we could see their traditional care to the drum-tower, when each family

takes turns to offer the firewood. They also interpret the consanguineous and geographic relations within the village and beyond, which lay the base of the Dong social structure. These activities give us more visual interpretations to the Dong culture.

## Conclusion

In the case of Dong villages in China, the community's activities are preserved well. They explain the organization of the spaces in the village, as well as their social relations, their cosmological beliefs, and their traditional care for the village.

There are changes in Dong villages, both in their buildings and the community's way of living. For example, the drum-

tower and the Kuant have lost their function of military defense. However, the interpretations to Dong culture are still authentic, as long as the activities in the public spaces are managed by their social organizations according to their traditions. The best way to involve a community into the heritage, no matter whether they consider it as heritage or not is to let the locals decide and manage it.

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Figure 10: Villagers watching the drama around the drum-tower in Zhaoxing Settlement (2010)

# Developing value-based and participatory conservation management: a need for 'River Island of Majuli Cultural Landscape in the midstream of Brahmaputra River, Assam, India'

GSV Suryanarayana Murthy and Richard Sadokpam

## Short biodata

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## Abstract

The geographical region of Majuli is in the North East of India and a part of the greater sub-Himalayan Region. The island of Majuli is situated in the state of Assam mid-stream of the great male river Brahmaputra which is one of the largest rivers in the world. It is a part of the vast dynamic river system of Brahmaputra basin. The Majulians are a mixed community of various ethno-cultural groups who have migrated to the island over centuries bringing with them their traditions and skills and adapting their lifestyle rhythms to those of their natural environment, mainly the Brahmaputra River, helping them to survive within the framework of a fragile ecosystem for centuries. These communities are united by the social institution of Sattras, introduced by the Vaishnava revivalist, Saint Sankaradeva in the 16th century. Established as monasteries and influencing control on surrounding villages, they set about a distinct social system based on nature, arts and religion. The Archeological Survey of India (ASI) has nominated the region of Majuli for inscription into the World Heritage List as a Cultural Landscape for its unique natural environment and for the social systems in play on the island. The Outstanding Universal Value (OUV) of the Majuli Island is represented by its cross cultural ethnic diversity, its religious ethos and the ability of the people of the island to adapt their existence to the changing dynamics of its ecosystem over centuries. The island is more under threat by flood and erosion by the Brahmaputra River than external and modern influences, mainly because of its limited accessibility (only by ferry). The ASI now plans to submit a revised dossier incorporating all referred points of the previous conventions, including allowing an evaluation visit by the ICOMOS (International Council on Monuments and Sites) for an appraisal of the scope of the property, moving a step closer to securing the World Heritage Site status to Majuli Island. The OUV and the criteria (ii), (iii), (v) and (vi) under which the site is nominated as World Heritage proves and raises the need for value based and participatory conservation management surrounded by socio-economic activities thriving for sustainability of the cultural and natural resources with which the site is recognized and maintained by living traditions. The paper aims at showing a practice followed and a direction set for the management of the site, while preparing the nomination dossier for a prospective site in North east India, which was already accepted as a tentative site since 2004.



## Majuli – context, geography, people and culture

The geographical region of Majuli is North-East of India, which has eight states - Arunachal Pradesh, Assam, Manipur, Meghalaya, Mizoram, Nagaland, Sikkim and Tripura are a part of the greater sub Himalayan Region. Through the central state of Assam, flows its most defining feature, the river Brahmaputra. Rising from the Brahmaputra basin, Majuli lies in a region of fluvial geomorphology and in the course of time has turned into a flat-level alluvial plain. The landform by itself is a unique geographical occurrence and a result of the dynamics of this vast river system. It is formed in that stretch of the river where the largest numbers of tributaries drain out forming their deltas on the northern and southern banks. The river, its tributaries, the wet lands and the islets along with the island of Majuli make it the largest mid river delta system in the world.

The Majuli Island is a fluvial landform (a riverine delta), a unique geographical occurrence and a result of the dynamics of this vast river system. The island itself extends for a length of about 80 km and for about 10-15 km north to south direction with a total area of about 875 sq km. It is 85 to 90 m above the mean sea level. It is formed in that stretch of the river where the largest number of tributaries drains out and forms their deltas on the Northern and the Southern banks.

Majuli is purely a region of fluvial geomorphology. It rises from the Brahmaputra basin and in course of time turned into

a flat-level alluvial plain. The geomorphology of this region is directly related with its physiographic characteristics. The island is bounded by the river Subanisri and her tributaries Ranganadi, Dikrong, Dubla, Chici and Tuni etc. on the northwest, the Kherkatia Suti (a spill channel of the river Brahmaputra) in the northeast and the main Brahmaputra River on the south and the southwest. These tributaries usually bring flashy floods with heavy load of fine silt and clayey sediments. These have very steep slopes, shallow braided shifting channels and had course of sandy beds.

Another significant feature of this system is the formation of the islets locally called the Chaporis around the Majuli Island. This is resultant of the braiding of the river. A total of twenty-two Chor- Chapari are present in the waters surrounding the island. At present, eighteen have been included as stable/permanent under Majuli Circle. The banks of the island as well as the north and the south banks of the river Brahmaputra have the wetland a characteristic feature of the hydrology of the system. These are locally known as the Beels. They are the abodes of rich flora and fauna unique to this region, unique for the breeding ground. The river, its tributaries, the wet lands and the chaporis along with the island of Majuli make it the largest mid river delta system in the world.

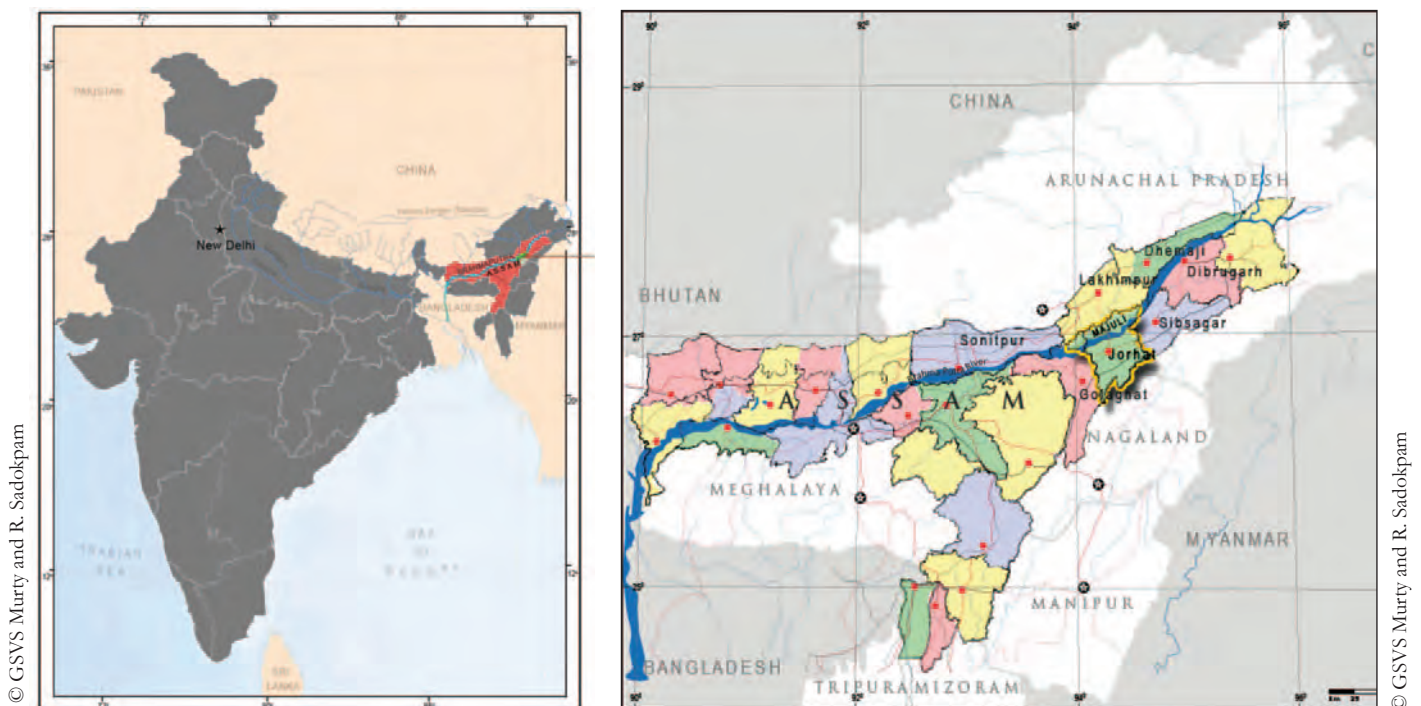


Figure 1 and 2: Location of River Island of Majuli Cultural Landscape (Assam, India)

The island today is separated from the mainland of Assam by 25 km. It is approached from Nimati Ghat in Jorhat district by ferry, which is on the south of the island, and Kamalabari in Majuli is where one lands. The other mainland towns in proximity to the island on the north bank of mainland are North Lakhimpur and Dhakuwakhana.

The Majulians are a mixed community of various ethno-cultural groups which have migrated to the island over centuries bringing with them their traditions and skills and adapting their lifestyle rhythms to those of their natural environment, mainly the Brahmaputra River, helping them to survive within the framework of a fragile ecosystem for centuries. These communities are united by the social institution of Sattras, introduced by the Vaishnava revivalist, Saint Sankaradeva in the 16th century. Established as monasteries and influencing control on surrounding villages, they set about a distinct social system based as much on nature as on the arts and religion. Ignoring caste and origins, these institutions were successful in bringing together the people living on the island creating spiritual and cultural cohesion and an effective system of social governance still strong and unchanged today.

The island of Majuli today houses a total of 243 small and large villages. Of these 210 are Cadastral Villages (revenues



Figure 3: Village Community

Figure 4: Communities united by Sattras



generated by the administration and supported with revenue maps.) and 33 are Non-cadastral village (these are villages with no revenue maps, in Majuli they are mostly resettled or rehabilitated villages shifted due to flood and erosion).

There are a total of thirty-one Sattras in Majuli many of which are in the mainland. Few of them are in Chapori areas, with a distinct spiritual influence region. These are located primarily towards the middle of the island.

Each Sattra, represents, within its region, a centre for cultural activities and even acts as a democratic institution to settle local disputes. Most of the villages associate with respective Sattra, and the villagers partake in the activities of their own Sattra during festivals and occasions. These Sattra Villages house the Namghar, where all the activities related to the Sattra are carried out. Many of these Sattra villages are also important centers for the Majuli Island. For instance Kamalabari, Garmur and Dakhinpat are the semi-urban places, juxtaposed with Natun Kamalabari Sattra, Garamur Sattra and Dakhinpat Sattra, which are the main commercial places of trade and commerce.

These Sattra villages and other vernacular settlements house people from various ethnic origins all of whom have settled in Majuli like Mishings, Deori, Sonowal Kachari,

Koch, Kaivartta and Nath. The settlements have their own characteristics and building typologies. The Mishing and Deori population, which is the largest, has probably the most unique house form, which is on Bamboo stilts being located near the riverine tracts, wetlands and other hydrological features. All these settlements are interspersed in the unique natural landscape with wide variety of land types and water bodies that have resulted due to the unique interplay between geomorphology and hydrology of the island and the river. These diverse water bodies and groves house unique flora and fauna of the island. The understanding of the systems of this natural phenomenon by the local people is complete and exhibited in the local knowledge systems; the nomenclature of each natural component of the landscape has evolved over a period of time.

Majuli today is a Mohkuma, a sub division of the Jorhat District, Administration Boundary with its headquarters at Garamur. The Revenue Circle is Majuli, Kamalabari. There are three mouza in Majuli; Salmora, Kamalabari and Ahatguri. Population of Majuli as in 2011 is 1, 67,245 of which 85,797 were males and 81,448 females. Main centers in Majuli are Garamur, Kamalabari, Auniati, Bengena-ati, Dakhinpat, Rawnapar, Jengraimukh, Bongaon, Salmora, Ahatguri, Ratanpur, Rangacahi, Borguri, Nayabazaar,

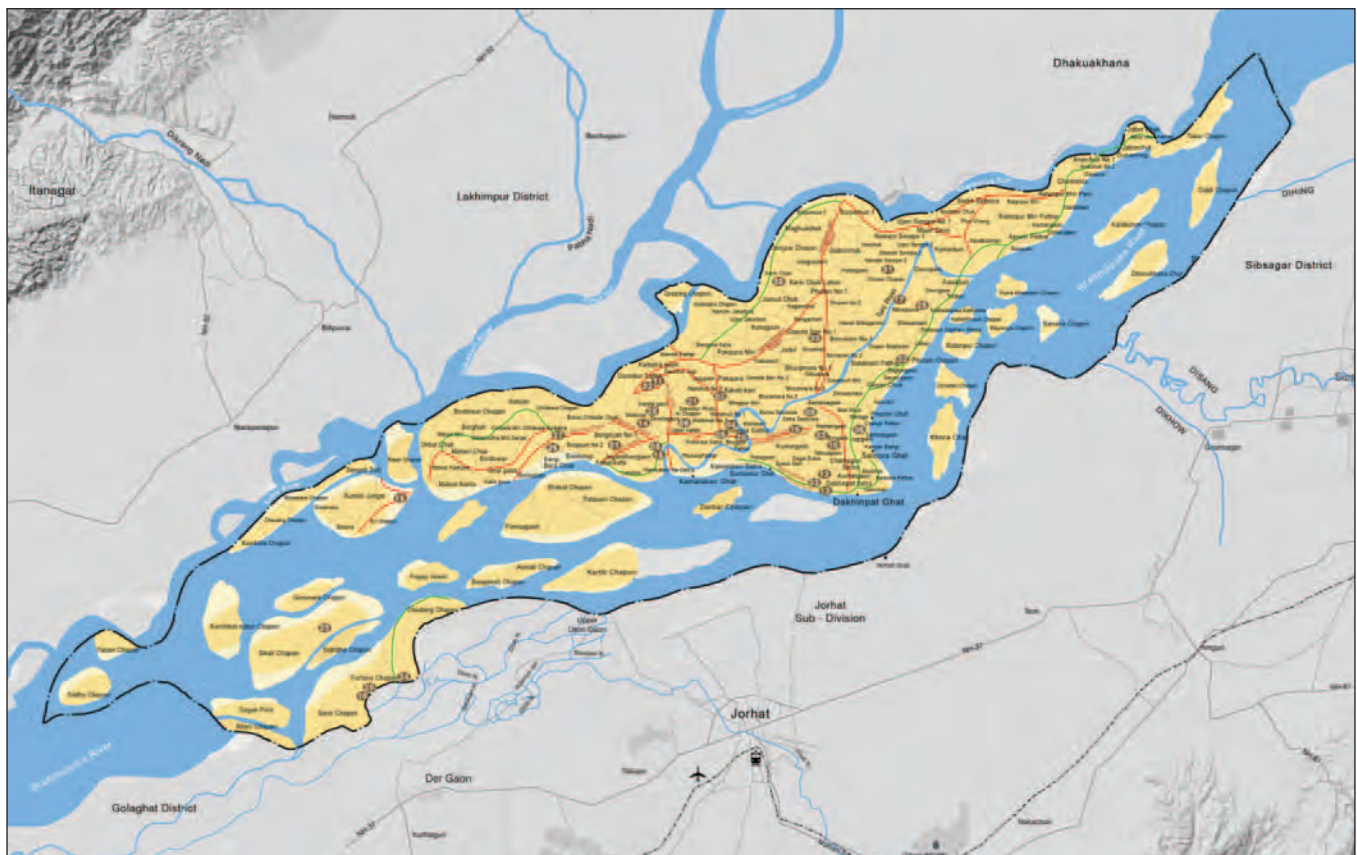


Figure 5: Map of Majuli Sub-Division, River Island of Majuli Cultural Landscape

Karatipar, Bhakatiduar, Phulani, Bali chapori, Kamalabari ghat. The whole sub-division is said to be rural and agrarian.

Of the total land area of Majuli only 32237.16 hectares was found suitable for cultivation. Another 14834.66-hectare remains always under water and 7671.23 hectares was found not suitable for productive purposes. A total of twenty-two 'Char areas' have covered 5939.01 hectares. In addition to this, 61153.09 hectares have been reserved as Government reserved land. Thus it can be said that only 25.85 percent of total land area of Majuli is suitable for cultivation. Though the cultivable land is small in size in comparison to its total area yet it is fertile and suitable for production of different crops. Paddy, mustard, potato, pulses, sugarcane, wheat, is the main crops cultivated in the island. Besides, various seasonal vegetables and fruits like Orange, Banana, Pineapple, Jackfruit, etc are also grown in abundant quantity.

## Majuli as a World Heritage Site

The Archeological Survey of India (ASI), Ministry of Culture, Government of India has nominated the region of Majuli for inscription into the World Heritage List as a Cultural Landscape for its unique natural environment and for the social systems in play on the island. The OVU of the Majuli Island is represented by its cross cultural ethnic diversity, its religious ethos and the ability of the people in the island to adapt their existence to the changing dynamics of its ecosystem over centuries. They have evolved a lifestyle incorporating traditional knowledge systems regarding their main occupations of agriculture, sericulture, pisciculture etc. and an acute understanding of the available resources (such as the river system, water, wetlands, clayey soils, diverse vegetation etc.). The living culture of the people has evolved due to dynamic interaction within the religious Sattras of



Figure 6: Ecology - Ekistics model with inclusive and converging approach



Figure 7: Ekistics Matrix of Majuli



local organizations, diverse ethnic groups and their customary laws which were set in symbiotic harmony with the natural resources thereby making it perhaps the only such example in the world.

This continuity of traditional knowledge systems where in the human as well as the material resource base is maintained, and their integral role in the daily activities and occupations of the inhabitants of the island has ensured that the island has evolved as the cultural and spiritual hub of Assam for centuries.

The island is more under threat by flood and erosion by the Brahmaputra River than external and modern influences, mainly because of its limited accessibility (only by ferry). Floods are an annual and regular occurrence on the site for

centuries, incorporated into the lifestyles and occupation cycles of the inhabitants. Rich alluvial soil gets deposited during the flooding season that is the backbone of the agricultural community and the wetlands formed are an integral part of the ecosystem of Majuli. However, regular earthquakes, in particular the earthquake of 1950 which caused the raising of the river bed, have increased the intensity and occurrence of the floods. Erosion along the banks of the river has increased manifold and the geographical area of the island has reduced significantly, almost by half since 1950. Displacement of people and increase in population has increased the pressure on the ecosystem as well as the centuries old cultural and social system of Majuli. It has increased the urgency of the protection of the region and its heritage components.



Figure 8: Sattra life

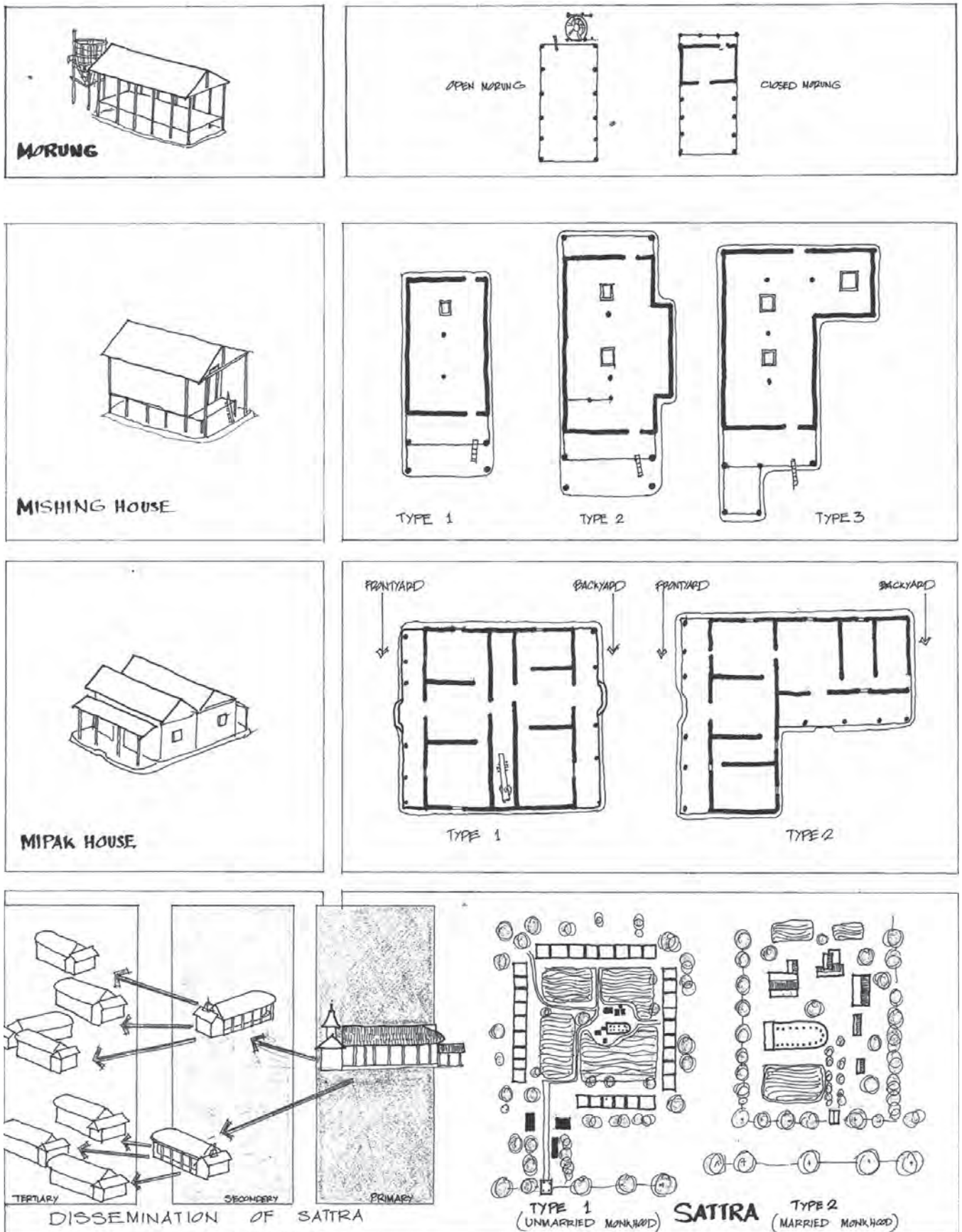


Figure 9: Vernacular archetype - dissemination of architecture, Sattras, Sattra surroundings and settlements on Majuli Island



## Nomination status

Establishing its OUV, the Archeological Survey of India (ASI) has nominated the region for inscription in the World Heritage List. Prior to 2004 the site was in recognition naturally for its presence, uniqueness and its reference in various historical chronicles, Buranjis and significance within the life of community living and associated with the island, State of Assam and North Eastern region, as evident from local interactions and references in many historical sources of the Geography, culture, nature and people of the region. There were efforts in the field of Ecology and Environment by a few NGOs like WWF (1996-98), AVARD – NE (1995-97) and MIPADC (1998) for projecting the geographical region either for preservation for its uniqueness or for world Heritage recognition.

In 2004, Majuli was short listed as a Tentative Site in the 28th Annual World Heritage Committee session at Suzhou, China. It was submitted by Archaeological Survey of India, Ministry of Culture, Government of India from the 'Asia and the Pacific' region under 'Cultural' category with criteria of (ii), (iii), (v) and (vi) as per 2002 Operational guidelines of WHC under the theme of 'Cultural landscape.' It is noteworthy here to underline the shift from 'Monuments' to 'Living heritage and Traditions with the geographical uniqueness' of the 'site' getting recognition and acknowledgement in India and worldwide under 'Cultural landscape' category.

When first submitted Operational Guidelines- WHC-2002 was followed. These were later modified in 2005, 2008 and 2011. The site Majuli was nominated now with the following criteria.

- ii. to exhibit an important interchange of human values, over a span of time or within a cultural area of the world, on developments in architecture or technology, monumental arts, town-planning or landscape design;
- iii. to bear a unique or at least exceptional testimony to a cultural tradition or to a civilization which is living or which has disappeared;
- v. to be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;
- vi. to 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);

Comprehensive nomination Dossier to portray the unique Cultural Landscape of the Island embodied by the

people, their socio-religious institutions, the Sattras, their harmonious living traditions and a management plan of the region, was submitted for inscription in the World Heritage List during the 30th Annual Convention 2006, held at Vilnius, Lithuania. The proposal is referred back with seven points of consideration.

Decision Text

The World Heritage Committee,

1. Having examined Documents WHC-06/30.COM/8B and WHC-06/30.COM/INF.8B.1,
2. Refers the nomination of the River island of Majuli in midstream Brahmaputra River in Assam, India, back to the State Party in order to:
  - a) Assemble more information on the Sattras remaining on the island and on the way they have influenced and continue to influence landscape patterns and the overall interaction between people and nature in Majuli and further a field;
  - b) Create an inventory of architecture and spatial patterns in the landscape associated with the Sattras and their movable heritage;
  - c) Put in place legal protection;
  - d) Amplify the Management Plan to take account of the specific nature of Sattra landscapes and buildings, the interrelationship between people and nature, the potential for traditional farming practices to sustain biodiversity, the need to codify traditional knowledge, the conservation and development of traditional architecture, a cultural tourism strategy and approaches to sustainable development;
  - e) Undertake an appraisal of the overall river basin in which Majuli lies, and the potential impact of climate change, in order to ascertain the chances of the island surviving in the medium term;
  - f) Develop and implement a Risk Preparedness Strategy;
  - g) Carefully consider the impact of the proposed bridges on the special characteristics of the Majuli cultural landscape;
3. Encourages the State Party to produce an inventory of flora and fauna of the site with particular emphasis on threatened and endangered species that may be protected as result of local management practices.
  - As part of the management plan, the Assam government passed the Majuli Cultural Landscape Region Bill in 2006 (later came to be known as MCLR Act,2006) to put in place legal protection, to integrate development and the heritage on the island.
  - 2008 - Deferred:

Addressing the suggestions with additional information, documentation and inventories the ASI submitted a revised proposal during the 32nd Annual Convention at Quebec City, Canada. It was deferred back to the state party (India) in order to incorporate three new points of consideration.

Decision Text

The World Heritage Committee,

1. Having examined Documents WHC-08/32.COM/8B.Add and WHC-08/32.COM/INF.8B1.Add,
2. Defers the examination of the nomination of the River island of Majuli in midstream Brahmaputra River in Assam, India, to the World Heritage List in order to allow the State Party to:
  - a) assemble a complete inventory of the 31 surviving Sattras on the island as a preliminary to considering which Sattras might have the potential to demonstrate Outstanding Universal Value and be nominated as the property;
  - b) allow an ICOMOS evaluation mission to visit the property to consider the extent and scope of the Sattras;
  - c) undertake an appraisal of the overall river basin in which Majuli lies, and the potential impact of upstream development, deforestation and the building of dams, in order to ascertain whether managed retreat is the only realistic approach to the flooding and erosion processes.

While preparing the dossier in 2011 the observations and decisions of UNESCO-WHC in (a) and (b) are defined with detailed inventory of Sattras along with satellite imagery of the locations and Surroundings of Sattras. It is also stressed that the meaning of Sattra shall be as defined by MCLR Act, 2006 and as perceived and used in the Brahmaputra Valley, Assam. It is not limited to any single Sattra. The meaning is justifiable to each and every Sattra and a Namghar in the villages of Majuli Island.

But for the decision of UNESCO-WHC in (c), defining the role of Government of Assam and Government of Arunachal Pradesh in the case of dams and deforestation becomes important. Transnational issues also shall be resolved with the Republic of China in the case of appraisal of overall Brahmaputra basin and in order to ascertain whether managed retreat is the only realistic approach to the flooding and erosion processes.

But the “managed retreat” is a fact of the site only to a few locations, but not comparable to any such “natural” sites. So this observation shall be clarified to missions of ICOMOS, UNESCO-WHC. State party(India) should seek international support for understanding and managing this in appropriate way towards sustainability of this “Conservation Management”.

The Way Forward:

Now (2011-13) the ASI submitted a revised dossier incorporating all referred points of the previous conventions. Now Majuli Cultural Landscape Management Authority (MCLMA) has to allow an evaluation visit by the ICOMOS (the International Council on Monuments and Sites) for an appraisal of the scope of the property, moving a step closer to securing the World Heritage Site status to Majuli Island. By inviting the ICOMOS mission, it is hoped to establish the unique continuing landscape of Majuli where the natural ecosystem retains an active social role in contemporary society closely associated with the traditional way of life, and in which the evolutionary process is still in progress. The significant material evidence of its evolution over time needs to be managed and sustainably developed strengthening the resolve to protect the unique cultural landscape on the island with adequate international, national and technical help.

Ongoing activities and management – hope for better future: 2009:

D. Nath, The Majuli island- Society, Economy and Culture - Publication of this Research work is a significant step in making the authentic sources of Socio- cultural History of Majuli made available for Scholars and managers in general.

April, 2010:

Union Minister for Environment and Forests Jairam Ramesh during April, 2010 visit to the island emphasised the need to declare the world’s largest river island of Majuli an eco-sensitive zone. It was planned to request the Bombay Natural History Society to take up a comprehensive study to suggest ways of protecting birds, fish and Ganges River Dolphins there. Assam government was asked to submit a project proposal. It was opined that, the declaration of Majuli an eco-sensitive zone would help protect the river island from the recurring problem of floods and erosion. It was also mentioned that, Making the river island an eco-sensitive zone would be the first step towards recognising the rich bio-diversity and unique eco-system of Majuli.

2011-13 : CDP by MCLMA:

Commissioner, Majuli Cultural Landscape Management Authority (MCLMA) commenced the process of preparing a Comprehensive Development Plan (CDP) to be called as “Management Plan for Majuli” based on MCLR Act, 2006 and various meetings of Planning Commission, DoNER Ministry, ministry of Water resources, Jorhat District Administration and Brahmaputra Board.

November-2011

A committee constituted by MCLMA, Government of Assam with expertise in History, Anthropology, Archaeology, Culture, River Brahmaputra, Erosion



apart from NGO representatives from MIPADC and Government Departments endorsed the contents of the dossier to be submitted to UNESCO-WHC on 5th November, 2011.

January, 2012

Submitted for verification and completeness of the dossier with UNESCO-WH Centre, as per Operational Guidelines (OG)-2008. WH Centre asked the State Party (INDIA) to submit the dossier after revisions due to incompleteness.

The implied task ahead is revision of the Dossier as per Operational Guidelines-2013 and also meeting the “completeness” requirement of the UNESCO-WHC.

Community and people participation - need in the Way forward:

- a) Operationalising the MCLR act, 2006 in full form by increasing the strength of the staff, imparting training towards WH Status leading to the effective management of the island from all forms of damage to Cultural and Natural resources.
- b) OG-2013 format shall be followed and 2012-Resource Manual on Preparing World heritage Nominations shall be thoroughly familiarized to all levels of stakeholders
- c) Outstanding Universal Value (OUV) shall be based on Cultural Landscape and Cultural Geography concepts, as being perceived by the local community for balancing Cultural Ecology of the place.
- d) Comparative significance of the island shall be comparable to similar Islands throughout the world and India like Places of Sacred Significance, places/ regions of Sacred landscape significance, and Places of Cultural landscape category by WH convention.
- e) Intangible Heritage as recognized by UNESCO shall be simultaneously prepared and presented by Government of India. Mainly for Sattriya dance, Bhaona, Manuscripts, Nam Ghosha , Local Tribal life and systems, Agricultural season practices, Festival dances.
- f) The format of WHC- Operational Guidelines 2013 for Properties for inscription on the World Heritage List shall be familiarized and capacitated with the MCLMA for its effective operations.
- g) Local level strength, support and participation shall be ensured and prepared for protection and conservation measures. Central and International level help shall be sought for technical and financial assistance.

- h) Broad methodology followed in the dossier preparation (2011-13) is below as a guideline, shall be familiarized with all levels of MCLMA.

Table 1

Identification/recognition	Conservation and Protection	Management method
As Identified locally is described under - Criteria for selection by UNESCO-WHC	Cultural resource Natural resource Ecology Bio diversity Human Settlements (Ekistics model ) and Cultural Ecology	<ul style="list-style-type: none"> <li>• MCLR Act,2006</li> <li>• Converging to Majuli Protection, Conservation and Management</li> <li>• Inclusive of All Stakeholders</li> <li>• Participatory method for overall consent</li> <li>• Inclusive Network oriented method for all inclusive consent</li> </ul>

Positive signals for protection and management:

- Operationalising MCLMA with various activities during 2011 by MCLMA
- Starting Site Office of MCLMA by operationalising SDO (Civil) as EO of MCLMA to commence all operations as EO, MCLMA as per MCLR Act,2006 on Oct,30,2011 by Minister for WR; CEO,MCLMA; and Prominent citizens and stakeholders
- Good participation by various stakeholders
- CDP by MCLMA
- CPGB Initiative for River bank protection
- Website for MCLMA
- Existence of 2 (two) WH sites in Assam, i.e., Kaziranga and Manas national parks for understanding management in similar conditions and administrative requirements. Through the management of these sites and sharing of knowledge for strengthening, upgrading MCLMA in future.
- Formation of a new group friends of Majuli (FoM) with about 1500 above as its members on facebook for the cause of awareness and protection of Majuli
- Formation of a new group Followers of Srimanta Sankaradeva (FSS) with about 5000 above as its members on facebook for the cause of global awareness on Sankaradeva

Future Course of action needed both under the purview of WH Recognition and Outside:

A list of possible actions required from all sectors is outlined below. As of now it is only indicative of a few points derived during consultations with various stakeholders of the site during 2011-12 while preparing the Dossier. So it may not be comprehensive but indicative of possible directions of action needed.

- Tourism Policy of Government of Assam for information and Infrastructure shall be sensitive to nature and Environment, Art, Architecture and Cultural Heritage and Visitor friendly
- Initiative for Creating a Sattrra affairs department under dept of Cultural affairs for the lands and related management in Assam like temple administration and affairs departments in other states of India
- MCLMA should involve and seek support needed from Organisations like MIPADC, FoM, Assam Sattrra Mahasabha, SSS, POSOOWA Magazine (NRA magazine) / Preserver Majuli (France)
- MCLMA should involve and seek support needed from Experts / professors/ Teachers in Majuli, Majuli College, Dibrugarh University, Guwahati University, IITG, IGNCA, Sankara Kalakshetra
- Through Education department MCLMA can form Heritage Clubs – highlighting on 2 existing World Heritage sites in Assam and Tentative being proposed now and preparing action plans for awareness and promotion including pledge towards preservation and Conservation of Heritage
- MCLMA should fund and plan Student/ teams from Sattrra for Performances (Sattriya Nritya, Borgeet, Ankiya Bhaona), Exhibitions, Painting competitions, essay and Elocution competitions, mask making training work shops, Sending troupe from Majuli for organizing exhibitions and events on Majuli Cultural landscape (Commencing by end of November, 2011 to November, 2016 with a schedule and plan)
- MCLMA and Government of Assam should Print promotion and information literature, Videos on Majuli Cultural Landscape highlighting Outstanding Universal Value and problems like River bank Erosion
- MCLMA and Government of Assam should - Contact all 1) neighbouring states, 2) other states in Northern India and Southern India, 3) Adjacent and neighbouring Countries and 4) worldwide for Promotion, Awareness building through Exhibitions, Events, programmes, Display, performances, Seminars on Art, Geography, History, Culture and Landscape of Majuli, and short Movies on Majuli cultural landscape
- MCLMA and Government of Assam should - Send specific promotion materials/ Teams on “River Island Majuli Cultural Landscape” (brochures, Books and Videos/ Persons and Troup) to Ministers, Secretaries and Departments of Tourism, Culture, Archaeology and Museums, Handcrafts, Education (School, College and University), Environment and Forest and also INTACH State Chapters for organizing Events, programmes, Display, performances, Seminars on Art, Geography, History, Culture and Landscape of Majuli, and short Movies on Majuli Cultural landscape of Meghalaya, Manipur, Tripura, Nagaland, Sikkim, Mizoram, West Bengal and Orissa
- MCLMA and Government of Assam should - publicise widely, in all the circles of History, Culture, Archaeology, Environment and Geography Education and departments about OUV and Issues connected to preservation and Protection of the island through simple information/promotion brochures/movies – A Committee, action Plan and implementation plan should be prepared allocating appropriate budget by MCLMA
- MCLMA and Government of Assam should - plan for Conducting a few promotional activities through INDIRA GANDHI RASHTRIYA MANAV SANGRAHALAYA, Shyamla Hills, Bhopal
- MCLMA and Government of Assam should contact important people who contributed to research like Dr KK Chakravarty, Intangible Heritage of Assam and North East under IGNCA
- MCLMA should plan for immediate launch of a Website as per guidelines of NIC of GoI and GoA
- MCLMA should plan for preparation of Comprehensive Development Plan (CDP) as per MCLR Act, 2006 with focus on
  - Integrating Sectoral Plans
  - Converging to Majuli and inclusive of all stakeholders
  - Eco sensitive zone initiative
  - Use of Vetiver grass and other indigenous methods for general streams, channels bank Protection
  - NGO initiatives like from Aranyak and CPGB integration with proposals of Brahmaputra Board, Government of India and Water resources Department, Government of Assam
  - Ensuring community participation
- MCLMA and Government of Assam should plan for - Exhibitions, Seminars, Screening of Movies at New Delhi, Chennai, Mumbai, Indore, Ahmedabad, Jaipur, Hyderabad, Bengaluru, Mysore, Calicut, Trivandrum, Cochin, Pune, Bhopal, Bijapur (prominent places where the subject of “ heritage” is in appropriate focus)
- MCLMA and Government of Assam should - Send special information/ Translated information/ Troup for Exhibitions, Events like Sattriya Nritya etc., and information about Neo Vaishnavism, Majuli Island, Sankaradeva and Sattras
- MCLMA and Government of Assam should – Promote Majuli Island at Religious Centers of Bhagavata/ Vaishnava/ Krishna tradition in India: like Vrindavan, Mathura (Braj Bhumi), Navdvipa (West Bengal), Udupi, Srirangam, Puri, Haridwar, Dwaraka, Gorakhpur, Pandaripur, Tirupati



- MCLMA and Government of Assam should seek support from Assamese Associations in New Delhi and other parts of India also should Involve International Associations of Assam across the world from USA, UK, Australia etc.,
- MCLMA and Government of Assam should promote literature and information of Majuli through Air India and Indian Airlines and at the Airports of New Delhi, Kolkata, Bagdogra (West Bengal, India), Guwahati, Jorhat, Dibrugarh, Itanagar, Tezpur, Imphal, Agartala and Aizwal
- MCLMA and Government of Assam should promote literature and information of Majuli at All Airlines going to/ at airports of South East Asia
- NGOs, Scholars, MCLMA and Government of Assam should plan for Broadcasting and Telecasting Programmes and awareness campaign in the leading National Channels and local North East channels like in AIR, Door Darshan, DY 365, News Live for at least 2 year period
- NGOs, Scholars, MCLMA and Government of Assam should plan for publishing articles and awareness campaign in the leading National News papers, North East and local News papers and Magazines for 1 year
- MCLMA and Government of Assam should - Improve Inland water Transport, Infrastructure at the Ghats, visitor facilities, telephone, Internet, Toilets, water, Food, Road and Transport with Culture and Tradition sensitivity
- MCLMA and Government of Assam should plan for - Improving Living standards like Health Infrastructure and Hospital services accessible and Available
- MCLMA and Government of Assam should plan for - Emergency services, Road, telecommunication and Internet network
- MCLMA and Government of Assam should plan for Initiating Unique Identification Authority of India (UIDAI)/Aadhar card , as a special initiative in Assam exclusive to Majuli Island Core Area and Buffer Area in support of Comprehensive Development Plans (CDP) by Majuli Cultural landscape Management authority (MCLMA)

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# Relationship between cultural spaces and continuity of a tradition: the case of Drunken Dragon Festival in Macao

Sharif Shams Imon

## Short biodata

Sharif Shams Imon PhD teaches cultural heritage management at the Institute for Tourism Management, Macao as an assistant professor where he is also the director of the Heritage Studies Centre. Trained as an architect and an urban planner, he has a PhD in Urban Conservation and has received training at ICCROM on integrated urban and territorial conservation. Before moving to Macao, he taught in Bangladesh and Hong Kong. He specializes in capacity building activities for professionals and administrators on World Heritage management and works as a consultant for UNESCO, UNESCAP and Macao government on projects related to cultural tourism, tourism management and heritage interpretation at World Heritage sites in South and Southeast Asia. As a member of International Council of Monuments and Sites (ICOMOS), he is actively involved in World Heritage evaluation and monitoring missions in various countries in Asia.

