

# ICOMOS

## 2017

### Evaluations of Nominations of Cultural and Mixed Properties

**ICOMOS report for the World Heritage Committee**  
41st ordinary session, Krakow, 2 - 12 July 2017

WHC-17/41.COM/INF.8B1





**UNESCO**

World Heritage Convention  
World Heritage Committee

**2017**

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

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41st ordinary session, Krakow, 2 - 12 July 2017

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# I Introduction

## ICOMOS Analysis of nominations

In 2017, ICOMOS was called on to evaluate 42 nominations.

They consisted of:

22 new nominations  
1 referred nomination  
4 deferred nominations  
3 extensions  
11 minor modifications/creations of buffer zone  
1 nomination on an emergency basis

The *geographical spread* is as follows:

### **Africa**

Total: 3 nominations, 3 countries  
3 new nominations  
(3 cultural properties)

### **Arab States**

Total: 5 nominations, 5 countries  
1 new nomination  
2 differed  
1 nomination on an emergency basis  
1 minor modification/creation of buffer zone  
(5 cultural properties)

### **Asia-Pacific**

Total: 7 nominations, 6 countries  
6 new nominations  
1 minor modification/creation of buffer zone  
(6 cultural properties, 1 mixed property)

### **Europe and North America**

Total: 25 nominations, 17 countries  
10 new nominations  
1 referred  
2 deferred  
3 extensions  
9 minor modifications/creations of buffer zone  
(25 cultural properties)

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

Total: 2 nominations, 2 countries  
2 new nominations  
(1 cultural property, 1 mixed property)

ICOMOS regrets the underrepresentation of certain Regions in the submission of nominations and in particular Africa and Latin America and the Caribbean.

## **General remarks**

### **1. Quality and complexity of nomination dossiers**

Generally speaking, ICOMOS notes that nominations are increasingly complex, sometimes to the detriment of the dossiers' clarity and coherence.

Certain nominations would benefit if more time were taken in preparing the nomination, for example to complete the legal protection process, finalise a management plan or undertake additional research.

ICOMOS wishes to point out that the Resource Manual *Preparing World Heritage Nominations*, of which an electronic version is available on its website and on the World Heritage Centre website, is at the disposition of States Parties to help them prepare nomination dossiers. Thanks to the World Heritage Capacity-Building programme, the manual is available in several languages (Arabic, English, French, Portuguese and Spanish).

When evaluating the comparative analysis included in nomination dossiers, ICOMOS examines the methodology used by the State Party and the relevance of the examples given by using the following parameters. Comparisons should be drawn with properties expressing the same values as the nominated property and within a defined geo-cultural area. Therefore the values need to be clearly defined and the geo-cultural framework should be determined according to these values. Comparisons should be drawn with similar properties already inscribed on the World Heritage List and with other examples at national and international level within the defined geo-cultural area.

On the basis of the above, ICOMOS indicates whether or not the comparative analysis is complete and whether or not the analysis justifies consideration of the property for the World Heritage List.

If the nomination is considered incomplete or insufficient according to the parameters indicated above, ICOMOS requests additional information from the State Party, checks relevant ICOMOS thematic studies, and the wealth of information available about properties already evaluated and/or inscribed on the World Heritage List, and on the Tentative Lists, and consults the ICOMOS network of experts to improve its understanding of the nomination.

ICOMOS wishes to point out that its role is to evaluate the properties on the basis of the information provided in the nominations (i.e. the dossiers), and on the basis of on-the-spot assessment and additional studies. Similarly, it evaluates the protection, conservation and management of the property **at the time of the nomination** and not at some unspecified time in the future after the adoption of the laws and management plans. It is the duty of ICOMOS to indicate to the World Heritage Committee whether or not adequate protection and management are in place prior to inscription.

## 2. ICOMOS evaluations

The objective of ICOMOS is the conservation and long-term protection and presentation of the cultural heritage, whether or not it is of Outstanding Universal Value. In formulating its recommendations, ICOMOS therefore aims to be as helpful as possible to States Parties, whatever the final recommendation proposed.

ICOMOS is well aware that it cannot please everyone. Despite being under considerable pressure, not only from States Parties, it must remain objective, rigorous and scientific, and its first duty remains the conservation of properties.

The answers provided by States Parties have in many cases confirmed, or contributed, to the adoption of the final recommendations made by ICOMOS.

## 3. "Referred back" nominations – "Deferred" nominations

At the request of the World Heritage Committee, ICOMOS and IUCN presented at the 34<sup>th</sup> session in Brasilia an information document concerning the processes, points of reference and time constraints arising from decisions to refer back or defer the examination of a nomination.

ICOMOS wishes to once again express its concerns about the difficulties raised when a "deferred" recommendation is changed into a "referred back" recommendation, which does not allow the Advisory Bodies to carry out an appropriate evaluation of nominations which are in many cases entirely new.

In its recommendations, ICOMOS clearly distinguishes between nominations which are recommended to be *referred back* and those which are *deferred*. For referred back nominations, criteria have been justified and conditions of integrity and authenticity have been met to the satisfaction of ICOMOS; supplementary information must be

supplied to satisfy other requirements of *Operational Guidelines*, but no further technical evaluation mission will be required. For deferred nominations, the very nature of the information requested (a more thorough study, major reconsideration of boundaries, a request for a substantial revision, or serious gaps as regards management and conservation issues) means that a new mission and consideration by the full ICOMOS World Heritage Panel are necessary to evaluate the nomination again, and to ensure that it has the consideration needed to advance the nomination further.

## 4. "Minor" modifications to boundaries

These requests originate either from monitoring, the retrospective inventory or periodic reporting.

The examination of these requests involves a considerable workload for ICOMOS in terms of examining the initial nomination, progress reports on conservation and earlier decisions of the World Heritage Committee, research, consultations and analysis. This year several requests for minor modifications were made by States Parties in respect of a report on the state of conservation or a retrospective inventory. To ensure that they are examined in the most favourable conditions, ICOMOS encourages States Parties to submit a separate request complying with the procedures set out in the *Operational Guidelines for the Implementation of the World Heritage Convention* (annexe 11) and within the prescribed deadlines, i.e. 1<sup>st</sup> February at the latest.

ICOMOS also notes that all modifications to the boundaries of a property and its buffer zone are proposed as "minor" modifications, even when they constitute in fact substantial modifications to the property, or even in some cases an extension of the property. According to the *Operational Guidelines*, proposals for major modifications, whether extensions or reductions, constitute a new nomination (paragraph 165). ICOMOS recommends to the World Heritage Committee that this provision should be consistently and rigorously applied.

ICOMOS suggests moreover that an extension of the calendar for the evaluation of such requests should be considered, to bring it into line with the calendar in force for new nominations, which would open up the possibility of dialogue and exchange of information with the States Parties.

## 5. Serial nominations and extensions

ICOMOS wishes to point out that the *Operational Guidelines* of November 2011 (paragraph 137) validated a change in the approach to serial

properties. Serial nominations should not consist merely of a catalogue of sites, but should instead concern a collection or ensemble of sites with specific cultural, social or functional links over time, in which each site contributes substantially to the Outstanding Universal Value of the serial property as a whole.

ICOMOS wishes to encourage States Parties to give consideration to the implications of this change when preparing serial nominations.

This year, ICOMOS has examined 14 serial nominations, including 154 monuments, ensembles and sites. These nominations require a more substantial investment in terms of human and financial resources at all levels of evaluation of the properties. Because the number of serial nominations is growing, this needs to be taken into account in the budgets and contracts. Furthermore, ICOMOS notes that there are also calendar pressures arising from the task of evaluating these large and complex serial nominations and repeats its suggestion, supported by the Jade Tabet<sup>1</sup> review, that the World Heritage Committee give consideration to an extended timeframe for these kinds of nominations.

ICOMOS explicitly informs in its evaluation the questions it asks in relation to the nature of serial nominations:

- a) What is the justification for the serial approach?
- b) How were the chosen sites selected? How do they each relate to the overall Outstanding Universal Value of the property?
- c) Does the comparative analysis justify the selection of properties?
- d) Are the separate components of the property functionally linked?
- e) Is there an overall management framework for all components?

The answers to these questions have been integrated in the evaluation format under relevant sections.

## 6. Development projects

To address the need to identify development projects within World Heritage properties during the evaluation cycle, ICOMOS has included in its letters to the States Parties a specific question intended to bring to ICOMOS' attention any development projects that are planned within the nominated property or in

its vicinity, to ensure that comprehensive information is received concerning these potential projects. This has been introduced to respond to growing concern felt by the World Heritage Committee about such development plans and projects. ICOMOS has once again suggested that during the nomination evaluation procedure the World Heritage Committee should apply provisions similar to those stipulated in paragraph 172, inviting the States Parties to inform the Committee of "their intention to undertake or to authorize in an area protected under the *Convention* major restorations or new constructions which may affect the Outstanding Universal Value of the property [...].

ICOMOS points out that its *Guidance on Heritage Impact Assessments for cultural World Heritage properties* can be consulted on its website. This Guidance has been translated into several languages and ICOMOS urges States Parties to make use of it. In addition, a research work has been undertaken in order to better understand Heritage Impact Assessments and ICOMOS encourages States Parties to incorporate a Heritage Impact Assessment approach into the management system of their nominated properties, so as to ensure that any programme, project or legislation regarding the property be assessed in terms of its consequences on the Outstanding Universal Value and its supporting attributes.

## 7. New initiatives

As part of a process of reflection launched about mixed properties, ICOMOS and IUCN have developed a project with financing from the *Christensen Fund* entitled "Connecting Practice", to explore a truly integrated approach to the natural and cultural heritage in the context of the World Heritage Convention. The outcomes of phase I has been presented at the 39<sup>th</sup> session of the World Heritage Committee (June 2015) and its second phase will be concluded in June 2017. The results of the Connecting Practice project are still ongoing, however one of the continued priorities is to influence a shift in conceptual and practical arrangements for the consideration of culture and nature within the implementation of the World Heritage Convention, and to engage new actors in promoting positive results for conservation and communities.

At the request of the World Heritage Centre, a preliminary follow-up to the Gap Report (*The World Heritage List: Filling the Gaps: an Action Plan for the future*) has been carried out and one-day workshop was held at ICOMOS Headquarters on 11 December 2015 to review the preliminary outcomes of the analysis and to discuss the issues

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<sup>1</sup>Tabet J., *Review of ICOMOS' working methods and procedures for the evaluation of cultural and mixed properties nominated for inscription on the UNESCO World Heritage List*, Paris, ICOMOS, 2010.

arising. Work is still in progress on this topic and in particular with Africa Region.

## **8. Transnational serial nominations**

ICOMOS wishes to congratulate the States Parties on the efforts made to prepare transnational serial nominations, and sees in the themes and challenges considered a return to the fundamentals of the World Heritage Convention.

The monitoring of the state of conservation of properties of this type is a considerable challenge, which could enable experimentation with specific tools adapted to such properties.

ICOMOS wishes to stress the importance of involving the Advisory Bodies in the upstream processes for the preparation of nominations of this type, and is available for upstream involvement at strategic development level for these vast and complex transnational serial nominations.

ICOMOS supports the work undertaken by 10 States Parties on recognition of the Roman frontier as a whole as a World Heritage Site, or as a series of individual World Heritage Sites within an overall framework through commissioning a thematic study including a nomination strategy.

## **9. Mixed nominations**

ICOMOS and IUCN will report back at the 41<sup>st</sup> session of the World Heritage Committee in 2017 on progress made on improvements of evaluation processes for mixed sites. Improvements were made notably for what concerns communication with States Parties and coordination of the technical evaluation missions. The overall exercise has been positive and allowed increased cooperation between IUCN and ICOMOS both at institutional and professional levels.

## **10. Historic Urban Landscape (HUL)**

ICOMOS noted the increasing use of the notion of Historic Urban Landscape (HUL) in the draft statements of Outstanding Universal Value. While acknowledging the importance of the UNESCO Recommendation on Historic Urban Landscapes as being “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”, there is an agreement that the notion of HUL should be seen as a useful methodological approach that can sustain and strengthen management but cannot be understood as a category of heritage and should not be mentioned as

such in justifications for inscription of nominated properties.

## **11. Upstream process**

ICOMOS, at the request of the World Heritage Committee, has contributed to work further on the pilot projects selected in conjunction with the World Heritage Centre.

ICOMOS has extended the length of the ICOMOS World Heritage Panel meeting in order to examine the missions and projects developed by ICOMOS for the purpose of upstream processes.