## Abstract

A traditional festival associated with the fishing community of Macao, the Drunken Dragon Festival is one of the few major festivals that connect the World Heritage city of Macao to its maritime past. The festival is celebrated once a year by a dwindling number of people involved in activities associated with fishing industry. The festival takes place in several locations in the city linked historically with the industry. A big attraction of the festival is the Drunken Dragon Dance, performed by a small group of young and old men. In recent years, the Macao government has started to patronize the dance by funding performances in various parts of the city on a regular basis. These new places have no connection with the traditional cultural spaces of the festival, but are places frequented by many of the twenty- eight million tourists that visit the city every year. The government funding provides the much needed financial support to the performers. However, it is argued that the dance is becoming an entertaining activity for tourists and is gradually moving away from its traditional roots. Through interviews with the performers, community members associated with the festival and government officials and observations of performances in both traditional and tourism contexts, this paper discusses the impacts of such government intervention and attempts to identify the issues of safeguarding an important intangible heritage of Macao whose values are directly connected to the tangible dimensions of the city.



## Introduction

Of the five domains of intangible cultural heritage stated in the UNESCO Convention for the Safeguarding of the Intangible Cultural Heritage (UNESCO, 2003), the Drunken Dragon Festival in Macao, China, also known as the Feast of the Drunken Dragon, can be identified with the domain of 'social practices, rituals and festive events.' The festival was inscribed on the Tentative List of Macao S.A.R. Intangible Cultural Heritage Items in 2009 and on the National Intangible Cultural Heritage List of China in 2010 (Museu de Macau, n.d.). Like many other forms of intangible expressions of cultural heritage, the festival also includes various components, such as performances, rituals, etc. Despite being identified as an intangible cultural heritage, the festival is integrally connected with the history of the city and as such with the Historic Centre of Macao, a UNESCO World Heritage site.

The Historic Centre of Macao was inscribed on the World Heritage List in 2005 on the basis of criteria (ii), (iii), (iv) and (vi) and the World Heritage Committee in its decision noted that the Historic Centre is a living example of a settlement that represents the exchange of values between the Chinese and Portuguese 'in the various fields of culture, sciences, technology, art and architecture over several centuries' (UNESCO World Heritage Centre, 2005). The connection between tangible and intangible heritage is also acknowledged by the World Heritage Committee (2013), according to which, tangible cultural heritage may '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 Drunken Dragon

Festival is a festival observed by the people engaged in fresh fish trade in Macao, a trade that links the city to its maritime past. However, the importance of fishing and the associated trades as a profession in Macao started to diminish as the economic opportunity from other types of land-based industry, related especially to tourism and gambling, started to grow in the recent decades (Direcção dos Serviços de Estatística e Censos, 2011). Nevertheless, the festival continues to play a prominent role in the local social life with a large number of people attending every year. The festival, which takes place once a year in specific locations of the city, also attracts many tourists interested in experiencing a very traditional Chinese festival in a city better known as a former Portuguese colony in China.

In recent years, Macao government's tourism department, the Macao Government Tourist Office or MGTO, with financial support from the Macao Foundation, started to organize Drunken Dragon Dance performances, an important component of the festival, in various parts of the city throughout the year. This has raised concerns about issues related to commodification and de-contextualization of a traditional performing art. Through interviews with the performers, community members associated with the festival and government officials and observations of performances in both traditional and tourism contexts, this paper discusses the impacts of such government intervention and attempts to identify the issues of safeguarding an important intangible heritage of Macao whose values are directly connected to the tangible dimensions of the city.

## The Drunken Dragon Festival in Macao and its associated cultural spaces

The Drunken Dragon Festival (also known as the Feast of the Drunken Dragon) is believed to have originated in the neighbouring district of Zhongshan (formerly known as Xiangshan), in Guangdong Province of the People's Republic of China. According to a legend, many years ago, the villagers of Xinagshan went to pray to the Buddha to get cured from a plague the village was suffering from. On the way, a giant python leaped out of the river. The python was killed by cutting it into three pieces; its blood stained the river and the blood stained water of the river cured the plague ('Feast of the Drunken Dragon,' 2012). Believing the

incident to be a divine intervention, the villagers started to commemorate the day. The day falls on the eighth day of the fourth month of the Chinese Lunar Calendar.

The festival is composed of several ritualistic activities and performances that take place in several parts of the city at different times of the day. On the eve of the festival day, the seventh day of the fourth lunar month, city's fishmongers gather in fish markets to consume what is called 'longevity rice,' which is followed by a small ceremony to mark the event. On the eighth day, the same people gather at the Sam Kai Vui Kun temple where a Taoist monk initiates the events

with chants and by putting a talisman on a wooden dragon. Following the legend, the wooden dragon, representing the slayed snake, is made up of two parts: a head and a tail of a dragon. After the initiation rituals, several activities and performances, which include the distribution of free 'longevity rice' to the public, Drunken Dragon Dance and Lion Dance, start. The dance travels to various fish markets in the city. In the Drunken Dragon Dance, performers drink locally-produced wine and imitate the movement of a serpent carrying the wooden dragon heads and tails (Figure 1). After observing the beginning of the festival, a tourist from Singapore wrote on his blog:

'The celebration in Macau of the 'strange' festival sees participants start with prayers and blessings at the Sam Kai Vui Kun or Kuan Tai. It is at the temple where participants collect the two dragon pieces in pairs – at which many are already visibly intoxicated, downing cans of beer and blowing mouthfuls of the liquid into the air – making for a spectacle best observed up close as both observers and jostling photographers (and their equipment) risk getting a splashing from the alcohol laden spray and mist that is propelled into the air.' (Lim, 2013)

The locations of the markets where the festival is celebrated are dotted in various parts of the city. While the old and traditional markets continue to host the performances, new markets constructed in recent years are also added as performance venues. The traditional distribution places for 'longevity rice' included the Mercado Almirante Lacerda (Red Market) and Complexo Municipal do Mercado de

S. Domingos (St. Dominic's Market). More recently, the Mercado Municipal do Bairro Iao Hon (Iao Hon Market) has been added as a third distribution point. Long queues of people, who often wait for long hours, can be seen at the markets to collect the 'longevity rice,' which is considered auspicious and believed to bring good fortune to those who consume it (Figure 2).

The veteran performers in the festival and the main festival organizer, Macao Fresh Fish and Commercial Association say that the festival has evolved over the years. In the past, the festival included a night-time lantern parade and, instead of a two-part dragon, they used a three-part dragon that included the body of a dragon as well. More recently, the location of the initiation ceremony has moved from the area in front of the Sam Kai Vui Kun temple to the nearby Senado Square, the main public square in the city centre. While the reasons for the first two changes are not known, it is suspected that the initiation ceremony was moved to the Senado Square due to tourism reasons. The routes of the Drunken Dragon Dance have also been modified in the recent years.

The cultural spaces – defined by UNESCO as 'a place where popular and traditional cultural activities take place in a concentrated manner (sites for story-telling, rituals, marketplaces, festivals etc.) or the time for a regularly occurring event (daily rituals, annual processions, regular performances)' (UNESCO, 2001) – associated with the festival include the markets and the route used for the dance performances.



Figure 1: Drunken Dragon Dance with wooden dragon beads.



## Government interventions

The MGTO website introduces the festival as ‘an annual Chinese tradition of long standing in Macau, in which performers imbibe wine and dance in Kung Fu-style steps’ and promotes the event to the tourists; ‘Dragon bowl rice is distributed to the needy in Red Market (11:30 a.m.), Iao Hon Market (2:00 p.m.) and St. Dominic’s Market (3:00 p.m.), with free Drunken Dragon Dance performances held in front of the Red Market (10:00 a.m. on 17/5).’ (Macau Government Tourist Office, 2013a)

The ‘dragon bowl rice’ (longevity rice) in the past used to be for poor community members. However, receiving the rice today has a very different meaning and is associated with good luck. It is also interesting to see that the cost of attending the dance is indicated as ‘free.’ This traditional festival is a community event and participation in it, like all other traditional festivals in Macao, is always open.

The festival, along with several other traditional intangible cultural expressions, is used for tourism purposes more directly. MGTO now organizes the Drunken Dragon Dance at places frequented by tourists outside its traditional cultural spaces. Praça da Amizade (Friendship Square) is one of the more regular venues for such performance (Figure 3, right). The square is located in the middle of a hotel, casino and major tourist shopping zone and surrounded by major roads on its three sides and a mixed residential-cum-commercial development on the fourth. Unlike the traditional cultural

spaces of the festival, there is no fish market or related businesses in the vicinity. MGTO promotes this performance and other cultural activities it organizes through its website: ‘Frenetic drumming, the clash of tambourines, the spectacle of the Lion Dance, Chinese martial arts, Street Dance, Portuguese folk dance plus National Intangible Cultural Heritage-listed Drunken Dragon Dance, Cantonese Opera, Magic Show and Balloon-twisting - catch these highly emotive performances every weekend against the diverse backdrop of the city’s iconic historic squares and monuments! Tourists and residents never fail to thrill to these wonderful free open-air performances, which last about 20 minutes. Great photo-taking opportunities, great memories!’ (Macau Government Tourist Office, 2013b).

In none of the promotional materials does MGTO provide any background of the festival or the dance performance and instead presents the performances as ‘Great photo-taking opportunities.’ Yet, unlike the authentic version of the festival, the staged, de-contextualized and curtailed version of the festival fails to attract any audience (Figure 3).

The Drunken Dragon Dance is performed on various other celebrations as well. For example, it was one of the performances in the Macao Handover Day carnival in 2012 in which the dance was performed along with non-traditional performances such as ballet.



Figure 2: Long queue of people outside Red Market waiting to collect ‘longevity rice.’



Figure 3: Contrast between a traditional cultural space (left) and a new performance space (right)

## Conclusion

The use of heritage elements as tourism resources has a long history (Timothy & Boyd, 2006). Unfortunately, with the much-needed economic benefits from tourism (Lichfield, 1995) come many negative impacts on communities and heritage (Henderson, Teck, Ng, & Si-Rong, 2009; Schipani, 2008). Social practices, especially festivals, often bring community members together and help reaffirm the identity of those who practice them (UNESCO, n.d.); however, when tourists start to participate in these or socio-cultural underpinning of the festivals are altered or removed for tourism purpose, the communities start to disassociate from these practices.

While Macao government's support for the Drunken Dragon Dance may stem from a concern for safeguarding the intangible cultural heritage, the way it is organized and promoted very clearly demonstrates a bias towards tourism on MGTO's part. The performers believe that government support is necessary for them to continue the tradition. However, they also feel that they are in fact selling their tradition to the tourists to earn a living. Because the dance has been taken out of its cultural context, presented in a

form suitable for tourists' consumption, and treated as a performing art instead of a component of a social practice, there is a danger that, in the long run, the dance's connection with the festival will become weak and may one day be seen only as a tourist attraction.

Robinson (1999, p. 22) points out, 'Tourism is one globalizing influence which can initiate dramatic and irreversible changes within the cultures of host communities.' It is, therefore, imperative that measures for safeguarding intangible cultural heritage should not be dependent on tourism support or, when some form of dependence on tourism is unavoidable, the potential negative impacts of tourism on the heritage is carefully assessed. As for the Drunken Dragon Festival, the survival of its cultural spaces is not under any threat now and the strong participation of the community in it is possibly its main strength. However, if the socio-cultural foundation of the festival is not maintained and the strong connection of the intangible elements of the festival with the city's tangible dimensions are not respected in the safeguarding measure, the value of the festival as an intangible cultural heritage will be in danger in the near future.



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Figure 5: Drunken Dragon Festival

# Conservation of traditional residential buildings in the Tansen city core

Chandani K.C.

## Short biodata

Chandani K.C. is an urban planner and architect by profession. She currently works as an Urban Development Consultant at the Department of Urban Development and Building Construction and as an Urban Development and Urban Design Expert with the Municipal Support Team, GFA Consulting Group GmbH. She did her undergraduate degree in architecture from Visvesvaraya National Institute of Technology and Master of City and Regional Planning from University of Texas at Arlington.

## Abstract

Urban heritage in the context of Nepal has always revolved around important, yet 'solitary' structures such as temples, religious buildings and palaces. Residential buildings especially in the historic city core are rarely talked about in the urban heritage discussions. Secondly, conservation in Nepal has largely focused on world heritage sites of Kathmandu Valley. Urban heritage outside of Kathmandu valley is not getting its due attention. Tansen, a historic and traditional Newari town is well known for its natural beauty and places of historic importance but is steadily losing the authentic townscape due to the replacement of traditional urban fabric with modern ones. This has led to not only the deterioration of the cultural heritage but also failed to attract tourists for the economic development of the town. There is an urgent need of preserving the urban fabric in the historic core of the city. This paper talks about the need of preserving the authentic urban fabric of a city specially focused on façade retention. It will talk about architecture of Tansen, residential buildings in the Tansen city core, need of community support and awareness for preservation of residential buildings and discuss recommendations for the preservation of the buildings. This paper is part of the project - Urban Design Framework for Tansen City Core, prepared for GFA Consulting Group GmbH.



## Background

Tansen, a beautiful medieval town is located in the Lumbini zone of Western Development Region. Situated at the southern slope of Mahabharat range; it lies between Butwal and Pokhara on the Siddharth Highway. (Tansen is 40 kilometers from Butwal and 125 kilometers from Pokhara). This hillside municipality is the headquarters of Palpa district and one of the oldest municipalities in Nepal. Tansen originally developed as a trading centre but in recent times the market activity has shifted to Butwal due to its location between the North-South and East-West highways.

Over the past decade, Tansen has recorded a growth rate of 5.64% (CBS 2011) higher than the national growth rate. Due to its increasing population and changing lifestyles, the municipality is gradually losing its authentic aesthetic value. Change and the so-called progress have led to the disappearance of historic structures, urban public spaces and harmony of tiled roofs. The replacement of traditional

buildings has led to an awkward juxtaposition of buildings and irregular architectural consistency as the older building stocks appear out of place due to its size and massing. This has resulted not only in the deterioration of the cultural heritage but also failed to encourage visitors to prolong their stay in Tansen. The long term vision for Tansen expressed in the Periodic Plan (2009) prepared by DUDBC is to develop the municipality as a Tourism City but with the gradual loss of its identity, it is getting increasingly difficult to attract tourists to this place. Local community and other organizations have been concerned about the destruction of its history as development engulfs and destroys the traditional buildings of the city. This study looks at the traditional architecture of Tansen, state of traditional buildings in the Tansen City Core, need of preserving the authentic urban fabric of the core and recommendations for the preservation of such buildings.

## History

The name of the town Tansen has its origin in Magar language meaning Northern Settlement or Dense settlement. Magars are one of the ethnic groups of Nepal and assumed to be the first settlers in this area. Around 600 years ago, Nepal was divided into several small kingdoms and hill states. In this region, they were known as 'Bahra Magarat,' meaning the 'twelve regions of Magar.' The oldest scripture regarding the settlement in Tansen can be found at Batuk Bhairab Temple at Amarganjh. According to the scripture, Mahadutta established the Shrinagar Town in 1844. Since the land was owned by the government, the main town of Tansen consisted of only temporary buildings with thatched roof. However, a fire in the year 1828 destroyed the entire town. Local ownership of the land was needed for the people to build permanent houses with Jhingati tiles which was approved by the then Majesty Rajendra Singh Shah in 1886. Thereafter buildings began to be built using stone and brick with tiled roofs. Other rulers over the years added

many important monuments, temples and structures in Tansen. Amar Singh Thapa built the Amarnarayan Temple, other artistic temples, rest houses and water conduits. He also established the Guthi system. Ujhir Singh Thapa built the Bhagawati Temple and also established the tradition of taking out the procession of Bhagwati each year. Khadka Shumsher built the biggest door of Nepal; Baggi Dhoka and the famous Sheetal Pati (Tansen Municipality, 2004).

Pratap Shumsher, Governor of Palpa from 1924 to 1934 took great strides in developing Tansen and is still considered the founder of the city. He built the Tansen Durbar with a resemblance to the Singh Durbar of Kathmandu. Due to the influence of western culture, the Ranas tried to portray Tansen as a hill station similar to Darjeeling and Nainital of India. They also introduced new culture and it was during their time that the residents of Tansen started to build their houses in European style (Tansen Municipality, 2004).

## Tourism potential of Tansen

Tourism development brings economic growth to a city. Tansen has the resources for tourism which needs to be exploited to make it an attractive destination for all. Tansen

has favorable climatic condition and many scenic and religious sites in and around it. Shreenagar hills and temples such as Amarnarayan, Bhagwati and Amarganesh are

tourism assets of Tansen. There are also important places located near to Tansen, which have the potential to attract national and international tourists such as Rani Mahal, Ridi and Bhairabsthan.

The periodic plan of Tansen mentions the city's long-term vision to develop it as a Tourism City (DUDBC 2009) but there is a clear lack of strategy for Tansen to be developed as one. The numerous potentials have not been exploited. The old houses exhibiting the indigenous Nepali architecture are

gradually disappearing. Also, products such as Karuwa and Dhaka which are the symbols of Tansen are declining due to weak entrepreneurship (GHK 2011). Tansen can be marketed and developed as a package tour covering Chitwan-Lumbini-Tansen-Pokhara and Lumbini-Tansen-Pokhara which has not been done till date. Heritage led tourism planning can be an effective tool to improve the economic activity and overall sustainability of Tansen.

## Study area

The study area is located at the core of the municipality (i.e. Shital Pati) and the five roads radiating from Shital Pati. The five main roads are: Ason, Makhan, Bhagawati (Thado Galli), Bhagwati and Taksar. (Figure: 1) These streets are the heart and soul of Tansen and are valued for their architectural and heritage qualities. It possesses the integrity of design, setting, materials and workmanship.

The core of Tansen is highly significant as it is an urban living heritage. It neither has a modern setting with only few important historic places neither is it an open-air museum like Bhaktapur. It is rather a city where tradition and culture is celebrated and the beauty of the past is maintained. The core still retains much of the character even though over the years much has been lost. It is still the center of cultural, religious and commercial activities particularly Shital Pati, the central square. Numerous jatras and festivals such as Gai Jatra and the famous Bhagwati Jatra take place in the Central

Square and procession follow certain routes in the core area. Figure 2

Mix of traditional Newari and modern houses comprise the building stock with shopping opportunities at street level and housing in the upper floors. Taksar tole, Bhagwati and Ason tole (Thado galli) still have traditional streetscape with buildings dating more than 100 years. However, Makhan Tole has lost its identity with the construction of modern concrete structures in vibrant colors and unattractive facades. Three of the most important historic structures lie within the study area i.e. Amarnarayan Temple, Bhagwati Temple and Tansen Palace. Renovation of Tansen Palace and Amarnarayan is still ongoing.

The streets in the core area are lively public places that have had a positive impact in the community. The construction of newer structures does not only destroy the overall streetscape

of Tansen but the loss of it is leading to the loss of the cultural heritage such as jatras and festivals. The preservation of intangible heritage can only be done if the tangible heritage is also preserved. It is hard to imagine the Bhagwati Jatra festival in a modern setting with concrete and glass structures. Hence, the preservation of buildings preserves both tangible and intangible heritage.

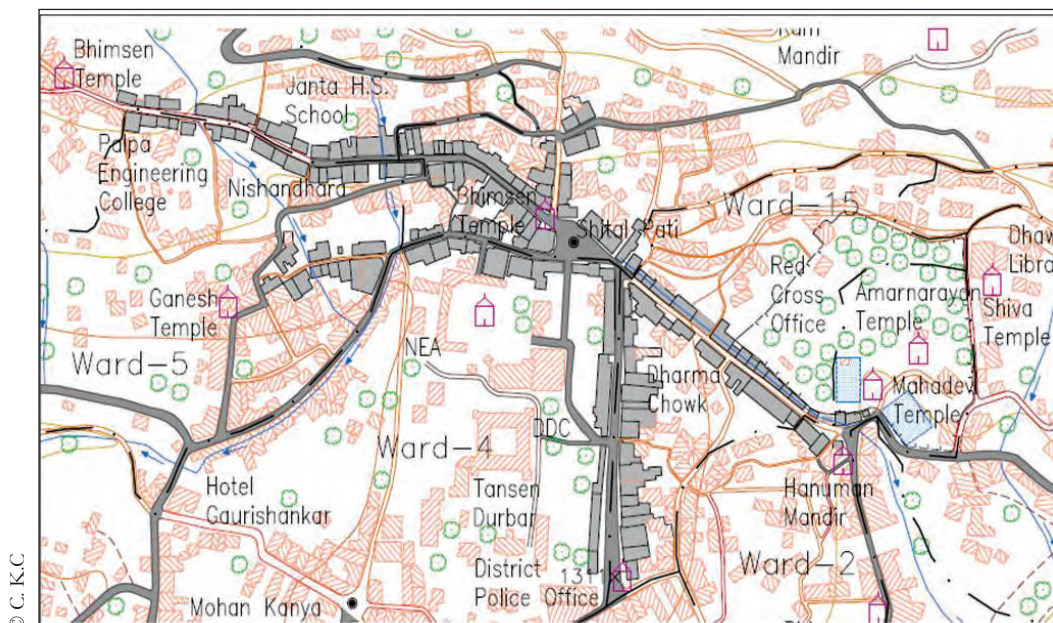


Figure 1: Tansen City Core



## Conservation of heritage and traditional architecture of Tansen city core

Conservation in Nepal has largely focused on world heritage sites of Kathmandu valley. Urban heritage outside of Kathmandu valley is not getting its due attention. Also, the conservation of urban heritage is largely focused on solitary yet important historic structures such as temples, monuments and palaces. The traditional residential structures are always overlooked and neglected. The overlapping of responsibilities and lack of coordination between the institutions are the main reasons for this neglect.

Architecture of Tansen and the town itself can be compared to the settlements within the Kathmandu Valley; however its significance does not lie in the form or design of the monuments and temples. Rather it lies in the design and simplicity of the traditional residential buildings. The layout of streets, traditional buildings and public spaces give a unique visual characteristic to Tansen. It is also in the tentative list of world heritage site as it is 'a testament to

the living heritage and architecture of the Newari people' (UNESCO 2008). Similar to other Newari settlements, Tansen is also palace concentric with the Tansen Durbar at the center and residences around it. The land use pattern of Tansen is a mixture of residential and commercial use.

Tansen has a rich architecture of residential buildings dating back to more than 100 years. Nearly 50 percent of the housing stock in the city core still retains its authentic architecture. Traditional Newari houses with plain brick exposed or plastered wall façade; sloped roof and cornices separating the floors adorn the cityscape of Tansen. Wooden latticed window or stucco ornamentation around the windows dominate the façade. Figure 3, 4 However, all these elements have been transforming with time to suit the needs of home owners. The roofs, cornices and even the traditional square latticed window can no longer be found in the newer constructions. For example, tiled roofs are typically replaced with corrugated sheets or concrete slabs. The traditional residential buildings were constructed during the reign of different rulers and illustrate the construction during those periods. Preserving the buildings will preserve the method of construction and in turn preserve the authentic historic fabric (UNESCO 2006).

Taksar tole, Ason tole and Bhagwati Tole still display the traditional streetscape however, Makhn Tole and Bhagwati Tole has completely transformed with modern concrete structures in different designs. A new bank building right behind the Shital Pati completely destroys the image of Shital Pati creating a confused identity. The blue glass panels sets itself apart but at the cost of its aesthetic value. The continuing process of land subdivision is decreasing the size of plots and increasing the pressure for vertical expansion.

Decorative ornamental works such as geometrical design of arches and cornices which are characteristic of traditional architectural style is also lost with the division of the houses. There is an urgent need to create awareness and stop the haphazard renovation of structures without understanding the importance and craftsmanship of traditional buildings. (Figure 5 and 6)



Figure 2: Celebration of Bhagawati Jatra at Shital Pati



Figure 3 & 4: Traditional Newari Houses in the core of Tansen display the authentic architecture of Tansen



Figure 5: Multi storied modern concrete buildings destroys the streetscape of the city (modern structures are in black and white) © C. K.C.

## Residential buildings in the city core

Residences within the core area range from simple vernacular style to other styles. The architecture of traditional residential buildings in the core of Tansen is predominantly Newari. These Newari buildings are load bearing fired brick or adobe masonry structures. Symmetry in the façade achieved through a central axis of a main window or door is a key feature of the buildings. Almost all the houses have a shop or a workshop in the ground floor with the elevation of it fairly simple. The houses are usually two or three storeys above a ground floor. In contrast to the rich detailing of windows in the residential buildings of Kathmandu valley, the design of windows in the residential buildings of Tansen is much simpler. However, the standard pattern of the windows in each floor creates a very impressive external facade of the houses. Decorative ornamental works give architectural expression to the facades. Ornamental works made of terracotta, plaster and timber in the door and window lintels, cornices, pilasters and arches are still visible in the houses. Each and every house in the core has their own design which is very much indicative of the period it was built. All the plinth levels and floor levels of the houses are same. The skyline of the houses is also similar. It is considered fairly expensive to conserve a traditional residence which is leading to the demolition of such houses and construction of newer houses. Figure 7, 8



Figure 6: Shital Pati, heart of the city. Also seen is the new bank building with blue glass panes.



Figure 7: Transformation of sloped roof in traditional building to the flat roof of recent developments

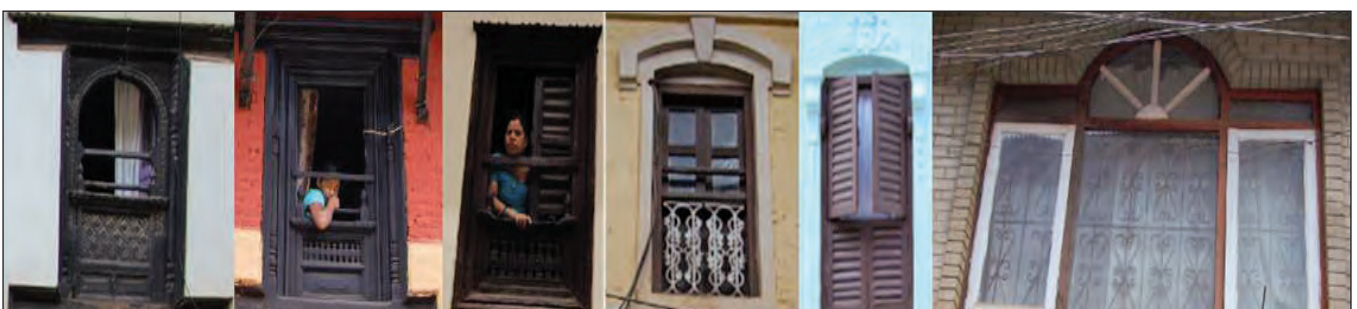


Figure 8: Modification of wooden opening over the years



Low ceiling height, limited interior space and physical division of interior space due to breakdown of traditional extended family are also the reasons for the homeowners to opt for buildings with modern materials. The current trend to build high ceiling heights in the city core is destroying the harmony between adjacent new and old buildings. The municipality should identify suitable private residences which have restored or preserved their houses encouraging the homeowners. Also, design guidance and material subsidies should be provided. The traditional buildings in the city core are diminishing day by day. However, everything is not lost as a large number of traditional buildings still remain in the core. Out of the 216 houses surveyed in the core area, around 58 houses have been replaced with new construction, which is only around 26%. Tansen still has a huge stock of traditional building houses which needs to be preserved as it is a part of the living heritage and will be an asset for the tourism development of the city.

## Constraints and potentials of the core

### The potentials of the core are:

1. Buildings with rich architectural and historical significance. The core consists of outstanding commercial and residential buildings along with monuments, temples, public squares and open spaces.
2. Residential buildings from different period of time.
3. Rich in intangible heritage. The core is the center for all the cultural and religious activities of the Tansen. All the

jatras that take place all year round in Tansen starts and ends in the core area.

4. Center for all the commercial activities. The core is the main center for all the commercial activities, which can be found mainly in the Makhan tole area and the other roads radiating from the Shital Pati.
5. Established Dhaka and Karuwa handicrafts shops in the core. Dhaka shops line the street in front of the Tansen palace in Makhan tole.

### The constraints of the core are:

1. Difficulty in gaining access to proper materials and craftsmen that understand traditional building techniques. This difficulty in rehabilitating old buildings also leads to the replacement of their dwellings with modern cheaper structures.
2. Modernization and changing lifestyles which have physical and spatial implications inconsistent with those previous determined built environment.
3. The continuing process of land subdivision which increases the pressure for vertical expansion. This results in irregular architectural consistency and lack of light and ventilation to those on the ground.
4. Lack of financial incentives and funds for carrying out the preservation of the traditional residential buildings.
5. Inadequacy of drinking water and drainage in the core.
6. Lack of management and maintenance of the historical buildings.
7. Rejection of bylaws by the local community – building by laws flouted.

## Recommendations

### The recommendations for the preservation of traditional residential buildings are:

- Façade retention
- Community awareness
- Urban design guidelines
- Changes in the building bylaws
- Active and efficient institutions

### *Façade retention*

Different strategies have been adopted by historic cities around the world to stop the high rise development in their cities or development of any building inconsistent with the prevailing urban form. Façade retention might be a much-needed solution for the conservation of buildings especially residential buildings. Façade retention or facadism is a controversial topic as it gives rise to the main issue of whether

or not it is an honest approach for preserving architectural or historically important buildings. It is a compromise between demolition by losing the entire structure and historic preservation where the cost is high. Once a house is demolished then the historic value of it is lost even though it is rebuilt with traditional elements. Hence façade retention will help to retain at least the part of the buildings visible to the public. The owners of traditional residences facing the streets and squares should be encouraged to restore, renovate or rehabilitate rather than demolish. They should be made aware about the conservation of these buildings and in turn the contribution of it to the tourism of Tansen.

Many buildings are also being ripped down due to the scarcity of space but the solution is not ripping it down, rather it is a better utilization of the space. Houses can also

be enlarged by the sympathetic addition of floors and the additional floors having the same façade design as lower structures. This will save the lower structure and in turn save hard-earned money. A study done by DUDBC on Tansen Durbar and areas surrounding it (2009) also suggest the need of retaining the facades of houses around Tansen Durbar as the modern structures around the palace destroys the authentic image of the palace. Façade of the building in the traditional silhouette will help to preserve the soul of the building and in turn the construction technique.

### ***Community awareness***

Community is an indispensable factor for heritage preservation. Community support and awareness are necessary for this kind of project as residential traditional building is a private realm and the homeowner has authority to develop their house the way they want. Only through community awareness about the importance of preserving the buildings and community support through knowledge sharing, providing technical manpower and tax cut can a project be successful.

Numbers of residents from different toles of the core area were interviewed about the importance of preserving traditional buildings or the façade of the buildings. The interviewed residents were supportive and aware about the preservation of traditional buildings. All the owners and inhabitants of traditional houses were proud of their traditional style houses. Everyone had emotional attachment to their homes and agreed that their residences needed to be maintained and conserved. However, residents complained that people living in the modern houses often portrayed the ones living in the old houses as poor. Lack of knowledge and manpower for the maintenance of the old houses was also an issue raised by residents. Everyone understood the need to retain the traditional structures for the economic benefit brought by tourism. Community members can be involved by asking them to survey and identify group of houses that urgently need assistance for preservation. This will help to show a truer picture of the community and also lead to a discussion on the preservation of the residential buildings.

### ***Urban design guideline***

The Urban Design Guideline (UDG) provides broad principles for urban design that take into account the unique characteristics of the location. It is a valuable tool for owners, architects and engineers intending to carry out restoration works or development of a new building. It serves as a guide for future development decision for the core area. The UDG makes it possible to preserve its heritage and make the community aware about the design aspect. This guideline

also helps the municipality to make the necessary change in building bylaws. The study of Tansen palace and areas surrounding it also suggests the need for an urban design guideline for the conservation of the historic buildings.

### ***Changes in the building bylaws***

The bylaw of Tansen is inadequate as it does not address the issue of conservation. The building bylaws mention about different land use zones within Tansen but does not mention about a conservation zone. Building bylaws according to the different zones and sub zones such as conservation zone, preserved monument sub zone and traditional residential sub zone will be effective in addressing the issues of conservation. Also, there is no enforcement of the existing building regulations. The municipal authority seems to have taken a back seat for preserving the streetscape of Tansen. The authority needs to take an active role in changing the building regulations, make the community aware about the regulations and enforce the existing building regulations.

### ***Active and efficient institutions***

Management of a historic town like Tansen with a huge contradiction generated by modern development is a difficult and complex enterprise. The municipality should play a major role in the process of conservation. All the interviewed residents believed that stronger enforcement of building bylaws are needed for preserving the traditional buildings. Also, municipality should provide official recognition to those who have preserved their houses for encouragement. Material subsidies as done in the case of Bhaktapur Municipality or architecture design guidance should be provided to the homeowners willing to preserve their buildings. Innovations in design based on the knowledge of traditional built form should be encouraged by the municipality. Bridging of communication gap and developing rules of engagement is necessary.

Different groups and organizations should also work together, for example: Business Owners Association works with municipality so that business that have traditional storefronts get tax discount. The implementing institutions such as the municipality office of Tansen should be efficient as it is them that can provide incentives to locals through tax cut, technical and financial support. As mentioned before, identification of the houses prioritized for preservation or façade retention should be done in collaboration between the municipality, tole representatives and guthi representatives. Public/ private agency should be setup for the safe guarding of the historically significant public buildings and the residential buildings.



## Conclusion

The architecture of Tansen is quickly transforming from sporadic traditional buildings of sloped tiled roofs, wood carvings and brick facades to concrete jungle of flat roofs, vibrant colored mishmash facades and weird looking columns. Tansen needs an integrated rather than piecemeal effort for the preservation and rehabilitation of old buildings. Focus should be on the entire city rather than individual buildings. This is possible only through public participation, awareness

and collaborative approach to conservation. Tansen is the main heritage center of West Nepal and constitutes Newari style building both from Malla and Rana period. This needs to be preserved and linked to the tourism development of Tansen for the economic benefit of the town. Cities are in a state of continuous transition for economic progress but this change has to be in line with our historic culture, traditional and architecture.

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# Language, media and citizens in indigenous Mexican community cultural heritage

Alberto Farías Ochoa

## Short biodata

Alberto Farías Ochoa is a professor at the University of Michoacán, and is known for his work as researcher in the communication and sociology areas, specifically those developed in indigenous communities of the state of Michoacán, México. He is a part of the Education PHD program at the National Pedagogic University, and is working on a research of the citizen construction and communitarian media developed by youths and indigenous people. Most of his works were developed as a member of the National Association of Communication Researchers in Mexico, in which, one of his objectives is to show how indigenous communities are developing citizen and communitarian goals in order to solve their environment problems. He is currently the academic coordinator of the Linguistic and Literature School in the University of Michoacán.

## Abstract

Since the last years of the XX century, indigenous communities of Michoacán, México, have been facing different problems in their towns, such as migration, violence, poor education, segregation and poverty, amongst others. This situation has forced people to demand for better conditions and opportunities for their families from the government. Mexican government has implemented old policies by giving meals and financial support to families each month, which is not enough. In contrast, indigenous families have implemented real communities supported by different NGO's programs, where the purpose is to grow in a cooperative way assuring the preservation of traditions and the incorporation of the new indigenous generation in the global dynamic of this world. Native indigenous language, and traditions, as part of the cultural heritage are optimized by the cooperative programs. As an example, the Purepecha Community of Angahuan has built a communitarian radio where several problems of the town are discussed; migration, epidemics, ecologic preservation and domestic violence, among other topics. They are developed in Purepecha language and with the support of different NGOs and universities. The purpose of this presentation is to show how civil society, represented by academics and activists, are starting to participate as an alternative help to the Mexican government through different projects, in which, the citizen understands the Indigenous World Heritage as an important way to preserve communities and to help with the everyday problems.

Today in Latin-American Countries, the World Heritage Convention has to be retaken as a guide to develop and improve different town's dynamics. In some countries like Mexico, heritage is being seen commonly as a touristic attraction that appears on the brochures. In fact, not too many people recognize the importance of having a World Heritage in their land. These people do not take care of their own treasure and do not have love for their lands.



During the first decade of the XXI century, Mexican indigenous towns had several social problems, such as violence, poverty, identity crisis, migration, poor education, and racism among others. In the Latin American Youth Survey developed in 2013, more than 80% of the Mexican youths were worried about employment situation and violence in their environments. Migration is another old phenomenon that appears to be a common aspect in the life of some Mexican towns. Today in the XXI century it takes greater importance, because it has contributed to the identity crisis of migrant's sons who don't recognize themselves as a part of one country.

Violence is a huge problem in Mexico that not only affects those involved with criminal organizations, but also different areas of the common lives. As an example we find several towns on the borders of the country that have been abandoned because of everyday fear. Most of the people that abandon small towns because of the violence often go to big cities where they cannot find a living place or a job.

Different social problems often converge at the same time in different ways, which makes situation even more difficult for citizens. The Cherán Indigenous Community is one such example, where people developed hostile activities in order to protect their forest, economy, tradition and their families from criminal organizations. In this case the poor circumstances of majority, and the difficulties of the government to work with a community that recognize itself as independent, caused a tense situation generated by several violence actions in the zone (Purepecha area of the State of Michoacán).

'After the kidnapping and killing of two more of its comuneros, or residents, Cherán traditional leaders are demanding state and federal authorities to provide protection for this semi-autonomous indigenous community fighting

illegal logging in Mexico's western state of Michoacán' (Think Mexican, 2012).

With this panorama we can see that most of the government efforts are focused on economic and criminal problems. While education, identity and racism are being combated by civil society represented by NGOs and educational institutions. We have to note that civil communication media has helped to combat this kind of identified problems in some Mexican communities.

Michoacán is one of the biggest states in México, located in the centre of the country with more than four million population, and with particular characteristics of intercultural life among indigenous communities and Mestizo people. Michoacán is recognized for its historical and cultural richness and is a preferred destination for foreign visitors. With natural resources, ancient traditions, colonial cities and autochthon towns, Michoacán has faced social problems, and is making efforts to share its traditions and hospitality with the visitors.

In the state of Michoacán, the UNESCO has recognized two places as part of the World Heritage, the Historic Center of Morelia, and the Monarch Butterfly Biosphere Reserve, in the category of the historic buildings and cities, and the biosphere preservation heritage. In Michoacán we can also find three intangible heritages, all of them developed by the Purepecha indigenous towns; the Pirekua traditional song, traditional and ancestral Mexican cuisine, and the festival dedicated to death.

This tangible or intangible World Heritage in the state of Michoacán is partially known by the Mexicans due to tourism campaigns. But only a few can understand deeply the importance of this world heritage in their land. Educational system is making efforts to show youths and



Figure 1: Angabuan main church, where communitarian radio is located.



Figure 2: Purepecha Indigenous teenagers with typical customs

children the importance of preservation of the heritage and its transcendence. Sadly, people who are not in the formal education system can hardly understand the advantages of preserving world cultural heritage.

We truly believe that heritage preservation is not only a government duty, but local communities have to participate through different strategies and commit. In case of Michoacán communities, the current efforts for promoting and preserving heritage can be added to the ongoing works of the sustainable development, which can be a win win scenario, as exposed by Kaldum (2012).

Trying to find an efficient way to involve communities in the promotion and preservation of the World Heritage, we worked on the idea of educating through a ‘community of practice’ about heritage importance. This proposal involves the need to pay attention to different aspect of the social community life, such as everyday practice of the people, economic conditions, educational limits, native language, traditions, and social construction through communicative practice.

Working with communities need the participation of peers in a teaching and learning role, and demands high level of

compromise from those involved with the project, which can be difficult at the beginning. Communities of practice also give the opportunity to develop group goals in their own environment and face problems together as a team. This is an opportunity to generate collaborative knowledge and improve skills of each as an expert.

Focused in collaborative knowledge as the main result of work with a community of practice, we decided to work with a specific group of indigenous people of Michoacán. The purpose was to generate collaborative knowledge about the importance of World Heritage, with the belief that indigenous people could generate their own concept and categories about heritage meaning and recognize their heritage as important and as their own treasure.

To work with a community of practice a plan was developed with the Purepecha indigenous people from the state of Michoacán. This plan worked with a civil media as the main tool for the project and considered Purepecha language as the principal advantage of the project, which made the project attractive to the native audience in their own town.

## The Angahuan Communitarian Radio

Angahuan purepecha town is located about 35 km from the Uruapan City, in the state of Michoacán México, with approximately 8,000 inhabitants, and with Purepecha as the main language of the town. The main economic activity is through tourism and locals occupation include taking visitors around the Paricutin Volcano, meal service, hiking guides and horse riding service. Other economic activities in the area are wood work and handmade souvenirs production.

Despite the current economic activities, the Angahuan community is one of the poorest communities in the state of Michoacán where several social problems are detected, such as domestic violence, alcoholism, migration, and low level education. As a matter of fact, in more than 65% of the families, women are the main economic support because men are out of town or have alcohol problems.