Further reflection was made with the World Heritage Centre and the other advisory bodies around the implementation of upstream process.

Furthermore, ICOMOS wishes to draw attention to paragraph 122 of the *Operational Guidelines* which invites States Parties to “contact the Advisory Bodies and the World Heritage Centre at the earliest opportunity in considering nominations to seek information and guidance”, and in particular the relevance of this paragraph in connection with the preparation of the nomination dossier for mixed properties and serial properties.

ICOMOS is prepared to make its expertise available for the development of the upstream process in preparing and following up nomination dossiers, as far as this is possible with the resources available. Revision of some Tentative Lists would benefit as well from advices within this framework and should be given priority.

The activities in which ICOMOS has been involved in this respect (advisory missions, meetings, consultations), organised sufficiently in advance, have already had positive outcomes for some nominations.

# ICOMOS procedure

The ICOMOS procedure is described in Annex 6 of the *Operational Guidelines for the Implementation of the World Heritage Convention*. It is regulated by the *Policy for the implementation of the ICOMOS World Heritage mandate* (latest revision in October 2015). This document is available on the ICOMOS website: [www.international.icomos.org](http://www.international.icomos.org).

This policy makes public the existing procedure, and sets out the fair, transparent and credible approach ICOMOS adopts in fulfilling its world heritage remit, and the way it avoids conflicts of interest.

The evaluation of nominations is coordinated by the *World Heritage Evaluation Unit* of the International Secretariat of ICOMOS, in collaboration with the ICOMOS officers responsible for World Heritage and the ICOMOS World Heritage Panel.

The ICOMOS World Heritage Panel, which brings together some thirty persons, is made up of members of the ICOMOS Bureau, of representatives of ICOMOS International Scientific Committees, and of experts who are invited each year depending on the nature of the properties nominated (rock art, 20th century heritage, industrial heritage, etc.) and on the basis of geo-cultural balanced representation. TICCIH and DoCoMoMo are also invited to participate in discussions in which their expertise is relevant. To a large extent, Panel members participate by drawing on their own financial resources. The Panel, whose composition and terms of reference are available on the ICOMOS website, represents the various professional, geographic and cultural sensibilities present at the international level. It prepares the ICOMOS recommendations for each nomination on a collegial basis.

For each nominated property, ICOMOS assesses whether it bears testimony of an Outstanding Universal Value:

- whether it meets the criteria of the *Operational Guidelines*;
- whether it meets the conditions of authenticity and integrity;
- whether legal protection is adequate;
- whether the management processes are satisfactory.

All properties are given equal attention, and ICOMOS also makes every effort to be as objective, scientific and rigorous as possible.

In order to reinforce consistency of the evaluations and recommendations, and to check which additional

information requests should be sent to States Parties, ICOMOS uses a check box tool, which is included in this volume.

## 1. Preparatory work

The preparatory work is done in several stages:

*a. Initial study of dossiers.* This first stage of the work consists of the creation of an inventory of the nomination dossier documents, a study of them to identify the various issues relating to the property and the choice of the various experts who will be called on to study the dossier (ICOMOS advisers, experts for mission, experts for consultations). A compilation of all relevant comparative material (Tentative Lists, properties already on the World Heritage List, nomination dossiers, "filling the gaps" ICOMOS study, etc.) is prepared in order to assist the work of the advisers on the specific item of comparative analysis.

*b. Consultations.* Experts are consulted to express their opinion about the comparative analysis and the *Outstanding Universal Value* of the nominated properties with reference to the ten criteria set out in the *Operational Guidelines for the Implementation of the World Heritage Convention* (July 2015), paragraph 77.

For this purpose, ICOMOS calls on the following:

- ICOMOS International Scientific Committees;
- Individual ICOMOS members with special expertise, identified after consultation with International and National Committees;
- Non-ICOMOS members with specific expertise, identified after consultation within the ICOMOS networks.

For the nominations to be considered by the World Heritage Committee at its 41<sup>st</sup> session, around 140 experts provided desk reviews.

*c. Technical evaluation missions.* As a rule, ICOMOS calls on a person from the region in which the nominated property is located. In certain exceptional circumstances, often in cases in which the nature of the property is unusual, the expert may not originate from the region concerned. The objective of the missions is to study the authenticity, integrity, factors affecting the property, protection, conservation and management (*Operational Guidelines*, paragraph 78).

Experts are sent the nomination dossier (electronic version and copy of the maps in colour), a note with key questions based on a preliminary examination of the dossiers, documentation on the Convention and detailed guidelines for evaluation missions.

All experts have a duty of confidentiality. Their opinion about the nomination does not necessarily reflect that of the organisation; it is the ICOMOS World Heritage Panel which, after acquainting itself with all the information, analyses it and determines the organisation's position.

Missions are sent to all the nominated properties except in the case of nominations referred back for which the *Operational Guidelines* do not stipulate that a mission is necessary. (Note: The principle is that properties are referred back because additional information is necessary, and not because thorough or substantial modifications are needed; the deadlines set out in the *Operational Guidelines* mean moreover that it is not possible to organise missions, desk reviews or consideration by the full ICOMOS World Heritage Panel for properties referred back).

30 experts representing 28 countries took part in field missions as part of the evaluation of the 29 nominated properties, which in turn represented 28 countries.

Technical evaluation mission was carried out jointly with IUCN for one mixed property nomination. An IUCN mission expert accompanied an ICOMOS technical evaluation mission for one cultural landscape nomination.

Taking note of Committee decision 39 COM 13A, paragraph 9, ICOMOS invited ICCROM to attend the ICOMOS Panel meeting as observer, as last year. ICOMOS and ICCROM will evaluate this practice to determine the value to the evaluation process of continuing ICCROM's involvement in the panel in future years.

IUCN was invited to attend the ICOMOS panel meeting as observer and vice versa. ICOMOS and IUCN have also exchanged information about draft recommendations concerning mixed property nominations.

ICOMOS received comments from the IUCN concerning four cultural landscape nominations. These comments have been included in the evaluations and taken into account by ICOMOS in its recommendations.

## **2. Evaluations and recommendations**

*a. ICOMOS World Heritage Panel.* Draft evaluations (in either English or French) were prepared on the basis of the information contained in the nomination dossiers, mission reports, consultations and research. They were examined by the ICOMOS World Heritage Panel at a meeting in Paris from 21 to 29 November 2016. The Panel defined draft recommendations and identified the additional information requests to be sent to the States Parties. On experimental basis, meetings were organized with each nominating State Party and Panel members during the meeting.

*b. Interim reports.* As prescribed by the revised Operational Guidelines for the Implementation of the World Heritage Convention and its Annex 6, the Advisory Bodies have been requested to submit a short interim report for each nomination by 31 January 2017. These reports provide States Parties with the relevant information outlining issues related to the evaluation process and some include additional information requests. All documents received by 28 February 2017 were examined by the second World Heritage Panel at its meeting from 8 to 10 March 2017.

*c. Finalisation of the evaluation volume and its presentation to the World Heritage Committee.* Following these meetings, revised evaluations have been prepared in both working languages, printed and dispatched to the UNESCO World Heritage Centre for distribution to members of the World Heritage Committee at its 41st session in July 2017.

Nominated properties and ICOMOS recommendations will be presented to the World Heritage Committee by ICOMOS advisers in PowerPoint form.

As an Advisory Body, ICOMOS makes a recommendation based on an objective, rigorous and scientific analysis. However, decisions are the responsibility of the World Heritage Committee. The process relies on the Committee members and their knowledge of the nominations and the evaluations published by the Advisory Bodies.

## **3. Referred back nominations and requests for minor modifications**

On 1<sup>st</sup> February preceding the World Heritage Committee meeting, ICOMOS also receives supplementary information on nominations referred back during previous sessions of the World Heritage Committee. One referred back nomination was assessed for this cycle.

ICOMOS also examines requests for "minor" modifications to boundaries or creation of buffer zones, and for changes of criteria or name for some properties already inscribed on the World Heritage List. 11 requests were submitted by the States Parties concerned before 1<sup>st</sup> February this year. At the request of the World Heritage Centre, all requests have been examined and included in the following document: WHC/17/41.COM/INF.8B1.Add.

#### 4. Dialogue with States Parties

ICOMOS makes every effort to maintain dialogue with the States Parties throughout the nomination evaluation process, i.e. following receipt of the nominations, during and after the technical evaluation mission, and following the meeting of the ICOMOS World Heritage Panel. The information requested relates to precise details or clarifications, but does not invite a complete reformulation of the nomination dossier.

Following the World Heritage Committee decision 38 COM 13.8 which call upon the Advisory Bodies to consult and have a dialogue with all concerned States Parties during the course of the evaluation of nominations, ICOMOS has strengthened the dialogue and communication in the evaluation process by introducing the following changes:

- Letters to States Parties throughout the evaluation process have been sent on a more systematic basis and on more focused issues.
- On experimental basis, Panel structure was changed and was organized in three sessions: the first focused on discussions on each nominations, the second consisted in meetings with each nominating States Parties and Panel members, and the final one adopted draft recommendations.
- The States Parties for which ICOMOS recommendation was not to inscribe the property on the World Heritage List have been informed at an earlier stage about this decision.
- Interim reports as prescribed by the revised *Operational Guidelines* have been delivered to each nominating State Party.

In addition, to reinforce dialogue with States Parties 6 meetings or skype conferences have been organized from January 2017 to end of February 2017.

The dialogues with States Parties were fruitful in clarifying issues as well as being helpful for elucidating facts.

However, the main point that these direct dialogues highlighted is the fact that, even though the State Party receives advice from ICOMOS earlier than previously, there is still very limited time available under the current evaluation timetable established by the *Operational Guidelines* for both parties to work together to resolve issues with dossiers that require reformulation at a wider scale, even if the State Party expresses a willingness to do so.

In conclusion, ICOMOS encourages States Parties to request Upstream advice which could be useful for resolving issues prior to the submission of nominations.

ICOMOS recalls working document WHC/14/38.COM/9A which mention the "*option of extending the evaluation process by 12 months to allow for improved and constructive dialogue between stakeholders, in the light of the outcomes of the Director General's meeting "World Heritage Convention: Thinking ahead"*" and supports an extension of the calendar for the evaluation of nominations by 12 months, which would open up the possibility of dialogue and exchange of information with the States Parties.

#### 5. Conclusion

All the evaluated cultural properties are remarkable and deserving of protection and conservation. In reaching its recommendations to the World Heritage Committee, ICOMOS relies on the *Operational Guidelines for the Implementation of the World Heritage Convention* and the direction of the World Heritage Committee.

The opinion of ICOMOS is both independent and institutional. The opinion of one of its members is not binding on the organisation, and the evaluation texts are each the work of between 40-50 persons for each nomination, with several stages of in-depth peer review. ICOMOS represents cultural heritage experts throughout the five regions and is working to protect the entire cultural heritage of the world.

ICOMOS takes a professional view of the dossiers reviewed, and when appropriate makes recommendations for all the properties for which nominations have been submitted to it, independently of the outstanding regional or universal scope of their values.

Paris, April 2017





# ICOMOS

## Check tool recommendations

Comparative analysis	Integrity	Authenticity	Criteria	Selection justified (series)	Boundaries	Protection property	Protection buffer zone	Conservation	Management	Threats addressed	Mission required	Conclusion
√	√	√	√	√	√	√	√	≈	≈	≈	No	Inscription
√	√	√	√	√	≈	X	X	≈	≈	≈	No	Referral
√	√	√	√	√	X	X	X	X	X	X	Yes	Deferral
○	√	√	○	√							Yes	Deferral
○	○	○	○	○							Yes	Deferral
X	X	X	X	X							-	No inscription



OK - Good



Adequate - Can be improved



Not demonstrated at this stage



Not OK - Not adequate

The grid does not give all possible combinations, but only the lowest benchmarks below which a nomination moves to another category.

This tool is to be used jointly with the table summarizing the ICOMOS recommendations.