Youths are important in the community as they help their families and work. At the same time they attend schools too. Angahuan has three basic schools and one high school. These youths have helped to lower the percentage of people leaving the community in order to emigrate to bigger cities or to a foreign country, principally to work in the USA.

The role of youths in the community has also collaborated with the educational needs, especially with basic Spanish literacy. The way of collaboration of the youths in the preservation of traditions and in the transformation of their town is transcendental. This collaboration is not given from schools but by participating actively in the everyday community problems. They are part of the solution and are also the main group affected in their own communities.

Angahuan community is governed by their own traditional system and not as the common democracy practiced in other cities of the country. In these kinds of government, the Old Council and the popular assembly have the main weight. People in the community are included in the assembly expositions from an early age, assuring understanding of the importance of communitarian problems and decisions. Once the youths become citizens they actively participate in the problems and solutions of the community.

One of the biggest problems recently detected in the community is the pollution around the area, provoked by the haphazard use of water, soils, combustibles and plastics. In this panorama, a group of high school students organized



by the church made a study where they found a high level of noise pollution in the community which was affecting the frequency of tourist visitors and farm animal production.

The small group of students took the duty to investigate the causes of this noise pollution and the possible consequences for their community. Thanks to a small, but systematic observation, they realized that people were making noise pollution by advertisements and playing it indiscriminately. These people were trying to sell their products and put big speakers on the top of their houses and played spoken advertisements throughout the day. There were more than 100 speakers playing at the same time. Adding to this situation, students detected another noise problem; people were playing loud music on the streets at night and drinking.

The same group of students, supported by the church, had an idea to implement a small communitarian radio, where people could advertise their products as an alternative. With this proposal, the community hall would also be able to take advantage of the media and develop other information systems important to the people, like information about different social programs implemented in the town.

To implement a radio station in the community wasn't an easy task. People did not have infrastructure, economic resources and broadcasting skills needed in this kind of media projects. The youths of the community tried to get support from citizens, residents and not residents in

town. This way they could get economic support from the immigrant associations in the USA, as well, training in radio broadcasting from the Communitarian Radio of Zacán, and feedback from several university students working doing social service with the community.

Finally in the summer of 2004, Radio Sapicho began broadcasting in town, giving people opportunity to share information and contents in their own language and taking into account their needs as a community. Radio Sapicho was a huge goal achieved by the efforts of the youths, supported by the Old Council and the church. In the beginning, the audience in town did not identify the radio as their own, but after some years of continuous working Radio Sapicho became the main part of the everyday dynamic in town.

Most of the relevant contents presented on Radio Sapicho are related with Purepecha traditions, architecture, agriculture techniques and festivities. One of the most important information, presented in the news section of the programming was in 2010 when the community was informed about the traditional indigenous cuisine and the Pirekua song, which were inscribed on the representative list of the Intangible World Heritage by UNESCO. By this time people recognized that something important had happened with their traditions, and that they were recognized by a very important organization in the world, but truly, they did not understand the concept of World Heritage and the real importance of their participation in it.



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Figure 3: Processing the corn, the main element of the typical purepecha cuisine



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Figure 4: Purepecha woman on typical economic activities

## Building the World Heritage concept in the Radio Sapicho Community of Practice.

The broadcasting team of Radio Sapicho is totally constituted of youth from the community, who work for free and are motivated to participate in communitarian media. The youth staff does different activities related to the needs of the radio station and write scripts for the programmes too.

In 2010, one team of production was trying to edit a special insert about the UNESCO recognition in Michoacán state. They got documentary information from libraries and newspapers, and then went out to ask people of the town to record their opinions about this issue. The team faced many problems recording opinions because people did not know anything about the issue. Youths had problem explaining the meaning of World Heritage to people. They realized that they did not have a common translation to explain it in Purepecha language.

The production team shared their opinions about the problems and got more interested in World Heritage issues. They asked university professors for more information and they got a proposal to visit and investigate those World Heritage places located in the state of Michoacán. With the purpose to encourage collaborative learning, the team was invited to work in a 'Community of Practice,' taking advantage of their disposition to learn and teach their neighbors.

In 2010 the youths of the radio staff, decided to visit the Monarch Butterfly Biosphere Reserve, inscribed in the UNESCO list in 2008 as World Heritage. They could witness the majesty of the place and the importance of world efforts to preserve this kind of places, which is a real treasure for new generations. Since that moment, youths decided to formally start with community of practice, where the main purpose was to generate conscience of the importance of world heritage with their peers and the people of their town, children and adults as well.

At the beginning, youths were confused about the learning system; as they did not understand their role as teachers of their peers, or even more complicated, the teachers of their parents and grandparents. After orientations by professors, they started understanding that their communication is already an educational performance, even more when there is the mass media in practice.

Going forward and facing different problems, most of them related with the non-formal education system, so the team decided to get a special space in the radio programming to develop contents about world heritage and its importance. They produced spots, audio insertions, and interviews with experts and informative capsules, in Purepecha language, for the people of the town.



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Figure 5: Purepecha girl in the broadcasting dynamic



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Figure 6: Teenager on the film practice in a heritage tour



## World heritage in Purepecha language and thinking

During the interaction between the people and staff of the radio show, the youths faced another problem; the difficulty to translate the concept of World Heritage from Spanish to Purepecha language. It would be translated as 'land' (ireta), other time as 'from the town' (iretarhu anapu), and sometimes as 'home' (k'umanchikua).

People started to ask what could be the best option to translate World Heritage. Purepecha language experts tried to explain several possibilities, they showed that it was a concept related to all world propriety, but also related with an identity of a particular culture. The problems persisted as the concept continued to be discussed by the youths at the radio station, but it was the first indicator of learning in progress.

One day, on the radio show, the youths worked a special dynamic of participation with people in the audience, inviting old people to give a name to something that is special, important, valuable, communitarian and treasured. Nobody could give a name, but the interesting fact was that many people, old and young, participated giving their opinions and composing complete ideas about the issue. Most of the ideas revolved around traditions and land, pointing out the importance of preserving them as the best resource for the next generations.

The production team realized that the World Heritage concept in Purepecha community was not a problem regarding translation but a holistic understanding of the concept. The experience of trying to find a way to name the concept forced people to think of other facts, which are important to the purpose of understand a common idea.

During the radio show, there were people from town seeking for more information about the possibility of inscribing the Paricutin Volcano as a World Heritage, and understanding that it could be a good option to optimize the touristic importance of the town. It was explained to these people that there were requirements and characteristics that had to be evaluated by an international committee.

Once the radio show continued, Angahuan's schools asked the radio to produce more information about the World Heritage, but this time about the Intangible World Heritage. They started giving importance to those Intangible World Heritages related with Purepecha indigenous traditions, specifically with those recognized by the UNESCO in the state of Michoacán; the indigenous festivity dedicated to the dead, the Pirekua traditional song, and the traditional Mexican cuisine.

With the schools giving importance to the Intangible World Heritage, children and youths in the community realized that in this important way of World Heritage, they as an indigenous ethnic were considered as an important town in the world. Talking about the Intangible World Heritage



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Figure 7: Group of women on typical purepecha cuisine exhibition



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Figure 8: Old man on his everyday responsibilities in the community

with children and youths of the community was a difficult issue due to linguistic problem. Again, the staff recognized translation problem of the World Heritage in Purepecha language, but this time with a new difficulty, explaining the possibility of giving special value to something that is intangible.

The experience of giving importance to the Intangible World Heritage in the programming of the communitarian radio station was a profitable strategy. Families got involved with the issue and asked for ways to participate in this kind of award. Some families looked for government assistance to get themselves formally and actively involved in the diffusion and promoting of the greatness of their culture, understanding at the same time that this participation could bring different benefits to the community.

The concept of the World Heritage clearly got a transformation in the public domain of the community, people got interested in the issue, and students developed different questions regarding the importance of their own cultural treasures. The same students with the help of teachers started organizing visits to those places that are in the UNESCO list of the World Heritage, inside and outside of the Michoacán State.

Youths of the radio station staff witnessed the evolution of the issue in their own town. They lived the transition of total ignorance about the concept, the problem and intention to translate it, and the interests of the community in different ways to get involved with the World Heritage advantages. Finally those students that were participating in the community of practice shared their own experiences. Among the partial results found besides translation of the World Heritage concept was to understand the concept by getting involved

After almost a year of working with the radio show, one of the most profitable experiences of linking the people with the communitarian media and with some government instances through the world heritage concept was to orientate a special group of cooker women. These women got the opportunity in participation with the government (Tourism Secretariat), specifically for international touristic demonstration developed by the government, where the indigenous autochthon cuisine of Michoacán was the main attraction for visitors.

## The indigenous cooking women and the Intangible World Heritage

The staff of Radio Station invited the women in town to expose the importance of the traditional cuisine, and to

select the most important dishes that are representative of the Purepecha area. As a result, many women interacted and gave their perspectives about the cuisine and the different techniques to develop it on a daily basis.

The participation was high and the discussion about traditional cuisine got a bigger dimension transforming it to a kind of contest, where women got an opportunity to share their views. Several insertions were implemented where women could explain a special cooking process and show meaning they usually gave to different cuisine specialties.

Due to the radio station and the participation of different groups of the society, the diffusion of many alternatives of participation in the community were diffused. One of the information that the radio station got from the government instances was related with the possibility of participation in the Intangible World Heritage practice. The Michoacán Government was interested in the participation of Purepecha indigenous women in the international exposition of the traditional cuisine.

Through the radio station, the church and professors working in the community, women specialists in cuisine were explained the advantages of participating in expositions. Purepecha women usually do not go out of town alone. But this time they were convinced to confirm a representative team and get closer with the Touristic Secretariat of Michoacán, who supported these women.

The Tourism Secretariat of Michoacán organized the traditional cuisine exposition since several years, but after the participation of Angahuan women, they had a good perspective about this town and its culture. These women realized the importance of cultural knowledge of their town, the World Heritage value and the Intangible World Heritage.

Since the first participation of the Angahuan women in the traditional cuisine exposition in the state of Michoacán, authorities were grateful to these women and were always invited as a main element of the festivity. Due to this profitable participation, audiences in different places of the state, indigenous and non-indigenous towns have learnt about their ancient traditions.

The participation of the cooking women team was reported through the radio station. When the radio station staff asked the cooking women team about their perspective about the World Heritage, this time all women were able to give their own version of the issue giving details and relating with special facts of the life in their families and in the communities.



## Some results so far in the experience

During the different steps of working with the youths and women in the community, we realized that the World Heritage was not an easy concept to learn by translation. It is a deep issue related to practices in the community, and even when the World Heritage under discussion was far from the town or in other country. We could also observe that people usually are interested in participating with cultural proposals better when they find a good reason to get involved looking for advantages for their families and town.

Taking some results from the community of practice originally conformed by youths of Radio Sapicho; we can partially talk about the next results observed, specifically in the learning process of the youths during the practice in Radio Station. According to Etienne Wenger, and taking into account our own experience, we had these four premises on the learning that were presented in World Heritage concept process:

1) We are social beings. Far from being trivially true, this fact is a central aspect of learning.

- 2) Knowledge is a matter of competence with respect to valued enterprises – such as singing in tune, discovering scientific facts, fixing machines, writing poetry, being convivial, growing up as a boy or a girl, and so forth.
- 3) Knowing is a matter of participating in the pursuit of such enterprises, that is, of active engagement in the world.
- 4) Meaning – our ability to experience the world and our engagement with it as meaningful – is ultimately what learning is to produce (Wenger, 2007).

Today, we are working on different results of production. The community of practice has changed and has transformed focusing on other objectives. We can assure that it has been an excellent alternative of teaching and learning experience between peers, especially about the World Heritage concept which has taken its importance in our times as potential help for governments facing social problems in Latin America.

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# Cultural education as a key to community empowerment

Nicole A. Goetz

## Short biodata

Nicole A. Goetz (b. Glenelg, Australia) received her M. A. in History of Art and Archaeology from Albert-Ludwigs-Universität in Freiburg (Germany) in 2011. After her studies, she worked as a Research Assistant at the Department of Archaeology at University in Freiburg. From 2009 to 2012, she has been part of the excavation team at the ancient site of Assos (Behramkale) in Turkey. She is trained and has been working in Curative Education and Social Therapy. Therefore she is experienced in working with groups and social processes. She is an active member of Freiburger Nepalese Association and is interested in Nepalese art and culture.

## Abstract

The cultural heritage of the Kathmandu Valley is threatened by dramatic and rapid changes of its environment and needs more protection today than ever before. In order to safeguard this outstandingly rich heritage, the participation of the local community is vital. But how is community mobilization possible? And how can awareness be raised on how to safeguard heritage in a vivid urban environment? Cultural education can be one effective key to build up capacities and foster prosperous community involvement.



## Introduction

The cultural heritage of the Kathmandu Valley is outstanding in its richness and plenitude. In 1979 AD seven sites of the valley have been recognized as World Heritage property. Since then the definition of cultural heritage has been expanded to include intangible heritage. In this aspect the Kathmandu Valley is also a treasure chamber with a multitude of customs and traditional techniques, many of the local Newar society. For centuries, the city has been a melting pot, inhabited by different ethnic groups living side by side. With Kathmandu being the political, economical and cultural centre of Nepal, the last decades have seen the population of the valley growing rapidly, with immigrants moving in from all over the country. The largest metropolitan of Nepal has been facing unprecedented development and urbanization. Surroundings and society are ever-changing, rapidly and considerably. The forces of modernization are extremely strong, threatening existing cultural heritage. How can modern community life and ancient traditions and heritage coexist?

The traditional, decentralized and autonomously working Guthi system, which has proven successful to organize

community work and activities maintaining cultural heritage in the past, is nowadays weakened and only partly functional. The last decades have clearly indicated that new forms of community involvement must be established. According to the 2003 UNESCO Convention, participation of the community in the safeguarding and nomination processes of intangible cultural heritage needs to be fostered. This has once again been approved at the Buyeo Meeting in 2012. Cultural heritage and especially intangible cultural heritage is closely linked to community. It derives from it, belongs to it and is vitalized by it. Hence it is crucial that the local community is willing to participate. But how is community mobilization possible? How can capacities be built up? Identification with and the valuing of cultural heritage are essential principals, forming a strong base on which the disposition to participate can soundly settle. Cultural education can be one possible and effective key to foster successful community involvement. Therefore various approaches to cultural education, in the broader sense, must be established for people of all ages and from all walks of life.

## Cultural education and its potential benefits

Cultural education is defined as a process of learning and looking into oneself, the environment and society by the means of the arts and their outcomes. The tentative list of arts fields, which has been a result of the UNESCO meeting on arts education in Lisbon in 2006, includes: 'performing arts [...], literature and poetry, craft, design, digital arts, storytelling, heritage, visual arts and film, media and photography. The list of categories of cultural education published by the Ministry of Science, Research and the Arts, Baden-Württemberg (Germany) in 2013 shows a very similar outcome. 'Heritage' is defined as 'preservation of regional traditions.' To this effect the manifestations of intangible cultural heritage defined by UNESCO in the Convention for the Safeguarding of the Intangible Cultural Heritage (Paris 2003) read like a manual for cultural education. They are:

- (a) oral traditions and expressions, including language as a vehicle of the intangible cultural heritage
- (b) performing arts
- (c) social practices, rituals and festive events
- (d) knowledge and practices concerning nature and the universe
- (e) traditional craftsmanship.'

Cultural education includes studying intangible cultural heritage and can be extended to include learning about tangible cultural heritage, like Kathmandu's World Heritage sites and traditional town centres.

According to Karl Ermer education is a process with three main functions: preparation for vocational life, enabling of political and social participation and self-development. The main focus lies usually on the preparation for vocational life. Within the last years, cultural education has been highly acknowledged as an essential part of education regarding self-development and thereby the enabling of political and social participation. The World Conference on Arts Education in Lisbon 2006 came to the following conclusion:

'Building creative capacity and cultural awareness for the 21st Century is both a difficult and a critical task, but one that cannot be eluded. All forces of society must be engaged in the attempt to ensure that the new generations of this century gain the knowledge and skills and, perhaps even more importantly, the values and attitudes, the ethical principles and the moral directions to become responsible citizens of the world and guarantors of a sustainable future.'

Universal education, of good quality, is essential. This education, however, can only be good quality if, through Arts Education, it promotes the insights and perspectives, the creativity and initiative, and the critical reflection and occupational capacities which are so necessary for life in the new century.<sup>7</sup>

Cultural education, however, is not exclusively aimed at young people. It is a fundamental part of general education and therefore part of the process of lifelong learning. Cultural education can help to raise the awareness of the community for its cultural heritage and to establish or deepen a caring connection between community and heritage.

## Aims and objectives of cultural education in heritage conservation

### Short-term objectives are:

- to raise general awareness of the necessity to safeguard cultural heritage and of the process of community involvement
- to inform and educate about cultural heritage
- to empower the community by raising awareness that it is the true expert on intangible cultural heritage and to sensitise it to already existing knowledge, skills and dormant potentials regarding all cultural heritage
- to foster the appliance of knowledge and skills, also in teaching others

The long-term objective is an empowered, well networking community, which safeguards cultural heritage in a largely self-motivated and self-determined way within certain frameworks.



Fig. 1: Ganesha Puja on Patan Durbar Square

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## Community involvement and cultural education

These days, the local community is maintaining numerous sites of the Kathmandu Valley. The preservation of these sites for future generations is an immense task. Generally the intentions of the community regarding maintenance are good, but the outcome of its activities is in many cases not according to heritage conservation laws and ideals. Nonetheless, this great potential of community involvement should be fostered and its energies channeled. Therefore it is vital, that community and experts meet and communicate their different views and opinions, their different approaches and very importantly, their different needs and wishes. This process can then lead to common solutions. Additionally it is

important to generally raise public awareness of how to care for heritage sites. Effective means to inform people are the media, such as radio, television, newspapers and the Internet.

In other cases, the willingness to participate in heritage conservation is small. Some owners of old houses, for example, prefer to tear them down and build new ones, according to their needs, instead of maintaining the traditional heritage. This happens due to various reasons, but often improvement and modernization of the living standards are the driving forces. Laws exist and penalties are one possible solution. If applied, however, they will separate



the two parties even more and the opposition will increase. The aim should much rather be house owners and experts working together on a common goal. Therefore open communication is of vital importance, as well as a constant flow of information between the two parties. It is also necessary to educate and inform people about the values of traditional houses and their inherent potential for the future. If people understand and are generally more aware, owners might be willing to face the 'burden' of an old house.

The Belgian city of Brussels is famous for its Art Nouveau and Art Deco architecture. Today these buildings are highly valued, protected by heritage conservation laws and are generally well preserved and looked after. But it has not always been like this: in the 1960s and 70s the city experienced uncontrolled development. Traditional houses were neglected and left to decay, torn down without any regard to their value, in order to clear precious urban space

for modern high-rise buildings. The word 'Brusselisation' derives from this development. Protection of historical monuments started in Belgium in 1993 and since then the values have shifted. Nowadays historical buildings are seen as objects of prestige. House owners are proud to possess them and accept the challenge of their authentic conservation gladly and voluntarily. The Art Nouveau and Art Deco Biennial has been established, where house owners open their homes for guided tours on weekends in October. During the event there are different fairs taking place, e.g. the Heritage Restorers' Fair, with artisans and craftsmen showing their skills and experts answering questions of the public. Maybe this development can serve as an inspiration for the Kathmandu Valley today. To open well managed, authentic traditional houses for the public can set an example and help other house owners and the community in general to recognize and appreciate their value. The same applies to craftsmen and artisans showing their traditional techniques.



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Fig. 2: A traditional house in Patan, divided after inheritance and partly rebuilt in a modern way

Günther Weiss, specialized on conflicts regarding land use, examined the processes of establishing solar and wind parks, focusing on the potential for conflict linked to them. According to his research, the opposition of such energy plants was huge whenever there was a lack of information for the community during the process, a lack of transparency of the process itself and of possibilities for the community to participate. But whenever these deficits were cleared, when the community was involved and informed from the beginning and given the opportunity to participate (e.g. through public opinion polls, public meetings or privately owned wind-farms), the opposition was generally small and the projects found acceptance. This shows that opposition and acceptance are not based on objective constellations, but rather on how the community is informed and how it perceives the process itself. If the process is perceived as being fair and frank, acceptance and the will to participate are generally high. In my opinion these results can be directly applied to the processes concerning community involvement in heritage conservation, with heritage conservation being one interest among many, regarding land use in an urban environment. The results indicate once more the importance of experts and community working together on a basis of mutual trust and respect.

In 2004, the Municipality of Freiburg i. Br. (Germany) decided to give its citizens the opportunity to participate in the development of a new cultural concept. In 2005, the first public debate took place. Workshops on different topics followed. The effort to organize such events is huge. Their outcome can never be predicted and might not be as expected, but they inherently bring about numerous positive effects. They bring people with different backgrounds, opinions and skills together to work on a common goal. This melting pot of ideas and influences might bring about ideas, which otherwise would not have been possible. Such events raise awareness of the topic they concern and they draw people's attention. The community is actively taking part in the process and is empowered.

Teaching about cultural heritage in schools might seem like a means to reach the objective of heritage preservation in the long run. However, it can also have an immediate impact. Children and young people, who study about cultural heritage in school, will share their experiences at home and will influence their parents, grandparents and other relatives. Since the percentage of young people in the community is high, their impact on today's society should not be underestimated. Furthermore, cultural education in schools is a great investment in the future of safeguarding tangible and intangible cultural heritage. For a start, volunteers of organizations working with cultural heritage could visit

schools to conduct different projects, to teach and share out information materials. A long-term objective could then be a Cultural Heritage Day at schools at a fixed date every year with different working groups and presentations.

The potential, which is inherent in children and old people, regarding the safeguarding of cultural heritage, is immense. Often it is not recognized and therefore neglected. Children are generally open. They have a great interest in the world that surrounds them and are keen on learning and doing new things. In contrast, people of old age are the memory of society. Their knowledge is vital for maintaining traditions, especially regarding intangible cultural heritage. They tend to have spare time and are usually happy to share their knowledge. Bringing these two generations together in the aim of safeguarding cultural heritage can release an unexpected potential. It is, when knowledge and the eagerness to learn meet. To my knowledge, there are no examples of putting this to use so far. The possibilities are manifold, but music and oral traditions, like storytelling and languages seem to be especially well applicable for this kind of projects.

Radio is a great medium to reach the majority of society without much effort. Radio broadcasting can have a great impact on society, as the following example shows. It is the success story of the independently working, community based radio station 'Radio VerteFessenheim' (today Radio



Fig 3: Courtyard in Kathmandu



Dreyeckland), which has been established in the Alsace (France) in 1977 as a medium to organize community protest. Later, branches in Lörrach and Freiburg (Germany) were set up. In the beginning, the station aired just once a week. Nonetheless, it played an important role in different movements. Broadcasts were trilingual: French, German and Alemannic, with Alemannic being a common dialect spoken by the inhabitants of the border areas of France, Germany and Switzerland, which is rarely used in common media. This might be one of the main reasons for the success of the radio station at the time, besides the common aims. The impact of language and especially of the mother tongue should not be underestimated. This is also important for the multilingual society of Kathmandu. Radio broadcasts can easily be adapted in different languages and thus can be used to preserve local indigenous languages and oral traditions, and at the same time foster the safeguarding of cultural heritage in general.

As a finishing note, let me give you an example of the Kathmandu Valley itself that shows how much a motivated person can impact others and eventually help to save the intangible heritage of the community from fading away with time.

Music, which is orally handed down from one generation to the next, is in a continuous evolutionary process. Gert-

Matthias Wegner, a music ethnologist and drummer, has studied the musical traditions around Bhaktapur and reports how they are slowly fading due to major social changes, the decline of the Guthi system and a changed taste in music among young people. As a researcher, Wegner applies the method of 'participatory observation.' While he studied the local drumming traditions from old men and has been actively taking part in playing the drum at processions and rituals, a growing number of youth came up to ask him about lessons. This finally led to the idea and foundation of the Department of Music of the Kathmandu University in Bhaktapur in 1996, which is today the leading institute in higher musical education and documentation of music in Nepal.

Wegner says the change cannot be stopped, but the institute and its ensemble 'Master drummers of Nepal' can set an example, having a positive effect on the community. Some musical traditions are dying due to social changes. In this case, the only possibility to keep the knowledge for future generation is via documentation. For the future, music as a subject in schools is already being planned. Maybe more traditions can be integrated into the curriculum of universities and schools in the long run. Traditional woodcarving, for example, could become an element of Design Studies at university.



Fig 4: Tacapal Square in Bhaktapur

## Conclusion

The rich cultural heritage of the Kathmandu Valley, which is threatened by dramatic and rapid changes of its urban environment, needs more protection today than ever before. Therefore the participation of the local community is essential. In past and present, the community is maintaining numerous heritage sites. While its intentions are generally good, the outcome is often not according to heritage conservation laws and ideals. Many problems of today's process evolve from a lack of knowledge, information and communication.

Cultural education contains a great potential for capacity building and community empowerment. Aims and objectives of applying cultural education in the process of heritage conservation are (1) to inform and educate about cultural heritage (2) to raise general awareness of the necessity to safeguard cultural heritage and of the process of community involvement (3) to empower the community by raising awareness that it is the true expert on intangible cultural heritage and to sensitise it to already existing knowledge, skills and dormant potentials regarding all cultural heritage and (4) to foster the appliance of knowledge and skills, also in teaching others. Long-term objective is an empowered, well networking community, which safeguards cultural heritage largely self-motivated and self-determined within certain frameworks. Generally, a good cooperation between experts and community is essential for the process.

The examples given may serve as an inspiration for the Kathmandu Valley. They are (1) to open traditional houses for the public and present the skills of artisans and craftsmen working with traditional techniques (2) debates open to the public concerning community involvement in heritage conservation (3) teaching about cultural heritage and having a Cultural Heritage Day in schools (4) use of

the media and especially radio (5) including cultural heritage, and here especially intangible heritage, in university courses. A great potential lies in bringing children and old people together in the aim of safeguarding cultural heritage. Music and oral traditions, like storytelling and languages, seem to be particularly suitable for this kind of projects.

These are some ideas and inspirations on how community involvement and capacity building by the means of cultural education are possible. Their collection and development has been inspired by the needs and circumstances of the Kathmandu Valley. Now it is up to the people in Kathmandu to choose whatever suits the process of safeguarding living urban heritage in the valley. The results will show while revisiting Kathmandu.



Fig 5: A traditional well in Patanamidst today's city life

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## Notes

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# Public participation towards managing cultural heritage

## Use of crowd-sourcing for conserving historic Ahmedabad

Rajdeep Routh and Piyush Shah

### Short biodata

Rajdeep Routh is an Architect, currently working as a Research Associate with Design Innovation and Craft Resource Centre, CEPT University, India. He is a graduate of Indubhai Parekh School of Architecture, Saurashtra University's bachelor's program in Architecture and since has been involved in the field of cultural heritage and its conservation. In the past years, he has worked at the Aga Khan Trust for Culture at New Delhi India, which included the conservation of Humayun's Tomb Complex, a UNESCO World Heritage Site. Apart from that he has also worked with Prof. Minakshi Jain on projects of international repute such as Amber Palace and Hawa Mahal, Jaipur. His current focus areas include exploring management approaches and policy systems for revitalization of urban heritage. He is an author of two research papers focusing on heritage management, have been published at 24th CIPA Symposium at Strasbourg, France.

Piyush Shah is a Geospatial and IT expert, currently working as a Geospatial Specialist with TARU Leading Edge Pvt. Ltd., Gandhinagar and as a Part Time Researcher with Design Innovation and Craft Resource Centre, CEPT University, India. He is a post-graduate of Faculty of Geomatics, CEPT University M.Sc. program in Geomatics. Alongside, he also holds a M.Sc. in Information Technology from Gujarat University. Since then he has been involved in field of GIS and Remote Sensing. In TARU he providing his expertise in Hazard Vulnerability and Risk Analysis Atlas for the state of Himachal Pradesh and a Real-time Disease Surveillance System. In DICRC he is providing his expertise in heritage GIS. His Current focus area includes GIS application and Geospatial analysis. He has also co-authored two research papers highlighting the use of GIS in heritage management, have been published at 24th CIPA Symposium at Strasbourg, France

### Abstract

India is a country rich in cultural heritage, but most of this heritage is getting lost due to issues arising at various levels. These issues range from problems at infrastructural level to illegal building activities, and it becomes almost impossible for the governing authorities to identify and address all. To counter this, the best possible solution is to involve community participation. This paper will hence discuss an apparatus which will allow community involvement and help the governing agencies address the maximum issues. The system will comprise of an application, helping the citizens to share information directly from ground. The app would be developed using a tool named Ushahidi, and will subsequently help map all the possible activities concerning cultural heritage for Ahmedabad. The apparatus will take information pertaining to various categories ranging from decaying heritage properties to identification of heritage. It allows the owners to list their properties for conservation needs and adaptive reuse. In special cases the application can also be used to map heritage buildings affected after natural disasters, along with that for policies such as Tradable Development Rights. The system is easy to use and allows anyone to send information through Web interface, SMS or Email. This information once received can be then validated for authenticity and then displayed on a map for further actions towards the issue. Thus, the apparatus gains importance as it allows the governing authorities to answer an increased number of concerns and involves public participation towards the conservation of the cultural heritage of Ahmedabad.



## Introduction

India is a country rich in built heritage, and its mapping forms an integral part of understanding it. The recording of built heritage, until recently, focused only the identification of the buildings and was customarily used for preparing listing reports and making policy decisions on larger scales. Because of these reasons, the focus has never been towards the recording of the innumerable concerns faced by our heritage along with recording the facets of heritage unknown till now.

During the past few years, the focus on heritage and its management by urban local bodies have increased considerably. This focus is majorly confined to the physical conservation of individual buildings and proposing blanket policies for the management of historic urban centers. Still, there is an acute shortage of public participation which forms an integral part of the sustainable management of the urban heritage. To make the heritage economically, socially and culturally sustainable, the role of public involvement becomes more important as highlighted by ICOMOS. According to ICOMOS Charter on the Conservation of Historic Towns and Urban Areas, the paramount and immediate effects of conserving and managing our urban heritage concerns the residents firstly. This makes it imperative to encourage the involvement of the local residents for the success of conservation activities<sup>1</sup>.

According to many experts, the one of the prominent factors of involving the local residents is that they are directly linked to the heritage, either through use or inheritance. This association can be across various categories, ranging from identification to support of the characteristics, infrastructure

and economic probabilities of the cultural heritage. Moreover, to make the heritage revitalizations effective for a place, it is always invaluable to involve the public and make it acceptable amongst the residents. Thus, social involvement undoubtedly constitutes a major part towards sustainable conservation of our heritage. This paper will hence discuss an apparatus which will assist the process of public participation and help identify various issues effecting Ahmedabad's urban heritage on a daily basis<sup>2</sup>.

The paper talks about a prototype which comprises of various issues, listed categorically, through which the residents can register or inform about the matters happening throughout the walled city of Ahmedabad. The applications has been developed for a sample study with the use of a tool named Ushahidi, and will act as a model for mapping the issues causing the decay of the urban heritage for Ahmedabad. Currently, the prototype has been developed for the historic core of Ahmedabad, but can gradually be used for other historic precincts across various cities and towns in India. The various categories listed range from issues such as damage, illegal construction and hazardous buildings to identifying interesting examples of the tangible and intangible heritage. The app also helps identify the owners who wish their property to be adapted, and also volunteers to wish to help the conservation drive. This information would be relayed to the municipal authorities, who after validating it will take appropriate action. Thus, the output will produce comprehensive and meticulously catalogued information, essential to facilitate the revitalization of historic Ahmedabad through involving the community, bringing them closer to their own heritage and making it an integral part of their lives.

## Ahmedabad and its Heritage<sup>3</sup>

The present day Ahmedabad is a bustling metropolitan city, with an area of 464 Sq.Kms. and is home to five and a half million people. The origins of the present day historic settlement of Ahmedabad can be traced back to AD 1411, when Ahmed Shah started the erection of a fortified settlement on the site of Asawal, the earlier settlement. Today, the core walled city occupies an area of 4 Sq.Km. Right from its inception, the city has seen progressive development and has been willing to adapt to new trends. This trait is clearly visible in all the contemporary influences which all the dynasties followed right from the Sultanate era to the days of the British rule. The old city of Ahmedabad is a closely knit settlement with narrow meandering streets, along with chowks and markets to punctuate them. The old

precinct showcases a unique amalgamation of Hindu and Islamic cultural influences, which is clearly evident on the architectural heritage of the city.

The architectural heritage of Ahmedabad has steadily evolved over the past 600 years, and the historic quarters are adorned by palatial havelis, houses with elaborately carved wooden facades and religious structures. Although there are various forms of built heritage, belonging to different era, the significance lies with the domestic architecture. This built environment, along with the narrow streets and the chowks, form a significant part of the old precinct and give it the distinct character. Most of these structures still survive today, but facing constant dilapidation due to various factors. The recent years have seen the historic settlement

face unrelenting pressures from the commercial activities and developments happening within it, and has undergone a constant change due to these intrusions. The historic core has also been witnessing a change in the demographic character of the residents. This is happening as the natives are moving towards the newer parts of the city, leaving the buildings to

be inhabited by the people who have migrated from nearby towns and villages. As these new residents are not culturally or emotionally attached to the heritage, they show the least interest towards the maintenance of the structures. These factors, along with the lack of proper policies and funding mechanism, have led to an extensive loss of the built heritage.

## Heritage revitalization through participation in historic Ahmedabad

The vast gamut of cross-cultural heritage, displayed through the tangible and intangible heritage, led to the need of its identification and revitalization process. In the recent years, the urban authorities in cooperation with local participation and non-governmental organizations have started taking measures to curtail the damages; take positive steps towards the conservation of the cultural heritage and the character it provides. There have been numerous efforts by the Ahmedabad Municipal Corporation (AMC) to revitalize the built heritage of Ahmedabad. These steps have been taken in collaboration with several national and international organizations of repute. In the year 2000, along with a joint venture with the French Government, the AMC started the process of listing the built heritage for the old core along with other implementations. This collaboration eventually led to the formation of a Heritage Cell at the AMC, the first of its kind in a municipal body in India<sup>4</sup>. AMC has also worked towards the formulation of policies specific to the needs of urban heritage at Ahmedabad. The governing guidelines involve areas such as regulating the traffic movement, Floor Spacing Index, constructions and tax structures. The latest in the line of these effective systems is the policy of Tradable Development Rights (TDR). The Tradable Development Rights is a policy in which a heritage property owner can sell the development rights to another person or agency, who may use that for development of buildings in other parts of the city. These numerous measures have led to many initiatives of various natures for providing the conservation of the heritage, and the efforts have in-turn led the historic city of Ahmedabad being nominated in the tentative list of UNESCO World Heritage Cities for 2011. Within these various conservation initiatives, the effort to integrate the public participation has been immensely done by the Ahmedabad Municipal Corporation.

The efforts towards community involvement for the historic core of Ahmedabad has been attempted through various activities. These undertakings range from community meeting across various wards to social involvement in celebration of various historic occasions which had taken place at Ahmedabad. The municipal body also arranges a lot of heritage walks concerning various subjects and happenings. The walks are conducted regularly and include trails like The City Heritage Walk and Freedom Walk. The activities also involve the residents in staging street plays, invoking various important events from Ahmedabad's past. These activities help the citizens in getting accustomed to the historic environment around them and develop a harmonious relationship with it<sup>5</sup>. But all these community participation activities are limited to generating awareness towards the cultural heritage around them, not providing them the power to help bring about changes in the historic precincts. Such an involvement becomes more effective towards comprehensive revitalization as the smaller issues happening at the ground level constitute a major part of the conservation process.

Thus, it becomes pertinent for the authorities to change the role of community from mere awareness creation to giving them a chance to take effective part in the conservation drive. Nonetheless, this probability of the governing authority going to each individual to collect information on issues becomes almost impossible and too mammoth a task to cover on a daily basis. Consequently arises a need to develop an apparatus which will assist the stakeholders through an interactive format and manage the inventory of various issues, thus benefit the public participation. With these intentions, *Mélange* has been developed to involve the community on a superior scale and identify issues in a bigger quantum.



## Mélange

Mélange, as the name suggests, is a mixture or confluence of varied information pertaining to the historic core of Ahmedabad. The apparatus developed helps facilitate the public participation, and comprises of a procedure which will put all the reported issues on an interactive map after validation. The system, which currently is a trial set-up, has been developed with the use of tool named Ushahidi, and will act as a model for identifying the issues related to the cultural heritage found within the historic precinct of Ahmedabad. Although the apparatus has been developed for Ahmedabad, it can be used for numerous other historic cities of India after adequate trials of community involvement and the management of data generated through the system.

Mélange helps identify various matters related to our cultural heritage, both tangible and intangible. It customarily helps someone report issues which cause decay of our heritage or some interesting facets of the historic environment seen within our walled cities. Moreover, the app helps the conservation of the cultural heritage through identifying the owners who wish their property to be adapted or to let the unused development rights through the policy of TDR. Further, the system also helps find individuals who are willing to volunteer, in various capabilities, and be part of the revitalization process. The reports once generated at the heritage cell, would be validated and sent to appropriate departments or agencies for further actions. Thus, the system will produce a comprehensive dataset for the walled city of Ahmedabad; which will help identify, analyze, understand and address a particular issue relevant to the historic precinct. Additionally, the process strengthens the community by empowering it with the powers to bring about effective change around their historic environment.

Ahmedabad, a city with prominent historic area and containing rich cultural heritage, was selected as a sample study area for understanding the functionality of the application. The historic Ahmedabad is administratively divided into 13 wards, having numerous important historic quarters within the walled city, has always been the hub of cultural activities right through the years. The presence of traditional communities, various types of buildings and the ubiquitous residential structures make its historic precinct one of the most significant cultural center across many traditional settlements in India. The city at all times been a focal point of cultural development and has given many notable citizens in various fields of study right across the ages. This walled city also has a significant number of architectural landmarks, and has some of the best examples of built heritage of its era across the country. The case

study area has around 12500 listed heritage buildings, which probably makes it one of the largest surviving repository of the heritage buildings in any historic settlement<sup>6</sup>.

The apparatus gains importance as it involves community as an important cog in the conservation process, and not merely being part of awareness programs. An individual can report various matters to governing authorities; which would be done by not standing in long queues or filling long unfriendly forms. The user can share the information either from site or from the comforts of his house; sharing the information either through Web interface, SMS or Email.

## The Application

Mélange is probably the first of its kind crowd mapping technique in India and the procedure comprises of an interactive form that is user-friendly in nature. The information sharing process is meant to involve a lot of public participation apart from creating awareness amongst the locals regarding the cultural heritage. The data collected is segregated into 12 fields which largely divide themselves into two categories, problem identification and sustenance of heritage (Figure 1). The area of problem identification, as the name suggests, deals with the issues which cause the decay of cultural heritage through various factors and help stop them. These issues, being regular and usually unnoticeably amongst the huge number of buildings, are best identified by the people staying around them. The second field of sustenance of heritage deals with various factors which help conserve the heritage, either through identifying an interesting piece of heritage or providing for the upkeep of it through finance or voluntary support.

As we are all aware, there are numerous day to day issues which cause the decay of our cultural heritage along with visible physical dilapidation of the buildings. These issues are many in number, and are almost impossible for the governing authorities to identify, locate and cater the problems. These issues are largely related to the decay or illegal activities around cultural heritage, and occur with regularity. This is a major area of concern where the residents can be of utmost help to the local authorities. The residents, acting as 'citizen journalists' can report of the numerous incidents pertaining to the illegal activities, leading to the damage of our historic precincts. The area of problem identification is categorised into factors such as Illegal and New Constructions, Damage to Building and Infrastructure, Illegal Building Usage and Hazardous Buildings.

Apart from stopping the decay and illegal activities around the historic buildings, it is also important to recognise the unidentified facets of heritage, along with the means which would help in its restoration and upkeep. The identified heritage is usually limited to important building(s), urban precincts or traditional architecture of a place. Apart from this, there are numerous types of overlooked intangible heritage which add to the cultural heritage. There are also various buildings, though not landmarks, which may have been part of important events in the history. Such features or historic events make these buildings important, even in absence of significant architectural features in the building. Such matters are difficult to report, unless the owner or resident comes ahead to identify such facets about a building. Moreover, there are numerous owners, with properties lying vacant or in need of restoration, who would like to be helped either through adapting the building or providing funds for restoration. But to succeed the properties need to be identified first. Furthermore, the historic precincts of our country is in desperate need of volunteers who could help the revitalisation initiatives in multiple capacities. Subsequently, the aspects such as Identification of Built and Intangible Heritage, Properties needing Conservation Funding and Adaptive Reuse and finding Interesting Facts and Volunteers for Heritage constitute the second portion.

Thus, Mélange has been developed with an intention of identifying all the above mentioned issues. This application has been developed with the use of a tool named Ushahidi, and uses a platform named Crowdmapp which is hosted by Ushahidi.

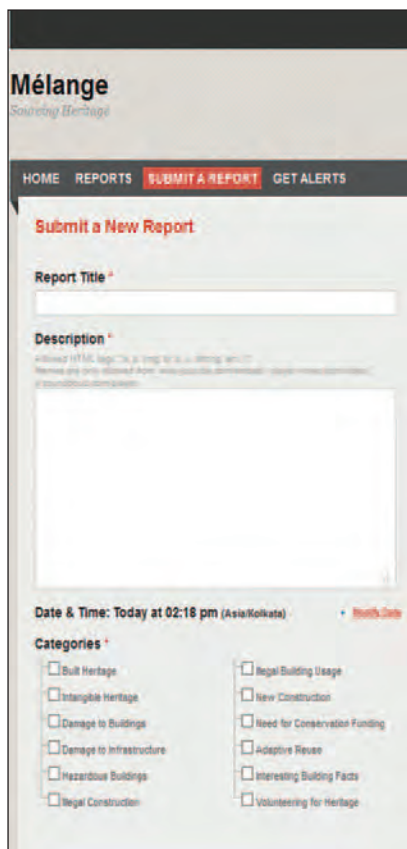


Figure 1: Categories of Mélange

### Ushahidi and crowd sourcing

Ushahidi is a non-profit software company that develops free and open source software for information collection, visualization and interactive mapping. The process of Ushahidi is a combination of social activism, citizen journalism and geospatial information, which enables locals to submit reports using their mobile phones or the internet, while simultaneously creating a geospatial archive of events. The Ushahidi engine is there for people to let the world know what is happening in their area during a crisis, emergency or other situation, thus bringing awareness. The organization uses the concept of “crowd sourcing” for social activism and public accountability, serving as an initial model for what has been coined as ‘activist mapping’<sup>7</sup>.

Crowdsourcing, as Jeff Howe defines it, represents the act of a company or institution taking a function once performed by employees and outsourcing it to an undefined (and generally large) network of people in the form of an open call. This can take the form of peer-production (when the job is performed collaboratively), but is also often undertaken by sole individuals. The crucial prerequisite is the use of the open call format and the large network of potential users<sup>8</sup>.

The Ushahidi platform which has been used is known as Crowdmapp, and is hosted on its own server. It has an interactive map which features OpenLayers, supporting Google, Yahoo and Microsoft. An individual can choose a location and start plotting reports, information and other data right away. The data once reported, can be tracked in real time on the map, filtering, validated and moved ahead for appropriate actions (Figure 2). The database is setup to scale and meet requirements for different types or organizations, and the verified or unverified information can be visualized. Importantly, the database is secure, and can support added security depending on the deployment<sup>9</sup>.

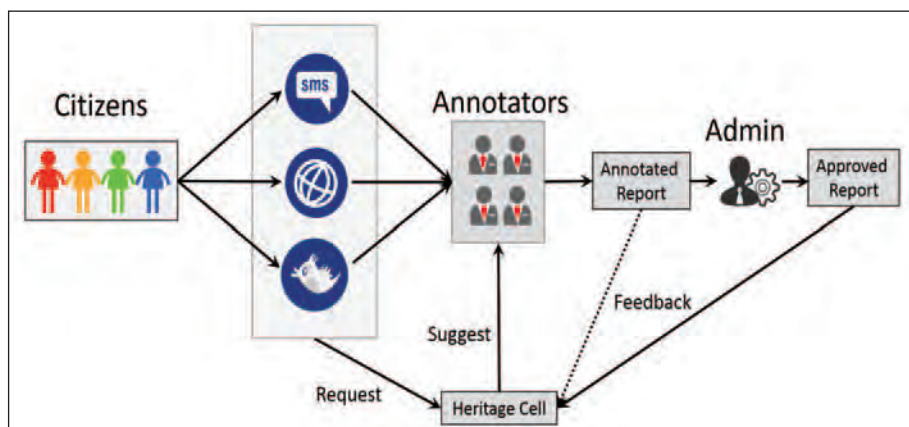


Figure 2: How Crowdsourcing Works



## Data input and management

For the purpose of conducting a well-managed mapping process, the form has been segregated into various critical issues which affect the walled city. Every issue covered is distinct, amongst which reports related to the interesting facts about our heritage along with the concerns related to the urban heritage are identified. The area of problem identification is categorised into factors such as illegal constructions and damage to the cultural heritage. Subsequently, the aspects such as documentation of interesting facets of our heritage and volunteers for heritage constitute the second category. The complete process comprises of two major steps, Reporting and Report Management.

### Submitting a report

The mapping process is largely confined to the documentation of issues across the above mentioned points, and is solely based on the community participation. The technique allows a user to share a particular information through various mediums and can incorporate a detailed information related to the topic. A resident has the option of either just reporting an issue or describing the issue with detailed descriptions.

The reporting process involves two processes, identification of the issue and locating the reported issue. The reporting of the issue starts with a title of the report, and selecting a category under which the report would be classified. If the nature of the report requires further description, the individual can write a detailed report explaining or highlighting the issue. The issues which are reported, are also marked on the map. This can be either done through capturing the geographic location on the phone, or through marking on the online map if reporting through the web portal. Moreover, the location on the online map can be indicated either through drawing a polygon or through pin-pointing a particular location. Apart from capturing the geographic locations of the reports, the user also has to provide the correct address, including the precise name of the pol where the report is situated. This forms an important part as the reports get easier to locate and validate if the geographic locations are not correct because of some technical reason (Figure. 3).

Furthermore, the report allows the user to upload image(s) related to the report. Lastly, the reporting format under Mélange also has the provision wherein the user can provide the system with his/her identity and contact details. Though the identification is not mandatory, it is useful to contact the user in case of failing to locate and identify the reported issue. This also helps in curbing the menace of fake reporting

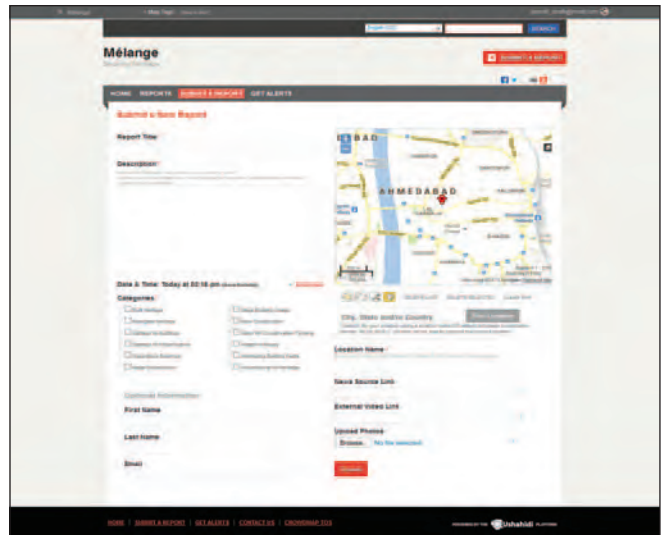


Figure 3: Reporting an Issue



Figure 4: Mapping the Reports



Figure 5: Search Filters for Interactive Maps



Figure 6: Statistical Analysis through Pie Diagrams



Figure 7: Linear View of showing Category Impact



Figure 8: Reported Data in Tabular Form

through different mediums. All these easy to fill factors, and the provision to report the problem from their own comfort, makes this application user friendly. As the user submits the report, it goes to prescribed place for further validation and addressing the issue.

## Report management

Once the issues are reported by the user through Méléange, the data is transferred and delivered on to a dedicated server; preferably placed at the Heritage Cell, AMC. The information gets categorized into the areas mentioned earlier, and gets displayed on an interactive map. The dataset can be exported in the form of KML files for Google Earth, to analyse and understand the amount of data generated from the community reporting. The Interactive Map generated through crowdmap provides the geographical locations to all the reported categories and issues (Figure. 4). For a certain location, the app along with the mapped category also provides all the related information submitted through the report. The app provides the facility of generating a query and uses certain parameters for filtering the search. The various filtering categories are such as category of the report, location from where it has been reported, the type of information or media it contains or through specific customary fields (Figure. 5). All the mapped data is represented through icons, which on clicking display information card of each.

As the data gets delivered and displayed, the first step would be identify and validate the reports according to their respective categories. This scrutiny is very important as there may be a lot of false or insufficient data which has been relayed through the system. The validation needs to be done at site by the heritage officials, and requires correlating the details in report with that of the actual happenings on the site. When the validation is done for a particular report, and if found correct, would be directed to the respective department based on the need of the issue. The issues may be either dealt by the Heritage Cell themselves, or passed onto other divisions depending on the problem area.

Méléange allows the heritage officials to manage the transferred data and analyze them in an organized way. Ushahidi provides the officials with a facility of 'Statistics', permitting the reported data to be displayed in different forms, and create various analytical options. The various statistical analysis options which it provides is through visitor summary, breakdown of reports as per wards and category impact. This facilitates the study and analysis of the reported issues, either within a single category or across various sections at the same time. Méléange also enables the officials to form analytical charts or pie diagrams to



understand the mapped data (Figure 6). Such pie diagrams give the provision of comparing the amount of reports within various categories; and the data can be visualised either for the current date or from a date range varying from a month to 6 months. The application also has the facility to view the reports over a time in a linear view (Figure. 7).

Furthermore, the data is also displayed through a tabular catalogue which is interactive in nature and will allow the user to browse the data through various parameters. One can search the reported information under various categories which are similar to the ones used for the interactive map (Figure. 8). The facility to track the data in real time is also beneficial. Using this, the officials can designate some important areas around the historic core and get real time alerts for the pre-designated areas. This helps to identify and solve the issues generating from important areas on a preferential basis (Figure. 9).

## Conclusion

In countries like India, which has a wide array of built forms and historic centres, it is imperative to discover, analyse, revitalise and manage all of them. This understanding is not rendered complete until there is detailed inventory generated which showcase the numerous issues or decay faced by the historic cores. The process of Mélange forms a first but significant step towards creating such a catalogue and managing it through various systems.

Mélange involves the local participation in gathering the data and the process being available in different platforms makes itself user friendly, swift and inexpensive in nature.

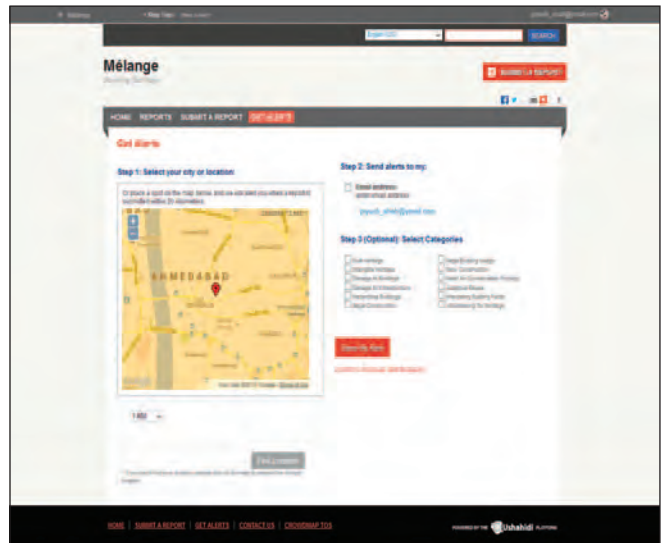


Figure 9: Alerts for Specific Locations

The simple interface allows many more users from various fields to get involved and contribute to the data collection, which can be validated by the experts. The form can also be easily adapted for survey in different regions of the country, even though the building and cities may differ in the making and expressions. Thus, Mélange produces comprehensive and meticulously catalogued information of the factors concerning both the aspects of the walled city of Ahmedabad, decay and sustenance, and can be later integrated into the effective heritage management and problem-solving. The information can also be used as a database towards better formulation of heritage policies.

## Notes

- (1) ICOMOS, 2007. “Charter for the conservation of historic towns and urban areas.” [http://www.icomos.org/charters/towns\\_e.pdf](http://www.icomos.org/charters/towns_e.pdf)
- (2) Imon, Shams Sharif. June, 2006. “Sustainable Urban Conservation: The Role of Public Participation in the Conservation of Urban Heritage in Old Dhaka”. University of Hong Kong, Hong Kong.
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- (4) Nayak, Debashish. October, 2010. “Getting the city back to the people.” Chennai Metropolitan Development Area, Chennai, India.
- (5) *ibid*
- (6) Ahmedabad Municipal Corporation. May, 2001. “Preliminary list of Heritage Buildings in the Walled City of Ahmedabad – Volume 1, 2, 3.” Ahmedabad Municipal Corporation, Ahmedabad, India.
- (7) <http://en.wikipedia.org/wiki/Ushahidi>
- (8) <http://en.wikipedia.org/wiki/Crowdsourcing>
- (9) <https://crowdmap.com/about/>

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## Section D: Disaster Risk Reduction

# International initiatives for disaster risk management of cultural heritage

## Where we are and where we need to go!

Rohit Jigyasu

### Short biodata

Rohit Jigyasu is a conservation architect and risk management consultant from India, currently working as UNESCO Chair professor at the Institute for Disaster Mitigation of Urban Cultural Heritage at Ritsumeikan University, Kyoto, Japan and Senior Advisor at the Indian Institute for Human Settlements (IIHS). He is elected member of the Executive Committee of International Council on Monuments and Sites (ICOMOS) and president of ICOMOS International Scientific Committee on Risk Preparedness (ICORP).

### Abstract

This paper provides an overview of the growing risks due to the vulnerabilities of the rapidly growing and precariously built urban areas, while hazards are increasing due to factors such as climate change. It introduces various international initiatives; starting by changing the mindset that cultural heritage is a passive victim of disaster to it being an asset for disaster risk reduction. Other initiatives are for example the inclusion of culture as a sector in the post disaster needs assessments, the publication of manuals and the numerous training opportunities that have been created. The paper concludes with a list of challenges: capacity building, develop and implement disaster risk management plans, mainstream cultural heritage in the wider disaster management field, develop tools, guidelines as well as appropriate technology.





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Figure 1: Massive fire in Wangduephodrang Dzong, Bhutan on 24 June, 2012 destroyed most of the historic superstructure and many sacred heritage objects stored inside.

Recent disasters have caused immense damage to cultural heritage. These include October 2013 earthquake followed by typhoon Haiyan that struck Philippines and resulted in extensive damage to the famous Bohol churches. A year before, fire caused by short circuit almost completely destroyed Wangduephodrang Dzong in Bhutan: one of the important sites that had earlier been put on the tentative list of World Heritage. Climate Change coupled with other factors have also resulted in increased incidents of floods especially affecting historic urban areas and heritage sites located along river such as 2011 floods in Thailand that severely affected the World Heritage Site of Ayuthaya and 2010 floods in Pakistan that affected many archaeological sites and vernacular settlements along River Indus. Armed conflicts, civil unrest and acts of terrorism have also resulted in immense loss of cultural heritage during recent years. Damage sustained by cultural heritage sites including those

on World Heritage List such as Aleppo citadel in Syria and Timbuktu Shrines in Mali well illustrate the challenge.

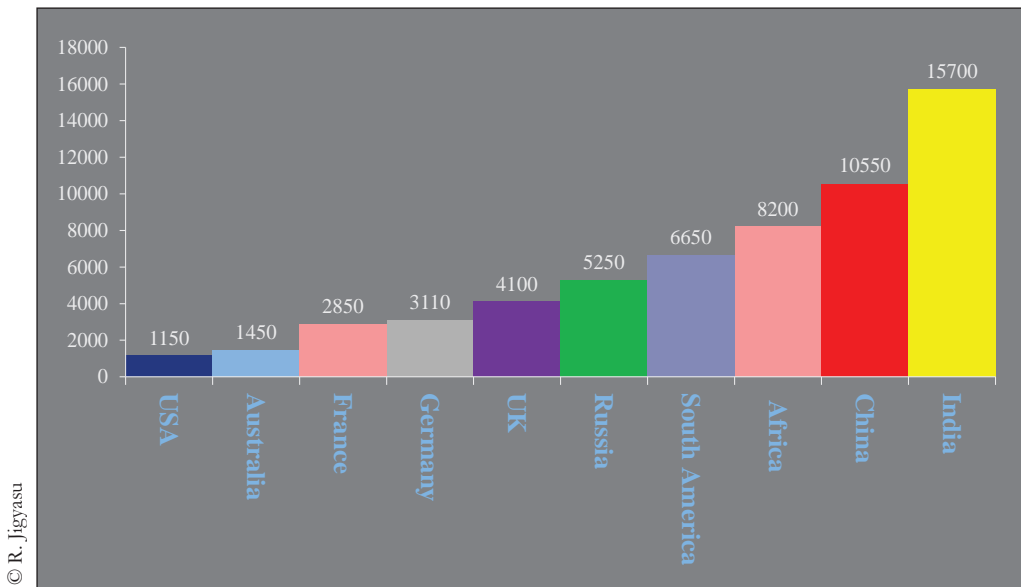
The world is facing an increased rate of urbanization, more than ever before. The number of people living in cities equalled those in villages in 2007 and is rising ever since. In fact according to a UN report (2008), 1.29 billion people are being added to the cities during 2007-25. A total of 48 cities in the world have reached a density level of more than 15000 per square kilometres and all of them are in developing countries. Such a fast pace of urbanization accompanied by densification, poorly constructed buildings and overburdened infrastructure is putting tremendous pressure on urban heritage sites and increasing their vulnerability to disasters. World heritage monument zones in Kathmandu valley, Nepal and Kyoto in Japan are good examples to illustrate the issue at hand. Contrary to this, heritage located in small and medium sized towns are facing degradation due to abandonment and lack of resources needed for maintenance.



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Figure 2: Historic Bohol churches damaged by the earthquake that struck Philippines on 15th October 2013

The seriousness of the issue can be gauged from the fact that many World Heritage Sites in Urban areas are located in Earthquake prone zones and are also exposed to various hazards that may follow earthquakes such as fires, landslides and liquefaction. As mentioned before, Climate Change is contributing towards increased intensity and frequency of hydro-meteorological events such as heavy rainfall and cyclones. As a result, many heritage sites located in global hot spots such as coastal areas especially below sea level are exposed



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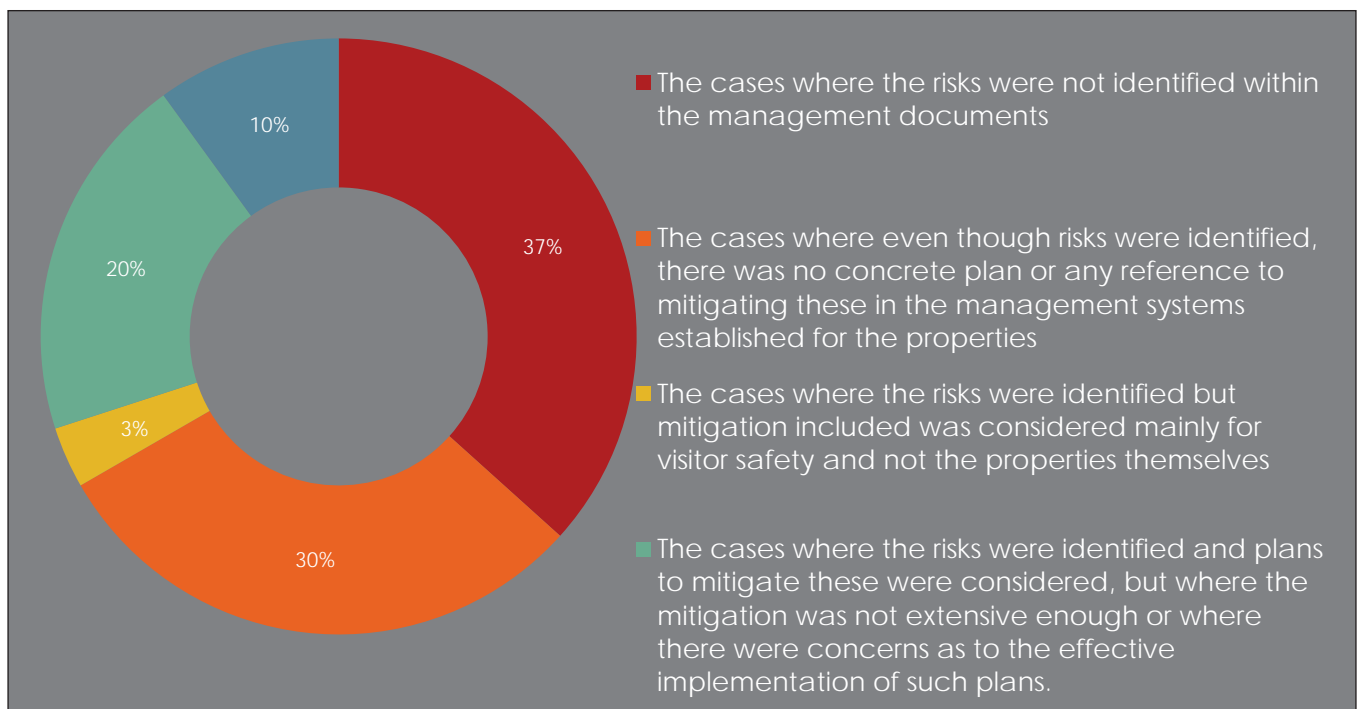
Figure 3: Gross urban density: some comparisons

to risks greater than ever before. Also there might be low frequency and high intensity incidents of flooding that may trigger landslides along mountain slopes. The incredibly complex disasters that may unfold in the future are well exemplified by the flash floods that hit Uttarakhand state in Northern India in June 2013 causing immense loss of life, property, livelihoods and cultural heritage due to combined effects of glacial melt, heavy rainfall, soil erosion, landslides and haphazard development along flood plains. Climate Change may also have indirect long term consequences in the future for example scarce resources such as water

may result in increasing conflicts, which would make certain heritage sites vulnerable to exploitation and looting. Also living sites may get abandoned and thus adversely affect intangible heritage.

Considering these challenges, confronting our cultural heritage, an integrated framework for disaster risk management of cultural heritage that takes into consideration multiple hazards and vulnerabilities to which sites are exposed, is indeed urgent need of the hour. Unfortunately, the

harsh reality is that very few heritage sites have formulated comprehensive disaster risk management plans that specify mitigation, preparedness, response and recovery measures, before, during and after disaster situations. For example an analysis of the State of Conservation (SoC) reports of World Heritage Sites in 2012 show that 37% sites have not even identified risks within management documents. In 30% cases, even though risks were identified, there was no concrete plan or any reference to mitigating these in the management systems established for the properties.



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Figure 4: Analysis of the state of conservation reports of World Heritage Sites shows that 37% of the sites have not even recognized the risks within their management documents while 30% have identified risks but no concrete plan or any reference to mitig



Disaster risk management for cultural heritage would also require close coordination between heritage conservation, disaster management and development sectors. Therefore at more pragmatic level, one of the main challenges is to mainstream heritage in disaster risk management and development sectors for effective mitigation, response and recovery actions before, during and after disasters.

To address these challenges, several international initiatives have been taken up recently by various international organizations such as UNESCO, ICCROM, ICOMOS and UNISDR. A key initiative undertaken recently by these organization aims at changing the perspective on cultural heritage from merely a passive victim of disaster to an asset for disaster risk reduction. This is supported by many instances in the past where cultural heritage has in fact contributed towards building the resilience of the communities as well in response and recovery following disasters. Many traditional buildings performed well during the earthquakes in Gujarat (2001), Kashmir (2005) and Haiti (2010) demonstrating traditional knowledge for earthquake mitigation that has been accrued over generations through successive trials and errors. (Figure 4) There are also several cases where historic urban fabric characterised by series of interconnected courtyards have helped in emergency escape of residents from densely inhabited areas. Also there are many examples where heritage sites have served as refuge areas following disasters. For example, following the great East Japan earthquake and Tsunami in 2011, many victims especially school children could take refuge in historic temples that were located on higher grounds. Many such

temples also served as shelter for the affected people for weeks and months and were supported by local religious and community leaders. Traditional, social and religious networks and management systems have been very effective in community led initiatives for disaster risk management for cultural heritage as exemplified in the case of World Heritage of Shirakawa-Gu Villages in Japan where these have been successfully employed for monitoring and responding to the risk of fire. Cultural dimension in general and heritage in particular also plays an important role in sustainable recovery and rehabilitation of communities following a disaster. There are many examples to show that successful reconstruction projects have taken into consideration local building traditions and way of life through deeper engagement with communities. Encouraged by these examples, 'Heritage and Resilience' initiative was launched by ICOMOS-ICORP in collaboration with UNESCO, ICCROM and UNISDR at the Global Platform on Disaster Risk Reduction held in Geneva in May 2013. A special publication showcasing various case studies highlighting the role of cultural heritage in building the resilience of communities against disasters was also unveiled on this occasion.

Past experience shows that cultural heritage often gets destroyed due to uninformed action of national and international rescue and relief agencies, who demolish these structures due to absence of proper methodology for damage assessment that takes into consideration both safety as well as heritage values. Often standard principles for contemporary 'engineered' buildings are applied on historic and traditional 'non-engineered' buildings with the result

that many of them are categorised as unsafe and therefore worthy of demolition. To address this challenge, culture has recently been included as a sector in post disaster needs assessment to be carried out by international organizations such as World Bank. This is aimed at developing the sector recovery framework based on an integrated assessment including the disaster effects and impacts on cultural resources, civil society, infrastructures, as well as the performance of and access to cultural services and their management by national (central and local) authorities in culture sector, to support quality and sustainable interventions. This has already been tested in Bhutan following recent disaster in 2012.



Figure 5: Analysis of y reference to mitig

To effectively reduce disaster risks to cultural heritage, agencies responsible for heritage conservation and management should be able to integrate disaster risk management within their site management procedures and practices. On the other hand, organizations responsible for disaster management should be able to include heritage concerns within mitigation, preparedness, response and recovery strategies. This would necessitate building capacity at various levels and among various organizations, but most importantly to facilitate interaction between decision makers, professionals and managers from heritage, disaster management and development sectors. This would help them understand the terminologies and hold better dialogue and coordination which is critical for effective disaster risk management. Moreover as Prof. Herb Stovel, a pioneer in this area very rightly remarked in 2010, heritage needs to be placed in the chain of command by ensuring that heritage expertise is present on relief teams, giving sufficient authority to heritage experts and establishing written protocols defining commitment to respect heritage.

A pioneering capacity building initiative has been undertaken by the Institute of disaster mitigation for urban cultural heritage at Ritsumeikan University (Rits-DMUCH), Kyoto, which in cooperation with ICCROM, ICOMOS-ICORP and UNESCO has been organizing the international training course on disaster risk management of cultural heritage since 2006. The target groups for this course include government institutions, departments, universities, NGOs and private consultants from cultural heritage as well as relevant disaster management fields. The training course now in its ninth year has gained increasing attention since its inception. This two week long intensive course is conducted by various Japanese and international resource persons through lectures, workshops, site visits. During the course, the participants are also advised to develop outlines of disaster risk management plans for case study sites from their home countries. Until 2013, nearly 100 participants from more than 30 countries have got trained in this course. Based on the experience of conducting this course, a training guide has recently been published to help other interested organizations conduct such training programmes elsewhere in the world. (Figure 5)

A landmark achievement in this direction was the development of World Heritage Resource Manual on 'Managing Disaster Risks to World Heritage' jointly published by UNESCO, ICCROM, ICOMOS and IUCN in 2010. (weblink) This manual for the first time provides step wise guidance to site managers to develop disaster risk management plans for their sites as part of the overall site management systems. The manual has since formed the basis of several training programmes supported by international organizations such as UNESCO and ICCROM in various countries such as Mexico, Albania, Vietnam, Indonesia and India.

Along with such training programmes, it is also critical to organize emergency response simulations/ drills so that site staff and external response agencies are able to develop and regularly practice standard operating procedures. Japan is one country that has taken a lead in this area. They have a drill every year during National Disaster Reduction Day on 26th January that ironically marks a fire incident that destroyed historic Horyuji temple in 1949.

International Scientific Committee on Risk Preparedness of ICOMOS (ICORP) has also been working extensively towards promoting protection of cultural heritage places from effects of disasters and armed conflict. The committee consists of more than 50 professionals from 25 countries from various regions of the world with experience in various aspects of disaster mitigation, response and recovery of cultural heritage. ICORP members have been actively involved in preparing guidelines, exhibitions and



Figure 6: Many traditional buildings in Kashmir and Gujarat in India survived 2005 and 2001 earthquakes due to traditional building knowledge accumulated over generations



capacity building programmes. To train Syrian heritage professionals in first aid for heritage during the times of conflict, ICOMOS-ICORP in cooperation with ICCROM and DGAM organized two E-learning courses in 2013.

These recent initiatives show that we are indeed making progress in meeting the mammoth challenge posed by increasing disaster risks to cultural heritage. However much more needs to be done to make sufficient progress in this area for securing the present of our past, for the future generations. These challenges include:-

- Further build capacity on regional, national and local levels for various types of target groups including decision makers.
- Develop and implement disaster risk management plans for various types of cultural heritage sites e.g. archaeological sites, historic cities, vernacular, cultural landscapes, museum catering to various types of natural and human induced hazards such as earthquakes, floods, fires and armed conflicts.
- Mainstream cultural heritage in wider disaster management field. Link culture with various sectors such as housing, infrastructure, livelihood and sustainable development. Plug into existing networks and programmes.
- Research and development of tools and guidelines for mitigating disaster risks to various typologies of heritage against various types of natural and human induced hazards.
- Develop innovative low cost and culturally sensitive technology for mitigating disaster risks to cultural heritage.



Figure 7: Training Guide on disaster risk management of cultural heritage has recently been developed by the Institute of Disaster Mitigation for Urban cultural heritage at Ritsumeikan University, Kyoto in cooperation with UNESCO and ICCROM. This guide provides framework and tools to people/institutions who wish to organize capacity building activities for disaster risk management for their heritage site(s)

# Disaster risk of culture heritage sites of the Kathmandu Valley

Prem Nath Maskey

## Short biodata

Dr. Prem Nath Maskey is a Professor of Civil Engineering at Institute of Engineering, Tribhuvan University since 1975. Besides teaching structural/earthquake engineering subjects, supervises the theses at Ph.D and M.Sc. levels. He is involved in various research activities related to Seismic Risk Analysis and Disaster Risk Mitigation of Cultural Heritage Sites. He has coordinated numerous research projects carried out in collaboration with reputed international universities. He is involved in researches and their application for renovation and rehabilitation of heritage sites and structures of national and international concern. He has published thirty journal and conference papers.

## Abstract

The paper introduces the hazards that threaten the Kathmandu Valley within the context of the numerous disasters that have recently occurred in the region. For the Kathmandu Valley the main hazard is earthquake. The three durbar squares of Kathmandu, Patan and Bhaktapur and Baudhanath are on sediment and not on hard rock, hence they are seismically vulnerable, or in other words, the seismic vulnerability of the structures resting on those soil sediments are very high. Accordingly seismic risk will also be high as it is a direct function of seismic hazard and seismic vulnerability. The two sites, Swayambhu and Pashupati are believed to be on hard rock and so the amplification is believed to be low because these sites have low seismic vulnerability. The paper provides examples of the response of various traditional structures to the Great Bihar-Nepal Earthquake of 1934. The paper also presents examples of using traditional and local technology when restoring the 55 windows palace to improve its structural stability. The paper ends with a list of recommendations such as regular maintenance, seismic vulnerability assessments, specific interventions, introduction of safeguarding policies and strengthening solutions that take into account the heritage value as well as consider fire hazards.



## Introduction

Cultural heritage sites represent the masterpieces of human genius: they testify the cultural traditions and illustrate prominent stages of human history with all those artistic creations. Not only do these cultural heritage sites need to be preserved, which is definitely one of our main aims, but equally important is to save the properties from disasters caused by earthquakes, floods, tsunamis and typhoons.

Cultural heritage sites of Kathmandu Valley represent the traditional dynamism of Nepalese society and civilization in different periods of history. The open spaces, temples, grand palaces, patios, water spouts and other water bodies have inseparable relationships with the cultural tradition of the people. It is also equally true that we need to preserve these cultural heritage structures and sites for future generations, so that they can witness past civilizations. We also need to protect them against all kinds of natural and manmade hazards and disasters. We have to know these hazards, the

vulnerability to these hazards, and accordingly the risk of these hazards. Only then can we talk about the resulting disasters and how to deal and overcome them. Earthquakes are the major natural hazards to be considered for the cultural heritage sites of Kathmandu Valley. Earthquake is the main hazard for cultural sites in Kathmandu Valley. We do not have to deal with tsunamis or typhoons. Earthquakes have always been a problem for this region and have always caused a great deal of damage each century.

In the symposium brochure, there is a sentence which may cause misunderstanding since the terminology used is incorrect. It states that 'the return period of such destructive earthquakes is between 80 and 100 years.' It probably meant to say that such a large earthquake occurs almost every 80 to 100 years. This is not 'return period.' Return period is used for the reciprocal of the number of occurrences of that event per annum.

## Cultural heritage sites and hazards

On 15 October 2013, a 7.2 magnitude earthquake struck the Bohol province in central Philippines, and more than ten very precious heritage churches were heavily damaged. Three weeks later on November 7 in almost the same location a large typhoon struck. Though there was nothing left to be damaged in that area in respect to heritage churches, it affected almost forty thousand people and left them suffering. The same happened in Uttarkand, India. Last July, due to flash floods and heavy rain, all the cultural heritage sites in that area such as Kedarnath, Badrinath, and other sites were heavily damaged. Along with that many people were killed. Thus we have to talk about cultural heritage sites and the possible hazards that are natural or man-made disasters.

In the Kathmandu Valley, the heritage sites are spread over seven monument zones of the World Heritage site. They are prone to earthquakes because Kathmandu lies in a very highly seismically vulnerable region due to new tectonic movement as well as the soil sediment which is made of clay and is very deep. The Kathmandu valley used to be a lake and the sediments give high amplification making all these sites seismically very hazardous. The intensity is different because the parameters of the soil sediments are different from place to place, even in very close proximity.

Other natural hazards that we are concerned about are landslide. This is at least true for Swayambhu and Changunarayan, since they are located on hillocks and the hazards arise due to instability of the soil sediments. Almost all the heritage structures in these heritage sites are highly sensitive to fire. This is seen through examples such as the Prattapur temple in Swayambhu being gutted a couple of years ago.

It is important to note that cultural heritage sites and structures also help to save the lives of people. There are many examples of such events in Kathmandu. In 1960 there was a cholera epidemic in Kathmandu and almost all the patis and temples and the open spaces were converted into hospitals because there were no adequate beds in the hospitals. So the heritage structures and sites of the Kathmandu Valley can also be shelters. Besides these natural hazards, there are also hazards that are man-made.

## Cultural heritage sites and vulnerability

Vulnerability is the lack of capacity of heritage structures and sites to cope with the effects of hazards. So vulnerability would be the opposite of capacity. This refers to some structural aspects such as the strength that is the capacity to resist failure. Also to stiffness, which is the capacity to resist excessive deformation or displacement. There is stability which is the capacity to retain its original position and durability or longevity. So these factors are required to be assessed and understood. These are very important for conservation principles for cultural heritage sites, which are not only very old but also uses traditional materials and technology. In the case of Kathmandu Valley the traditional materials of all these heritage structures are based on unreinforced brick masonry in mud mortar and some timber elements. The timber is the supporting structural elements within these structures. There is also some stone and metal used, but no concrete and no steel. One more important

thing about these structures is that they are very rigid. That means that their stiffness is so high that displacement of deformation of these structures might be limited; it would take a very large stress, meaning that it requires more strength.

Also important for these traditional structures are geometry and configuration. All the safety against earthquake for many of these structures is achieved only through geometry and configuration. The materials that they are made of have limited earthquake resistance, like unreinforced brick masonry. They are very bad in tensile and they are brittle materials. They cannot take high stress caused by earthquakes. Also important is that most of the palaces and temples are regular; they are low rise and have limited area of openings. These are the important parameters by which their earthquake resistance can be assessed.

## Cultural heritage sites and disaster risk

There are seven enlisted monument zones which are spread over all three historical cities of Kathmandu, Lalitpur and Bhaktapur. The valley is basically very prone to seismic hazard due to neo-tectonic activity and soil sediment which is clay based and very deep. The sediment means the layer created by the deposit of soil above the bedrock, since bedrock will occur everywhere. In case of Kathmandu, it is as deep as 570 meters. This is a problem, since deeper the sediment and softer the clay, the higher the amplification. So according to research in some areas of central Kathmandu, the amplification of earthquake ground motion was as high as eight times more vibrations.



Figure 1: Seismically vulnerable structures in Kathmandu. © UNESCO



## Kathmandu Valley World Heritage Sites and Seismic Disaster Risk

The amplification is different in the seven monument zones, because the soil sediment depth and soil property are different. It is believed that the two sites of Swayambhu and Changu Narayan are on a hillock. Swayambhu is supposed to be on a rock, and only some shallow depth of filling material is there. That is why the seismic ground motion amplification of that site is limited – which means that it is secure. This cannot be said about Changu Narayan. Similar reasoning is also given for Pashupati, though it is not on a hillock, it is believed that it is located on a hard rock. The three durbar squares of Kathmandu, Patan and Bhaktapur and Baudhanath are on sediment and not on hard rock, so that is why they are seismically vulnerable. In other words, the seismic vulnerability of the structures resting on those

soil sediments are very high. Accordingly, seismic risk will also be high as it is a direct function of seismic hazard and seismic vulnerability. High seismic hazard and high seismic vulnerability means very high seismic risk. So if seismic hazard is high while seismic vulnerability is low, we might be satisfied that seismic risk is not very high.

The two sites of Swayambhu and Pashupati are believed to be on hard rock and so the amplification is believed to be low, accordingly the sites will be having low seismic vulnerability. The same cannot be said for other monument zones. The seismic risk therefore differs from site to site. The high values of the seismic risk are leading to disaster. And we need to discuss how to reduce those disasters.

### Past earthquakes and damages

#### *Durbar Square*

We can observe the damages caused by the past large earthquakes on the cultural heritage sites of the Kathmandu Valley. The 1934 earthquake had a magnitude of 8.2 on the Rector scale. The epicentre was somewhere in Bhojpur in Eastern Nepal more than 200 kilometres from Kathmandu, but Kathmandu was destroyed even though the epicentre distance was so large. That was basically due to the soil sediment in Kathmandu. Some examples of the sites that were impacted:

The Bhaktapur Durbar Square contained palaces and numerous temples before the 1934 earthquake. After the earthquake the top floor of the 55 windows palace collapsed and was renovated. The elaborated assembly of the 55 windows before 1934 was projected by about 18 inches / 45 centimetres. After the reconstruction in 1934, which had to be



Figures 2: Nyatapola temple in Bhaktapur after renovation; top floor was damaged in 1934 earthquake.

done in haste, they used the salvaged timber and the projected part was missing. So the assembly of the windows was made flush with the wall. That was the cause for various structural damages in the building. After the recent renovation, the original configuration was introduced with a projection of 18 inches.

Another temple Chyasilin Mandap was also dissipated and recently rebuilt in the 1980s. The question however was authenticity and as Prof Tiwari had mentioned in his presentation, the foundations were constructed of concrete instead of stone masonry. Additionally, all the joists are of steel. So all those timber elements were replaced by steel members, which were not according to the authentic structure or configuration. And it was not needed for increasing the seismic capacity or to reduce seismic vulnerability of that temple.

The Hari Shankar temple was fully lost during the earthquake. There are two lions guarding the place where the Hari

Shankar Temple stood. This would have been the entrance to the Hari Shankar Temple. The temple was not rebuilt.

### *Taumadhi Square*

Taumadhi Square is part of the Bhaktapur Durbar Square monument zone. Here there are two monuments which are important, the five-tiered Nyatapola temple and the Kashi-Vishwanath temple.

The Nyatapola temple is structurally more flexibly built and regularly planned. More important is to note that the Nyatapola temple has a very deep foundation or plinth which is about 8 meters high. In the 1934 earthquake only the top floor was gone. There are two reasons for this structure to perform well. One is the planning itself: as this is flexible and symmetrical about both axis and on the ground floor there is a timber colonnade and above that walls as a structural system.

On the other hand the Kashi-Vishwanath temple is very massive and therefore rigid. The Kashi-Vishwanath temple has zero plinth height. During the earthquake the entire structure collapsed. In this case right from the bottom to the top there are massive, very solid walls and they are not symmetrical and regular.