Cultural and Mixed Properties  
**Alphabetical Index of the evaluations (by State Party)**

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<b>Georgia</b>	C 710bis	Bagrati Cathedral and Gelati Monastery	Add
<b>Germany</b>	C 729bis	The Bauhaus and its Sites in Weimar, Dessau and Bernau [Extension "The Bauhaus and its Sites in Weimar and Dessau"]	283
<b>Germany</b>	C 783bis	Luther Sites in Central Germany [Extension "Luther's Memorials in Eisleben and Wittenberg"]	294
<b>Germany</b>	C 1470rev	Naumburg Cathedral and related sites in the Cultural Landscape of the Rivers Saale and Unstrut	307
<b>Germany</b>	C 1527	Caves and Ice Age Art in the Swabian Jura	183
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<b>Italy/ Croatia/ Montenegro</b>	C 1533	Venetian Works of Defence between 15th and 17th Centuries: Stato da Terra – western Stato da Mar	192
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<b>Jordan</b>	C 689rev	As-Salt Eclectic Architecture (1865-1925) I Origins and Evolution of an Architectural Language in the Levant	69
<b>Mexico</b>	N/C 1534	Tehuacán-Cuicatlán Valley: originary habitat of Mesoamerica	21
<b>Palestine</b>	C 1565	Hebron/AI-Khalil Old Town	Add2
<b>Poland</b>	C 1539	Tarnowskie Góry Lead-Silver-Zinc Mine and its Underground Water Management System	209
<b>Republic of Moldova</b>	C 1307	Orheiul Vechi Archaeological Landscape	222
<b>Russian Federation</b>	C 1525	The Assumption Cathedral of the town-island of Sviyazhsk	235
<b>South Africa</b>	C 1545	#Khomani Cultural Landscape	58
<b>Spain</b>	C 1528	Talayotic Minorca	249
<b>Turkey</b>	C 1519	Aphrodisias	259
<b>United Arab Emirates</b>	C 1458rev	Khor Dubai, a Traditional Merchant's Harbour	80
<b>United Kingdom</b>	C 422rev	The English Lake District	318



## Cultural and Mixed Properties

### Nominations by category

#### New nominations (22)

Angola	C 1511	Mbanza Kongo, vestiges of the capital of the former Kingdom of Kongo
Azerbaijan	C 1549	Historic centre of Sheki with the Khan's Palace
Bahrain	C 1542	Dilmun Burial Mounds
Brazil	C 1548	Valongo Wharf Archaeological Site
Cambodia	C 1542	Sambor Prei Kuk Archaeological Site of Ancient Ishanapura
China	C 1541	Kulangsu: A historic international settlement
Denmark	C 1536	Kujataa Greenland: Norse and Inuit Farming at the Edge of the Ice Cap
Eritrea	C 1550	Asmara: Africa's Modernist City
France	C 1529	Taputapuātea
Germany	C 1527	Caves and Ice Age Art in the Swabian Jura
India	C 1551	Historic City of Ahmadabad
Iran	C 1544	Historic City of Yazd
Italy/ Croatia/ Montenegro	C 1533	Venetian Works of Defence between 15th and 17th Centuries: Stato da Terra – western Stato da Mar
Japan	C 1535	Sacred Island of Okinoshima and Associated Sites in the Munakata Region
Mexico	N/C 1534	Tehuacán-Cuicatlán Valley: originary habitat of Mesoamerica
Poland	C 1539	Tarnowskie Góry Lead-Silver-Zinc Mine and its Underground Water Management System
Republic of Korea	C 1531	Hanyangdoseong, the Seoul City Wall
Republic of Moldova	C 1307	Orheiul Vechi Archaeological Landscape
Russian Federation	C 1525	The Assumption Cathedral of the town–island of Sviyazhsk
South Africa	C 1545	#Khomani Cultural Landscape
Spain	C 1528	Talayotic Minorca
Turkey	C 1519	Aphrodisias

#### Extensions (3)

France	C 495bis	Strasbourg, Grande-Île and <i>Neustadt</i> [Extension to "Strasbourg – Grande-Île"]
Germany	C 729bis	The Bauhaus and its Sites in Weimar, Dessau and Bernau [Extension "The Bauhaus and its Sites in Weimar and Dessau"]
Germany	C 783bis	Luther Sites in Central Germany [Extension "Luther's Memorials in Eisleben and Wittenberg"]

#### Referred back nomination (1)

Georgia	C 710bis	Bagrati Cathedral and Gelati Monastery
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#### Deferred nominations (4)

Germany	C 1470rev	Naumburg Cathedral and related sites in the Cultural Landscape of the Rivers Saale and Unstrut
Jordan	C 689rev	As-Salt Eclectic Architecture (1865-1925)   Origins and Evolution of an Architectural Language in the Levant
United Arab Emirates	C 1458rev	Khor Dubai, a Traditional Merchant's Harbour

United Kingdom      C 422rev      The English Lake District

**Nomination submitted for processing on an emergency basis (1)**

Palestine      C 1565      Hebron/Al-Khalil Old Town

## Cultural and Mixed Properties

### Geographical spread of nominations

<b>Africa</b>		3 States Parties, 3 nominations
Angola	C 1511	Mbanza Kongo, vestiges of the capital of the former Kingdom of Kongo
Eritrea	C 1550	Asmara: Africa's Modernist City
South Africa	C 1545	‡Khomani Cultural Landscape
<b>Arab States</b>		4 States Parties, 4 nominations
Bahrain	C 1542	Dilmun Burial Mounds
Palestine	C 1565	Hebron/Al-Khalil Old Town
Jordan	C 689rev	As-Salt Eclectic Architecture (1865-1925)   Origins and Evolution of an Architectural Language in the Levant
United Arab Emirates	C 1458rev	Khor Dubai, a Traditional Merchant's Harbour
<b>Asia – Pacific</b>		6 States Parties, 6 nominations
Cambodia	C 1532	Sambor Prei Kuk Archaeological Site of Ancient Ishanapura
China	C 1541	Kulangsu: A historic international settlement
India	C 1551	Historic City of Ahmadabad
Iran	C 1544	Historic City of Yazd
Japan	C 1535	Sacred Island of Okinoshima and Associated Sites in the Munakata Region
Republic of Korea	C 1531	Hanyangdoseong, the Seoul City Wall
<b>Europe – North America</b>		14 States Parties, 16 nominations
Azerbaijan	C 1549	Historic centre of Sheki with the Khan's Palace
Denmark	C 1536	Kujataa Greenland: Norse and Inuit Farming at the Edge of the Ice Cap
France	C 495bis	Strasbourg, Grande-Île and <i>Neustadt</i> [Extension to "Strasbourg – Grande-île"]
France	C 1529	Taputapuātea
Georgia	C 710bis	Bagrati Cathedral and Gelati Monastery
Germany	C 729bis	The Bauhaus and its Sites in Weimar, Dessau and Bernau [Extension "The Bauhaus and its Sites in Weimar and Dessau"]
Germany	C 783bis	Luther Sites in Central Germany [Extension "Luther's Memorials in Eisleben and Wittenberg"]
Germany	C 1470rev	Naumburg Cathedral and related sites in the Cultural Landscape of the Rivers Saale and Unstrut
Germany	C 1527	Caves and Ice Age Art in the Swabian Jura
Italy/ Croatia/ Montenegro	C 1533	Venetian Works of Defence between 15th and 17th Centuries: Stato da Terra – western Stato da Mar
Poland	C 1539	Tarnowskie Góry Lead-Silver-Zinc Mine and its Underground Water Management System
Republic of Moldova	C 1307	Orheiul Vechi Archaeological Landscape
Russian Federation	C 1525	The Assumption Cathedral of the town-island of Sviyazhsk
Spain	C 1528	Talayotic Minorca
Turkey	C 1519	Aphrodisias
United Kingdom	C 422rev	The English Lake District

**Latin America and the Caribbean**

2 States Parties, 2 nominations

Brazil	C 1548	Valongo Wharf Archaeological Site
Mexico	N/C 1534	Tehuacán-Cuicatlán Valley: originary habitat of Mesoamerica



Cultural and Mixed Properties  
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C 710bis	<b>Georgia</b>	Bagrati Cathedral and Gelati Monastery	Add
C 729bis	<b>Germany</b>	The Bauhaus and its Sites in Weimar, Dessau and Bernau [Extension "The Bauhaus and its Sites in Weimar and Dessau"]	283
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C 1307	<b>Republic of Moldova</b>	Orheiul Vechi Archaeological Landscape	222
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C 1565	<b>Palestine</b>	Hebron/Al-Khalil Old Town	Add2



Cultural and Mixed properties  
**Technical evaluation mission experts**

State Party	ID number	Name of the property	Field mission	Date
<b>New nominations</b>				
Angola	C 1511	Mbanza Kongo, vestiges of the capital of the former Kingdom of Kongo	Ibrahima Thiaw (Senegal)	July 2016
Azerbaijan	C 1549	Historic centre of Sheki with the Khan's Palace	Nato Tsintsabadze (Georgia)	July 2016
Bahrain	C 1542	Dilmun Burial Mounds	Nasser Al-Jahwari (Oman)	Sept. 2016
Brazil	C 1548	Valongo Wharf Archaeological Site	Daniel Schavelzon (Argentina)	Sept. 2016
Cambodia	C 1542	Sambor Prei Kuk Archaeological Site of Ancient Ishanapura	Richard Mackay (Australia)	Sept. 2016
China	C 1541	Kulangsu: A historic international settlement	Yuga Kariya (Japan)	Oct. 2016
Denmark	C 1536	Kujataa Greenland: Norse and Inuit Farming at the Edge of the Ice Cap	Christophe Rivet (Canada)	Sept. 2016
Eritrea	C 1550	Asmara: Africa's Modernist City	Giora Solar (Israel)	July 2016
France	C 1529	Taputapuātea	Kevin Jones (New Zealand)	Sept. 2016
Germany	C 1527	Caves and Ice Age Art in the Swabian Jura	Marcel Otte (Belgium)	Aug. – Sept. 2016
India	C 1551	Historic City of Ahmadabad	Adel Farhnagi Shabestari (Iran)	Sept. – Oct. 2016
Iran	C 1544	Historic City of Yazd	Mariana Correia (Portugal)	Aug. 2016
Italy/ Croatia/ Montenegro	C 1533	Venetian Works of Defence between 15th and 17th Centuries: Stato da Terra – western Stato da Mar	Nicolas Faucherre (France)	Sept. 2016
Japan	C 1535	Sacred Island of Okinoshima and Associated Sites in the Munakata Region	Christophe Sand (New-Caledonia)	Sept. 2016
Mexico	N/C 1534	Tehuacán-Cuicatlán Valley: originary habitat of Mesoamerica	Luisa Diaz Arriola (Peru)	Oct. 2016
Poland	C 1539	Tarnowskie Góry Lead-Silver-Zinc Mine and its Underground Water Management System	Michel Cotte (France)	Aug.- Sept. 2016
Republic of Korea	C 1531	Hanyangdoseong, the Seoul City Wall	Sharif Shams Imon (Bangladesh)	Sept. 2016
Republic of Moldova	C 1307	Orheiul Vechi Archaeological Landscape	Cynthia Dunning (Switzerland)	Aug. 2016

State Party	ID number	Name of the property	Field mission	Date
Russian Federation	C 1525	The Assumption Cathedral of the town–island of Sviyazhsk	Mary Aspra-Vardavaki (Greece)	Aug. 2016
South Africa	C 1545	#Khomani Cultural Landscape	Manyanga Munyaradzi (Zimbabwe)	Oct. 2016
Spain	C 1528	Talayotic Minorca	Gabriel Cooney (Ireland)	Sept. 2016
Turkey	C 1519	Aphrodisias	Assaad Seif (Lebanon)	Sept. 2016
<b>Extensions</b>				
France	C 495bis	Strasbourg, Grande-Île and <i>Neustadt</i> [Extension to “Strasbourg – Grande-île”]	Bernhard Furrer (Switzerland)	Oct. 2016
Germany	C 729bis	The Bauhaus and its Sites in Weimar, Dessau and Bernau [Extension “The Bauhaus and its Sites in Weimar and Dessau”]	Marieke Kuipers (The Netherlands)	Sept. 2016
Germany	C 783bis	Luther Sites in Central Germany [Extension “Luther’s Memorials in Eisleben and Wittenberg”]	Pal Anders Stensson (Sweden)	Sept. 2016
<b>Referred back nomination</b>				
Georgia	C 710bis	Bagrati Cathedral and Gelati Monastery	Bernhard Furrer (Switzerland)	Oct. 2014
<b>Deferred nominations</b>				
Germany	C 1470rev	Naumburg Cathedral and related sites in the Cultural Landscape of the Rivers Saale and Unstrut	Sergiu Musteata (Moldova)	Aug. 2016
Jordan	C 689rev	As-Salt Eclectic Architecture (1865-1925)   Origins and Evolution of an Architectural Language in the Levant	Ebru Omay (Turkey)	Sept. 2016
United Arab Emirates	C 1458rev	Khor Dubai, a Traditional Merchant’s Harbour	Faïka Béjaoui (Tunisia)	Oct. 2016
United Kingdom	C 422rev	The English Lake District	Brenda Barrett (USA) Monica Luengo (Spain)	Oct. 2016

### **III Mixed property**

#### **A Latin America - Caribbean** New nomination



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# Tehuacán-Cuicatlán Valley

## (Mexico)

### No 1534

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

Tehuacán-Cuicatlán Valley: originary habitat of Mesoamerica

#### Location

States of Puebla and Oaxaca  
Mexico

#### Brief description

In the southernmost arid or semi-arid region in North America, the intricate mountain topography of the Tehuacán-Cuicatlán Valley shelters high-level forests and lower scrub landscapes characterised by tall tubular cacti. Its numerous small streams and aquifers, warm climate and floristic diversity appear to have been attractive to early semi-settled and later settled communities. Archaeological evidence located at twenty-two sites is said to reveal a process of technical evolution that reflects early plant domestication, agriculture, then later a salt industry and the emergence of pottery in the region over a period of some several thousands of years. A diversified water management system exploited the resources of the mountains and led to the development of an irrigation-based agriculture, which, it is suggested, became a mainspring of Mesoamerican civilisation.

The property is composed of three component sites and one buffer zone that all lie within the Tehuacán-Cuicatlán Biosphere Reserve (TCBR).

#### Category of property

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

[Note: The property is nominated as a mixed cultural and natural site. IUCN will assess the natural significance, while ICOMOS assesses the cultural significance.]

## 1 Basic data

#### Included in the Tentative List

11 December 2012 (category natural)

#### International Assistance from the World Heritage Fund for preparing the Nomination

None

#### Date received by the World Heritage Centre

27 January 2016

#### Background

This is a new nomination.

#### Consultations

ICOMOS has consulted its International Scientific Committee on Archaeological Heritage Management and several independent experts.

#### Technical Evaluation Mission

A joint ICOMOS-IUCN technical evaluation mission visited the property from 16 to 24 October 2016.

#### Additional information received by ICOMOS

On 4 October 2016, ICOMOS sent a letter to the State Party requesting additional information regarding the maps, the description of the property, the authenticity and integrity, the comparative analysis, the state of conservation, the management plan and the tourism facilities. The State Party responded on 13 November 2016 and the relevant information is incorporated into the present report.

A joint ICOMOS-IUCN Interim Report was sent to the State Party on 20 December 2016. The State Party responded on 28 February 2017 with additional information about the early domestication of crops, the chronology of the individual archaeological elements, the technology of water supply and irrigation, the management of the archaeological sites, the long-term funding of the nominated property, the situation of staff in the nominated property and the development of a visitor management plan. The relevant information is incorporated into this report.

#### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

#### Description

Southeast of the State of Puebla and north of the State of Oaxaca, the Tehuacán-Cuicatlán Valley belongs to the Mesoamerican region. The nominated property is composed of three component sites: Zapotitlán-Cuicatlán, San Juan Raya, and Purrón, within which are twenty-two main archaeological sites. The three components and the buffer zone are parts of the Tehuacán-Cuicatlán Biosphere Reserve (TCBR), which was protected in 1998 and incorporated in 2012 in the UNESCO Man and Biosphere Programme (MaB).

It should be noted that by comparison with the text on natural aspects, the text on cultural aspects is far less well-structured or detailed. The management plan includes the need for 'Studies on settlements, archaeological charts, that enable a diachronic understanding of the cultural manners of settlements, on official maps to a significant scale, in order to identify the extension, coherence and unity of the cultural identity of the human groups inhabiting the area'. This appears to

show that research on cultural aspects lags behind that on natural aspects to the point where the nomination for cultural criteria may be somewhat premature.

The largest, the Zapotitlán-Cuicatlán component, is mainly forest, with a small amount of cacti scrubland. It hosts thirteen of the twenty-two archaeological sites. Hosting five archaeological sites, the San Juan Raya component is mostly cacti scrubland. The Purrón component hosts four archaeological sites and is covered by tropical deciduous forest and desert rosette shrubland.

Running southeast to northeast along the Sierras de Juárez, de Zongolica and de Tecamachalco, the canyon of Tehuacán-Cuicatlán is a deep gorge surrounded by peaks more than 3,000 m high. Its geographical position, steep topography and intricate relief explain its special environment and variable climate, with hot dry winds and, in winter, occasional rainfall. Limestone rocks in the west causes rock infiltration, resulting in aquifers (layers of water-bearing rocks) and filtration galleries, ideal for the development of irrigation.

Throughout history, ecosystem diversity has been a major factor in converting nomadic hunter-gatherers to a sedentary lifestyle thanks to their potential for agriculture. In Mesoamerica, sedentary societies flourished after they began growing plants like maize, squash and beans.

The Tehuacán-Cuicatlán Valley is said to hold 624 archaeological sites that bear witness to this progress of mankind over the course of 12,000 years although only 22 are described in the nomination dossier.

These 22 sites can be split into three types that reflect: the beginnings of agriculture, plant domestication and the development of human settlements; beliefs and rituals; and water management infrastructure. These are described in turn.

Beginnings of agriculture, plant domestication and the development of human settlements

These sites document the way plants were domesticated and agriculture started in the Tehuacán-Cuicatlán Valley. The key archaeological site is the large rock shelter of *Cueva de Coxcatlán* in the component site of Purrón. This was excavated in the early 1960s and its remains dated from 6800 BC to 1500 AD. In it were found early remains of maize cobs, avocado, amaranth, squash, and chilli. Archaeologists date the oldest remains of these cultivated plants to approximately 9500 to 7000 BC. Cotton and maize were similarly domesticated at an early date.

The cave also supplied evidence to indicate that between 4300 to 350 BC, "horticultural villages" appeared, which provided food for larger groups of people than had previously been possible.

*Cuthá* or *Quiotepec* archaeological sites located in the Zapotitlán-Cuicatlán component site reflect much later

traces of political, religious and residential features, reflecting the lifestyle of the people of that time, of the development of pottery and the salt industry (as in *Salinas las Grandes*, which is in the Zapotitlán-Cuicatlán component site). Salt not only improved food, but also had a sacramental value. Mines were active in the Zapotitlán area and other places of the Mixteca where the Sierra Nevada and the Sierra Madre del Sur meet. They were part of a vast economic network of regional exchange requiring to a great extent the use of pottery, which appeared between 2300 and 1500 BC.

The *Salinas las Grandes* is the main salt extraction site but modern equipment for salt extraction makes the old remains difficult to see.

Beliefs and rituals

These sites hold vestiges that throw light on the beliefs and traditions of the first settlers in the region, through cave paintings. *Puente Colosal* in the component site of Zapotitlán-Cuicatlán is a tunnel formed by rock erosion, along which paintings have been discovered. *Cueva de las Manitas* in the component site of Zapotitlán-Cuicatlán (1200-1550 AD) is another rock shelter, where cave art displays several motifs related to humans and animals, such as footprint and handprint (from which it derived its name), and a human-like figure in the shape of a tree (named "tree of life").

Water management infrastructure

The Valley is said to contain one of the most diversified water management systems known on the American continent, with ten types of sites, including: wells, dams, canals, fields for rain-fed agriculture, fields for flood irrigation, fields on terraces, rock aqueducts, filtration galleries, and large square water catchment wells, most of them dating to between 800-700 BC.

The *Purrón Dam Complex* is the largest water control site in Mesoamerica. The volume of water it holds equals that of the Pyramid of the Moon in Teotihuacán. Built in four stages between 750 BC and 200 AD, it was used for nine hundred years.

Sites reflecting the processes of irrigation also include the prehistoric canal of Santa María, the Xiquila Aqueduct (a long, uninterrupted canal of 6.2 km), and the San Marcos Necoxtla well, although few details are provided of these or of the other types of irrigation sites mentioned above. All together, these sites are said to constitute one of the oldest water management systems at a regional level but their interconnection is not clearly documented in a way that leads to an understanding of how they functioned.

The nomination dossier also outlines how the Tehuacán-Cuicatlán Valley is the region on the continent that produced the largest number of pre-Hispanic manuscripts reflecting ritual and political life, and ancestral Mesoamerican knowledge, myths and sacred places. This cultural background is linked to the proto-Otomanguean language, which is said to have begun to take shape at the



same time as the first progress was achieved in agriculture through irrigation. In 4000 BC, it started to diversify into the languages that nineteen thousand speakers, belonging to eight indigenous peoples, still use in the property today.

At the request of the Interim Report, the State Party provided additional information on description of sites, showing how natural diversity conditioned by the availability of water led to specific adaptations by the local inhabitants. In particular, *Cueva de Coxcatlán* carries traces of a continuous collection of interventions that continued to occur over several millennia.

The State Party also provided information in November 2016 on the Apoala waterfalls (a Post-Classic period place of myths); Tehuacán ruins; Teteles de Santo Nombre (the largest site of the Classic period, contemporary with Teotihuacan); and the San Juan Bautista convent of Coixtlahuaca (built by the Dominicans between 1545 and 1596, restored in 2007 by the World Monuments Fund).

### History and development

The oldest relics of human presence in the region date back to 12,000 BC. Evidence of the first habitation sites date to around 10,000 BC. Around 7800 to 7400 BC (end of the Pleistocene era), climate change caused the growth of a similar flora to that of today. From that time up to about 3500 BC, apart from adapting to a new environment, nomadic life did not evolve much, but the domestication of maize, followed by that of beans, squash, chilli peppers, avocado and amaranth, began. Cotton textiles appeared more or less at the same time. Between 3500 and 2300 BC, these innovations encouraged families to stay in sedentary settlements, where pottery was invented around 2000 BC. Between 1500 and 100 BC, the society of hunter-gatherers fragmented into regional cultures. Housed in small villages, these people instigated a vast system of land and moreover water control, like the *Purrón Dam*. Within more centralised communities, cults of the gods of nature were celebrated in ceremonial centres.

During the Classic era (100 BC - 700 AD) settlement points expanded: places of worship occupied hilltops, houses spread over hillsides. Structures related to privileged classes (such as pyramids, ball courts, plazas, large homes, decorated tombs) attest to control by a strong aristocracy. Farming was developed along ravines and hills on ingeniously irrigated terraces. Archaeologists estimate the population of the Tehuacán Valley in those days at 20,000 to 30,000 inhabitants. Northern Oaxaca belonged to the Mixtec culture, dominated by strongholds like Monte Albán, of which *Quiotepec* was an advanced defence post in the Valley, while southern Puebla was under the influence of Teotihuacán and Cholula.

When Monte Albán and Teotihuacán suddenly collapsed in the 8<sup>th</sup> century AD, the Post-Classic period began, which saw a much more stretched and dispersed power in the form of large manors. Due to its position, the

Tehuacán-Cuicatlán Valley increased its attraction to neighbouring regions, when the Toltec empire flourished (950-1150 AD) and when Cholula took over in the 12<sup>th</sup> century as a symbol of legitimate power. During this time, the city of *Cuthá* flourished near the place where *Zapotitlán de Salinas* is currently located, on the route between Cholula and the Mixtec. Fortified places proliferated on the tops of the hills; villages were scattered in the plain, where they specialised in pottery, textiles and salt extraction; places of worship became smaller. Codices, paintings and other items, mainly made during the first hundred years of the Colonial period, document the history of the Post-Classic local manors and elites. The linguistic diversity of the Valley was a consequence of the many incursions of new cultures seeking to control the region (the Mixtec and Nahua people from whom derive the various differentiations of the Otomangue language and the Náhuatl language).

When the Spanish arrived in 1518, the Tehuacán-Cuicatlán Valley was under the control of the Triple Alliance (which gave birth to the Aztec Empire in 1428). The European conquest was biologically and politically brutal. The indigenous population was decimated in a few decades by the Old World pathogens. Ranching, grazing and lumbering quickly disturbed the landscape, removing forest cover, accelerating desertification and withering wildlife regimes. Big haciendas were established between 1630 and 1640, producing maize, wheat, barley, beans and chilli, breeding goats or specializing in livestock farming, like in the Oaxacan Mixtec. As these farms were spread out, the old irrigation channels were abandoned and filtration galleries used as an alternative to provide water to remote fields.

The Franciscans evangelised the cities of Tehuacán and Tecamachalco; the Dominicans built their main base in San Juan Bautista Coixtlahuaca. Both orders learnt the indigenous language and some friars collected traces of the local knowledge that they helped transmit to future generations. Thus, the first learned man to pay any interest to the region was a Jesuit, Francisco Javier Clavijero, born in Vera Cruz, who wrote a pioneering book about pre-Columbian Mexico after the members of his order were expelled from Spain and its colonies in 1767.