The area around this square has very bad soil, very deep clay and amplification is very high. The high plinth, worked to reduce the high amplification. It is not clear whether the builders knew the technique or learned by trial and error. Probably they have copied or said they wanted to have a similar structure because there is another five-tiered temple – Kumbeshwor temple in Patan, which is without such a plinth. That building was older and was damaged completely in 1934, and also in 1833. King Bhupatindra Malla knew at the time that to build a five-tiered temple, which would not collapse during an earthquake required a high plinth. This is of course speculation, since we don't know whether they were aware of this or not.



Figures 3: Two lions guarding the place where the Harishankar temple stood in Bhaktapur.



## Renovation of 55 Windows Palace, Bhaktapur Durbar Square

The renovation of the 55-window palace was exemplary. Out of the three historic palaces, only this one was renovated with local effort, local participation of craftsmen, engineers and architects. It was a success in terms of economy, traditional technology, authenticity and appearance. Bhaktapur Municipality initiated this in collaboration with the Department of Archaeology. The authentic configuration and authentic detailing were used. Concrete or steel were not used and only brick masonry, timber and stone were used. We also tried to introduce some seismic strengthening details, which were traditional technology. Many of which were known to us only after starting with the renovation, like the timber ties both vertical as well as horizontal at strategic locations and to reduce vulnerability of walls due to large openings so double framing of doors

and windows and the tying horizontally of these frames at each strategic level. This can be taken as a good example of heritage management as we established the heritage section in Bhaktapur Municipality separately, probably the first in any municipality in Nepal. A lot of work has been carried out from there and we hope they carry out the structural health monitoring system as well, which they still have to do. The rehabilitation method after structural assessment is another issue because practice of rehabilitation has been carried out without structural assessment of the condition. Changes are done only superficially and no one cares whether the structural capacity has been increased or decreased. This was the first example where we tried to do that. Concerning the usage, we have tried to convince all the concerned people that it should not be used for all purposes as it used to be



Figure 4: 55 window palace after renovation.

one of the problems in the 55-window palace. The blemishes and structural deficiencies started with the different type of usages in different periods. Sometime it was being used as the residence for the magistrate, or post office and accordingly the structural loads and live loads were different and changes were made to meet the needs. Walls were removed and added to meet needs and wall plates were removed which changed it from its original configuration. So we tried to go back its original configuration as far as possible. We also requested that it should not be used as any official building.

Traditional technology was used for strengthening during the renovation of 55-Windows Palace of Bhaktapur Durbar Square. Some methods that were used are: timber framing, timber ties and shear locks and double framing of openings. The timber floor rigidity was improved by providing extra planking. Timber ring beams and wall plates were ensured at each floor levels. While working on the project, the traditional detailing became known and was further implemented.

## Peculiar features of heritage structures of Kathmandu Valley

In general, there are numerous peculiar features of heritage structures of Kathmandu Valley. Most of the buildings have symmetrical planning of mass and rigidity. From a structural engineering point of view, the seismic vulnerability or any disaster resilience or capacity depends on how the mass and rigidity is distributed. As long as it is symmetrical or regular planning, then they are fine, since the centre of mass would be at the geometric centre and the centre of rigidity would be coinciding with the centre of mass. If that can be achieved, then we can reduce the torsion effect of the earthquake and other actions like wind, etc. Most of the structures follow this and thus are still standing. Also there is the triple wall system, which is especially true in dwelling houses and palaces, because the structural system is based on the masonry wall and they are triple walls which gives more stability. The openings are with double timber framing and also timber framing of walls. The timber floors are like rigid slabs of concrete or steel. The timber, which is flexible and even in plain its stiffness, would be limited and that could

be a problem. But it depends on how it is connected with the walls. Even if it is not rigid or even semi-rigid, if we can avoid rotation then it would be much better for earthquake or lateral load resisting system. The connections of timber floors are also very important with all the shear locks and wedges. Also the upper floor has timber framing of walls in many of the buildings, small opening sizes and courtyard system that is very good in some of the cases for earthquake resistance. There are high plinths for many temples such as in the case of the five-tiered temple. There is also the gradual reduction in wall thickness in upward direction. The thickness of the wall on the ground floor is up to 95 centimetres and it gradually is reduced to 65 and then 48 centimetres. That is how it was done at that time. They did not know about the new materials and technology, so both the materials and technology were limited to such things. That is what has become our cultural heritage. So even though we might have new materials with better strength and better stiffness, we cannot go for new materials such as concrete or steel.

## Seismic disaster risk of cultural heritage sites

Seismic disaster, which is the main cause of destruction for the cultural heritage sites of Kathmandu and so we need to know the hazard level at sites. The ground motion is the primary hazard, while fire and landslides are secondary hazards. In some cases such as in Swayambhu and Changu Narayan, landslide could be the primary hazard. Fire could also be a primary hazard. For seismic disasters we would need to know the seismic vulnerability of heritage structures and for that we need to assess its seismic vulnerability. This

would require consideration such as: un-reinforced masonry structural system. Also, there are old structures that lack regular maintenance. The development in knowledge of earthquake resistance is also important. There were no formal codes and building regulations during their construction. We still do not have any regulations or codes for heritage structures. We need to determine what the adequacy is to withstand earthquake actions.



## Recommendations

There are several critical issues that have been identified. As a conclusion, recommendations are provided to addressing these issues.

The seismic vulnerability of heritage structures and sites has increased due to lack of maintenance, aging, deterioration of materials, new construction in the vicinity and repair in isolation without consideration of structural integrity or holistic approach. The recommended solution to this issue would be the development of a strong and effective Maintenance Management Plan, for regular maintenance of heritage structures and sites.

The seismic vulnerability of heritage structures and sites are different and depend on many factors including age, type, materials, technology and usage. The recommended solution to this issue would be a systematic seismic vulnerability assessment for individual structure. The site managers will have to carry out these assessments urgently.

Intervention may be necessary in the form of rehabilitation or strengthening, restoration, renovation or reconstruction, depending on the status of the structure or site. The recommended solution to this issue would be the introduction of a regular Structural Health Monitoring System.

## Conclusion

The Disaster Risk Reduction strategy for cultural heritage sites can only be implemented when it is integrated with type of hazard, the vulnerability of the structures and site and the corresponding strengthening techniques. The Integrated Management Plan that has been established for the Kathmandu Valley World Heritage property shall emphasize Disaster Risk Reduction as an intrinsic part. The hazards must be identified and how they affect heritage structure and site. The corresponding vulnerability and ultimately what the risk would be due to that hazard for each heritage structure and site needs to be worked out. Only then can the respective management requirement for Disaster Risk Reduction be established.

The possible improvement of the disaster resilience of heritage structures using traditional materials and technology shall not be overruled. They will have certain weaknesses,

The heritage structures and sites are not only under governmental but also private ownership and jurisdiction. The recommended solution would be the development of policies to safeguard their heritage values. This may require additional convincing or partial support.

The renovations and restorations take into account only aesthetic consideration. The recommended solution would be to use the opportunity to strengthen the building. This would not only mean increase in strength, but also in stiffness, stability and durability. This requires additional assessment and planning but not much budget.

Concerning fire hazards, there is poor or no system of fire alarm and fire fighting. The recommended solution would be the establishment of an effective fire-alarm and fire-fighting systems. We must consider that if we put smoke detectors in the temples, they would be ringing all the time, due to the cultural activities of lighting oil lamps. We require a different system, which could be a traditional bell, but someone must be appointed to take responsibility. We need appropriate fire fighting systems beyond the fire engines and water hoses that destroy the heritage even more. So the system must take into account the structural type.

but we can state that we are showing respect for our heritage. A detailed structural assessment of heritage structures is necessary before determining the mode of strengthening. We have experience of this from the 55 window palace restoration project. The bulging of the southern wall was considered to have started after the 1988 Udaipur earthquake but the detailed assessment showed that this must have started right after the previous restoration. Certain experts proposed having steel space trusses in the ground floor, which was not a correct solution. So with the detailed structural assessment, an appropriate approach was found which was to use the traditional materials and techniques. Regular maintenance is another important parameter in mitigation plan.

# Evolution of the concept of disaster management in Turkey within the context of disaster

Deniz Fevziye Gündoğdu and Zeynep Gül ÜNAL

## Short biodata

Deniz Fevziye Gündoğdu has a B. Arch (METU-1997), MSc in Architectural Conservation (METU-2002) and a PhD in Restoration (YTÜ-2014) advised by Associate Prof. Dr. Zeynep Gül ÜNAL. Currently she works in the Ministry of Culture, General Directorate of Cultural Assets and Museums, Directorate of Restoration and Monuments. Worked under the same General Directorate in Directorate of İstanbul Preservation Council. Worked in Earthquake focused Urban Transformation Project for İstanbul, as the chief of both Cultural Heritage and Restoration teams.

Zeynep Gül ÜNAL is Professor at Istanbul Yildiz Technical University Faculty of Architecture Restoration Department. She led many projects; both educational and field operation related with human induced and natural disaster management on cultural heritage and heritage preservation. She is the Secretary General of ICORP and ICORP Turkey Scientific Committee Chair. She is GEA Human Search and Rescue Team International Operation Team member.

## Abstract

This paper states that a diagnosis is a prerequisite for the development of prescription and cure. Diagnosis requires a careful and meticulous recording of events to see the signs. When we study the development of the concept of 'disaster management' at international and national level, we observe a similar pattern of a cycle of actions, sufferings and reactions. On these grounds, this paper investigates the example of legal and administrative development in Turkey in the field of disaster management, through analysis of chain of events. Recording and then analysing the effects of certain disasters on particular building types would eventually help understand the necessity including disaster management plans specific for heritage. Study is based on a chronological list of disasters that have occurred in Turkey as well as legal and administrative arrangements following these events. The first aim is to show the tight relationship in recording of events and providing solutions for them. Second aim is to show the evolution pattern which actually is not unique to Turkey. Understanding this pattern would help understanding weak and strong points of disaster management systems, in how disasters and their management are perceived. The third aim is to show that lack of recording for damage and loss in cultural assets in Turkey, is connected to lack of disaster management specific for these assets.



## Introduction

This paper has been prepared based on the outcome of some sections of a PhD thesis study titled; 'Proposal for a Disaster Risk Management Model for Historic Settlements', in Yildiz Technical University, Department of Architecture, Restoration Programme, under the supervision of Associate Prof. Dr. Zeynep Gül ÜNAL.<sup>2</sup>

Successful diagnosis of a problem is a prerequisite for the development of a prescription and its cure. Diagnosis itself should be based on meticulous recording of events and their triggered effects. Researching events categorically, including signs beforehand and the events following, help develop a

'prophecy' of what to expect and it provides better tools for the planning of an effective disaster management system.

Propagation of disasters, their frequencies, increase and decrease in their occurrences are analysed for the initial stages of the project. Later on, local and governmental capacity to cope with these disasters in terms of historic settlements and buildings are analysed. This data has been used to build up information set for the project, including statistics of the past disasters, with relation to the development in the capacity of institutions that deal with historic settlements and sites during disasters.

## Historical background

History shows that perceiving the source of a problem requires careful and meticulous recording of events, keen eyes and an open mind to see the signs. Such that in Egypt; in order to solve the extensive flooding problem of Nile, they had to record every tide, where it reaches, and its effects over long periods of time, and then study this data. In this way Egyptians saved their people, buildings and crops. This solution also showed that this well irrigated and enriched alluvial soil carried by the Nile provides a very fertile land to feed people, secured that it is harvested before the tide comes back.

When the development of the concept of 'disaster management' at international and national level is studied, a similar pattern can be observed. A cycle of actions (disasters) and sufferings, and reactions (legal arrangements, short term solutions, remedies for after effects of a disaster, humanitarian help, etc.) continues, until it is finally broken, when it is noticed by an observer, trying to understand current events through studying past events, reading records or studying legends, watching, listening to stories, etc. At this stage, the problem is analysed, instead of its outcomes. The final outcome before disaster management reached is categorizing and establishing as a system to deal with the problem.

Disaster Management, like every other system, has been established as an effort to solve a problem or to answer some needs. Continuing or repeating problems force us to develop a new perception. Disaster management is one concept, where this chain of reasoning and perception can be seen very clearly. In order for the concept of management to even start to exist, the very basic necessity had been the perception

of an event as a disaster –a problem-that needs to be solved.

However, even before this, the concept of disaster was needed to be developed into the concept as we know of it today. For a long time, disasters were perceived as destiny, as 'wrath of God(s)'. The solution they could find was to please the Gods, or simply not to anger them. Two striking examples to make this change of perception clear would be; volcanic eruptions of Thera and Vesuvius mountains. Both volcanoes had exploded many times previously. They both had caused many incidents like on-going tremors magnitude, which had been gradually increasing before the final eruption. There was an intense smell of sulphur, columns of smoke and fire rose from the volcanoes. A thick layer of clouds had covered the skies for days, blocking the sun. The earth was noticeably hot; animals were dying all of a sudden, with no apparent reason. At the final stage before the eruption, tremors had increased, and the pumice from the volcanoes gradually filled the air. Yet, the inhabitants of Thera (Santorini) or Pompeii could not associate all these data to the disaster that awaited them. They could not define a volcanic eruption as a 'disaster,' and that it is a consequence of a geological phenomenon. They had no reason to believe so. They just kept repairing their buildings, prayed and offered sacrifices to Gods, and they hoped that they will be forgiven, and that this will go away.

The first break of the cycle is the symbolical moment when man discovered that fire could be stolen from Gods. This is a moment of realization that our destiny is in our hands, provided that we understand the reason behind a disaster; rain, earthquake, floods, etc. This new perspective stimulated the idea of managing disasters, though at a very primitive level

and at a very small pace. Transformation of our perception of natural disasters as natural phenomenon rather than as curse from the stars (disaster) was not so easy. It required careful and meticulous recording of some open minded pioneers. If history, today, and the future can be seen within

this perspective, and if this development and transformation can be understood, it can actually be discovered that events which are considered to be with no solution are actually problems waiting to be solved.

## Evolution of disaster management in Turkey

This study is based on cross analysis of the Turkish Official Journal and disaster records.

In this study, time line for the legal development in Turkey, in the field of disaster management, started in 1923, with the establishment of Turkish Republic. Although there are many developments in this field during the era of the Ottoman Empire, there is a rupture in the time line; in the legal and administrative institutions and traditions during events following the First World War and Independence War. There are roughly five phases in the perception of disasters and evolution of Disaster Management in Turkey.

First phase covers the period 1923-1944. It is called 'Intervention Follows Event' as a new law has been passed after every event or a series of events. The reason for this is that there is no legal description on what a disaster is, what should be done following a disaster, and needless to say, there are no regulations or building codes for mitigation (Gündoğdu, F. D., PhD, 2014). The first series of disasters that the new state faced were the after effects of the War of Independence. One of these was the great fire that wiped out many towns and cities. The great fire of İzmir in 1922 lasted four days, ruining majority of the city centre. Fires of Manisa, Turgutlu, Alaşehir and Salihli, wiped out these towns almost completely (US Archives).

Another disaster was the migration problem caused by masses of people moving from pre-Ottoman land towards new Turkish Republic, and the population exchange

agreement between Greek and Turkish Governments. One of the first activities of newly found State was to establish the Ministry of Population Exchange Public Works and Habitation, in order to reconstruct the burnt-down cities and provide urgent housing for thousands of immigrants (Gündoğdu, F.D., PhD, 2014)( Bayindirlik.gov.tr).

A great earthquake affected Erzurum and the cities in 1924. Earthquakes of 1925 Dinar, 1926 Kars, 1928 Torbalı have followed. Between 1923 and 1930, five earthquakes of intensity VIII, 2 of IX, and 1 of X have occurred. The newly found state had great difficulty in answering the needs of the affected people. The first Insurance Company was founded in 1925. There were heavy losses as a result of these earthquakes, mostly because of inadequate buildings. In 1930, Law of Municipality, regarding building codes was accepted (Table 1)(Gündoğdu, F.D., PhD, 2014) (www.afad.gov.tr) (Turkish Official Journal).

Between 1931 and 1940, four earthquakes of intensity VII, 3 earthquakes of intensity IX, and 1 earthquake of intensity X had occurred. In 1933, Law of Municipality, Buildings and Roads was accepted. As a result of some serious fire events, the Act 2290 regarding fire prevention measures and unused buildings and buildings that are in bad condition was accepted. At the time, majority of buildings that were affected by these legal arrangements and fires were traditional buildings. Also a series of legal arrangements were made in 1936 and 1937, regulating insurance rates, fire department and fire prevention measures. The 1939 Erzincan Earthquake which

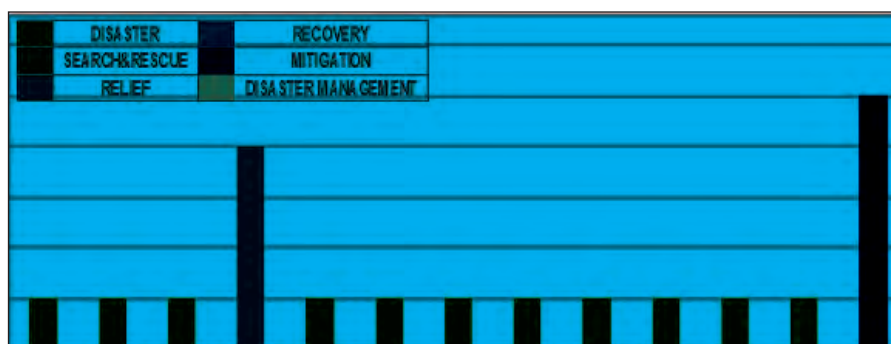


Table 1: List of Events / Actions and Reactions between 1922 and 1930 in Turkey. (Gündoğdu, F. D., 2014 "Proposal for a Disaster Risk Management Model for Historic Settlements", PhD Thesis)



is among the greatest disasters of the world was an important turning point in Turkey's Disaster Management history. It caused loss of 32,962 lives and 116,720 buildings (Table 2) (Figure 1). Following this, Directorate of Construction and Buildings was established in 1940, the Act 3773 concerning aids to be made to those affected by this earthquake, and Act 3908 concerning relocation of the city was accepted. These legal arrangements were aimed to establish a system for what had to be done after a disaster. Also it was an attempt to secure construction of better quality buildings that would endure earthquakes. These efforts mark the start of another era (Gündoğdu, F.D., PhD, 2014) ([www.afad.gov.tr](http://www.afad.gov.tr)) (Turkish Official Journal).

The second phase is the 'Mitigation' period, which covered the years from 1944 to 1958. Great losses due to the series of earthquakes (1939-44), helped authorities understand that preparing laws to aid those who were affected by disasters and reconstruction was not enough. The economic loss and deaths should be prevented by more serious precautions. Although at this time mitigation was mostly considered for earthquakes, this was still a positive development, and it would eventually cause a change in the way disaster management was perceived. This evolution in perception required a series of disastrous events to occur, which caused great economic and human loss. These disasters were great enough to take their place in the statistics. Also this great shock and fear has finally urged authorities to analyse events and their cumulative effects. As a result of recording and analysis, it was realised that these events would go on, unless something was done to mitigate their effects (Table 3). Yet,

until 1959, aids after disasters were tried to be arranged by separate laws following each event (Gündoğdu, F. D., PhD, 2014) (Turkish Official Journal).

Between 1941 and 1950, 9 earthquakes of intensity VIII, 8 earthquakes of intensity IX and 2 earthquakes of intensity X occurred. Majority of these events were along the very fault that caused the Erzincan Earthquake and the Northern Anatolian Fault (NAF). These series of events have caused loss of 43,319 lives, and around 200,000 buildings along the NAF. Again there were attempts to regulate aids and relocations of settlements after these events, like the Act 4386, which was accepted following the earthquakes in Middle and Western Anatolia. Between 1951 and 1960, 6 earthquakes of intensity VIII, 3 earthquakes of intensity IX and 1 earthquake of intensity X occurred ([www.afad.gov.tr](http://www.afad.gov.tr)). (Gündoğdu, F. D., PhD, 2014).

The amount of destruction and economical loss caused by these events had proven that the problem was too great to be solved by merely rebuilding the destructed buildings, preparing building codes or by relocating towns. After continuous efforts to recover the destruction and aid those affected, all this great destruction finally lead to a point where importance and necessity of disaster mitigation was realized. In 1945, the Earthquake Risk Zone Map of Turkey was prepared, and this was followed by legal arrangements concerning building code differentiation according to different risk zones. Another important point was accepting that separate acts for each and every event was not enough for overcoming problems of disasters. As a result of this action-

reaction period, some areas were prone to certain disasters, and the necessity of disaster risk zoning and mitigation in these risk areas were understood. Notion of Risk Management have started to appear in legislation. Disaster and emergency aid and rescue plans were prepared. New administrative systems were designed in accordance to legislation. What should be done during and after a disaster or emergency situation were described (Table 3) (Gündoğdu, F. D., PhD, 2014) (Turkish Official Journal).

In 1956, the Act 6785 of Construction was accepted. This act stated that disaster prone areas should be determined during



Figure 1 Destruction of the December 26, 1939 Erzincan (Turkey) Earthquake. Magnitude 7.9, Mercalli Scale: X-XI. It destroyed most of the city, Caused death of 32,962 people. 116,700 buildings have collapsed or became severely damaged. It is considered one of the most devastating earthquakes of the World (*mimoza*. [marmara.edu.tr/~avni/ERZiNCAN/deprem/](http://marmara.edu.tr/~avni/ERZiNCAN/deprem/))

decision for new habitation areas, and that constructions should be detected in these areas. In 1958, Ministry of Construction and Habitation was established, which took over the role of the Ministry of Public works about disasters. In the same year, Act 7126 of Civil Defence was accepted, which arranges search, rescue and first aid issues. In 1959, Act 7269 was accepted, which makes general arrangements of what should be done after a disaster, including humanitarian relief, relocation, temporary housing, disaster funds, bank loans, government loans, etc. For the first time, a Directorate was established bearing the name Disaster works. Also with this new legislation, definition of disaster was made (Gündoğdu, F. D., PhD, 2014) (Turkish Official Journal). Until this time, each event had to be declared as Disaster by a new act or a cabinet decree.

Starting in the 1950's, fires affecting the whole neighbourhoods or important monumental buildings, earth movements, rock falls and floods have been recorded more systematically. This development has reflected in legislation. Majority of these legal arrangements were about relocation of neighbourhoods and villages, government funds for those affected and declaration of disasters. However, there are also some arrangements concerning fire prevention and protection. In 1953, arrangements have been made for fire insurance, and in 1954, the issues of contribution of public to fire extinguishing and aid to fire victims were legally arranged (Turkish Official Journal) (Table 3).

The third phase (1961-1982) identified a single law that regulates the system after disasters. Between 1961 and 1970, 14 earthquakes of intensity VIII and 4 earthquakes of intensity IX have occurred. This period marks the establishment of a more systematic approach to disasters. In 1962, a decree was prepared on disaster prone

zones. After determining disaster prone areas in accordance to this new legislation, in 1968 a new decree named 'Announcing some Zones as Natural Disaster Zone' was accepted. In this decree, for the first time the term 'natural disaster' was used (Table 4-5) (www.afad.gov.tr). (Gündoğdu, F. D., PhD, 2014) (Turkish Official Journal).

The meticulous recording had shown that every disaster had some similar impact on people, built environment, social structure and economic system. Also it was now realized that a different hierarchical system was required to cope with before-and-after events of a disaster. A new institution was established to deal only with disasters in 1965. In 1968, the term 'natural disaster' was used for the first time; implying

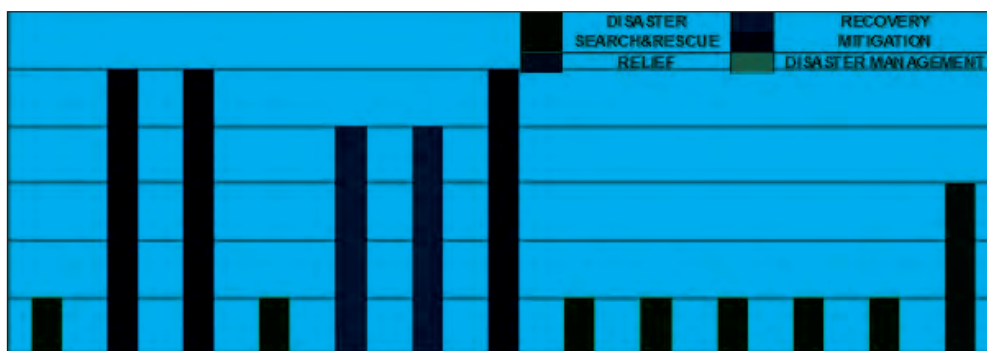


Table 2: List of Events/ Actions and Reactions between 1941 and 1960 in Turkey. (Gündoğdu, F. D., 2014, "Proposal for a Disaster Risk Management Model for Historic Settlements", PhD Thesis)

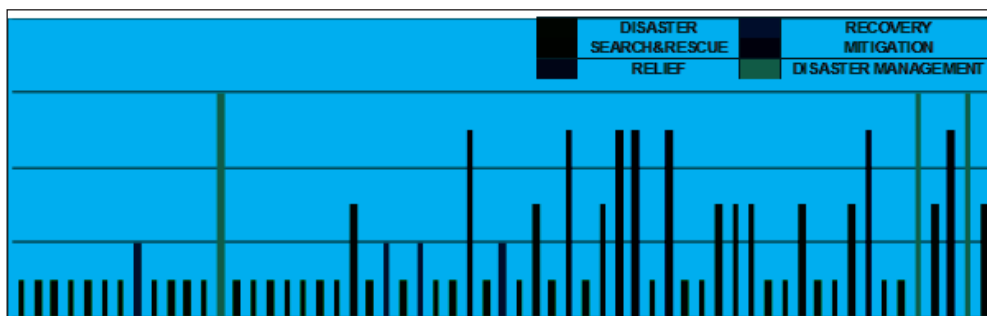


Table 3: List of Events/ Actions and Reactions between 1931 and 1940 in Turkey. (Gündoğdu, F. D., 2014, "Proposal for a Disaster Risk Management Model for Historic Settlements", PhD Thesis)

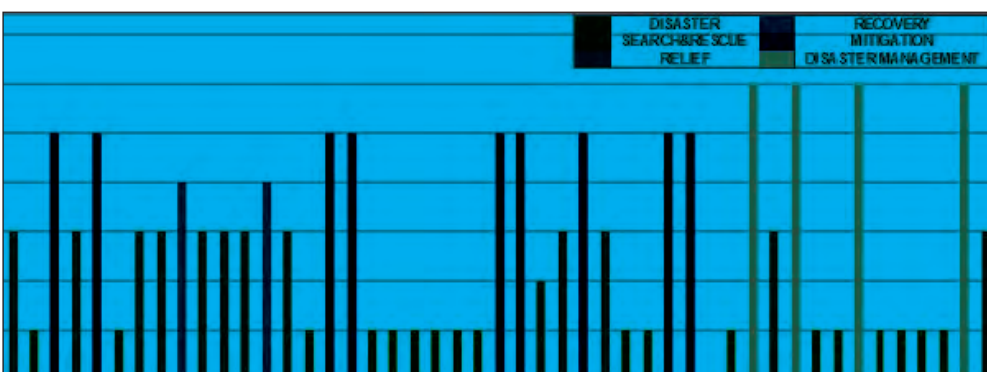


Table 4: List of Events/ Actions and Reactions between 1961 and 1970. (Gündoğdu, F. D., 2014, "Proposal for a Disaster Risk Management Model for Historic Settlements", PhD Thesis)





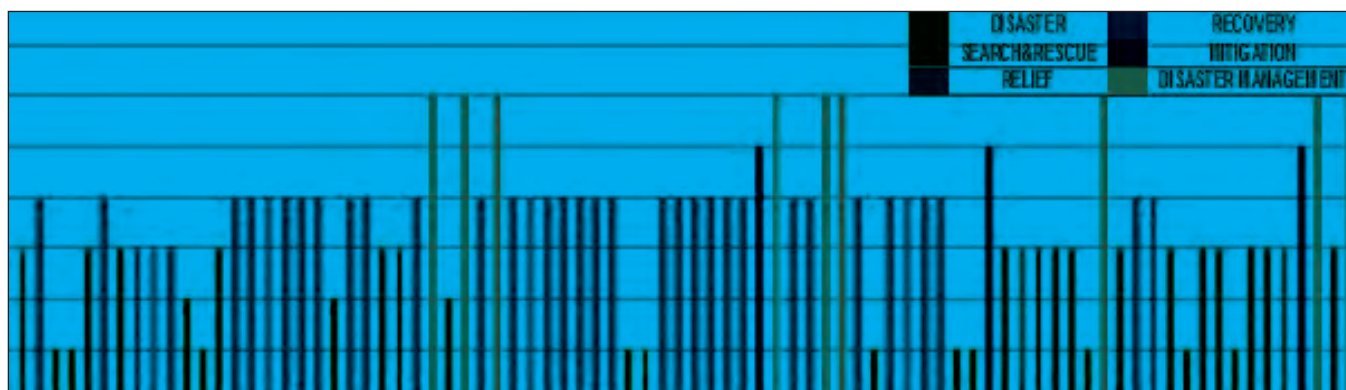


Table 6: List of Events/ Actions and Reactions between 1983 and 1992. (Gündoğdu, F. D., 2014, "Proposal for a Disaster Risk Management Model for Historic Settlements", PhD Thesis)

have been established in three levels, with extraordinary authorities during search and rescue phase (Gündoğdu, F. D., PhD, 2014) (Turkish Official Journal)(afad.gov.tr).

The fifth phase is marked by two major disasters. First is a series of disasters in the Black Sea Region in 1998, caused by heavy rain, floods and mudslides, affecting many towns and people, and again causing serious economic loss (Turna, 2011). However, the 1999 Marmara Earthquake was a sharp turning point for the newly established disaster management system. It tested and observed the inadequacy of the system in answering big scale disasters. Problems, inconsistencies, lack of coordination and collaboration between different governmental institutions were revealed. The system quickly started to analyse itself and many legal arrangements were promptly made in order to answer the urgent needs of victims in major cities of the country (Gündoğdu, F. D., PhD in progress). Following the disaster, 38 acts, 28 decrees, 6 regulations, 17 notifications and 9 circulars were accepted within a year. Civil Defence Directorates and search-rescue teams were established in districts and city centres. Provincial Governor was given the

authority to establish first aid and search and rescue teams, build temporary settlements, and make necessary purchase to realize these actions (Crisis Management Centre-Prime Ministry, 2000). Compulsory Building Insurance Institution was established, and strict rules were applied to cover all buildings under this insurance. It was realized that making Building Codes was not enough, but constructions should also be detected. So, a new detection system was established. Legal arrangements were made to measure the competence of civil engineers (Table 7)(Gündoğdu, F. D., PhD, 2014) (Turkish Official Journal).

The most important development, the final arrangement in Disaster Management System of the country was the establishment of Disaster and Emergency Presidency (AFAD). This institution has a healthy system of recording each event, along with the faults and mistakes of the system, problems in application and newly arising problems and documenting past events, thus providing a functioning feedback mechanism. When we study events and change in legal and administrative structure, we can see that the action-reaction cycle has left its place in favour of pro-action.

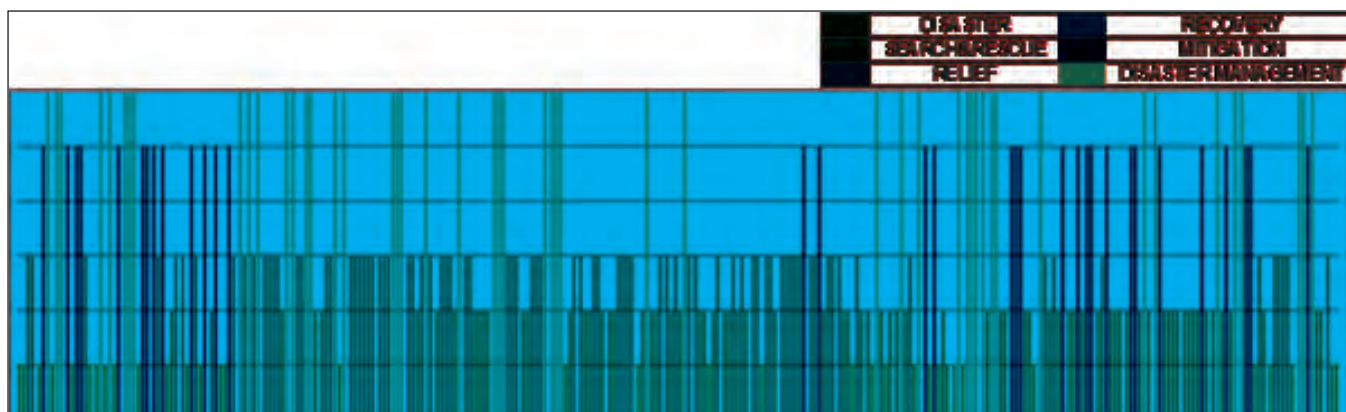


Table 7: List of Events/ Actions and Reactions between 1993 and 2011.(Gündoğdu, F. D., 2014, "Proposal for a Disaster Risk Management Model for Historic Settlements", PhD Thesis)



## Recording impact of disasters as means to save heritage

Establishing a history of disasters is a process should include all phases of disaster cycle. Statistical information which is acquired as a result of the analysis of this multi-faceted data would provide the information that is required for developing and improving the disaster management system. Peeking in the historical development of Disaster Management systems reveal the shift from action-reaction cycle to disaster continuum.

The same process of development applies for historic heritage. Preparing a disaster history by collecting data on damage records of traditional and monumental buildings to see how a particular construction system and technique behaves in different events, and how interventions affect these historic systems is vital to have a concrete data on what we can save through managing disasters.

In Turkey, during the 1999 Marmara Earthquake, many heritages- mainly traditional settlements were lost during search and rescue, and recovery phases. One of the reasons was that teams who scanned cities to detect level of damage, had little or no knowledge on how to intervene these buildings, or detect faults in their construction systems. Unfortunately some further studies showed that many traditional or

monumental buildings were demolished depending on reports which were prepared using fast damage assessment systems designed for engineered buildings.

This gap in the system was detected as a result of statistical data collected while evaluation of damage and non-damage of historical buildings after this earthquake and following events (floods, mud slides, earthquakes). Although loss was irrecoverable, information acquired as a result of accumulation of statistical data was used in developing effective, fast and detailed assessment techniques for various historic construction systems and techniques.

Development in the field of statistical recording of damages and losses due to various disasters, and their reasons would be a very important step in understanding the position of historic settlements and monuments within existing disaster management systems. Observations during various disasters show that historic settlements require a different approach in disaster management. It is recommended that disaster management systems will take a step forward to include the different perspective required for historic settlements. So that specific disaster management systems will be established for historic settlements in the near future.

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# Disaster risk management in Indonesia – Learning from the impact of relief processes

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## Short biodata

Dr. Ulrike Herbig studied geodesy at the Vienna University of Technology and is currently working as an assistant professor at the Institute of History of Art, Building Archaeology and Restoration. During her Ph.D. thesis she started to focus on the interdisciplinary recording and documentation of architecture. Since 1995 she worked in different projects in Asia, Africa and Europe with the aim to develop multidisciplinary approaches for the analysis of built cultural heritage. She is a member of ICOMOS Austria and in charge for the monitoring of the World Heritage Site Fertö / Neusiedlersee Cultural Landscape.

Dr Gabriele Weichart is a senior lecturer in the Department of Cultural and Social Anthropology at the University of Vienna, and a chief investigator in the ASSIP Project, funded by the FWF Austrian Science Fund. She has researched and written extensively on various aspects of Indigenous Australian and Indonesian societies and culture. For many years, she was a board member of the European Association for South East Asian Studies (EuroSEAS).

## Abstract

In the first decade of this century, Indonesia was hit by severe natural disasters. Heavy earthquakes in 2005 and 2006 affected especially areas on the island of Nias, west of Sumatra, and villages in the vicinity of Yogyakarta. Whereas the damages on the traditional architecture in those regions were relatively minor, the reconstruction processes brought changes in both societies and in their built environments. To study these changes and to compare the impact of the reconstruction processes in Nias and Yogyakarta was the aim of the project ASSIP (Architecture, Space and Society in Post disaster Built Environments in Indonesia). An Austrian team of researchers from different disciplines (architecture, anthropology, geodesy), in cooperation with the Gadjah Mada University in Yogyakarta, the University of Sumatera Utara in Medan and the Museum Pusaka Nias, studied the effects of the long-term relief operations. Apart from standard research methods of all disciplines involved, multidisciplinary approaches were developed for the acquisition and analysis of data and information about society, buildings and settlements. Based on the research results we argue that the reconstruction works have accelerated development processes towards 'modernity'. However, they have also influenced, and sometimes even initiated, changes in attitude among the local populations towards the value and relevance of cultural heritage. This paper will present some examples of the impact of relief operations and discuss the relevance of future disaster risk management plans considering the results of the research.



## Introduction

Earthquakes are a constant threat in Indonesia. People of this vast archipelago have learned to live with this hazard and to deal with disasters. However, the earthquakes of 2004, 2005, 2006, and the eruption of Mount Merapi in 2010 challenged the country on a large scale. Whereas the impact of the disasters themselves was manifold, the following relief and reconstruction operations, too, left their traces in the society, the infrastructure but also upon the cultural heritage.

Investigating these effects has been the aim of the project Architecture Space and Society in Post disaster Built Environments (ASSIP) in Indonesia. The interdisciplinary and international team of researchers, who already had work experience in that region previous to the above mentioned disasters, studied the results of rebuilding processes in two regions in Indonesia: Nias, a small island west of Sumatra and Yogyakarta in the centre of Java. A major goal for the researchers was to investigate changes of the built environment and their interrelations with other cultural transformations.

The traditional architecture and cultural practices connected with it formed the basis of research. Of particular interest

to us was also to investigate local people's strategies, to deal, in relation to the built environment, with the ever-present hazard of earthquakes. Especially in the areas recently hit by strong earthquakes, the traditional vernacular architecture showed outstanding resilience against the heavy tremors and provided a safe space for the inhabitants. On the island of Nias, to name an example, none of the 850 people killed in the earthquake of 2005 died because of the collapse of a traditional building. There, in particular, the architectural heritage showed 'that heritage if well maintained can positively contribute to reducing disaster risks,' as Francesco Bandarin mentioned in the World Heritage Resource Material Managing Disaster Risk (UNESCO 2010).

Against this background, the main concern of the research team was to identify the qualities of traditional architecture that had survived the disaster and the reconstruction process, and its influence on local cultures and societies. The results have been compiled in a GIS (Geographic Information System) that can be used for further analysis and may also provide a tool for future disaster risk management.

## Methodology

As the built environment is the result of a multi-layered process, its research can only be achieved by a multidisciplinary approach. Since 2003, a group of researchers from different Viennese institutions and the disciplines of social and cultural anthropology, architecture, geodesy and urban planning have worked together in different projects with a focus on the interrelation of culture, architecture and identity. In this process, quantitative and qualitative data about the vernacular architecture and the local populations have been collected. Fruitful cooperation has been established with the Gadjah Mada University in Yogyakarta, the Museum Pusaka Nias and the University of North Sumatra.

For the management and the analysis of the data, a Geographic Information System (GIS) was developed. Detailed maps of the investigated settlements form the basis of the GIS. As these maps had not been available before, the main task of the geodesists was to map the village structures. Satellite images could be used as a basis for mapping the villages around Yogyakarta, but for Nias high resolution images were not available until spring 2013. Therefore aerial

pictures were taken by using drones under difficult local conditions. These pictures were used for the compilation of an orthophoto map for one of the core areas. Additional measurements with a tachymeter completed the village survey which was followed by an analysis by the urban planners. Finally, tracks and infrastructure were recorded with GPS (Global Positioning System) devices.

The starting point and focus of the architectural investigation was the survey and analysis of traditional vernacular buildings. Detailed digital 3D models were used to study construction techniques related to the earthquake resistance of the buildings. In the same way we examined modern houses built before and after the earthquakes with the aim to gather information about the influence of traditional building techniques on the contemporary architecture. Similar techniques could be observed for the maintenance and preservation of traditional houses as well as for adaptations made to the buildings according to the requirements of a modern lifestyle.

The cultural and social anthropologists' task was to investigate the usage of the space within and around the buildings, their location within the settlement context and their significance and meanings for the owners, in the neighbourhood and the

village community. Research methods were questionnaires, structured and narrative interviews as well as informal conversations. Further information was collected through participant observation.

## Field sites

Within the ASSIP Project, two very distinctive field areas were chosen for comparison: the fairly small peripheral island of Nias and the bustling city of Yogyakarta in the political, economic and cultural centre of Indonesia.