In 1803, a German scientist, Baron von Humboldt, visited New Spain and studied Cuicatlán's flora. So did the Bavarian naturalist, Baron Wilhelm Karwinski, who investigated the Valley and recorded the cacti species in 1829. Following German botanical collectors, European museums of natural history and wealthy aristocrats took an interest in these exotic species of plants. From 1886 to 1901, the British entomologist and ornithologist, Frederick D. Godman, led a team of investigators who notably increased the knowledge about Central American biology. After the Mexican botanist, Helia Bravo, conducted research on the cacti in the 1950s, Dr Patricia Dávila, also from Mexico University, published the results of the first systematic study of the fauna and flora of the Valley, in the 1990s. This substantive programme backed the decision

to declare the Valley a Natural Protected Area in the Biosphere Reserve in 1998.

In parallel, in the 1960s, the American archaeologists Richard MacNeish and Kent Flannery found the oldest remains of cultivated plants in both the Tehuacán Valley and Guilá Naquitz (Oaxaca). Their compatriots, Elsa Redmond and Charles Spencer, later expanded the evidence of human prehistory in Mesoamerica.

Additional information received clarified the historical continuity between the diverse types of sites and their relationship with settled communities with regard to water management. It explained that what articulates all these sites is the fact that, amid natural diversity, a long cultural tradition simultaneously arose, based on linguistic diversity and the coincidence of practices and beliefs that have not stopped existing since they were identified approximately ten thousand years ago. It is suggested that this development is not documented in the same way in other parts of Mesoamerica.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The State Party considers that none of the 32 mixed cultural and natural properties that belonged on the World Heritage List in 2016 possesses the same attributes as the Tehuacán-Cuicatlán Valley. The dossier builds its cultural analysis on the UNESCO "HEADS" programme (Human Evolution: Adaptations, Dispersals and Social Developments, 2010) and the ICOMOS study "Filling the Gaps, an Action Plan for the Future" (2005).

ICOMOS notes that the comparative analysis is quite compartmentalised, without comparisons put forward for the overall landscape, and the text mainly references water management and archaeological sites, which are compared separately. Moreover, the comparisons made mainly relate to inscribed properties.

The water system of the Valley is considered by the State Party to be the most representative of its kind in Mesoamerica, as it enabled its economy, political power and culture to prosper. The State Party mentions that other similar water systems existed however, such as the small dam and irrigation canal of Teopantecuanitlán (near Copalillo, State of Guerrero), which was occupied during the pre-Classic or Formative period (1400-600 BC). Another, more complex, example of this technology has been found in Monte Albán (Historic Centre of Oaxaca and Archaeological Site of Monte Albán, Mexico, 1987, criteria (i), (ii), (iii) and (iv)), which was thriving between 500 BC and 500 AD. In Xochimilco, Historic Centre of Mexico City and Xochimilco, Mexico, 1987, criteria (ii), (iii), (iv) and (v)), the irrigation system consisted of a network of small canals draining water and accumulating sludge, which created small parcels known as *chinampas* or "floating gardens" where crops were grown by the Aztecs.

However, this half-natural, half-artificial system is built in the lagoons of the Mexico City basin, which cannot be compared to the arid zone of the Valley. In Tetzcotzingo (near Texcoco, State of Mexico), there is an hydraulic system, fed by natural springs, irrigated terraces and pools of legendary and symbolic significance, but it is also an Aztec and thus much later site (1400-1520 AD).

Therefore, the State Party considers that, in the context of an arid land, the Valley possesses a more diverse system than any of those pre-Columbian sites, because it includes the *Purrón Dam* - the oldest and biggest in the Americas, the San Marcos Necoxtla well - the oldest ever found on the continent, plus a large amount of canals and an important set of water catchment wells, aqueducts, filtration galleries and salt mines, which cover several centuries and attest to the extensive history of the region.

The nomination dossier presents also the artificial irrigation systems that emerged amongst the world's first civilisations, which grew up along the banks of the rivers Nile, Tigris, Euphrates, and Indus, as well as the Yellow River. Those comparisons lead to the conclusion that Mesoamerica is different because it depended mainly on rainwater harvesting, smaller rivers, lakes and underground water. The *qanats* (or gravity-driven filtration galleries) of Iran (1000 BC) and the *afaj* of Oman (2500 BC) were not known in America before the Spanish imported them. In China, the Mount Qingcheng and the Dujiangyan Irrigation System, China (2000, criteria (ii), (iv) and (vi)) is an hydraulic engineering masterpiece built around 250 BC. It consists of diverting the water of the Minjiang River for irrigation, flood control, drainage and flow regulation, without using a dam. Its massive scale prevents any comparison.

What does not quite emerge from these comparisons is how the differences outlined between the water system of the nominated property and other sites can be translated into an exceptional system.

ICOMOS considers that the property is not characterized by its monumental heritage. Most of its remains are archaeological and none of them can really compete with sites inscribed for their above-ground remains. Comparisons with Xochicalco, 650-900 AD, (Archaeological Monuments zone of Xochicalco, Mexico, 1999, criteria (iii), and (iv)), El Tajín, 800-1200 AD (Mexico, 1992, criteria (iii) and (iv)), let alone the most famous landmarks like Chichen-Itza, 415 BC-35 AD (1988, criteria (i), (ii) and (iii)), Teotihuacan, 1<sup>st</sup>-6<sup>th</sup> centuries AD (Mexico, 1987, criteria (i), (ii), (iii), (iv) and (vi)) or Uxmal, 700-1000 AD (Mexico, 1996, criteria (i), (ii) and (iii)) are not relevant.

The fragile relics of plant domestication that reflect early cultivation and the process of sedentarisation in the Valley are not compared with other sites. ICOMOS considered that there was a considerable omission, particularly in relation to the Central Valley of Oaxaca, inscribed in 2010 (Prehistoric caves of Yagul and Mitla in the Central Valley of Oaxaca, Mexico, criterion (iii)). At ICOMOS's request, the State Party has provided additional information in

relation to this property in comparison to the nominated series. However, it is still not clear what differentiates early plant domestication in Tehuacán-Cuicatlán Valley from a diachronic point of view, with that in the Oaxaca Valley, since both areas were modified by human action, which transformed them into man-made landscapes where plant domestication took place during a more or less long process. Such a cultural process that appeared in both places may not have been opposite and different with no connexion at all. But it needs to be demonstrated how the nominated property might be seen to be different from the Central Valley of Oaxaca, which was inscribed for the earliest known evidence of domesticated plants in the continent, the earliest documented evidence for the domestication of maize, and evidence for the progress from nomadic hunter-gatherers to incipient farmers.

Overall, the comparative analysis has not demonstrated how the property as a whole, for the combination of aspects for which it is nominated, could be said to be exceptional and to have no comparators.

The comparisons explored for water management systems suggest that there might be the potential for the water management system alone to be considered, depending on what further details could be provided of the property and its regional comparators.

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ICOMOS considers that the comparative analysis has not justified at this stage consideration of this property for inscription on the World Heritage List, for the combined aspects for which it has been nominated.

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#### **Justification of Outstanding Universal Value**

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

- The biodiversity and desert territory of the Tehuacán-Cuicatlán Valley gave rise to one of the longest and best documented cultural sequences in the Americas;
- Archaeology provides technical, religious and political evidence of man's adaptation, which extended over 12,000 years, giving rise to the cultural area of Mesoamerica;
- Human history took a giant step forward in the Valley, when plants were domesticated (9500 to 7000 BC), at a date that is amongst the earliest in the world;
- The second and most spectacular advance in the Valley was a water management system made up of several elements, such as canals, wells, aqueducts and dams, which are the oldest on the continent;
- Both innovations helped the salt industry and pottery to appear later, completing a technological breakthrough;
- Interaction between man and nature, as well as continuity and cultural legacy, are reflected through the development of pictographic writing

and the production of a number of illustrated manuscripts unparalleled on the continent.

ICOMOS considers that although archaeological sites in the Tehuacán-Cuicatlán Valley reflect aspects of the evolution of man's relationship to this arid environment over a period of more than 10,000 years, from early plant domestication to primitive agriculture, via the development of irrigation, then to the birth of industries (salt extraction and pottery), barter and trade, this historical process is not adequately documented and described in the nomination dossier, in a way that allows for an understanding of how this sequence might be considered exceptional in the regional context, particularly in comparison with the Prehistoric Caves of Yagul and Mitla in the Central Valley of Oaxaca, Mexico, which was inscribed for a similarly long sequence of early development related to agriculture and settled communities.

What differentiates the Tehuacán-Cuicatlán Valley from other valleys in Mesoamerica appears to be the way agriculture was related to early irrigation and the way that irrigation was a complex system of wells, dams, canals, rock aqueducts, filtration galleries, and large water catchment wells, most of them dating back to between 800-700 BC. However, this aspect of the property would need to be much better defined and documented, particularly in relation to its extent and how it functioned, and clearly related to appropriate boundaries, if it was to be considered as a main attribute of Outstanding Universal Value.

#### **Integrity and authenticity**

##### **Integrity**

The nominated serial property includes 22 sites out of 624. Several others are mentioned in the nomination dossier and additional information was provided on Apoala waterfalls, Tehuacán ruins, Teteles de Santo Nombre, and San Juan Bautista convent of Coixtlahuaca.

As the way in which the 22 sites combine to convey Outstanding Universal Value is not yet clearly set out, it is difficult to say whether the property contains all the attributes that convey Outstanding Universal Value.

The State Party considers that, in such an isolated environment, most of the archaeological sites are free of damage and maintain their original characters, thanks to the level of protection in the TCBR, to which they have belonged for nearly twenty years.

ICOMOS requested the State Party for additional information on the integrity of each of the 22 archaeological sites in October 2016 and the information provided showed that no major damage or serious deterioration has been recorded. The integrity has not been affected by factors of environmental degradation. Nevertheless, the information provided on each site indicates some violations of the integrity resulting from

agricultural usage, non-monitored cleansing, and, most commonly, erosion due to water or deforestation.

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In relation to the uncertainty of the scope and potential for Outstanding Universal Value, ICOMOS considers that it is difficult to assess the integrity of the whole series or how each of the three component sites contribute to Outstanding Universal Value; the integrity of the individual archaeological sites appears satisfactory although some are vulnerable.

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#### Authenticity

As the way the 22 sites combine to convey Outstanding Universal Value is not yet clearly set out, it is difficult to say precisely how each of the sites, and overall the three component sites, contribute to Outstanding Universal Value. The authenticity of the overall property is thus not clear in relation to how the individual archaeological sites contribute to an overall narrative that relates to Outstanding Universal Value.

Although the State Party considers that the property meets the principles of the Nara Document, as secluded communities have managed to survive with ancestral indigenous economies mixed with the contribution of the Conquistadors; and archaeological relics witness the long history of the ancient inhabitants, from the origin and momentum of the Mesoamerican civilisations, until today; and illustrated manuscripts, pictographic writing and early accounts written by the Conquistadors form a body of literature and evidence that sheds light on the way principalities and empires governed and shaped the Tehuacán-Cuicatlán Valley, how all this relates to potential Outstanding Universal Value remains unclear. If the Outstanding Universal Value has the potential to be associated with ancient water management arrangements, then clearly the authenticity of those remains would need to be set and justified in a different way.

ICOMOS requested additional information from the State Party on the authenticity of each of the 22 archaeological sites in October 2016 and it was indicated that the proposed sites have retained their original condition. Despite the normal ravages of time over several centuries or millennia, they have not been affected.

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ICOMOS considers that the authenticity of the whole series has not been demonstrated; and that the authenticity of the individual archaeological sites appears satisfactory.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity for the whole series have not been fully justified; and that the conditions of integrity and authenticity of the individual archaeological sites are satisfactory although some are vulnerable.

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#### Criteria under which inscription is proposed

The property is nominated on the basis of cultural criteria (iii), (iv) and (vi), and on natural criterion (x).

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

This criterion is justified by the State Party on the grounds that the Otomanguean linguistic tradition arose around 6000 BC in the Tehuacán-Cuicatlán Valley and that the people who came from this tradition formed complex and technologically advanced societies. The language that they spoke gave birth to seven branches, which emerged around 2500 BC, stabilised between the 6<sup>th</sup> and 8<sup>th</sup> centuries AD, and are still used by two million speakers today (with the exception of the Náhuatl language, which came from another source). They are the most ancient and diversified linguistic group in America. There is a link between this language and the biodiversity of the Valley. Its history directly derived from local diversification and from the incursion of new cultures that sought to conquer the region (mainly the Mixtec and Nahua). This millennia-old continuity of the Otomanguean linguistic tradition produced a large majority of the archaeological features of the area, if not all.

ICOMOS considers that the Otomanguean linguistic tradition is certainly an interesting phenomenon, and linked to the linguistic fragmentation and diversity in Mesoamerica. However, criterion (iii) consists of defining traces of a “civilisation”, meaning the different dimensions and attainments of evolved human societies such as Mesoamerica and showing how places reflect these traces. A civilisation integrates the set of achievements (ethic, aesthetic, religious, technical, etc.), which is common to a developed society or group of societies. To satisfy criterion (iii), it is necessary to show how the property reflects that civilisation in an outstanding way. While the Otomanguean linguistic tradition may be considered as one aspect of the civilisation that developed in the Tehuacán-Cuicatlán Valley, it cannot be said to define the specific place.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that the Tehuacán-Cuicatlán Valley is the inner core of Mesoamerica, a cradle of civilisation like the Fertile Crescent and China. Interaction between man and nature appeared there around 10,000 BC. Cave paintings bear witness to this early stage in human history. The next step was plant domestication, one of the oldest instances known, which dates back between 9500 and 7000 BC. Water management and irrigation

technologies emerged at the same time, enabling people to improve crops and build settlements, places of worship. Salt mines also used water technology, boosting local trade with strongholds like Cholula and Tepeaca, during the Post Classic period. A final invention transformed the culture of the region between 2300 and 1500 BC. Ceramics served as containers for collecting the brine and creating moulds used in ovens for salt crystallisation. The pottery of the region, of high artistic and practical value, was sold and used all around the economic basins of southern Mexico.

What has not been clearly set out is how the ensemble of 22 archaeological sites scattered across the three component sites can together be seen to demonstrate the progress of civilisation in a way that is not evident elsewhere in Mesoamerica, such as in the already inscribed Prehistoric caves of Yagul and Mitla in the Central Valley of Oaxaca, Mexico.

What appears to differentiate parts of the Tehuacán-Cuicatlán Valley from other valleys in Mesoamerica is the extensive and early remains of irrigation systems that helped support the development of agriculture and settled communities. ICOMOS considers that water management sites (wells, dams, canals, fields for rain-fed agriculture, fields for flood irrigation, fields on terraces, rock aqueducts, filtration galleries, large square water catchment wells, most of them dating back to between 800-700 BC) are potentially the strongest point of this nomination.

However, much more detail would need to be provided of this system and of all its component parts before it might be possible to understand its full significance.

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ICOMOS considers that this criterion has not been justified yet, but might have the potential to be justified in the future with a much narrower nomination focused on the early water management system.

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*Criterion (vi): be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that, with 32 pictographic manuscripts, the Tehuacán-Cuicatlán Valley produced the largest number of pre-Hispanic documents in the Americas. They depict the region before the Spanish Conquest and after, as this literary and artistic tradition continued after 1528 for another two centuries. They preserve a rare display of pictographic writing, which illustrates the lifestyles and concepts of the Mesoamerican people over several centuries. They explain the forms of political power, the vision of natural order, the symbolic and sacred influence of water in a land where it was so scarce, recalling the writing and iconographic systems that were once found in the Indus Basin, Mesopotamia, Egypt and China.

ICOMOS considers that the illustrated manuscripts of the Tehuacán-Cuicatlán Valley provide highly valuable documentation of the later development of the Valley but do not help with an understanding of early plant domestication, or the development of irrigation or settled agriculture. Moreover, it has not been shown how the ideas embedded in them might be seen to be of outstanding universal significance, as well as being directly or tangibly associated with the property.

Therefore, ICOMOS considers that these manuscripts cannot support the justification of criterion (vi).

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ICOMOS considers that this criterion has not been justified.

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ICOMOS considers that the serial approach has not yet been justified in relation to Outstanding Universal Value and that the selection of component sites and archaeological sites needs further justification in relation to a potential narrower nomination related to the water management system.

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In conclusion, ICOMOS considers that the nominated property does not meet criteria (iii) and (vi), but it might have the potential to possibly meet criterion (iv), but within the context of a revised and much narrower nomination that relates to the early water management system, and on the basis of more detailed documentation and justification, providing an improved historical framework.

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

No significant urban development is expected within the property's boundaries. A few rural communities live there. They are so small (less than 100 people are officially registered) that their impact on the environment is almost zero. The situation is different in the buffer zone, where over 36,000 people live (2010 national census). Near populated areas, there might be a risk for some places. There are reported instances of looting, for example, at several archaeological sites. There are also traces of vandalism and graffiti at various other historical places. Finally, wildfire is a big threat, caused by poachers who clear paths and even roads for their own purposes.

The number of visitors to the property is unclear. The attendance at a few sites only – famous worldwide for their natural interest or archaeological value – is better known. The Zapotitlán salt works attracts 12,000 visitors pa. Close to Oaxaca City, Apoala attracts around 5 to 6,000 visitors pa. There is a regular influx of visitors at Easter, when many pilgrimages go through the property on their way to Oaxaca or the sanctuary of the Juquila Virgin in Ixcatlán. At other sites, the tourism pressure seems currently low, but is difficult to evaluate properly. Some of the sites are difficult to access (Cuthá) or, in

contrast, very close to an access road (Purrón Dam). Cueva de Coxcatlán is now protected from tourism invasion, but visitors have already in some ways affected its integrity.

Several environmental pressures affect the property. Some caves have been slightly damaged by bat guano. Many of the archaeological sites have been affected by erosion, weathering, and wind and water runoff. Several of those, situated in the buffer zone (in the State of Oaxaca), are even threatened by landslides, which could destroy platforms and affect sites' integrity. In the *Purrón Dam Complex*, large sections of the walls have been swallowed by the vegetation.

ICOMOS considers that this natural erosion is a serious concern that needs to be dealt with.

Among the geological hazards identified by the National Centre for the Prevention of Disasters (CENAPRED), earthquakes are likely: the seismic index is 5 and there are several famous volcanoes (such as Popocatepetl) south of Mexico. Pico de Orizaba (or Citlaltépetl) is the only one, which could affect the State of Puebla.

Among the hydro-meteorological hazards, hail, snow and frost are unlikely, floods and droughts are improbable. Cyclone hazards generally do not hit this region. Soil erosion is the only real threat, being problematic (alarming index) in the State of Oaxaca and present (medium index) in the State of Puebla.

Among the chemical hazards, the State of Oaxaca is virtually unindustrialised, and the State of Puebla has a bigger, but still low, index of industrial facilities. Forest fires can happen, but on a low scale. The number of gas stations is between 50 and 100 in Oaxaca, over 250 in Puebla.

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ICOMOS considers that the main threats to the property come from development pressures (vandalism or looting) from environmental pressures (natural recurring soil erosion) on the archaeological sites, and from unregulated tourism.

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## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The property is made up of 3 components parts and 22 historical or archaeological sites. The *Zapotitlán-Cuicatlán* component is in the States of Puebla and Oaxaca, and of 136,587.52 hectares; the *San Juan Raya* component is in the State of Puebla, and of 6,106.84 hectares; and the *Purrón* component is in the State of Puebla, and of 2,561.04 hectares. The total of the nominated property is 145,255.20 hectares, and its buffer zone is of 344,931.68 hectares, giving a grand total of 490,186.88 hectares.

The boundaries of the nominated property are clearly delineated. The twenty-two archaeological sites are all inside its boundaries, several of them being located on its margins. The buffer zone is also clearly delineated, assuring that the immediate settings are stable and protect the overall view of the core area where the cacti forests grow and the archaeological sites are located.

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ICOMOS considers that the boundaries of the nominated property and of its buffer zone are adequate.

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### **Ownership**

The ownership of the Tehuacán-Cuicatlán Valley falls into two different categories: private property and social property. Most of the land tenure is social property (*ejidos* and agrarian communities represent 98.5%, *i.e.* 143,053.34 ha). Private property equals 1.5% only, *i.e.* 2,201.85 ha. In Mexico, the two existing types of social properties – *ejidos* and communities – have a specific legal status: they cannot be subject to private appropriation until the land has been separated from the *ejido* or agrarian regime (which the 1992 New Agrarian Law made possible, acknowledging a long established fact). *Ejidos* are agrarian communities made up of at least 20 members who are granted the land they need for subsistence by presidential executive order. The *ejido* land can be divided into 3 different types: human settlement land; common use land; and parcels, which are allocated amongst the members. Communities are groups of people – either indigenous or agrarian – acknowledged by the courts or by presidential executive order, that possess land for collective use and exploitation. Members obtain the ownership of those lands through the social recognition of their communities by the government. This distinction having been made, the ownership of the land in the property is clear.

### **Protection**

The Mexican Federal Law of Monuments and Archaeological, Artistic and Historical Zones (May 1972, extended and modified until January 2015) protects the cultural items belonging to the nominated property. Under the terms of this Law, they are “property of the Nation, inalienable and imprescriptible”, and a federal agency – the National Institute of Anthropology and History (INAH) – is entrusted with their protection.

The Tehuacán-Cuicatlán Valley is fully included within the boundaries of the TCBR, in accordance with the Mexican General Law of Ecological Balance and Environmental Protection (January 1988, extended and modified until May 2016). As well as the biogeographic areas and their ecosystems and biodiversity, this Law gives protection to the “natural environment of zones, monuments, and archaeological, historical and artistic vestiges” that are relevant to national and indigenous identities. It prohibits waste, discharging pollution and modifying water flows.

ICOMOS acknowledges that the property benefits from the highest possible legal protection. The measures in force in the TCBR enforce an effective level of protection. The natural soil erosion at the archaeological sites is nevertheless more difficult to address. Another main issue is the immensity of the Reserve, which is hard to patrol, with its steep terrain and abundant vegetation. Thus, vandalism, poaching and unauthorised garbage dumping cannot be fully stamped out.

ICOMOS considers that the legal protection in place is appropriate, but that there are probable difficulties in enforcing regulations, due to the large area of the property and to the historical sites widely scattered within its boundaries.

### Conservation

Most of the historical studies are dispersed, sometimes old (excavation reports on Mesoamerican sites), and a full scientific synthesis does not seem to exist yet. However, the property has been inventoried, researched and documented by official and academic institutions. Richard S. MacNeish (Peabody Museum) led the main archaeological campaign within the "Archaeological-Botanic Project of Tehuacán" and published its results in 5 volumes between 1964 and 1972. Its purpose being to understand the transition from hunter-gatherers to agricultural societies, it focused on ceramics, chronology and irrigation, through a series of excavations. This model project paved the way for further research on archive material and excavations in pre-Hispanic Zapotitlán (in particular salt mines), studies on ceramics in different locations (recently Los Reyes Metzontla), and on water control systems and Mesoamerican agricultural techniques in Tehuacán (in particular the *Purrón Dam Complex* in 2015). As a result, the Public Registry of Monuments and Archaeological Zones was completed, with specifications of the 22 sites and their state of conservation.

The 22 cultural components were evaluated according to the standards of the Public Record Office of Monuments and Archaeological Sites, which is part of INAH.

The condition of one site is considered "exceptional": *Manantial de Santa Cruz* (spring and series of canals); another one is "excellent": *Cuevas de las Manitas* (rock shelter), where the paintings are in good condition, albeit there are traces of soot and bats guano.

Fourteen sites are in "good" condition: *Aldea Preclásica 1* (a residential settlement on a plateau); *El Tetele* (a Classic period site); *Salinas las Grandes* (a large residential and industrial complex), despite the previous reservations; *Cuthá* (the former seat of a kingdom); *Aldea Preclásica 2* (an early nucleated village); *Xiquila Aqueduct* (a long, uninterrupted canal of 6.2 km); *Tilapa 1* (a ceremonial centre); *Tilapa 2* (a terraced nucleated site).

However, some damage or threats were found in 6 of those "good" sites. In *Pueblo Mixteco* (a small terraced village), the slope has caused the emergence of a stream of water, which passes across the centre of the habitat structure. In *Cerro la Yerba* (a modest ceremonial settlement), the complex keeps its original definition with a stucco floor, a well and two floor levels, but looting has altered it. In *Huerta de Xiquila* (a farming installation), the irrigation canal has collapsed in some places, due to landslides. In *Quiotepec* (a big civic-ceremonial centre), excavated buildings have been consolidated, but the whole place is still threatened by landslides that might distort or break the terraces and ruin their archaeological evidence. In the *Purrón Dam Complex*, there are graffiti and probable looting, and the maintenance of large sections of walls overgrown by vegetation is a complex task. In *Peña Colorada* (a pre-Hispanic site on a low platform), there are some traces of looting also.