Nias is situated in the Indian Ocean, 125 km off the west coast of Sumatra in the highest seismic risk zone in Indonesia where earthquakes occur regularly and frequently (Sieh, 2007). The island covers an area of 4475 square kilometres, and has a population of approximately 700 000<sup>1</sup> (BPS 2011) inhabitants. Although the island is relatively isolated, seafarers and traders visited it for more than a thousand years and settled along its coastline.<sup>2</sup> Especially remarkable is the traditional architecture of Nias with three distinct architectural styles elaborately developed to resist the frequent earthquakes.<sup>3</sup> More than its cultural heritage, the island's outstanding surfing conditions attracted tourists during the 1980s and 90s and tourism was seen as a viable option for development (Wolff 1999, Ziegler and Maurer 1988). The political and economic insecurities of the late 1990s led to a stagnation and even decrease in tourism and other types of development. This was further aggravated by an earthquake followed by a devastating Tsunami in December 2004. A few months later, in March 2005, another major earthquake caused even more damages on the island.

The second field area is located in the vicinity of the city of Yogyakarta (Daerah Istimewa Yogyakarta, D.I.Y.) and presents a very different picture. With its 3.5 million inhabitants, it is the political and cultural centre of Javanese traditions and an attractive tourist destination. Numerous impressive temples dating back to the Buddhist and Hindu era can still be visited in the surroundings. Despite its strive for modernisation, the city has made an effort to maintain some of its traditional character and protect its cultural heritage which includes handicraft production like batik, pottery and leather work (especially wayang kulit, the puppets used in the traditional shadow play). In May 2006, a severe earthquake destroyed approximately 9000 houses and killed more than 3000 people.<sup>4</sup>

Due to vast differences in infrastructure and other local conditions in both field areas, the relief and reconstruction programmes, their organisation and community participation as well as their results showed also considerable differences. Also the Nias reconstruction programme was framed in the aftermaths of the tsunami of December 2004. Thus, the island was able to benefit from generous international donations and aid operations in the region which had a huge impact on the local economy and society.<sup>5</sup> In Father Hämmerle's<sup>6</sup> view, the earthquake also 'mark[ed] the beginning of a new modern time' with major changes in economic and social structures and relations. However, levels of personal participation by the local population in the various relief projects were rather low which corresponds to the traditionally weak solidarity structures within and between different social groups and communities on Nias.

In contrast, the majority of relief and reconstruction operations in and around Yogyakarta were organized and implemented by governmental and other local organizations. They could look back at experience gathered during their involvement in the reconstruction work after the tsunami in North Sumatra. This and the Javanese tradition of gotong royong – a social support system based on mutuality and reciprocity – were responsible for high levels of local participation in the reconstruction programmes. Ikaputra (2008:1 and 2008:2) from the University of Gadjah Mada (UGM), who was actively involved in the reconstruction process, suggests that people's willingness to engage in collective, civic activities aimed at achieving mutual goals was a key factor in the success of many of Yogyakarta's post-disaster programmes.

As a major interest in our research has been the impact of the reconstruction works and subsequent processes on the vernacular architecture and traditional building styles, we carefully chose our field sites. A condition was that the settlements of investigation should have a body of traditional architectural substance as well as modern sector that consisted of houses built before the earthquakes and others built or rebuilt afterwards.

# Research approach and preliminary results

## Mapping settlements and roads for a development analysis

Mapping the villages was a very important issue within the framework of the project. While high-resolution satellite

images are available for the area around Yogyakarta, Nias is only partly covered. For the northern part of the island, images published in summer 2012 are suitable for mapping the settlements. For the villages of Hiliamaetaniha and neighbouring Sondregeasi, our core area in South Nias, standard surveying methods had to be applied to create a reliable basis for the GIS data. Global Positioning System (GPS) tracks and sketches of the settlement layout were used to plot the general geo-referenced location of the villages. As there are no detailed maps for this part of Nias, the GPS tracks made during the fieldwork were uploaded onto [openstreetmap.org](http://openstreetmap.org), thus also supporting the overall mapping of the island.

A combination of tachymeter survey and photogrammetric processing of the images taken with a (model) helicopter-mounted camera were used to make a detailed plotting of the houses. This map material is geo-referenced and forms the basis of the database that is managed by using a GIS. It is used to collect, analyse and also publish the gathered information about houses, settlements and infrastructure. All participating researchers work within this system and use the same pool of data. For the public version, this data will be processed and anonymised. For the researchers' use, a set of queries will be developed based on the project findings.

Together, these techniques form a system for the recording, management and dissemination of information related to the built environment of a region. This could provide the basis for easier evaluation and assessment of the general use of space inside houses and within a settlement and thus facilitate post-disaster planning and reconstructing. We therefore argue that such systems should be part of disaster risk management programs, which would help to avoid mis-planning and other related problems.

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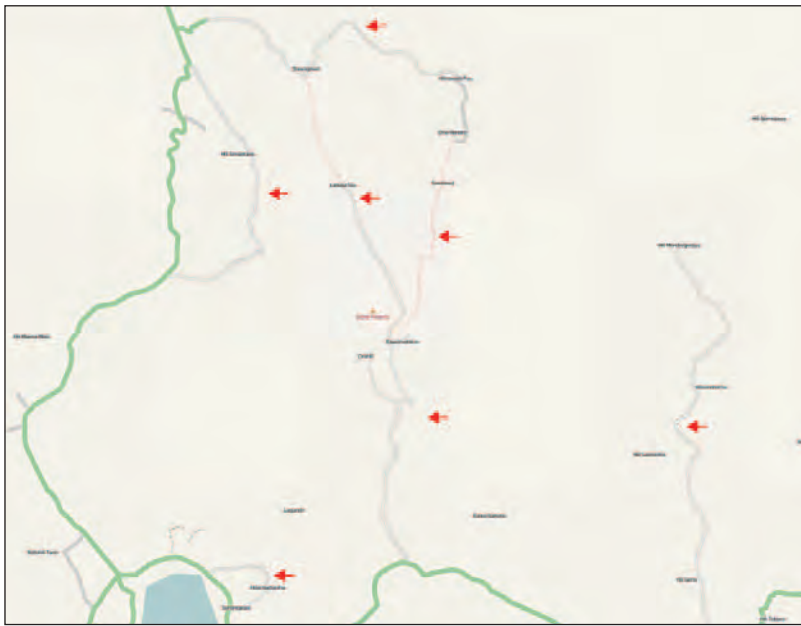


Figure 1: Open street map image with the roads mapped by the ASSIP team marked with red arrows (Screenshot from [www.openstreetmap.org](http://www.openstreetmap.org) [10.02.2013])

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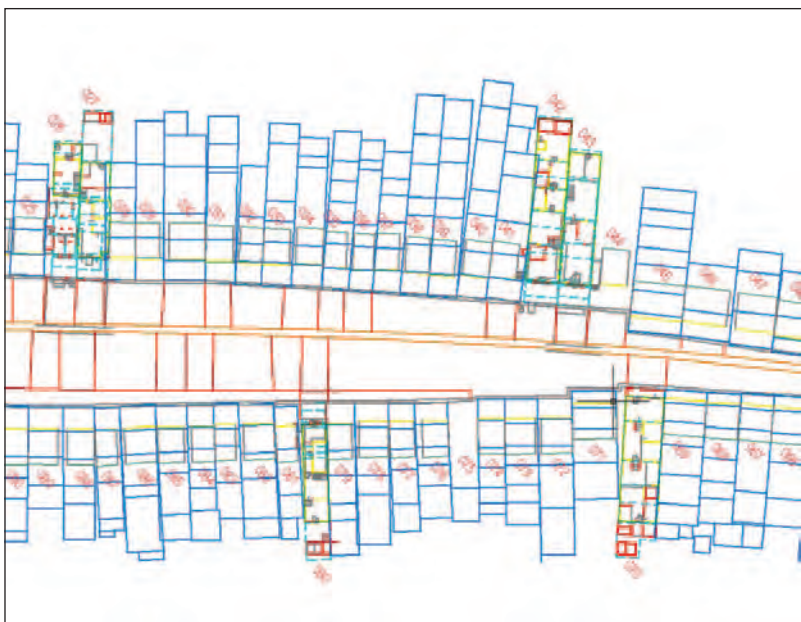


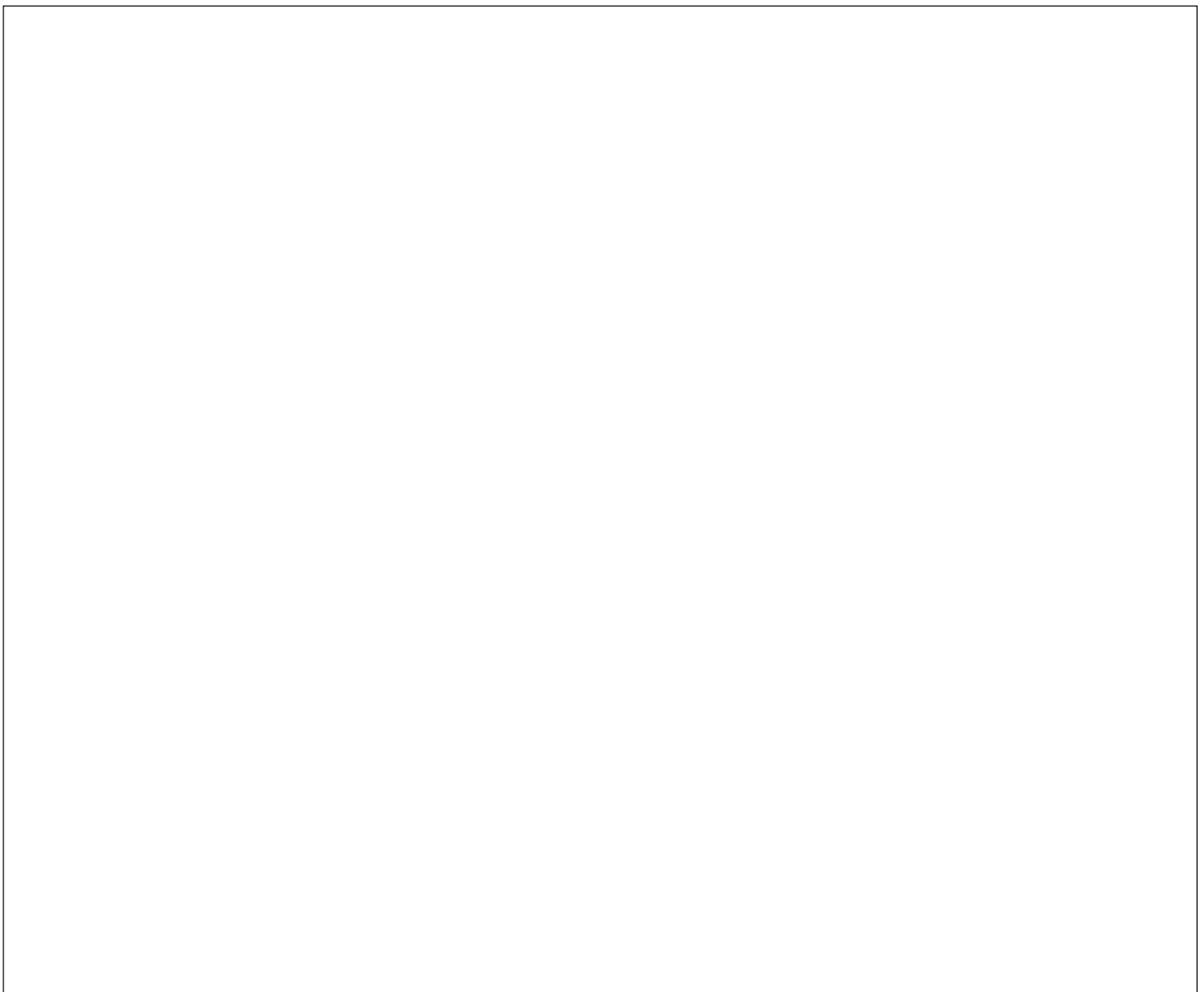
Figure 2: Numbering of the houses in Hiliamaetaniha





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Figure 3: Main road of traditional Hiliamaetaniha and modern Sondregeasi, South Nias



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Figure 4: Comparison of village maps of Tumöri (left) and Dahana Tabalobo (right), North Nias (2012)



Figure 5: The BRR settlement at Sondregeasi, South Nias (2012)



Figure 6: The village of Jatirejo on the outskirts of Yogyakarta (2012)



Figure 7: Parts of an old limasan in a new house in Jatirejo, Yogyakarta (2012)

### *Transformation of the use of space*

At South Nias, the disregard of traditional layout patterns has especially obvious. Traditional villages in this area have been characterised by a very distinct use of open space and much of it has been preserved until now. The settlements consist of two rows of attached houses with well-defined spaces between them for semi-private, semi-public and public use. Just a small path in the middle of this open space was completely public and used as a walkway. Left and right along this path, the space is used for semi-private affairs like drying clothes and fruits. Between this sector and the private space in front of the house there is a place with megaliths that remind the inhabitants and passers-by of the ancestors and also indicate the wealth of the house owners.

Changes in living conditions - especially motorised traffic - have influenced the layout of the settlements but the main concept has been preserved. In the modern extensions of the villages, roads replaced the small paths in the middle of the villages, which enabled the passing of motorcycles and even cars. The semi-private space has therefore become smaller and is now used not only for clothes and agricultural products but also as a parking area for cars and scooters. The private space directly in front of the house has kept its function as a place for interaction and communication; but nowadays, small walls or fences separate the private verandahs or front yards from the more public space. Such changes have been particularly drastic in the new settlements erected by aid organisations where building traditions have been largely ignored.

This could also be observed in North Nias where, even after five years, the villagers seem not to have completely adapted to their new village, although an improvement could be noticed between the fieldwork campaigns in 2011 and 2012.

As the layout of the settlement developed in accordance with the social life and the rituals of the community, the new situation also



affects the community life. Details about the effects and related changes are part of the anthropological investigation and still in the process of analysis.

In the vicinity of Yogyakarta, the pre-earthquake layout of the villages has not changed. During the reconstruction process, houses were erected on the same spot or close to former buildings. Villagers were often closely involved in the planning and construction phases and their needs could be better served.

### **Transformation in architecture**

The vernacular architecture in both regions of the study has undergone developments towards modernity. In the area of Yogyakarta, modern buildings differ from traditional houses in shape and material.

However, many modern houses are equipped with old elements which have been recycled from old buildings in combination with new, contemporary buildings. Especially the walls of the *limasan*, a common type of traditional house in Java, are used in many modern houses. Different kinds of collected and stored building materials could be detected in all field areas around Yogyakarta. Sometimes, old materials are reused for mainly economic reasons, but the connection to the owner's personal or family history is an even stronger motivation for this practice. Being able to keep parts of their old houses, made it easier for the village people to adapt to the new situation during the reconstruction process.

The results of the reconstruction process in the Yogyakarta area show the signs of the strong community involvement and close cooperation with authorities like members of the Gadjah Mada University. Transitional shelters and newly constructed houses were planned together with the future owners. This work laid the basis for future disaster risk management plans that have proven their effectiveness in 2010 after the eruption of Mount Merapi.



Figure 8: Houses built during reconstruction in Dabana Tabalobo (2011)



Figure 9: Modern wooden building in North Nias, Tumöri (2011)



Figure 10: New space in the substructure of a traditional house in Hiliamaetaniba (2011)



In Nias, on the contrary, houses built by aid organisations during the reconstruction process lack a correspondence with local people's needs. As no exact data on existing houses had been available before the earthquake, the evaluation of destroyed houses and the real demand for reconstructed housing was a difficult task. Now all over the island you will find a number of buildings which have never been used.

On the other hand, people in Nias released and appreciated the safety their traditional houses provided during the earthquake. But the maintenance of the old buildings is difficult and costly and the building material is getting scarce. This is one reason why the transformation of architecture from the traditional wooden skeleton constructions to modern concrete buildings started before the disaster. Some traditional elements can still be found even in modern buildings, especially in the interior parts of the houses.

In North Nias, traditional buildings are oval shaped constructions built on elaborate substructures. The first modifications consisted of rectangularly built houses with substructures following the principles of the traditional constructions. However, these are not very common and the majority of new buildings are erected on a foundation placed directly on the ground but still following traditional construction principles that proved to be earthquake resistant when maintained well.

The transformation of the architecture in South Nias has taken on different forms. A first alteration was the reduction of the substructure, but keeping distinct traditional features, like the jutting out floor joists at the sides of the houses, called *sihöli*. Simpler wooden buildings, sometimes called 'Malaysian style houses' by the villagers, seem to be the next step in modern Nias architecture. Often, the typical elaborate roof construction is used, even on concrete buildings, and reminds the owners and others of their local building tradition.

Whereas the traditional roof cover of sago-palm leaves provided good ventilation, the tin roof heats up in the sun and is noisy when it rains. Nevertheless, buildings with tin roofs now outnumber traditional ones in South Nias. They are easier to maintain, last longer and are therefore cheaper. However, some villages are considering replacing their tin roofs with palm leaves which should give the houses a more authentic appearance and thus, attract tourists.

Niha, the indigenous people of Nias, who still own traditional houses, try to maintain them or adapt them to modern

needs. An example is the alteration of the substructure. To make this space usable, pillars are removed and replaced by supporting beams and walls. Furthermore, the ground has to be dug deeper to provide the sufficient room height. These newly-created spaces are used as shops, work spaces, or living spaces. One common reason for house owners to adapt the substructure is the more pleasant room climate in this part of the building.

These alterations of the traditional houses make it possible to keep them in use. But with changes in construction, the static structures of the houses have changed too, and it is uncertain that the modified buildings can resist earthquakes as well as the original constructions.

### *Data management and analysis*

An important issue of the project was to make the result easily accessible. Therefore the open source software QGIS (formerly known as Quantum GIS)<sup>7</sup> has been used for the management and visualisation of the data. All surveyed maps of the field sites have been imported into the system and provide the basic information. The data and material has been organised from the scale of the regions (in our case Nias and Yogyakarta) down to the details about the use of rooms. So far the system has been used to manage the data. All material collected, like images, videos, interviews, drawings, 3D models have been put into the system and referenced according to their scaling.

As the detailed data about the houses (e.g. rooms or functions) and also the major part of the data collected by the social anthropologists are very sensible data, different levels of security have been implemented in the system. Depending on the degree of privacy, data can be accessed and even analysed via a web user interface. A public version gives general information about the region and the villages, as well as the houses. General information includes picture series of the villages from different dates, classification of the buildings according to typologies, material and condition at the time of survey. The idea is that the system should be open to add or change data, depending on the level of security. Sensible data, for instance, can be opened for researchers if there is an interest to add information or use the material for analysis on related topics. Thus, the system may support relief operations. In the case of emergency, after a new disaster, this data can be used to give a quick and reliable source of information to relief teams.

## Conclusions

The architectural heritage is constantly changing but has continued to form an integrative part of people's lives. In Indonesia, where disasters are a common threat, the surviving material heritage is a valuable component of the collective memory that provides a basis for reconstruction and future developments. The research showed that the reconstruction processes accelerated development in the affected regions. Consequently, they have also changed local people's attitudes towards their cultural heritage.

Many researchers are working in potentially hazardous zones. They are collecting basic information about the cultural heritage that could be of use in times after disaster and particularly during the first relief operation, when there is a

lack of time, energy or funds to deal with cultural heritage. Often, the most prestigious objects only get attention, but there are many more cultural treasures that need to be preserved, restored or reconstructed in a way that secures continuity of the collective memory and identity for which the material culture forms a base.

There is an urgent need to make the work of researchers in this field a fundamental and easily accessible part of any relief operation. In order to achieve this goal, the material has to be compiled in such a way that it can be referenced to the locations as easily and quickly as possible. This would be an important part of the disaster risk management and support efforts of safeguarding the collective cultural heritage.

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# Framework for community based disaster risk management plan: Historic core of Tansen

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## Short biodata

Arjun Koirala is currently working as an Advisor (Urban Planning and Infrastructure Development) to the Urban Governance and Development Programme, at the Department of Urban Development and Building Construction, which is a World Bank and GIZ parallel funded program implemented by Nepal Government and the participating municipalities. Mr. Koirala is a staff member of GFA Consulting Group, Germany, which serves as a technical team called Municipal Support Team, attached to the Project Coordination Office of the Program. Graduated in Civil Engineering, Sociology and Urban Planning, he has a wide range of experiences in the public, private and development cooperation sectors. He has served for more than a decade in urban sector. Besides being engaged in municipal capacity building for planning and implementation he has started working together with Nepalese municipalities to integrate disaster risk management of cultural heritage in municipal periodic planning.

## Abstract

The concern for disaster risk management is increasing in Nepal. In the past decades, the country witnessed series of disasters such as landslide, flood, fire and earthquake. The scope and responsibility limited to the Ministry of Home Affairs are gradually expanded and shared by other relevant ministries and line agencies. The roles of local bodies, NGOs, communities and international organizations have become obvious. For Nepalese municipalities, the Department of Urban Development and Building Construction introduced an additional thematic plan- 'Disaster Management Plan,' under the Period Plan. This is an entry point to integrate disaster risk management from the very beginning of planning process, in a participatory way. The paper 'Framework for Community Based Disaster Risk Management Plan: The Historic Core Tansen' explores methods for integrating the issue in question with the municipal periodic plan, considering the role of 'Tole Lane Organizations (TLOs- a community based organization of small neighbourhood in a lane) as primary. However, the Periodic Plan of Tansen Municipality does not include a disaster risk management plan. The paper presents analysis of disaster risk both at municipal and neighbourhood levels. A municipal level plan to address the worst case scenario is sketched out. Tansen, a hill town, enlisted as tentative world heritage site offers traditional buildings along the narrow streets, religious and historic attributes combined with culture as the attractions and assets of the town. Due to its terrain, streetscape and preparedness of the authorities, the town is relatively at high risk of disaster from the perspective of earthquake and fire. In this context, a community based disaster risk management plan has been initiated wherein the TLOs have identified the potential risks and safe places for evacuation, and actions to respond to the disaster risk have been derived. The plan is expected to demonstrate framework for preparing community based disaster risk management plan for Nepalese municipalities.

## Introduction

### Context of the study

The concern for disaster risk management is increasing in Nepal. In the past decades, the country witnessed series of disasters such as landslide, flood, fire and earthquake. The scope and responsibility limited to the Ministry of Home Affairs are gradually expanded and shared by other relevant ministries and line agencies. The roles of local bodies, NGOs, communities and international organizations have become obvious. For Nepalese municipalities, the Department of Urban Development and Building Construction introduced an additional thematic plan- 'Disaster Management Plan,' under the Period Plan. As there is a need to develop certain framework, which would also take into consideration the urban cultural heritage, Tansen Municipality was chosen as a case. However, the Periodic Plan of Tansen Municipality does not include a disaster risk management plan. The paper 'Framework for Community Based Disaster Risk Management Plan: The Historic Core Tansen' aims at exploring methods for integrating the issue in question with the municipal periodic plan, considering the role of Tole Lane Organizations (TLOs- a community based organization of small neighbourhood in a lane) as primary.

### The study area: Tansen and Tole Lane Organizations at Ward No. 6

Tansen, a Nepalese hill town of 11th century, enlisted as tentative world heritage site in 2008 offers traditional buildings with unique window features along the narrow streets, religious and historic attributes combined with culture as the attractions and assets of the town. It is also known for a number of cultural heritages such as temples, central open space, palace, monasteries, mosque, church, stone paved streets, parks, public rest houses, school buildings, libraries, etc. scattered in different locations. These evolved with the combination of Magar and Newari cultural together with Hinduism and Buddhism.

Due to its terrain, streetscape and preparedness of the authorities, the town is relatively at high risk of disaster from the perspective of earthquake and fire. Nepal being in the high-risk zone for earthquake, Tansen is also at risk. The municipality, local communities, Non-Governmental Organizations and even the central government have not yet prepared adequate plan for the management of these risks. The preparation of municipal periodic plan of Tansen triggered the issue 'heritage at risk.' Tansen envisioned as a 'Tourist City' now offers challenges to address the disaster risk management of cultural heritage.

In order to develop a framework for municipal level disaster risk management plan, the historic core area of Tansen has been selected around which many of the heritages are located. For the community level, Ward No. 6 and the TLOs in that Ward have been taken.

The neighbourhood of Ward No. 6 has a total population of 2400 with 286 households; however 35 households are yet to join the TLO. There are 7 TLOs in this ward. The name of the TLOs and the number of households are given the table below.

The women of these TLOs are organized as Mother's Group which now consists of 64 members representing 7 TLOs. It has an Executive Committee of 11 members (all women)

Name of the TLO	Total households
Ring Road	25
Bashantapur - 1	40
Bashantapur - 2	33
Bashantapur - 3	25
Bhimsen	30
Samaj	58
Tare Chautari	40
Total	251

Source: Tansen Municipality, 2013

with advisory committee of 7 members (all male). Out of 286 households 251 households are associated in various TLOs.

### Objectives of the study

The main objective of the study is to develop a framework for the community based disaster risk management plan. One of the smallest administrative units in Tansen Municipality (Ward no. 6) is chosen for this purpose. The TLOs in this ward are considered as primary actors to respond to the disaster event before the town authorities come in for support. The TLOs have identified the potential risks and safe places for evacuation, and actions to respond to the disaster risks.

The other objective is to prepare disaster risk management plan of Tansen Municipality as part of integration of disaster risk management into the periodic plan of the municipality, focusing on the urban cultural heritage, besides the life and property of the citizen.

It is expected that the plan will demonstrate the elements for adoption and integration by other Nepalese towns

possessing similar conditions while preparing disaster risk management plan as a part of their periodic plan.

## Disaster risk analysis

The disaster risk analysis for various aspects is broadly carried out for both the town and ward levels, and those corresponding to major attributes. Based on these, the level of associated vulnerability is derived.

### Earthquake

The major incident that took place nationwide in 1934 made significant damage in Tansen as well. In particular, the palace was also damaged along with many houses. The map 'Nepal: Natural Hazard Risk' prepared by OCHA Regional Office for Asia, in 2001, shows Tansen in the high magnitude earthquake zone. Hence, Tansen city including the neighbourhood in reference is highly vulnerable to earthquake.

### Flood and landslide

There are no rivers running through the town. There are three large natural channels, which drain out storm water that flows down from uphill, particularly Shreenagar area. Construction of buildings in the proximity of these natural channels and Shreenagar hill is increasing without paying due attention to protect likely erosion. Though there are no records of significant disasters caused by flood and landslide in Tansen, taking into account of increasing encroachment in the slope areas, average rainfall more than 1900 mm, the town is prone to risk with low vulnerability (but on rise). In the case of Ward No. 6, the natural channel, which passes close to Bashantapur area, is at potential risk.

### Fire

Tansen is a traditional Newari town with narrow streets and alleys. In the core area, the main streets are barely 6 meter wide whereas the inner alleys are even less than 2 meter wide in many of the cases. The municipal authority lacks proper equipments and preparedness to

fight against fire. The settlement in the core area is very dense and the old buildings are constructed using large quantities of timber. Therefore the town is highly vulnerable to fire.

## Attributes, values and vulnerabilities

### Natural landscape

Tansen city is known for its beautiful landscape. The south facing hill town has Shreenagar Park at the top. The town slopes down offering some flat lands and again slopes down, and the pattern is repeated. Due to increasing construction activities without land use regulations and respecting the natural pattern, the natural landscape is changing and is being replaced by buildings.

### Temples, Bihar: historic and religious values

There are many temples and bihars in Tansen. These attributes have both the historic and religious values. Many of the temples and bihars lack maintenance. One of the natural channels which carry storm water runs by the side of Amarnarayan Temple hence, the temple premise is highly vulnerable to flash flood. The analysis is presented in the picture (Figure 1)

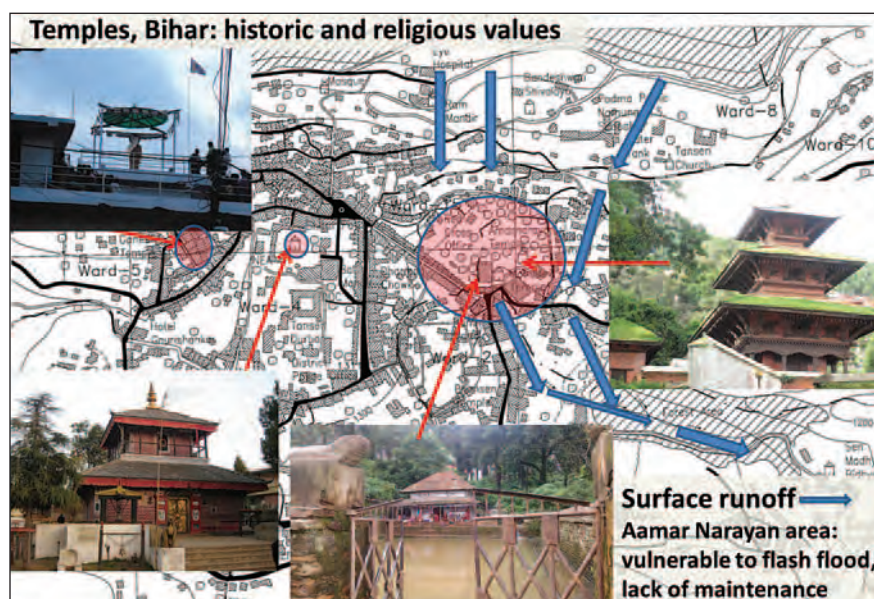


Figure 1: Disaster Risk Analysis of Temples and Bihars



### Palace, square

Tansen is an 11th century town with historic, political and architectural values. It is highly vulnerable to fire, earthquake and encroachment. It was burnt out completely by the Maoists during the conflict period in the country. Shittal Pati is a centrally located open space in the middle of the town with a landmark. This offers gathering space for people for various purposes. The analysis is presented in the picture (Figure 2).

### Streets and traditional houses

The combination of traditional architectural buildings, particularly in Newari and Rana style along the stone paved streets in the sloppy counter presents an attractive cityscape of Tansen. These attributes have historic and architectural values. The traditional cityscape (Figure 3) is changing due to lack of sensitivity and respect towards the traditional architecture. The new construction is not in compliance with traditional architecture. In the absence of planned development, the provisions needed from disaster risk point of view are not provisioned. The haphazard construction has increased the risk vulnerability. Thus the traditional settlement of Tansen is highly vulnerable to the disasters from earthquake, fire and encroachment. The disaster risk analysis is presented in the picture (Figure 4).

### Festivals and artifacts

Tansen celebrates a number of festivals. These festivals bring the people of Tansen together. Bhagawati Jatra is one of the famous festivals, which has caused the people of Tansen to come together for a whole day. The chariot goes through many places in the town. The various festivals thus celebrated have cultural value forming a symbol of unity and reflecting the identity of the people of Tansen. Given the situation, majority of the roads are less than 6m wide, inner alleys less than 2m wide serve as the festival route, tourist route, route for fire engine and major escape route. They are high vulnerable. The risk assessment is presented in the picture (Figure 5). The town is also famous for ornamental garment called ‘Dhaka’ and metal crafts like ‘Karuwa and Hukka.’ These also have been the symbols of the town. The interest for production of such products may decrease rapidly if supporting promotional activities are not in place.

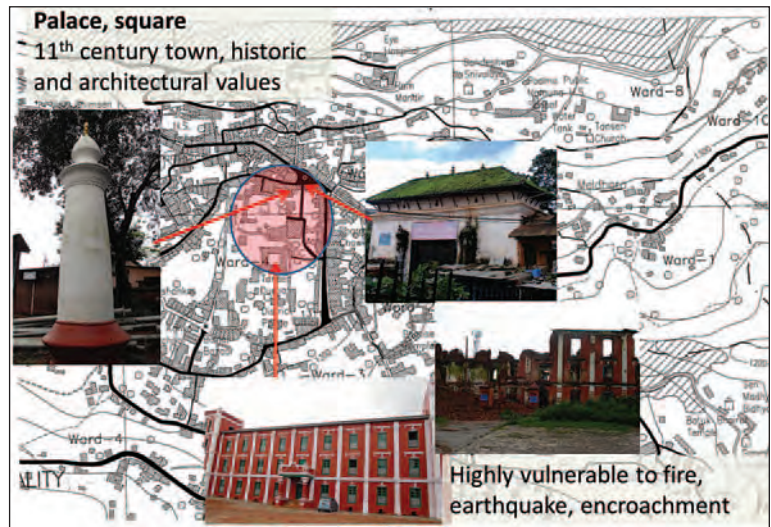


Figure 2: Disaster Risk Analysis of Palace and Square

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Figure 3: Streetscape with traditional houses

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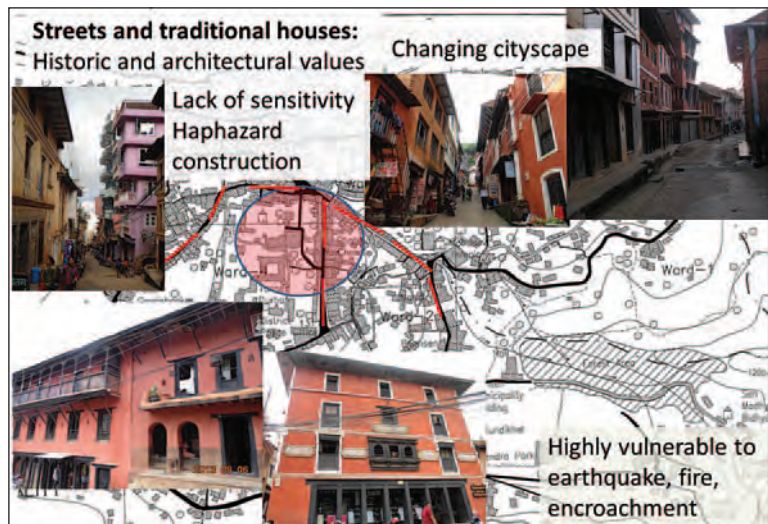


Figure 4: Disaster Risk Analysis of streets and traditional houses

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## Risk zones

From the overall analysis, the core city area of Tansen can be divided into primary risk zone and secondary risk zone (Image 6).

**Primary Risk Zone:** The area consisting of traditional houses in the main streets. This area is without open spaces and is highly vulnerable to risk. Any disaster in this zone will result in maximum loss or damage to the people and property.

**Secondary Risk Zone:** The area consisting of traditional houses behind the main streets. This zone has some vacant spaces available for evacuation. The risk level is next to Primary Zone.

## Worst case scenario

The findings of the above analysis can be summarized as follows.

- Narrow streets and alleys obstructing access not only for rescue but also for escape.
- Increasing vulnerable structures, flash flood, ignorance, lack of sensitivity.
- Lack of building regulations, weak enforcement, deteriorated landscape.
- Inadequate capacity of authorities
  - o Lack of equipment, human resource, training.
  - o Fire fighting system not developed.
  - o Lack of integration of disaster management plan in the comprehensive municipal plan as well as to the district level Disaster Risk Preparedness and Response Plan.

In this situation, when an earthquake occurs followed by fire, the resultant effect will be significant loss of life and property in the primary and secondary risk zones both the tangible and intangible heritages. This may cause loss of social harmony of the communities and the town may lose its identity and pride.

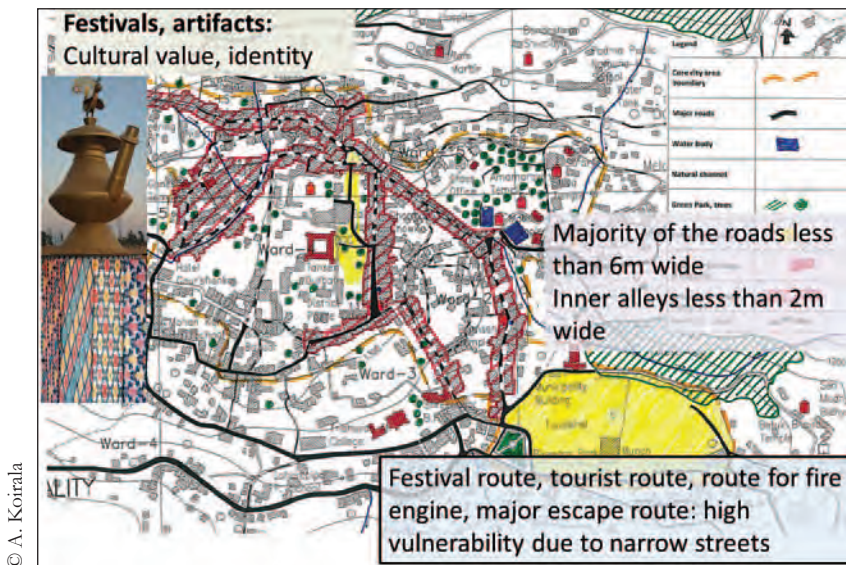


Figure 5: Disaster Risk analysis of Festivals and Artifacts

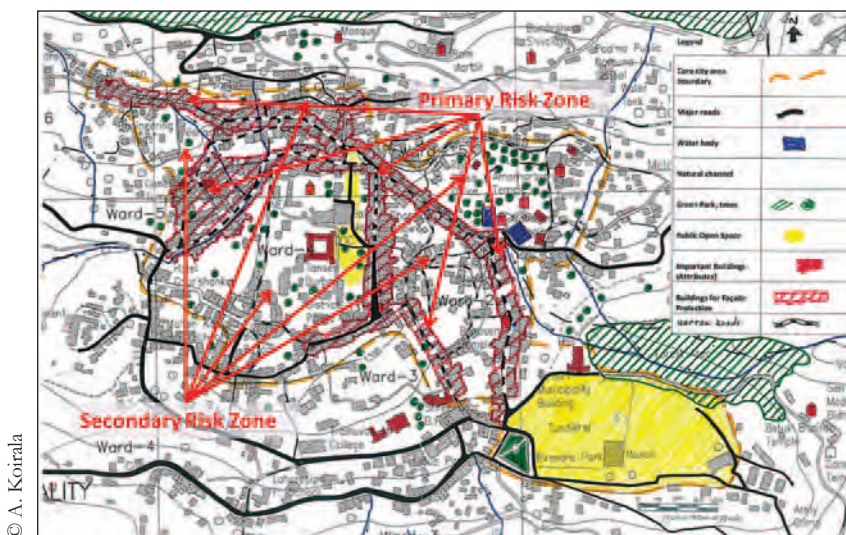


Figure 6: Risk zones

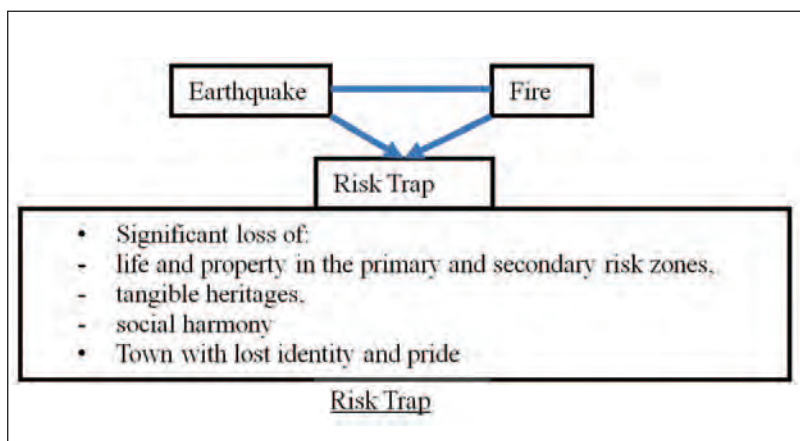


Figure 7: Risk Trap diagramme

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## Municipal disaster risk management plan

The disaster risk management plan for the historic core of Tansen town, focusing on cultural heritage, is proposed as follows. The plan components are presented in terms of vision, goal, strategy, policy, emergency preparedness and response, short and long term activities, and the institutional arrangement.

### Vision

The pride of historic city of Tansen is retained by the community and offered to future generations.

### Goal

The capacity of the historic town Tansen and local community to manage the disaster risk, conserve the heritage and save life and property of its citizen is enhanced.

- Historic, architectural and natural features are integrated in overall development of the town.
- Heritage site management system is in place and the disaster risks (earthquake, fire) are minimized.
- Citizens pride the town's identity.

### Strategy

- Improving and strengthening the institutional capacity of Tansen Municipality to respond to disaster risk management and focusing on cultural heritage;

- Ensuring participation of local communities to respond to the risks of earthquake, fire and other hazards, and safeguarding both the natural and cultural heritage.
- Reinforcing local coordination for cultural heritage management.

### Policy

- Integrate disaster risk management of cultural heritage into the Natural Calamity Relief Act and National Strategy for Disaster Risk Management.
- Prepare Disaster Risk Management Plan, and integrate it into the Periodic Plan of the municipality as well as to the District Disaster Preparedness and Response Plan.
- Capacity building of local communities and NGOs to respond immediately after disaster and after rescue.
- Update building regulations and enforce its application, including that of national building code.
- Designate land uses, identify open areas and prohibit construction.
- Prepare, implement and monitor the management system for each heritage site.
- Prepare and implement fire and environmental regulations.
- Improve access in areas prone to high disaster risk.
- Conduct research on appropriateness of specific tools and equipment for disaster management as per site conditions.