The State Party judges 6 sites to be in "fair" condition. In *Loma Tochenga* (a terraced residential place), some tombs have been looted. In *Tochiga* (a major civic-ceremonial centre), a pyramidal base has been partially destroyed. In *Cerro Castillo Rinconada* (a site on 5 levels of terraces), looters have dug into and ruined some structures. Although visitors have in some ways affected the *Cueva de Coxcatlán* cave (a human food preparation and consumption site), from the time it was excavated in the early 1960s, the whole place has remained more or less intact, apart from a layer of concrete that needs to be removed. In *Puente Colosal* (a cave formed by rock erosion), the tunnel has undergone the changes wrought by time that its size inevitably amplifies: together with water leaks, salt has appeared on the walls and obliterated parts of the pre-Hispanic paintings. In *Santa María Ixcatlán* (a ruined Post-Classic settlement) looters have attacked archaeological remains and stonework.

The TCBR Management Plan has entries for the conservation and restoration of archaeological sites, but few details have been given so far. It only mentions coordination schemes with the authorities in charge of the historical heritage in the States of Puebla and Oaxaca.

ICOMOS considers that the government has globally put in place the right tools. Local communities are associated with this effort, although their extent of involvement is not clear. The TCBR Office brings a good level of skill and expertise. However, concerns still relate to cultural sites. If their conservation is good on the whole, several places (rated "fair") need further attention and sometimes urgent consolidation work.

Overall, the state of conservation of individual archaeological sites is fair but the sites are vulnerable to a variety of human and environmental threats. ICOMOS considers that special attention is needed for several archaeological sites included in the nominated property.

Additionally, ICOMOS recommends that the TCBR Management Plan be augmented to cover the conservation and restoration of archaeological sites in their landscape.

## Management

Management structures and processes, including traditional management processes

Several institutions are in charge of enforcing laws, addressing illegal activities and imposing penalties and corrective measures: the federal police, the Secretariat of Environment and Natural Resources (SEMARNAT), the National Commission for Protected Natural Areas (CONANP), the Federal Attorney General for Environmental Protection (PROFEPA), and INAH, which has a permanent inspector in the Reserve. The National Commission for the Knowledge and Use of Biodiversity (CONABIO) and the National Forestry Commission (CONAFOR) monitor the biodiversity. These institutions support the TCBR Office, which is in charge of executing the decisions. Its director works with six regional sub-councils that supervise the Reserve territory and can take advice from the Advisory Council, composed of a representative from each sub-council and responsible for the Annual Operative Plan. PROFEPA and INAH manage the local Surveillance Committees made up of trained members of the communities.

Policy framework: management plans and arrangements, including visitor management and presentation

SEMARNAT prepared the TCBR Management Plan, consolidated in 2013, which divides the Reserve into seven subzones, with different degrees of protection. The majority of the property belongs to "subzone 1 for preservation" (133 781 ha) where no activity is allowed. Revised every five years, the Plan is organised in six sub-chapters (protection, management, restoration, knowledge, culture, and administration), depending on the natural zoning of the Reserve. Its purpose is to conserve the biodiversity and the ecosystems, restore areas degraded by man or nature, foster scientific and technical research, promote the participation of inhabitants and provide financial resources. There is coordination with INAH, but archaeological sites do not appear so far to be among the main concerns of the Plan. However, a specific Plan for the Management and Protection of the archaeological sites within the TCBR is currently being prepared and should be ready in 2017.

The TCBR Management Plan includes regular participation in training courses (on conservation, forest fires, environment regulation, nature tourism, GIS, site signage, restoring cave paintings), run by Mexico City Universities, INAH and others. In turn, the Reserve technicians train members of the Local Surveillance Committee.

At present, the department of the Protected Natural Area (PNA) in the TCBR employs 15 staff: among them, 2

field technicians are in charge of forest fires and disease, and of endangered species; a third technician is specialised in goat livestock management; a co-ordinator works in co-operation with the Global Environmental Fund of the United Nations; 2 staff supervise education and communication activities; an executive staff member processes the PNA administration; 6 park rangers perform the Reserve surveillance. INAH employs ten staff in its Oaxaca and Puebla centres: two directors, five archaeologists, two museum specialists, and one guard supported by the committees of rangers organised within the communities. Although reinforcement is envisaged in the future, this staffing level appears somewhat weak, given the immensity of the area to be constantly monitored.

According to the TCBR tourism strategy developed by CONANP, signposts guide visitors to a few historical places. A government-operated radio station in the State of Puebla broadcasts weekly a one-hour show called "Exploring the Valley". Information posters have been published twice a year since 2002. Several facilities (botanical gardens, museums, camping sites) are available in the Mixteca Poblana Region, the Cañada Oaxaqueña Region, and the Mixteca Coixtlahuaca Region. An update of the 2010-2015 Nature Tourism Strategy for the TCBR is being prepared. However, in relation to the possible threats associated with tourism within the archaeological sites, more information is needed on how a Visitor Management Plan could be developed for the property.

The TCBR Management Plan covers ordinary risk prevention (water resources, forest fires, vandalism, surveillance of archaeological sites, biodiversity protection). Together with the Mexican National Civil Protection System (SINAPROC), CENAPRED helps cope with exceptional hazards (floods, cyclones and landslides) and prepares risk maps, assessments and guidelines.

Involvement of the local communities

Local communities are strongly involved in the surveillance and maintenance of the archaeological sites throughout the property, under the monitoring of CONANP and INAH. They do a remarkable job, but must be strengthened in order to cope with the seriousness of the threats. Local communities take part in decision-making for the governance of the Tehuacán-Cuicatlán Biosphere Reserve and in the regional councils that operate in this area, in which they can present their experience and opinions on different subjects (nature tourism, crafts, production of native plants, surveillance of species, shifts for rangers, etc.).

ICOMOS considers that the TCBR Office coordinates conservation and maintenance actions, both natural (with the help of CONANP) and cultural (with the help of INAH), and that the Mexican government is committed in long-term protection and management. The structures seem robust and organised. The Management Plan is



well articulated, but must be more developed concerning archaeological items. There is a training programme. The local communities take part in the protection action and even its philosophy. Budgets remain modest however, raising doubts about the conservation of archaeological sites, in the short- and long-term. Tourist facilities would have to be extended in case of greater visitation. There is not enough detailed information concerning the way visits to archaeological sites are to be organised and monitored.

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ICOMOS considers that the management system is adequate but that much stronger attention should be paid to the conservation of cultural sites and that supervision of the area by specialised personnel will have to be strengthened.

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## 6 Monitoring

Civil services (CONANP, CONABIO, CONAFOR) monitor the biodiversity of the Valley, in connection with the TCBR Office. The State Party has identified 9 key indicators to survey the archaeological sites. INAH will collect them, with the support of CONANP and of the National Institute of Statistics and Geography (INEGI). Caves (erosion, erasing of paintings) will be inspected every 2 years. The damage to structures (illegal excavation or theft) will be monitored every 3 years. The continuity of the traditional use of salt mines and pottery will be registered every 5 years. The transport infrastructure, tourism growth (including facilities for visitors), and practice of indigenous languages will be analysed every 5 years. The population growth and agricultural usage will be observed every 10 years.

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ICOMOS considers that the monitoring measures for the property are adequate, provided that CONANP for natural monitoring and INAH for cultural monitoring, cooperate closely (a protocol of collaboration is about to be signed between the two parties). The frequency of inspection on the most fragile sites could be reinforced. Clear guidelines intended for correcting any observed damage should also be provided.

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## 7 Conclusions

Although what has been nominated are three large areas of landscape within the Tehuacán-Cuicatlán Valley, the serial nomination is not put forward as a cultural landscape but rather as an ensemble of 22 archaeological sites that pinpoint certain stages in the evolution of the Valley. These stages include evidence of early plant domestication, horticultural villages, irrigated agriculture, evidence for salt extraction and the development of pottery. The evidence is thus spread across the landscape with few clear inter-relationships between the sites. Although some sites were excavated and recorded in the 1960s, many other sites await more

detailed investigation, as acknowledged by the State Party. Furthermore, the 22 sites are only the tip of the iceberg as overall over 600 sites are known to exist.

The idea that an ensemble of a small number of sites can be seen as exceptional within Mesoamerica for their reflection of the particular way societies developed has not been substantiated in the details provided or through comparisons with other sites.

What does begin to emerge, however, is the possibility that the Tehuacán-Cuicatlán Valley can be differentiated through evidence for the emergence of irrigation. A complex water management system is suggested with ten types of sites, including: wells, dams, canals, fields for rain-fed agriculture, fields for flood irrigation, fields on terraces, rock aqueducts, filtration galleries, and large square water catchment wells, most of them dating to between 800-700 BC.

But although details are provided of some of the larger of these sites, such as the Purrón Dam Complex, the Santa María canal and the Xiquila aqueduct, no clear picture emerges of the overall system or of the smaller elements such as catchment wells, or different types of agricultural fields, nor is evidence presented to suggest how widespread across the landscape these features were. Perhaps some of the remaining 600 sites reflect these details and can augment the evidence.

ICOMOS considers that if this particular element of the Tehuacán-Cuicatlán Valley could be presented in much greater detail and via a landscape approach, it might provide the basis for the Valley or parts of the Valley to be seen as an outstanding reflection of the emergence of irrigation-based agriculture in Mesoamerica. What would be needed is an overview of what sites are known in the Valley as a context for maps, descriptive plans, and discussion of the overall irrigation system and how and when it functioned, and more detailed comparisons within the geo-cultural Mesoamerican area.

## 8 Recommendations

ICOMOS recommends that the World Heritage Committee adopts the following draft decision, noting that this will be harmonised as appropriate with the recommendations of IUCN regarding its evaluation of this mixed site nomination under the natural criteria and included in the working document WHC/17/41.COM/8B.

### Recommendations with respect to inscription

ICOMOS recommends that the examination of the nomination of the Tehuacán-Cuicatlán Valley: originary habitat of Mesoamerica, Mexico, to the World Heritage List in relation to cultural criteria, be **deferred** in order to allow the State Party with the advice of ICOMOS and the World Heritage Centre, if requested, to:

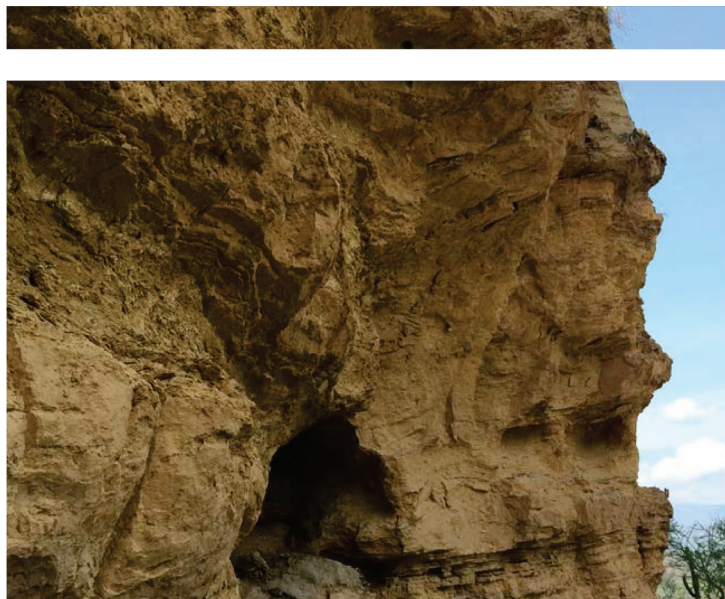
- a) Consider a revised nomination, as a cultural landscape focusing on the development of irrigated agriculture,
- b) Undertake further surveys, research and documentation of sites in the Tehuacán-Cuicatlán Valley related to irrigation, in the context of an overall assessment of the known sites in the valley, and set out how the complex irrigation system functioned at a landscape scale,
- c) Undertake an augmented comparative analysis of sites with evidence for irrigation within Mesoamerica to justify the complexity of the system compared to others,
- d) Finalise the specific plan for the Management and protection of the archaeological sites within the TCBR, and augment the TCBR Management Plan to cover the conservation and restoration of archaeological sites in their landscape,
- e) Strengthen the overall human and financial resources for management of cultural assets within the Tehuacán-Cuicatlán Valley,
- f) Develop a visitor management strategy that is based on a landscape approach;

ICOMOS considers that any revised nomination would need to be considered by an expert mission to the site.