## Emergency preparedness and response

### Fire fighting

For fire fighting, installation of fire fighting mechanism (e.g. fire hydrants at appropriate distance in the main streets along which the city supply is laid), and provision of portable pumping system where the fire fighting engine cannot reach are proposed. These systems, after installation, are primarily operated by TLOs and supported by city authority. In order to supplement the water requirement to extinguish fire utilization of existing ponds; individual reservoirs are proposed. Similarly installation of fire fighting mechanism at each

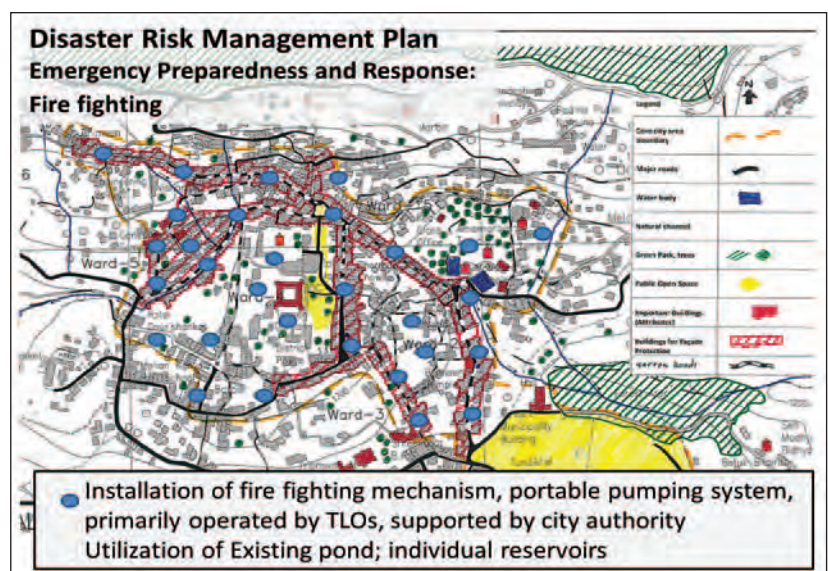


Figure 8 Installation of Fire fighting Arrangement along the Streets (can be removed!)



heritage site is proposed. The main streets are also designated as routes for fire engine to the heritage sites (Figure 8 and 9).

## Evacuation direction and places

It is very important to designate evacuation directions and places for people and heritage at the time of disaster. Early shifting of heritage attributes to designated safe places will help minimize possible damage. The evacuation direction and places are presented in the map (Figure 10).

## Activities

### Short term activities (first 5 years)

- Conduct awareness and training programmes on heritage and associated risk.
- Equip municipality with basic human and equipment resources.
- Build capacity of municipal key staff and TLO members to safeguard cultural heritages.
- Install fire fighting mechanisms along streets and at heritage sites.
- Initiate coordination activities with other agencies.
- Regenerate traditional water sources and maintain heritage.
- Integrate disaster risk management plan in Periodic Plan and the District Disaster Preparedness and Response Plan.
- Prepare land use plan and update building regulations;
- Develop forms for preparation of inventory and damage assessment.
- Train Guthi (a type of local CBO) and TLOs for disaster management of specific site.

## Institutional arrangement

The institutional arrangement is dependent on various stakeholders ranging from community level to national and international levels. These stakeholders are important



Figure 9: Fire fighting Arrangement and Fire Engine Route for Heritage Sites



Figure 10: Evacuation directions and places

### Long term activities (6th year onward)

- Retrofitting of traditional buildings.
- Improvement of access to high risk areas.
- Construction of storm water drainage system.
- Installing fire fighting mechanisms in heritage sites.
- Preparation and implementation of heritage sites management plan.
- Carrying out research and development activities.

to list in order to share the responsibilities. A three tiered institutional arrangement is proposed which will share the responsibilities for planning activities (by a Core Planning



Team), extending emergency services of the municipality and other agencies (by an Emergency Team) and taking immediate emergency action when disaster occurs (by a TLO level Response Team). Tole Lane Organizations are organized community neighbourhood of about 20 to 40

households, supported and strengthened by the municipality. This study considers them as the key actors in disaster risk management at small neighbourhood level as the streets are narrow and immediate response from the town authorities may not be possible.

## Disaster risk management plan of Ward No. 6

The TLOs/Mother Group of Ward No. 6 analyzed the disaster risk of their Ward. For this:

- The heritage attributes and important services and other features and their locations were identified and mapped.
- The potential safe areas were identified.
- The potential disaster risk were assessed and the potential safe places for evacuation were identified.
- Further actions needed to improve the situation and minimize the disaster risks to heritage, people and property were identified.
- Institutional arrangement was proposed and some crucial aspects were identified.

course of the natural channel will create a reservoir. Similarly there is space for a small reservoir in Nishandhara area.

### Schools and other institutions

The following schools are in the Ward: Janata Namuna Higher Secondary School, St. Capitanio, JVT School, Appu

### Heritages and important features

The Ward Number 6, consists parts of both the primary and secondary risk zones as illustrated in section 3. The heritage and important features with their locations and are shown in the map (Image 11).

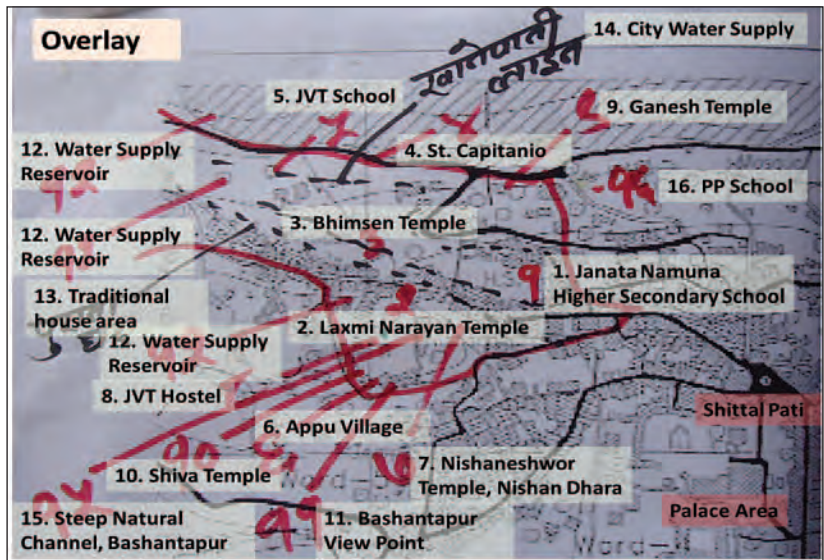


Figure 11: Location of heritage and important features

### Temples and residential buildings

The areas with traditional buildings and temples were identified and marked. These are identified as Laxmi Narayan Temple, Bhimsen Temple, Nishaneshwor Temple/ Nishan Dhara, Shiva Temple and areas with traditional buildings. The temple areas offer open spaces which can be a place for people to gather in the case of disaster.

### Water supply

Pipeline of City Water Supply along the main streets, water supply reservoirs at three locations, Nishan Dhara and steep natural channel at Bashantapur are identified as potential water sources. A small wall on the

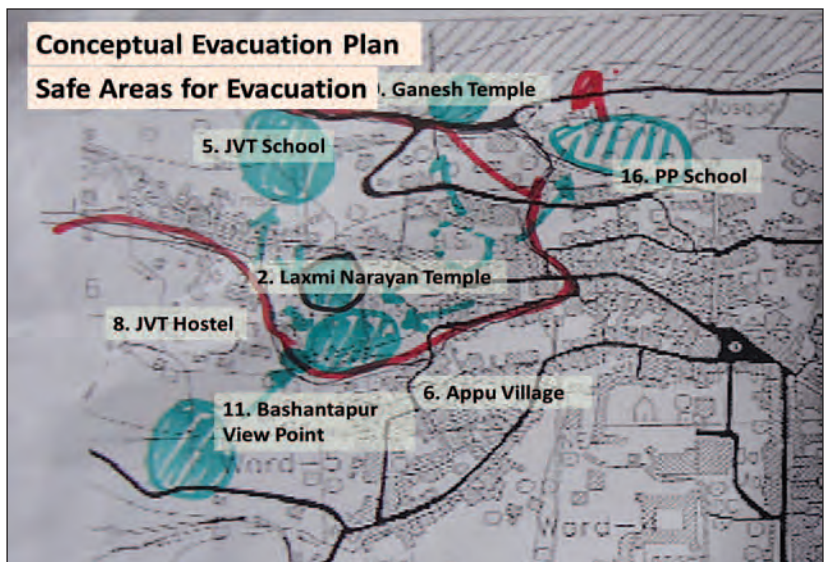


Figure 12: Safe places for evacuation

Village (with Siddhartha Engineering), JVT Hostel, and Bashantapur View Point. Although these schools can be considered as potential areas for the purpose of evacuation, some of them have weak structures and hence cannot be used unless improved or strengthened. Padma Public School though not in Ward No. 6 but in close proximity, is a potential place for evacuation; hence this place has been taken into account as safe place for evacuation for the people of this Ward as well.

### Safe areas for evacuation

The following areas were found to be safe and hence recommended for evacuation during fire and/or earthquake as shown in the map (Image 12).

Laxmi Narayan Temple area, JVT School area, Appu Village, JVT Hostel, Ganesh Temple, Bashantapur View Point, Padma Public School.

### Proposed activities

This sections presents proposed activities of disaster risk management plan at community level.

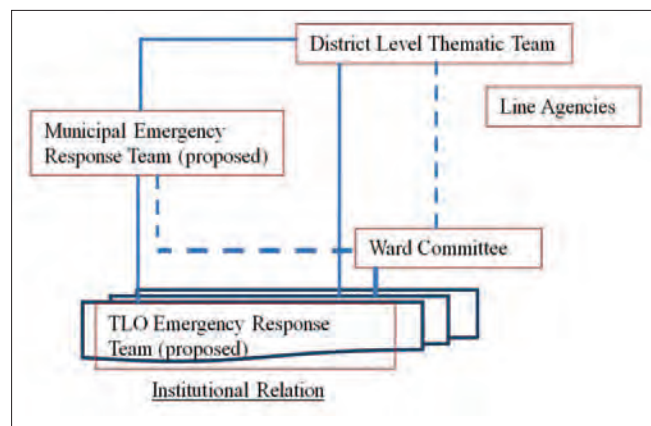
Activity Areas	Activities
Safeguarding Cultural Properties	conservation of historic traditional structures such as temples, traditional buildings, schools, NishanDhara
	identification of safe places for transferring cultural elements in the case of disaster
Firefighting Mechanism	installation of fire hydrants at appropriate intervals along the distribution line of city water supply
	extension of the supply line to inner areas and installation of fire hydrants;
	harvesting rainwater at individual household level; this will require technical and financial support from respective authorities;
	improving accesses to inner areas.
Earthquake	adoption of earthquake resistant technology for new buildings; for this, trainings to local masons and other construction workers (request municipality for technical support) is needed.
	retrofitting of old structures (buildings, temples and schools).
Flash flood, Landslide	integrating the drainage plan of Ward No. 6 with the municipal drainage network plan
	management of natural channel at Bashantapur with retaining structures and controlling encroachment.
Assessment of Feasibility/ Capacity of evacuation space	shortest possible route and place, easy to reach (because the neighbourhood is in slope terrain)
	capacity of the sites for the number of people that can be gathered/accommodated
	familiarization of residents with the identified and designated sites
	methods for dissemination of evacuation information to ward people as well as to the visitors
	periodic drilling

Building Regulations	consideration for building byelaws; provision of open space while constructing new structures
	community interaction for identification and management of open space
Capacity Building	conduction of community awareness programmes on disaster risk management
	earthquake, fire, landslide risks to people and properties
	building capacity of Tole Lane Organizations and Mother's Groups, short trainings, volunteers, equipments methods for continuous transfer of knowledge to future generation

### Institutional arrangement

Each TLO is proposed to have TLO level response team. The team will comprise of TLO members, representatives from Mother's Group and some Rescue Volunteers. This team will have direct communication linkage with the municipal level emergency response team and the district level thematic team. There exists a clear linkage between TLO response team and Ward Committee. However, the relation and the linkage of Ward Committee with rest of the two is very weak. Most notable is, the capacities of line agencies are not mainstreamed and appear out of relation.

#### Institutional relationship



Crucial in the institutional arrangement is:

- Establishing linkage with municipal and district level thematic teams on DRM.
- Weak linkage between TLOs and Ward Committee;
- Missing linkage of ward with municipal and district level arrangements for DRM.
- Integration of capacities of line agencies.



## Conclusion

The periodic planning activities in Nepalese municipalities have been interrupted due to lack of elected representatives for a long time. The need for incorporation of disaster risk management plan has been felt in the overall municipal planning. The concern for conserving cultural heritage is also growing. This study is aimed at recommending framework

for preparing the disaster risk management plan at municipal and TLO levels and integrating them into municipal periodic plan. However, the result of this study at this stage is an intermediate result and therefore a series of consultations at municipal and TLO level is essential. The contextual modifications in the proposals may be necessary.

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# Examining the role of historic temples in Garhwal, Uttarakhand in post-disaster response and recovery

Vanicka Arora and Himani Gaur

## Short biodata

Vanicka Arora is a conservation architect and academician based in Gurgaon. She has been working with Development and Research Organisation for Nature, Arts and Heritage (DRONAH) for the past six years and is presently involved in several conservation projects in Rajasthan and Punjab. She is assistant editor for DRONAH's bi-annual journal 'Context-Built, Living and Natural.' She is also a visiting faculty member at Sushant School of Art and Architecture, where she explores context driven design approaches with her students. She recently co-authored a Training Guide on Disaster Risk Management of Cultural Heritage in Urban Areas with Dr.Rohit Jigyasu, which was published by the Ritsumeikan University, Kyoto. She recently led a team of volunteers to conduct post-disaster assessment of cultural heritage in Uttarakhand on behalf of ICOMOS India.

Himani Gaur recently completed her Bachelors in Architecture from Sushant School of Art and Architecture. She has a keen interest in cultural heritage and traditional building approaches. She recently volunteered to conduct post-disaster assessment of cultural heritage in Uttarakhand on behalf of ICOMOS India.

## Abstract

The recent flash floods in the Himalayas in June 2013 have caused wide spread devastation to both life and property, especially in the Garhwal district in Uttarakhand, India. The full extent of this disaster is still being assessed. Entire settlements, built in close proximity to the Mandakini and Alaknanda Rivers have been obliterated completely and there has been considerable damage to the built fabric of lower lying cities and towns. Many of these settlements were located on historically and culturally significant pilgrimages routes in the country and were thriving centres for religious tourism and associated commercial activities. Initial assessment carried out in some of the affected areas reveals the inherent resilience of the numerous historic temples that dot the landscape of Uttarakhand. These temples are often located strategically within large open enclosures and their planning and construction systems have evolved in response to the local environment, taking into account the fragility of the Himalayan ecosystem. These temples have now become cultural anchors for the devastated local community and they have a critical role to play in the long term post-disaster recovery planning for the region. Some of the temples served as refuge areas during the flash floods, while others have now become centres for various kinds of community led rehabilitation activities. This paper seeks to examine the potential of these temples as mechanisms for disaster risk reduction in Uttarakhand, specifically in post-disaster response and recovery planning. The study will focus on temples in the city of Srinagar and surrounding towns and villages.

# Introduction

The recent flash floods in the Himalayas in June 2013 have caused wide spread devastation to both life and property, especially in the Garhwal district in Uttarakhand, India<sup>1</sup>. The full extent of this disaster is still being assessed. Entire settlements, built in close proximity to the Mandakini and Alaknanda rivers have been obliterated completely and there has been considerable damage to the built fabric of lower lying cities and towns. Many of these settlements were located on historically and culturally significant pilgrimages routes in the country and were thriving centres for religious tourism and associated commercial activities.

Initial assessment carried out in some of the affected areas reveals the inherent resilience of the numerous historic temples that dot the landscape of Uttarakhand<sup>2</sup>. These temples are often located strategically within large open enclosures and their planning and construction systems

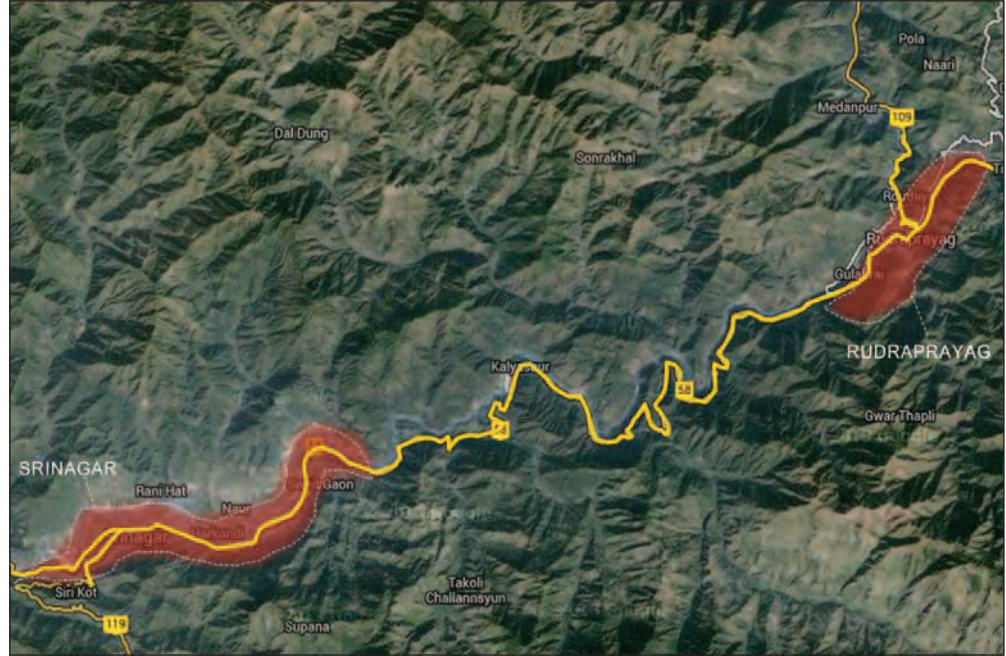


Figure 1: Location plan of Srinagar and Rudraprayag (Source: Google maps)

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have evolved in response to the local environment, taking into account the fragility of the Himalayan ecosystem. These temples have now become cultural anchors for the devastated local community and they have a critical role to play in the long term post-disaster recovery planning for the region. Some of the temples served as refuge areas during the flash floods, while others have now become centres for various kinds of community led rehabilitation activities.

# Cultural heritage of Garhwal, Uttarakhand

Located in the southern ranges of the Himalayas, the state of Uttarakhand is a region which is abundant in natural and cultural heritage, a consequence of its unique geography. Both the Ganga and the Yamuna rivers originate in this region contributing to the religious significance of the region<sup>3</sup>. Uttarakhand is popularly referred to as ‘DevBhumi’ or ‘Abode of the Gods’ due to its vast repertoire of religious heritage, comprising of some of the primary Hindu pilgrimage circuits, numerous temples and shrines dating back hundreds of years<sup>4</sup>. These aspects of heritage have a key role to play in shaping the socio-economic development of the state.



Figure 2: Temple complex in Sumari Village

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The Garhwal region of Uttarakhand is the north-western region of the state and extends from the districts of Chamoli, Dehradun, Haridwar, Rudraprayag, Tehri Garhwal and Uttarkashi. Two of the most significant temples in India- the Kedarnath and Badrinath temples are both located in this region along with the Gangotri and the Yamnotri, the origin points for the Ganga and the Yamuna respectively. The religious values entwined with the social structure, cultural values, and lifestyle, has created a very distinct belief system and intangible heritage in the region.

The local settlements have evolved their own sets of religious beliefs and traditions. Even the smallest of shrines holds a unique significance within its local context. While the larger, nationally significant temples are visited by hundreds of thousands of pilgrims each year, the local shrines play an altogether different role. Each traditional settlement is usually planned in a manner that it responds directly to a temple complex. This temple is not only a site for worship and religious activity but often becomes a congregation space for the community.

Due to the complex terrain and the on-going tectonic activities in the Himalayas, this region is highly prone to natural hazards such as earthquakes, landslides, cloud bursts, and flash floods (Controller and Auditor General of India 2013). The disaster of June 2013 was a resultant of various natural and manmade factors. From 14th June 2013, the state of Uttarakhand and the adjoining regions received almost 375% more rainfall than the usual average, which caused the Charabari Glacier to melt and flood the Mandakini River. The flooded river swept wide swathes of land along its course and in several areas, it even changed its course leading to wide spread destruction to low lying areas (GSI 2013).

The flash floods caused enormous destruction in the districts of Chamoli, Uttarkashi, Rudraprayag, and TehriGarhwal. The settlements of Kendarnath, Rambara, Gaurikund and Sonprayang, each a significance pilgrimage destination, were extensively damaged.

Un-regularised and unplanned construction practices and infrastructure development over the past few decades have increased pressure on the fragile ecosystem of the region. Increased inflow of tourists for pilgrimage tour further distressed the delicate ecology of the region. Lack of a disaster management plan, warning, forecasting, and monitoring system during the 2013 flash floods greatly compounded the damage to both life and property. As a result of the floods and the ensuing damage, the tourism industry which was a major contributor to the state's economy (II&FS, April 2012) was severely affected since major pilgrimage routes were made inaccessible.



Figure 3: Picture of Sumari Village, a traditional local settlement near Srinagar



Figure 4: Image of a traditional village near Srinagar



Figure 5: Damage to Lata Baba Temple due to flash floods in Sumadi, Rudraprayag

The first phase of response commenced in late June 2013, immediately after the floods, emphasising on rescue and relief initiatives. Several months into the recovery process, there is tremendous pressure on the local and central government to restore the pilgrimage routes in the Garhwal region. Large amounts of funds have been released by the central government towards the rehabilitation process in the state, focusing on low cost reconstruction. In the process, the traditional construction systems and understanding of local materials is at an even greater risk of extinction. There

## Cultural heritage and resilience

The IPCC defines resilience as the ‘ability of a system and its component parts to anticipate, absorb, accommodate, or recover from the effects of a hazardous event in a timely and efficient manner’ (IPCC 2012). The potential of cultural heritage in contributing towards bolstering the resilience of communities is immense. This may range from traditional knowledge systems which respond to local conditions, to inherently sustainable practices which have evolved over centuries allowing communities to recognise potential risks and prepare accordingly (ICORP 2013).

In communities across the world it has been observed that religious beliefs and practices, as well as spaces designed for

## Structural resilience of historic temples in Garhwal

In the context of the Garhwal region, the potential role of temples, maths and ashrams is extensive, not only as places of refuge, but as drivers of recovery and rehabilitation. An exceptional number of religious structures have survived the flash floods, with little damage, despite being located near the river bed. For instance, the resilience of Chamunda Devi Temple in the holy city of Rudraprayag. This temple is located at the confluence or ‘prayag’ of the river Mandakini and Alaknanda<sup>5</sup>. The original shrine is a fairly compact structure built in locally available granite and though its exact construction is debatable, there is enough physical evidence on site to date it back to before the nineteenth century. Its architectural style and features are typical of the region, with a singular monolithic shikhara or spire atop the main garbhagriha. Several additions have been made to this shrine at various periods, including a circumambulatory path,

is a pressing need for the disaster management policy for the state, which is currently being re-drafted to respond to the cultural context of Uttarakhand.



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Figure 6: Damage Caused by Flash Floods in Chamunda Devi Temple Complex, in Rudraprayag

community worship including temples, shrines, churches, mosques etc. have played a central role in disaster response and recovery. Often, they act as refuge spaces for the local community and are equipped to provide emergency relief and shelter. The guideline document ‘Integrated Flood Risk Management in Asia’ prepared by UNDP recognises the role of places of worship in post-disaster recovery and response, focusing on the use of temples and churches as refuge areas (UNDP 2005).



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Figure 7: Structural damage in Chamunda Devi temple

shaded by a simple RCC column and beam structure. Two smaller auxiliary shrines and a Shiva Temple were added to this complex in the late twentieth century. As recently as five years ago, a small residential quarter and gardens were added by the current caretaker.





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Figure 9: Plan of Chamunda Devi Temple in Rudraprayag

In the flash floods of 2013, the newly added residential quarter and gardens were completely washed away and the RCC additions to the main shrine have developed major structural cracks. There are signs of settlement in the newly added flooring and platforms as well. However, the original shrine itself has been left largely undamaged, despite its

proximity to one of the critically affected areas in the flood. While devotees attribute this to divine intervention, the reasons for the temple's resilience are fairly straightforward<sup>4</sup>. Firstly, it has been sited beyond the confluence itself, set within the contours of a naturally formed hillock, which acts as a barrier for the river's flow. Thus, even during the flash floods, the shrine itself was protected by the natural barrier which diverted most of the debris and silt. The newer construction were sited on the lower side of the same hillock but they were built onto flattened platforms which overlooked the rivers' confluence and were thus in the direct path of the flooded river.

The monolithic stone construction also ensured that the shrine was able to absorb the impact of the flood. The caretaker and devotees were the first responders on site and manually removed all the collected debris and silt in a matter of days. The Chamunda Devi Temple clearly illustrates the stark contrast in performance of a historic structure with a recent intervention.

Historically, the precise location of a Hindu temple or shrine would be based on a complex series of factors duly recorded in various vastu texts<sup>5</sup>. These would include soil quality, access routes, proximity to a local source of water etc. This approach to siting a structure within a landscape can be seen in almost all of the historic temple of Garhwal. Even the temples located adjacent to the river have generally performed exceedingly well, especially in comparison to recent construction next to the river bed.

## Maintenance as a contributor to resilience of cultural heritage

Recent discourse on reducing disaster risks to cultural heritage has focused extensively on the role of maintenance and upkeep (ICORP 2013) for heritage structures. Disaster risk management for historic structures stresses on regular maintenance to mitigate risks and to minimise potential damage in the case of a disaster. A demonstration of the crucial impact of regular maintenance in respect to reducing damage to cultural heritage was clearly seen in the city of Srinagar, Uttarakhand in the post-disaster assessment of heritage carried out in July 2013.

Srinagar was the capital of the kingdom in Garhwal and the city dates back to the fourteenth century. The city has a history of disasters, the most notable ones date back to the nineteenth century. In 1803-04, a massive earthquake wiped out most of the city and in 1894 the entire city flooded (H&E Department, Srinagar 2013). At this point, Srinagar was redeveloped along the line of Jaipur in Rajasthan. More

recently, the city has had several instances of flooding, though none of the scale of the 2013 flash floods. In 2009 and 2010, there was flooding in several areas of the city and some properties were severely damaged.

The Keshav Math and the Shankar Math are two temple complexes in Srinagar of exceptional historic and architectural significance since they date back to the fourteenth century<sup>6</sup> and are representative of the architectural styles and construction technologies of their period. Both structures have been listed by the State Archaeology Department. They are associated with the Saint AdiShankaracharya which prominently places them within the pilgrimage circuit. In both cases, the main shrine is located less than 100 metres from the river bed. However, while the Shankar Math has survived the flash floods with minimal damage, the damage to Keshav Math has been extensive.





Figure 10: Image showing damage to Keshav Math in Srinagar

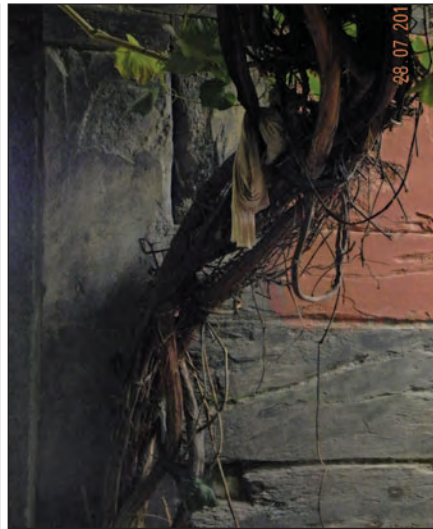
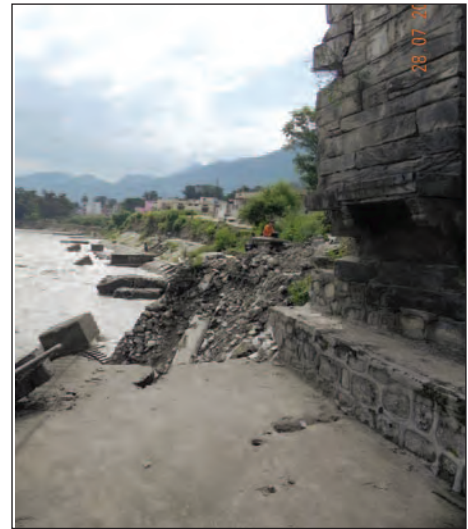


Figure 11: images showing damage in Keshav Math; a) Vegetation growth in temple, b) Damage to the temple complex and retaining wall due to Flash floods.



Detailed surveys and reference to archive images revealed that the Keshav Math had several long term issues which had been left unaddressed for decades. These included a severely weakened embankment wall which had been repaired in piecemeal in previous years. The main shrine itself had several trees growing within its joints which had not been removed. Their root systems severely weakened

the structure. As a result, the flash flood's impact caused the main shrine to collapse partially. It presently is at high risk of complete collapse. By contrast, the Shankar Math was immediately de-silted and local caretakers have undertaken repair works on their own. Furthermore, regular up-gradation and maintenance work has been carried out at the Shankar Math by the temple authorities.

## Temples as mechanisms for emergency response, refuge and monitoring

'The symbolism inherent in heritage is also a powerful means to help victims recover from the psychological impact of disasters. In such situations, people search desperately for identity and self-esteem. Traditional social networks that provide mutual support and access to collective assets are extremely effective coping mechanisms for community members' (ICORP 2013).

In the absence of a robust evacuation and emergency response strategy implemented by central or state authorities, the role of the local communities in Uttarakhand was of paramount importance. In the cities of Srinagar, Rudraprayag and Agastmuni in the Garhwal region, it was found that several temple trusts actively initiated emergency measures by acting as temporary refuge spaces and congregation spaces for the local community.

The Kamleshwar Temple near the Keshav Math in Srinagar is located within a residential area and is of regional significance. It is a part of several secondary pilgrimage routes and has evolved from a single shrine dedicated to Lord Shiva into a complex with residential quarters, several secondary shrines and a congregational hall. At the time of

the flash floods, the temple trust raised funds informally to procure emergency supplies for the affected families in Srinagar. Since then, congregational prayers or 'shanti paaths' have been organised on several occasions within the complex where the local community gathers to offer prayers, and very often financial contributions are collected for relief. The temple itself was unaffected by the flash floods and has since then become a rallying point for the local community.

The constant activity that is generated within a temple complex is an effective mechanism to ensure monitoring of local conditions and implement early warning systems. The Alkeshwar Temple in Srinagar in coordination with the local municipality has undertaken this role during and after the flash floods. The shrine is located in the centre of modest compound, just adjacent to the river ghats. On 14th June, the local priest and visitors to the temple noticed the rapidly rising water level and sent out a warning among the locals. The compound was flooded with metres of sand partially submerging the shrine and adjacent structures by the priest along with his family were able to de-silt most of the area and even carry out preliminary repairs to the temple and the boundary walls before the local authorities stepped in several

days later. Since then, in July and August the water levels in the Alaknanda were continuously monitored by a series of local volunteers in coordination with the meteorological department. Records of previous floods have also been marked on the external embankment.

Other temples within the city such as the Digamber Jain Temple and the Lakshmi Narayan Temple were unaffected

## Conclusion

Over the years, the rapidly urbanising areas in Garhwal have lost their intimate connection with the local ecology and the sensitised response to the natural environment has been diminished. Srinagar is a classic example of a traditional urban settlement which has surrendered to the pressures of development. Several studies done by the Geology Department based in Uttarakhand have indicated the potential risks to lower lying settlements in Srinagar. The traditional systems of building are fast being replaced with RCC framed construction, a practice which is extremely unsustainable in its present form. These structures are not designed for the delicate ecosystem of the Himalayas and as a result, the newer structures are unable to resist disasters. While it may no longer be possible to depend entirely on traditional construction, some adaptation is urgently needed to respond in a sensitive manner to the Himalayan ecology. However little has been done so far to implement any form of disaster risk reduction at a city level.

The potential of cultural heritage in supporting the resilience of Garhwal's rural and urban settlements is immense. These could be used as opportunities for generating livelihoods, fostering community well being and for raising awareness on various issues. However, this potential remains untapped presently for several different reasons.

Many of the historic temples and associated religious buildings which form a large part of Uttarakhand's cultural heritage have been modified, extended without understanding their historical or architectural significance. These new additions pose a serious threat not only to the structures' authenticity and significance but have also increased the vulnerability of the structures themselves to natural calamities. The temples which are important pilgrimage destinations in particular are routinely extended and 'upgraded' with inappropriate materials and the sanctity of the site is no longer a primary concern. Commercial and tourism led activities grow around the temples unchecked which further increase the risk to the original fabric.

Maintenance strategies, which would be a routine part of the temple's upkeep, need to be re-introduced as a general

policy for both large and small temples. The priests and caretakers of both temples organised several community level events where emergency supplies, food and clothing were distributed freely among the local residents who had lost their homes.

by the flash floods structurally. This is important in order to minimise risks to existing structures. The life span of many of the historic temples in the Garhwal region can be simply extended if regular maintenance is undertaken.

In the case of the temples in Srinagar, the role of the temple priest and the temple trust in post-disaster response has been largely informal and uncoordinated. Often, the entire responsibility of providing assistance and relief has been undertaken by the temple priest. There are over 22 temples and shrines in the city of Srinagar, but each of these functions as an independent unit with its own sphere of influence among the local community. Even the temples which are of regional significance have been unable to form a coordinated response. Therefore, the impact of the emergency response initiatives undertaken by these temple authorities has been restricted to the immediate neighbourhood.

In the case of the Alkeshwar Temple, a formal process of informing the concerned local authorities would have had a much greater impact at the city level. For the several temples distributing emergency supplies, there is no record or documentation of the process of relief measures undertaken and furthermore, there is no real accountability. Therefore, it is extremely difficult to ensure equitable distribution of resources. The Digamber Jain Temple could have easily served as refuge area like the Kamleshwar Temple, since it has a large central open space and several unoccupied residential spaces. However, most Hindu residents in Srinagar are either unaware of the existence of a Jain temple or are disconnected from it.

In Garhwal, as is the case all over India, religion is a complex, multifaceted aspect of daily culture. There are thousands of concurrent belief systems which prevail in any given area. The caste distinction, though abolished legally still persists in many societies even today. These issues have had a direct impact in the role played by temples in post-disaster response and recovery, especially in Srinagar. The potential of religious spaces in post disaster response and recovery can only be fully utilised if the structures themselves are robust and the systems of management are in place.

## Notes

- (1) The precise dates of the disaster are generally accepted as 14-17th June, 2013 affecting the lower tract of the Himalayas, primarily Uttarakhand, though unusually heavy rainfall was recorded in Himachal Pradesh, Uttar Pradesh, Haryana and Delhi as well as areas of Tibet and Nepal (Geological Survey of India).
- (2) Initial assessment was carried out by a group of 12 Heritage Volunteers as part of an ICOMOS India Initiative to undertake Post Disaster Damage Assessment in Uttarakhand. The team comprised primarily of students of architecture who conducted field research in the Garwal area in July-August 2013.
- (3) The Ganga and the Yamuna are both central to the Hindu faith and are extensively referenced in historic texts, mythology, religious practices and traditional beliefs. Thus, the Gangotri and the Yamotri, the two glaciers from which these rivers originate are of exceptional religious significance.
- (4) The caretaker of the site reportedly sat next to the shrine for almost two days as the floods engulfed areas immediately adjacent to the temple complex.
- (5) VaastuShastra is a set of principles outlining planning and architectural design approaches developed in India as early as the tenth century.
- (6) Their origins are possibly older than the fourteenth century and may date back to as early as the eighth century which is the period commonly associated with AdiShankaracharya. However, the structures themselves are more representative of the Nagara style of temple architecture and the architectural features and construction technologies are most likely contemporary to the fourteenth-fifteenth century.

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# A multilevel approach in planning risk management for built heritages located in high density urban areas – case study: Ali Qapu – a historical building in Naqsh-i-Jahan World Cultural Heritage Site in Isfahan

Fatemeh Mehdizadeh Saradj and Mehrdad Hejazi

## Short biodata

Fatemeh Mehdizadeh Saradj graduated from the Department of Architecture of Tehran University in 1993 and has completed her PhD from Sheffield University in England in 2005. Currently she is an associate professor in Iran University of Science and Technology, teaching mainly in the conservation department of IUST and research method module for research students. She also established some workshops in relation to the risk management of cultural heritage sites after participating in the training course of Ritsumeikan University in Japan. She has published five books in the field of Persian architectural heritage and 64 papers about saving the fabric and also various messages of built heritage by herself or collaborating with her students.

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## Abstract

Within each heritage management project, the disaster risk management will keep the heritage assets authentic. Moreover, without planning the involvement of local community, any program would not be able to succeed. Therefore, it can be realised that risk management can cover all other themes in safeguarding living urban heritage. While risk management is essential for safeguarding cultural heritages, it is specifically more critical in high density urban areas due to the necessity of saving peoples' lives as well. These types of built heritage need two reciprocal sets of risk management plan dealing with inside and outside of the building. This paper will describe a multi-level approach with the involvement of all required engineering and institutional skills in the risk management plan of Ali Qapu – a prominent architectural heritage building located in the World Cultural Heritage site of Naqsh-i-Jahan square in Isfahan, Iran. To manage the threatening risks to cultural heritage, there is a need to assess them by analysing and determining their characterisation. Also the risk analysis needs to identify hazards and describe the source of harm, alongside calculating their probability and consequences. All these actions should be implicated in several layers of the building including their fabric (structure, architecture and ornaments) and contextual values (scenic, historic, being a part of greater complex) alongside keeping the cultural landscape of its peripheral. The rapid development of the city of Isfahan contradicted with the ethical consideration during the protection and conservation of precious historic sites such as Ali Qapu historical building within Naqsh-i-Jahan square. Considering all hazards including human-made, natural and climatic causes can lead towards adjusting a disaster mitigation plan in all levels of the building and its setting.

# Introduction

Adjusting any management plan needs a comprehensive approach towards considering as much intervening factors in the process of that specific task. Management planning to reduce the effects of threatening risks is not an exception especially when it comes to rescue human lives not only at present time, but also saving his/her past memories and experiences which is mainly depicted in people’s built heritage. Architectural built heritage are the most prominent monuments telling much about the construction, social and

economic systems of the past as well as giving many detailed information about the life style of residents and climatic adaptability of buildings. Therefore providing disaster risk management plan for architectural heritage is important to save their fabric and assets. However, it is more crucial in the case of monuments as they are located in high-density urban areas and it is necessary to consider rescue plans for citizens as well as cultural heritage.

# Disaster risk management

Four types of causes endanger cultural heritage (Abouseif (1994), Cernea and McDower (2000), Hejazi (2008)): 1) natural causes, 2) economic causes, 3) social causes, and 4) institutional weaknesses.

A major part of the risks to cultural heritage consists of natural disasters. Natural risks can be categorized into sudden risks such as earthquakes, floods, major storms, landslides and fire, and regular natural processes such as rainfall, wind and temperature changes, which increase the vulnerability of cultural heritage.

In the case of ignorance and the lack of risk management planning, natural phenomena can turn into a natural

disaster if enough care and attention is not given to site and buildings. Before planning risk management, there is a need for assessing risks by analysis and listing their characteristics, risk prevention and mitigation plan, response and recovery plan as shown in diagram 1 (Ball, D. & Watt, J., 2008; Masssu, J.P. & Schvoerer, M., 2012; Jigyasu, R. & Arora, V., 2013).

Therefore, planning risk management is a multi-level approach in which various aspects related to risk, needs to have other disciplines involved such as engineering skills and institutional systems. Diagram 2 shows various involvements in this regard (Hajialikhani, 2007; Masssu, J.P. & Schvoerer, M., 2012; Jigyasu, R. & Arora, V., 2013).

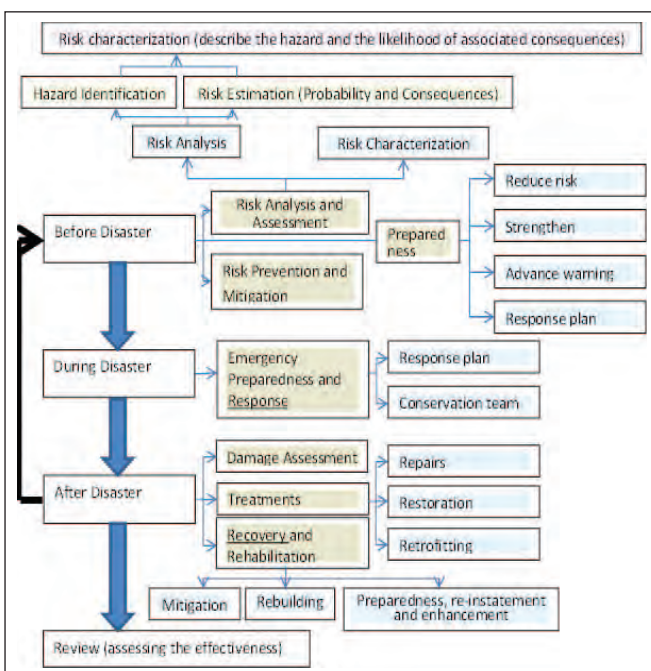


Diagram 1: Disaster risk management strategy for cultural heritages

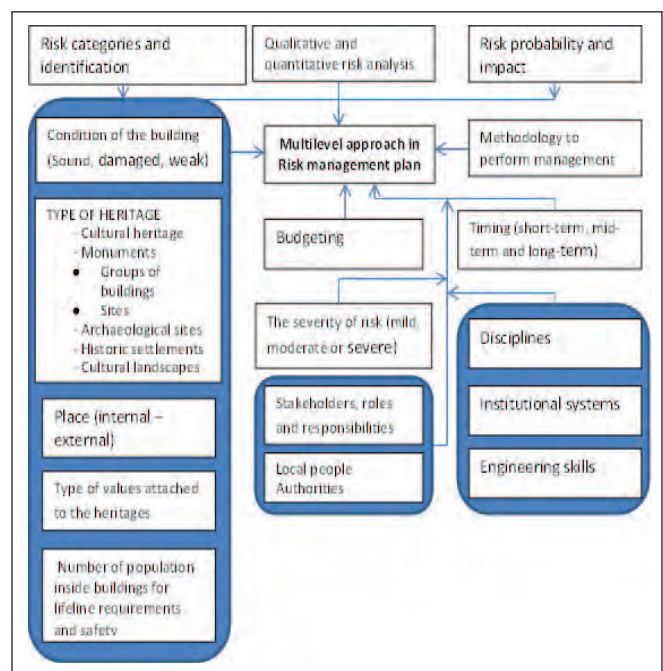


Diagram 2: influential factors on planning the final risk management

Thus as an example in the case of earthquake risk, these steps are required for a systematic plan:

- Cognition of the risks
- The counter measure before, during and after disasters such as earthquakes
- Managing in advance
- Equipping in advance
- Training residents
- And, drilling authorities

## The architectural heritage of Ali-Qapu building in the world cultural heritage site of Isfahan

Risk management of Ali-Qapu building in Naqsh-e-Jahan square of Isfahan as a world cultural heritage site, is a notable sample of Iranian traditional construction of 350 years. The special feature of this building as an urban cultural heritage site, and tourist attraction makes it more sensible to guard it against any future threats and hazards. This paper mainly focuses on existing and potential risks to the building and its surrounding and urban fabric, alongside describing elementary requirements for its risk management policy.

The building is a six-storey brick masonry structure comprising a large wooden columnar structure on its eastern veranda. The fabric of the building, made of unreinforced masonry material, is vulnerable to earthquake, and the wooden structure is vulnerable to fire as well as earthquakes. The main part of the building, which supports the wooden structure, is made of masonry materials and was rehabilitated in the 1960s, but the reinforcement of the wooden part remained incomplete. In this paper, information about the building and its risk management plan including structural behaviour of the building are explained.



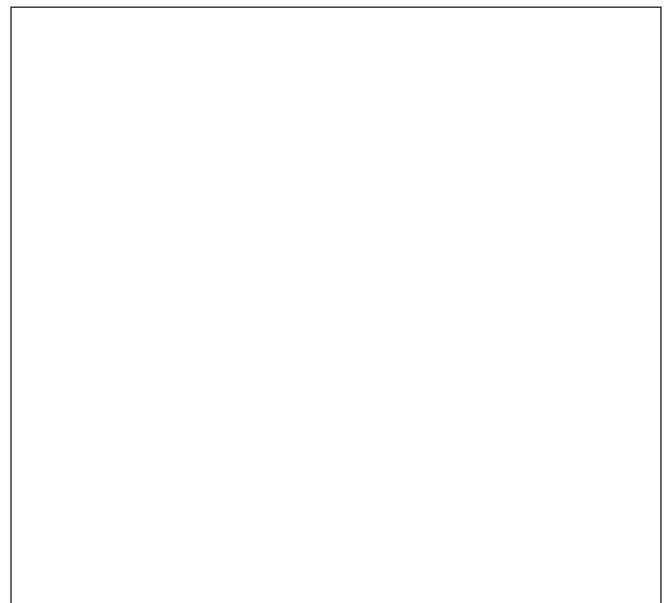
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Figure 1: Naqsh-e-Jahan Square, a World Heritage Site, with Ali Qapu on the left, Isfahan, seventeenth century



© M. Hejazi

Figure 2: Five phases of the construction of the Ali Qapu building



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## The history of the Ali Qapu building

The Ali Qapu was built in the early seventeenth century A.D. (1597-1668) (Galdieri (1979)). It was the main entrance to a complex of palaces, which surrounds the Naqsh-i-Jahan Square, a World Heritage Site (Figure 1). The building of Ali Qapu has many rooms, small drawing rooms, alcoves and corridors distributed over the six storeys, each decorated in a different way.

The construction of the Ali Qapu was in five phases as shown in Figure 2. The main building is made of masonry materials. The wooden part includes the columns and roof, and it covers the eastern veranda of the building.



Figure 3: Wooden beams and trusses

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Figure 4. Wooden structure covering the veranda of the main building

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## Rehabilitation of the masonry section

The load bearing masonry structure of the Ali Qapu is made of yellow-brown moderately fired bricks. They are 24 cm square and 5.5 cm thick. Gypsum mortar is used between bricks. The foundation of the Ali Qapu building rest on compacted clay soil. The thickness of the foundation varies from 1.2 m on the north-east part to 3.6 m on the south-east part. The foundations are made of lime.

The rehabilitation concentrated on the upper structure and this continued from 1965 to 1970. The main aims in the programme were: 1) supporting the damaged or cracked parts of the building, 2) repairing the worst damage in the building by using the same traditional materials, 3) lightening the roofs and elements under thrust from excess loads, 4) connecting the different parts of the building by using continuous spreaders in order to distribute the loads and, 5) creating a horizontal circumferential frame in the building to prevent the external parts from detaching.



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Figure 5: Recent restoration activities

## Description of the wooden structure

The wooden columnar structure covers the eastern veranda of the main building. It comprises of columns, main beams, secondary beams on the top or between the main beams and truss elements that transfer the load from the

upper secondary beams to the lower main beams. A part of imposed load on the structure is supported by the side wall. A horizontal bracing system in the roof transfers the lateral load (Figures 3 and 4).



## Recent restoration activities

In order to safeguard the building against earthquake and also repair and maintain damaged parts of the building, a

comprehensive restoration work began in 2006. Some recent restoration activities of the building are shown in Figure 5.

## Threats to the world heritage of Naqsh-i-Jahan square and Ali-Qapu historic building



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Figure 6: The commercial tower in the neighbouring site of the Naqsh-i-Jahan square historic site

Ali Qapu is unique amongst other historic monuments and world cultural heritage sites of Iran as it is partly a wooden structure located in a dense urban fabric. It is surrounded by other masterpiece monuments; each of them having several specific prominent values. Some samples are Imam Mosque in the southern side, Sheikh Lotfollah Mosque in the eastern side and Gheisarieh portal gate in the northern side of the Naqsh-i-Jahan square.

Ali-Qapu building (in the western side of Naqsh-i-Jahan square) as a part of historic urban area has various reasons to be called an outstanding cultural heritage. It is the prototype of traditional palaces, showing the way of life of historic times, gives historical political information, the relation and connection between people and government, contains traditional knowledge system and most of all is a symbol of cultural identity.

This building cannot be judged on monument basis and is a part of its context or its surrounding environment. Rapid development of the city sometimes contradicts with conservation ethics and this necessitates an urgent need to 'manage change dynamically' to avoid any harm to cultural heritage (Feilden, 2003). As an example, the scenic value of

the site has been threatened by a tall commercial tower which was built in the surrounding neighbourhood of the Naqsh i Jahan world cultural heritage site and ruining the original landscape of the square, which was stopped from further rising by UNESCO (Mehdizadeh & Masoumian) (figure 6).

Generally disaster risk factors of this building can be classified to:

- Human-made causes such as tourists, and lack of tourism management system and the erosion arising from it (figure 7a) and traffic vibration of adjacent streets and roads. Very dense commercial area and shops surround the building. They are susceptible to fire, if not controlled properly. During New Year, it is over crowded and tourists can be seen on several floors of this building (figure 7b). The building was not originally designed to load a crowd, as it was built as a palace for the king and his family. The un-predicted load on the upper parts of the structure could cause fatigue phenomena in materials. This in turn will weaken the function of structure against future earthquakes. This needs to be taken into account while analyzing the structural capabilities. Moreover, ignorance can be seen





Figure 7: Threatening risks to Ali Qapu building owing to (a) The gradual attrition and the ignorance of stakeholders, (b) The unpredicted load on the structure by tourists during New Year vacation, (c) Rotting of the ceiling wooden parts in veranda due to the air pollution of the surrounding environments.

everywhere in the building. The damaged areas are not repaired and this could result in more severe ravages (figure 7c) and in turn more structural weaknesses in the case of sudden forces of earthquakes.

- Natural hazards such as earthquakes, floods or lightning.
- Climatic causes such as sun radiation, temperature changes or heavy rains.

## Risk management comments on the building

On the basis of the analysis, design and study of the building, the following suggestions are made (Hejazi (1997, 2006)):

1. The main masonry building seems vulnerable to earthquakes in some parts. Its vulnerability against dynamic loads should be controlled and appropriate measures should be taken after a comprehensive study.
2. The wooden columns are in a critical state of stress. The four columns around the pool (Figure 4) must be stiffened with 20\*20\*1 cm steel profiles. The wood of all the columns seems dry and brittle and therefore must be maintained.
3. Among the main wooden beams: two beams above the pool (Figure 4) require reinforcing by using a steel profile with minimum section modulus of 950 to be attached on the top of the beams using bolted connections at appropriate intervals.
4. Almost all the secondary wooden beams with semi-circular cross-section (lines 1-10) are inadequate due to the recently imposed sloped roof on the structure. Each secondary beam must be stiffened with a steel profile of section modulus of 200, which can be connected to the top of the beam using bolts.
5. For completing the system of lateral bracing another steel cable must be added to the system to act in the
6. opposite direction, or its original wooden lateral bracing system must be completed.
6. In order to decrease the high temperature in the covered space of the roof during summer, the upper plate must be heat-insulated.
7. The lightning conductor of the building must be regularly checked.
8. The wooden structure must be provided with a fire extinguishing system.
9. The wooden members must be protected against climatic and insect damage.
10. The risk management policy of the building must be reviewed and updated according to the most recent guidelines.

### Disaster mitigation

Although disasters cannot be prevented, they can be mitigated and their impacts can be reduced if proper planning can be proceeded on time. Three main phases characterizing all risk reduction strategies consist of: Readiness (before a disaster), Response (during a disaster) and Recovery (post disaster). The main period is readiness and preparation in advance which is possible by very exact knowledge about the lessons

learned from the past to avoid repeating the same disaster. The other requirement is imagination of the future and then counter measures for forecasted damage.

Therefore, several scenarios have to be thought of before planning disaster mitigation for any hazard such as earthquakes. In the case of this building, people inside as well as outside the building could be killed or injured if an earthquake occurs or fire breaks out. The building has wooden columns and no serious fire detecting system is installed in it. There could also be a possibility of the upper floor's ravage to collapse on lower parts and getting destroyed due to over-loaded.

To avoid the so-called risks there is a need of short term, mid-term and long term planning to make all proposals practically implemented in the site. The following are some suggestions as counter measures for various threats to the building and its site:



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Figure 8: The pool in the middle of the square as a potential reservoir for fire extinguishing.

- There is a need to design access for fire engines in the case of fire.
- Installation of fire dowsing system around the building.
- Preventing further damage on decorations and wall paintings.
- Provide a non-electrical water extinguishing system in the case of fire. The pool with fountains in the middle

of the square (figure 8) can be used as a potential water source. However, the main problem in transmitting water to the upper parts of the building will remain unsolved.

- Seismic strengthening of the building, with the knowledge that natural hazards attack the weakest points, therefore upholding one part would make other parts weaker comparatively. The best way is to study the behavior of the structure or similar structures in previous earthquakes and after evaluating the possible methods, choose the one more compatible with the characteristics of the original building.
- Tourism management is necessary especially during the busiest time of the year.
- Designing escape routes for pedestrians especially during busy time of the year could prevent massive



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Figure 9: The current steps of the building are very narrow and high.

massacre. The existing and original steps of the building are very narrow and high (figure 9) and not suitable when disaster strikes. Evacuating tourists and observers of the building immediately after any disaster is a crucial point, which is not planned in the building.

- Fire detecting system is necessary to avoid spreading any probable fire or spark and turning it to a disaster.
- Management to avoid fire and looting after earthquakes.

## Conclusion

In this paper, firstly detailed information about the historical building of Ali Qapu, a part of the World Heritage Site in Isfahan was introduced. This paper has explained the history of interventions in the past and current activities, threatening risks to the building and various factors in relation to the risk management of the Ali-Qapu building. The paper also described elements affecting the building, earthquake risk management plan and suggestions for improving its behaviour against earthquakes and fire.

The main challenge is the need for a practical and procedural programme in which various scattered planning can be organised in a unique algorithm based on diagram 2, depicting the detailed responsibilities and required measures to be taken into the building in various time schedules and various budgets while considering all conservation ethics.

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© K. Weise - Bisket Jatra Chariot in front of the Nyatapola Temple, Bhaktapur

## Part Three: Annex

## ICORP Meeting (ICOMOS International Scientific Committee for Risk Preparedness)

The ICORP Business Meeting took place on 25th November, 9:00 to 13:30 at the Bahadur Shah building in Lalitpur. The meeting was attended by 12 ICORP members with several more connecting through Skype.

The ICORP meeting was followed by an interaction programme “Disaster risk management and safeguarding cultural heritage in the context of living urban heritage” at the Bahadur Shah hall together with the Nepal Risk Reduction consortium (NRRC) between 14:30 and 17:00. The participants were welcomed by Axel Plathe, Head, UNESCO Office in Kathmandu and UNESCO Representative to Nepal followed by the presentations of Rohit Jigyasu, President ICOMOS/ICORP and Moira Reddick, Coordinator of Nepal Risk Reduction Consortium. A presentation entitled “Community Based Disaster Risk Management in the Kathmandu Valley” was presented by Becky-Jay Harrington, Flagship 4 Coordinator: Integrated Community Based Disaster Risk Reduction / Management, part of NRRC. This was followed by discussions moderated by Kai Weise, President ICOMOS Nepal.



*ICORP Meeting at Patan Museum*

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## Inaugural Sessions

The inaugural session took place in the rear courtyard of Patan Museum on 25 November 2014 from 17:30 to 19:30. Welcome remarks were given by Axel Plathe, Head, UNESCO Office in Kathmandu and UNESCO Representative to Nepal and Rohit Jigyasu, President ICOMOS/ICORP. This was followed by short remarks by Shanta Bahadur Shrestha, Secretary of the Ministry of Federal Affairs and Local Development, Sushil Ghimere, Secretary of the Ministry of Culture, Tourism and Civil Aviation and Kishore Thapa, Secretary of the Ministry of Urban Development. This was followed by comments by Moira Reddick, Coordinator of Nepal Risk Reduction Consortium. The keynote speech entitled “Memory of Humankind” was delivered by Roland Silva, honorary (past) President of ICOMOS International (provided as introduction to section 2 of this publication). An introduction to the four day symposium was provided by Kai Weise, President ICOMOS Nepal, representing the symposium organizers.

A vote of thanks was delivered by Bhesh Narayan Dahal, Director General of the Department of Archaeology. This was followed by dinner hosted by Summit Hotel. A photo exhibition entitled “Heritage and photography. A dialogue” was also presented at the Patan Museum.



*VIP guests at the inaugural session including secretaries from three ministries, Patan*

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## Closing Sessions

The grand closing session took place within Lohan Chowk of the Hanuman Dhoka palace in Kathmandu on 25 November 2013 18:30 to 21:00. The guests were welcomed by Axel Plathe, Head, UNESCO Office in Kathmandu and UNESCO Representative to Nepal, followed by remarks by Rohit Jigyasu, President ICOMOS/ICORP and Bhesh Narayan Dahal, Director General, Department of Archaeology. This was followed by a short speech by Sushil Ghimire, Secretary of Ministry of Culture, Tourism and Civil Aviation. A review of the symposium by individual participants was moderated by Kai Weise, President ICOMOS Nepal. Members of each of the four theme groups were asked to give a short review of their experiences. The vote of thanks was given by Laxman Aryal, Chief Executive Officer, Kathmandu Metropolitan City followed by a dinner and cultural program hosted by Kathmandu Metropolitan City.



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*Closing session at Hanuman Dhoka Palace, Kathmandu*

## Swayambhu Disaster Risk Management

The opportunity was taken to call upon the numerous experts that had attended the Symposium to visit Swayambhu Monument Zone to discuss the ongoing preparation of a Disaster Risk Management Plan. The experts were taken around the site and shown the critical areas. The various locations of environmental degradation, uncontrolled construction as well as the conservation projects were

examined. Organized by the Federation of Swayambhu Management and Conservation (FSMC), the event included presentations given by the team working on the Plan, Prof. Sudarshan Raj Tiwari and Prof. Prem Nath Maskey, moderated by Bhim Nepal. The discussions focused on controlling the geological stability of the hill, assessing the impact of the building structures as well as fire preparedness.



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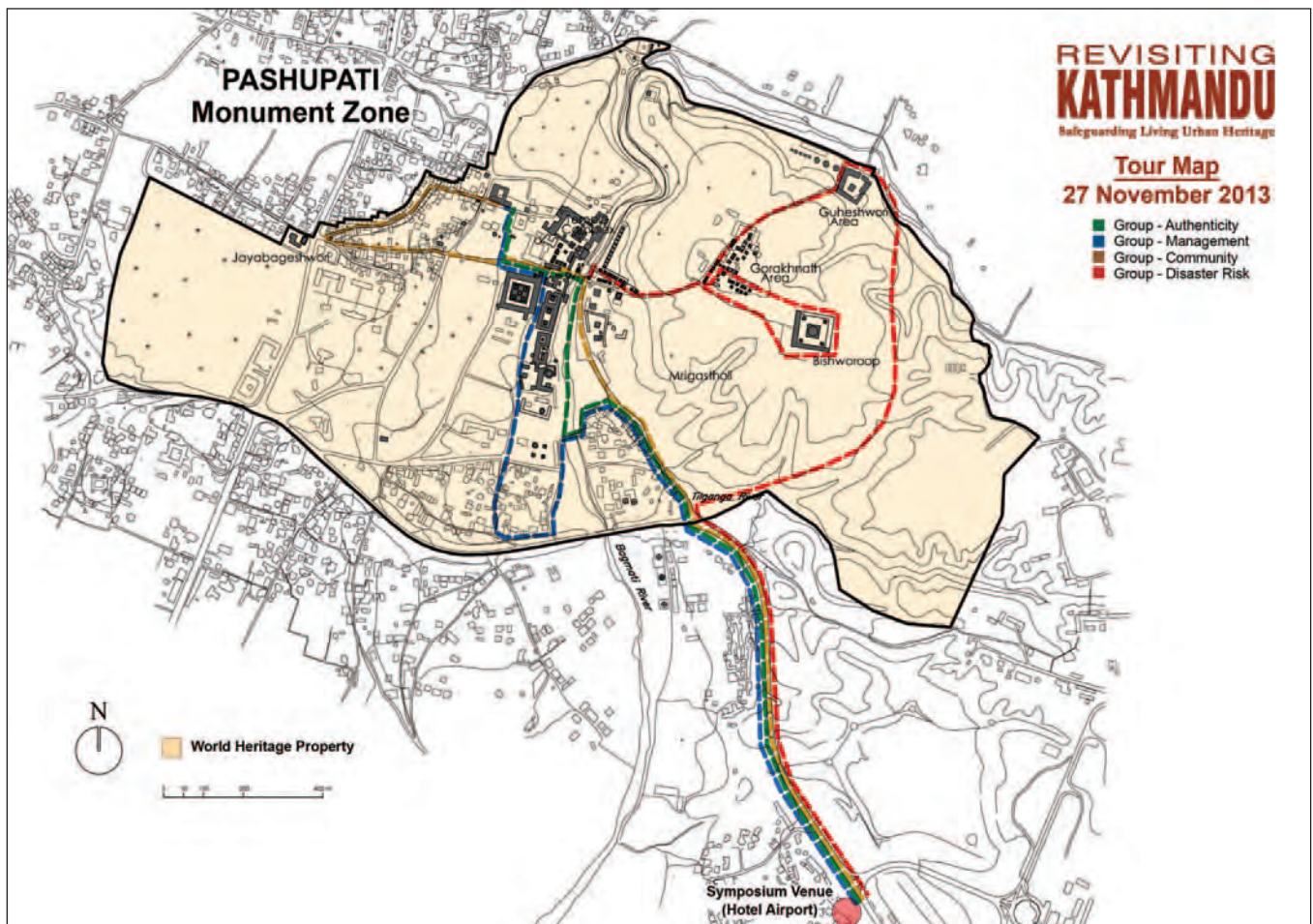
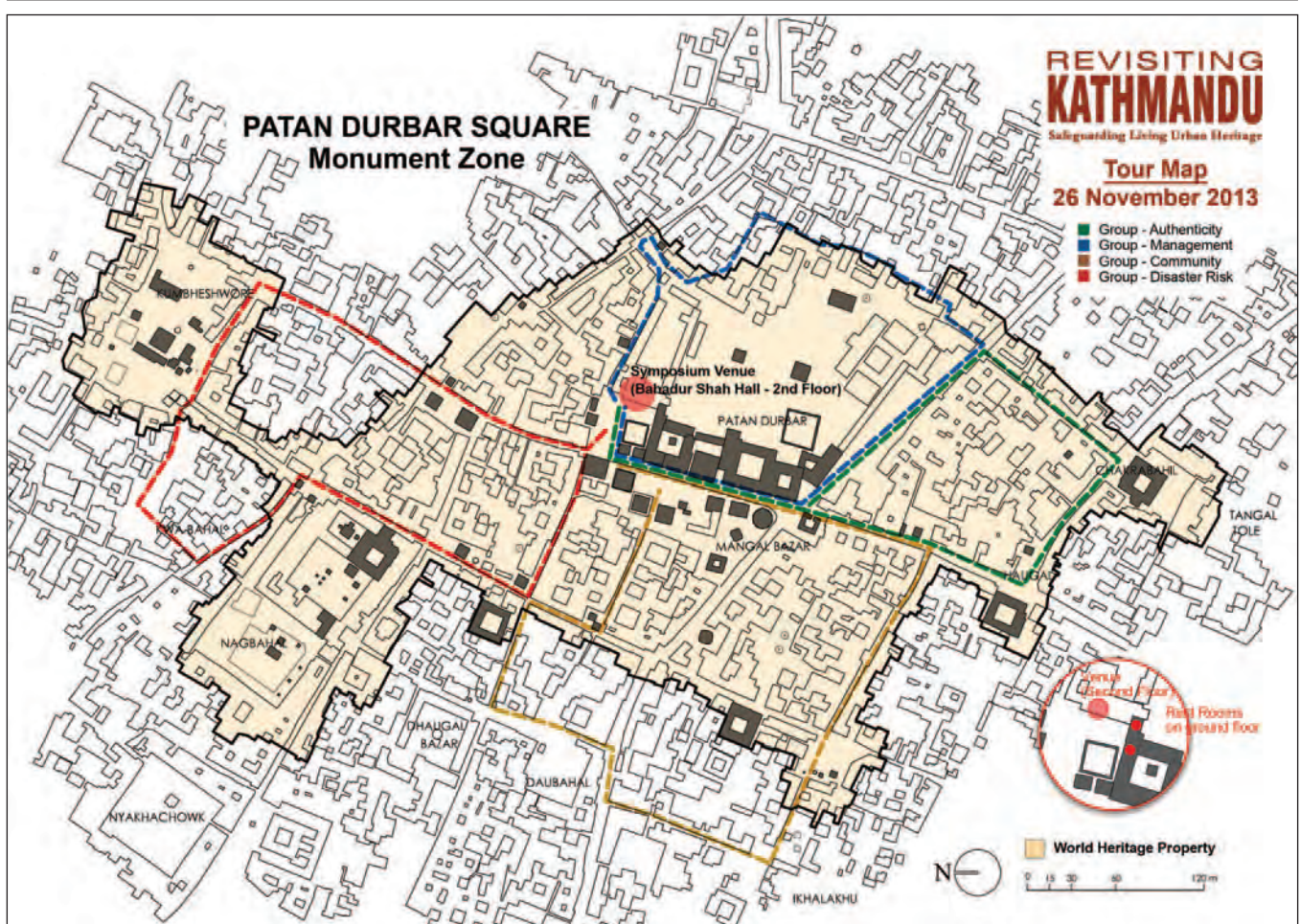
*Group photo after the Swayambhu Disaster Risk Management meeting*

Date	Monday 25 Nov	Tuesday 26 Nov	Wednesday 27 Nov
Location		Patan	Pashupati
Theme	ICORP	AUTHENTICITY	MANAGEMENT
			Bus to venue
Venue		[Bahadur Shah Hall]	[Hotel Airport]
08:30 – 09:00		Registration	Registration
09:00 – 09:30		Opening	Opening
09:30 - 11:05	<p><b>ICORP Meeting</b> at Patan Musuem 9:00 – 13:30</p> <p>Lunch 13:30 – 14:30</p> <p><b>Interaction with Nepal Risk Reduction Consortium (NRRC)</b> At Bahadur Shah Hall, Patan 14:30 – 17:00</p>	<p><b>Key Note 1a</b> <i>Kanefusa Masuda</i> The Nara Document on Authenticity and the World Heritage site “Kathmandu Valley”</p>	<p><b>Key Note 2</b> <i>Ping Kong</i> Historic Urban Landscape, a management approach for cities of heritage-values</p>
		<p><b>Key Note 1b</b> <i>Nobuko Inaba</i> Issues on authenticity and integrity in the heritage discussion - analyzing the experiences in Japan bridging tangible and intangible heritage</p>	<p><b>Paper 2.1</b> <i>Kosh Prasad Acharya &amp; Saubhagya Pradhanang</i> Review of the Integrated Management Plan of Kathmandu Valley World Heritage property NEPAL</p>
<p><b>Paper 1.2</b> <i>Shyam Sundar Kawan</i> Integrity overrides authenticity in Bhaktapur NEPAL</p>		<p><b>Paper 2.2</b> <i>Ona Vileikis</i> (with Sanjarbek Allayarov) Enhancement of the implementation of the world heritage convention through strengthening the protection and management mechanism in the historic centre of Bukhara UZBEKISTAN</p>	
11:05 – 11:20		Tea break	Tea break
11:20 – 13:00		<p><b>Paper 1.3</b> <i>Natalia Turekulova</i> Problems of heritage preservation in historical cities of Kazakhstan KAZAKHSTAN</p>	<p><b>Paper 2.3</b> <i>Mirela Mulalic Handan</i> Challenges in conserving living urban heritage BOSNIA &amp; HERZEGOVINA</p>
		<p><b>Paper 1.4</b> <i>Shulan Fu</i> (with Yukio Nishimura) Living culture and its changing reflection: A case study of West Lake in Hangzhou City CHINA/JAPAN</p>	<p><b>Paper 2.4</b> <i>Vaswati Chatterjee</i> (with Sanghamitra Basu) A Rational Approach for Sympathetic Intervention in Heritage Zone: A Case Study of Bhubaneswar Old Town INDIA</p>
		<p><b>Paper 1.5</b> <i>Alejandro Honda</i> Preservation of Authenticity beyond the Cultural Divergences - A Comparison of Conservation Works in Japan and Spain JAPAN / SPAIN</p>	<p><b>Paper 2.5</b> <i>Reihaneh Sajad</i> (with Fatemeh Mehdizadeh Saradj and Farhang Mozafar) Preserving values by the application of aesthetic principles of historic urban sites during Development IRAN</p>
		<p><b>Paper 1.6</b> <i>Neel Kamal Chapagain</i> Continued traditions, disintegrated material form: Re-thinking authenticity in living heritage sites in Nepal NEPAL</p>	<p><b>Paper 2.6</b> <i>Su Su</i> Safeguard the Historic Center of Yangon through World Heritage nomination MYANMAR</p>
13:00 – 14:00		Lunch Courtesy LSMC	Lunch Courtesy PADT
14:00 – 15:00		visiting relevant sites in the vicinity [Please refer route map]	visiting relevant sites in the vicinity [Please refer route map]
15:00 – 15:30	Tea break	Tea break	
15:30 – 17:00	Thematic group discussions	Thematic group discussions	
17:00 – 18:00	INAUGURATION at Patan Museum 17:30 – 19:30 Followed by Dinner	Presentations and consolidation	Presentations and consolidation
			Bus to hotel

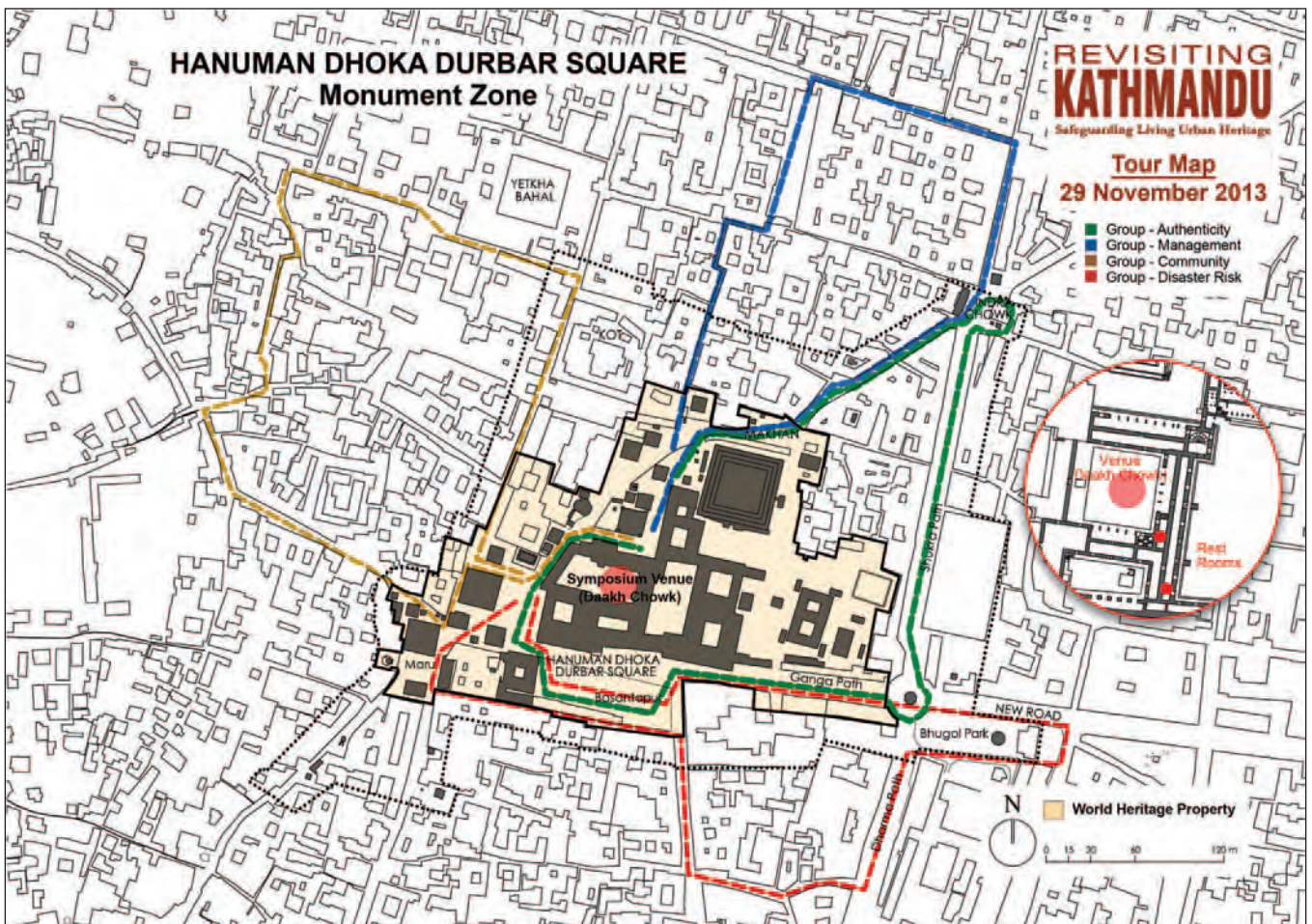
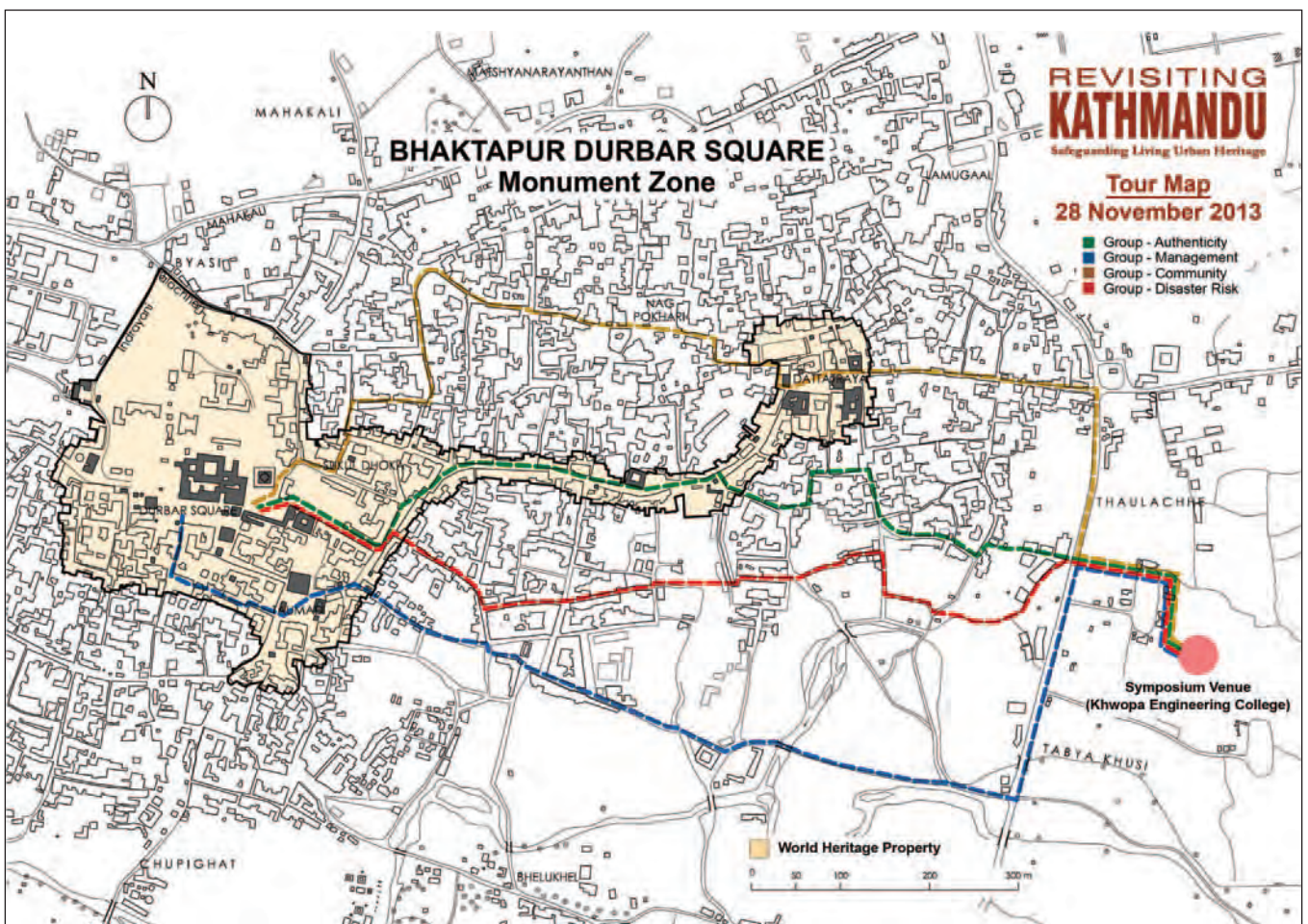
Note: KMC – Kathmandu Metropolitan City, LSMC – Lalitpur Sub-Metropolitan City, BM – Bhaktapur Municipality, PADT – Pashupati

Thursday 28 Nov	Friday 29 Nov	Saturday 30 Nov	
<b>Bhaktapur</b>	<b>Kathmandu</b>		
<b>COMMUNITY</b>	<b>DISASTER RISK</b>		
Bus to venue	Bus to venue		
[Khwopa Engineering College]	[Hanuman Dhoka Durbar Complex]		
Registration	Registration		
Opening	Opening		
<b>Key Note 3</b> <i>Sudarsan Raj Tiwari</i> Revisiting Kathmandu WHS – Community Participation in Heritage Affairs	Key Note 4a <i>Robit Jigyasu</i> International Initiatives for Disaster Risk Management of Cultural Heritage: Where we are and where we need to go!	Swayambhu Disaster Risk Management Site visit and discussions	
<b>Paper 3.1</b> <i>Lata Shakya</i> (with Takada, Morishige, Okubo) Community involvement in management of communal space in Patan Historic City: A case study of Ilanani tole in Patan durbar square monumental zone. NEPAL / JAPAN	<b>Key Note 4b</b> Prem Nath Maskey Disaster Risk of Culture Heritage Sites of the Kathmandu Valley		
<b>Paper 3.2</b> <i>Indera Syabrul Mat Radzuan</i> (with Yahaya Ahmad and Song Inho) Mainstreaming Local Communities Input for the Incentives Programme: Lessons Learned from the Historic Villages of Hahoe and Yangdong in South Korea MALAYSIA / KOREA	<b>Paper 4.2</b> <i>Arjun Koirala</i> Community Based Disaster Risk Management Plan: Historic Core of Tansen, NEPAL		
Tea break	Tea break		
<b>Paper 3.3</b> Xiaomei Zhao Cultural Interpretations of Dong Villages: Activities of Local Community CHINA	<b>Paper 4.3</b> Deniz Fevziye Gündoğdu (with Zeynep Gül ÜNAL) Evolution of the Concept of Disaster Management in Turkey within the Context of “Disaster” TURKEY		
<b>Paper 3.4</b> Alberto Farías Ochoa Language, media and citizens, in indigenous Mexican community cultural heritage MEXICO	<b>Paper 4.4</b> Vanicka Arora (with Himani Gaur) Examining the Role of Historic Temples in Garhwal, Uttarakhand in Post-Disaster Response and Recovery INDIA		
<b>Paper 3.5</b> GSV Suryanarayana Murthy (with Richard Sadokpam) Developing Values-based and participatory Conservation Management: a need for “River Island of Majuli Cultural Landscape in the midstream of Brahmaputra River, Assam, India” INDIA	<b>Paper 4.5</b> Fatemeh Mehdizadeh Saradj (with Mehrdad Hejazi) A multilevel approach in planning risk management for built heritages located in high density urban areas – case study: Ali Qapu– a historical building in Naqsh-i-Janah World Cultural Heritage Site in Isfahan IRAN		
<b>Paper 3.6</b> Sharif Shams Imon Relationship between cultural spaces and continuity of a tradition: the case of Drunken Dragon Festival in Macao MACAO	<b>Paper 4.6</b> U. Herbig (with G. Weichart) Disaster Risk Management in Indonesia – Learning from the Impact of Relief Processes AUSTRIA		
Lunch Courtesy BM	Lunch Courtesy MoUD		Lunch
visiting relevant sites in the vicinity [Please refer route map]	visiting relevant sites in the vicinity [Please refer route map]		TOUR around urban sites within the Kathmandu Valley
Tea break	Tea break		
Thematic group discussions	Thematic group discussions		
Presentations and consolidation	Presentations and consolidation		
Bus to hotel	DINNER program at Hanuman Dhoka Courtesy KMC		











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