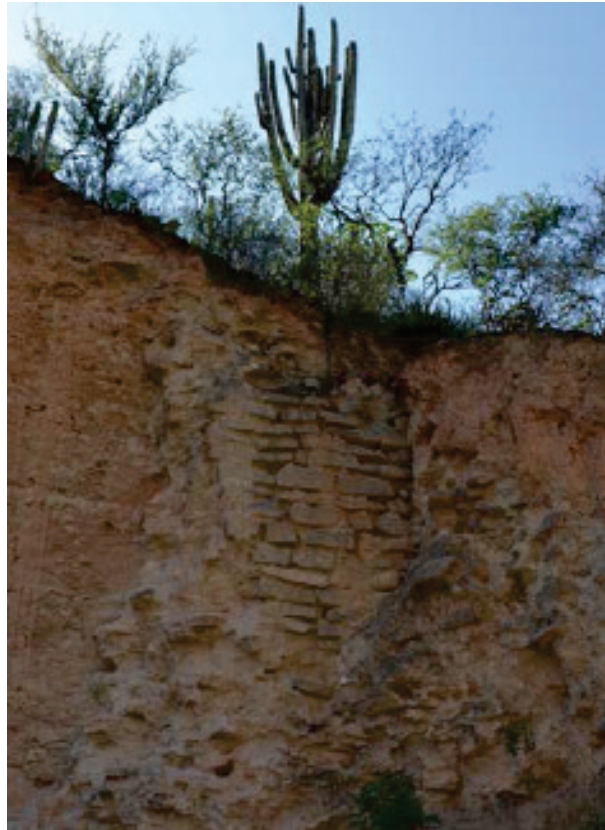




View over Tehuacán-Cuicatlán Valley



Cueva de Coxcatlán



Purrón Dam Complex



Salinas Las Grandes



## **IV Cultural properties**

### **A Africa**

New nominations

### **B Arab States**

Nominations deferred by previous sessions of the World Heritage Committee

### **C Asia – Pacific**

New nominations

### **D Europe – North America**

New nominations

Extensions

Nomination deferred or referred back by previous sessions of the World Heritage Committee

### **E Latin America - Caribbean**

New nominations





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# Mbanza Kongo, vestiges of the capital of the former Kingdom of Kongo (Angola)

## No 1511

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### Official name as proposed by the State Party

Mbanza Kongo, vestiges of the capital of the former Kingdom of Kongo

### Location

Zaire province  
Angola

### Brief description

The town of Mbanza Kongo was the political and spiritual capital of the Kingdom of Kongo, one of the largest constituted states in Southern Africa from the 14th to the 19th century. Located on a plateau at an altitude of 570 metres, it was prosperous when the Portuguese arrived in the 15th century. The Portuguese found Mbanza Kongo to be a large-scale urban centre, built using local materials, to which they added stone buildings constructed using Western methods, including several churches. The town then saw the expansion of the Christian faith, with the Westernisation of local elites, without however renouncing its culture. The Kingdom of Kongo was at the centre of the principal slave trade route, by which enslaved people were transported to the Americas and the Caribbean. The town still contains built remains and archaeological traces of a past marked by customary practices, colonialism and religion, and thus represents a major place of remembrance, with a wealth of intangible heritage elements. The vestiges of the city that are nominated cover its political and religious centre.

### Category of property

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

## 1 Basic data

### Included in the Tentative List

22 November 1996

### International Assistance from the World Heritage Fund for preparing the Nomination

2008

### Date received by the World Heritage Centre

30 January 2016

### Background

This is a new nomination.

### Consultations

ICOMOS has consulted its International Scientific Committees on Historic Towns and Villages and on Shared Built Heritage and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 21 to 26 July 2016.

### Additional information received by ICOMOS

A request for additional information was set to the State Party on 27 September 2016, referring to the boundaries of the property, the ownership, protection and conservation of the property, and the management system and management plan for the property. The State Party replied on 14 November 2016 and provided additional information, which has been taken into account in this evaluation.

An Interim Report was sent by ICOMOS to the State Party on 20 December 2016, concerning the total area of the property, its Outstanding Universal Value and its attributes, its position in a historic centre and its immediate setting. ICOMOS suggested to the State Party that it should reduce the area inside the boundaries of the property and the buffer zone, and reconsider the property name and the property's Statement of Outstanding Universal Value. On 23 February 2017, the State Party sent a fully revised nomination dossier and the additional information requested, all of which have also been taken into account in this evaluation.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

In north-western Angola, near the mouth of the Congo River, the province of Zaire is located in a dry savannah area with occasional shale and limestone plateaux of moderate altitude. The town of Mbanza Kongo occupies the summit of one such plateau, at an altitude of 570 metres above sea level. The hillsides, falling away steeply to the east and south along the Lueji River, and gently sloping to the west and north, give rise to a distinctive morphology, which was instrumental in the town becoming the cradle of the kings of Kongo.

The nominated area covers the vestiges of the political and religious centre of the town, located in the *Sagrada Esperança* district, close to the airstrip built by the Portuguese, which is immediately adjacent and runs from south-east to north-west. Two avenues pass through the centre, linked by parallel and perpendicular streets that form the present-day orthogonal pattern. Water for the city came from twelve natural springs around the peninsula,

which are associated with the historic prosperity of the royal town. Two springs are in the nominated area.

One of the essential characteristics of Mbanza Kongo is its historic dimension: it has existed for some eight centuries, and this is attested by archive sources and by archaeological remains for periods predating the arrival of the Europeans in the 15th century. Up to now, later periods have not been documented by archaeological findings.

The vestiges can be divided into two categories: firstly those that are linked to the defunct Kingdom, and are thus mainly archaeological and intangible; secondly those that date from the colonial period (which sometimes overlap with the first group, as the sites are intricately entwined) and form the built framework of the property, accompanied by various traces of traditional dwellings.

An archaeological review of Mbanza Kongo was compiled in the 1960s, and, although sketchy, it is invaluable. Little use has been made of its findings up to now. The current rediscovery of the capital of the Kingdom of Kongo is, however, linked to one of the most wide-ranging and ambitious archaeological projects in Sub-Saharan Africa. The remains that have been discovered, and those still potentially to be discovered, provide access to the everyday lives of the people and elites, to civil and religious buildings that have vanished or are in ruins, and to traces of Portuguese fortifications, all of which have established the morphology of Mbanza Kongo over a period running from the 15th to the first half of the 20th century.

The archaeological site of *Madungu* consists of a ditch used as a waste dump near to native dwellings. The dig has produced various items from the 15th-17th centuries (Portuguese ceramics, utensils, organic remains) enabling the retracing of the economic exchanges of the Kingdom of Kongo, with Europe in particular.

The main archaeological site, *Tadi dya Bukikwa* ("inverted stone" or "that which has not yet revealed its contents" in the Kikongo language), corresponds in all probability to the Jesuit college described in 1624 by the Portuguese cleric Mattheus Cardoso – author of a Kikongo translation of the catechism in the same year.

*Sungilu* and *Mpindi a Tadi* ("stone signal") are places linked to the funeral ceremonies of the kings. The first is associated with the washing of the body and the second, dated to the 17th century, was used for the embalming of the kings' mortal remains.

*Lumbu* ("residence") is located on the site of the old royal palace, whose structure seems to date back further than 1660. The artefacts found during the digs originate from places such as Venice, Holland and Bohemia, confirming the oral tradition suggesting that this was a royal area, and thus highly prestigious.

The new Royal Palace, built in 1901 in the political and spiritual area of *Lumbu*, refurbished in 1980, has become the Museum of the Kongo kings. It embodies the traditional construction techniques used in this region. Nearby are the House of the king's secretary and the Precinct of the Sacred Tree (*Yala Nkuwu*), in whose shade the sovereigns delivered justice. It is in the *Lumbu* that the present-day customary court (*Mbanzi a Nkanu*), one of the expressions of the intangible heritage of the Kongo community, holds its proceedings.

At the site of the Catholic mission, close to the new cathedral, a set of stone structures from the 19th and 20th centuries has been unearthed.

The built heritage of Mbanza Kongo bears witness to a long history, marked by violent clashes and destruction (the town was captured and reduced to ruins in 1568-1571; defeat of Ambuila in 1665). The vestiges go back as far as the 16th century, but they are richer for the 19th and early 20th centuries.

*Kulumbimbi* is the Cathedral of the Holy Saviour, the first episcopal seat in Africa south of the Equator, and it forms the heart of the identity of the Kingdom of Kongo, as the cemetery of the sovereigns is located within its bounds, and several other tombs of notable and noble persons (directly buried in the earth) have also been found. The vestiges of this important Catholic cathedral, built of small local rubble, date back to the second half of the 16th century.

The presence of Christianity is attested from 1491 onwards, and convents of the missionary orders, Catholic and later Protestant, were established over the following two centuries (the Capuchins in 1645-1648). Today several more recent churches remain: the new Cathedral (Nossa Senhora da Conceição, 1901), the Baptist evangelical church (sanctuary built in 1889, cemetery, school, dormitory, dispensary) and the Franciscan sisters' complex (school, convent and Church of St. Anthony, built from 1933 onwards). There are also traces of colonial architecture (Portuguese fort, municipal administration buildings).

Some dwellings conserve the characteristic traits of the typical 19th-20th century Kongo house (*Nzo*). Built on rubble foundations, with earthen or brick walls (the brick may be sun-dried or fired); they are long houses with two main rooms under a pitched roof (originally covered with straw). Colonial elements were added (verandas, pillars), and later industrial elements (corrugated metal sheet) replaced the local materials.

### History and development

Mbanza Kongo is believed to have been founded in the 13th century on a site with ideal natural defences (access is only possible from the north-east). On the plateau, a sacred wood was the space used for traditional ritual ceremonies and the site of the royal cemetery (at this time it was already known as *Kulumbimbi*, from *Nkulu*: "ancestor", and *Mbimbi*:

“dangerous place”). In the south of the area marked out by the twelve springs, the royal house was located within a fence with a circumference of 1000 metres, around which were arranged the dwellings of the dignitaries and a public square (*Mbazi*) where justice was delivered, ceremonies were held and troops were reviewed. The site was defended by a palisade.

The Kingdom quickly became prosperous. Its political and religious authority covered a vast area of territory, divided into provinces, each of which had a governor. By the end of the 15th century, the territory extended from the Atlantic Ocean, in the west, to the River Kwango in the east, the River Kwanza in the south, and the River Ogooué in the north, in what is today the Republic of Gabon. Its influence however extended beyond this area to other neighbouring peoples (Loango to the north, Kasanje to the south), in territories located in present-day Gabon, Angola and Democratic Republic of the Congo. Its prosperity stemmed from an economy based on agriculture, mining and craftsmanship, and from a stable monetary system (the unit of currency was a shell, the *nzimbu*), controlled by a power structure that acted wisely.

As soon as the Portuguese reached the mouth of the River Congo in 1482 and witnessed the urban layout of Mbanza Kongo, which they compared with Evora in Portugal, diplomatic relations were established. The king *Nzinga Nkuwu* converted to Catholicism in 1491, taking the name of Joao I, while maintaining traditional religious practices. His son *Mvemba Nzinga* (Afonso I) reached an agreement with the King of Portugal, Manuel I, to receive missionaries, to develop trade, to send young people to Europe to be educated, and to allow slave trading activities. Initially, this trade enabled him to strengthen his capital, where a number of schools were built and, between the 16th and 17th centuries, twelve churches. The Cathedral of the Holy Saviour was consecrated in 1596, shortly after the town was renamed *São Salvador*. It was surrounded by the royal palace, the district of the Portuguese settlers, and the College of the Jesuits. The Kingdom had particularly close relations with the Vatican. In 1518, Pope Leo X appointed Don Enrique, son of the king Afonso I, bishop of Utica and apostolic vicar of Mbanza Kongo. In 1608, the Pope gave accreditation in Rome to the first ambassador of a Sub-Saharan African state to the Vatican. The first catechism in the Kikongo language was published in 1624, making Mbanza Kongo into the hub of efforts to spread Christianity in Central and Southern Africa. At that time, the Kingdom was at the heart of a vast intercontinental network.

However, relations between the Kingdom and the Portuguese went sour as a result of the slave trade. Several texts were enacted by sovereigns from the early 16th century onwards to prevent the rise of the slave trade, which was robbing the territory of its vital forces, and condemning it to decline. Weakened, Mbanza Kongo was invaded in 1568 by the Jagas, a neighbouring people, and was not able to restore its king

until one century later, with the arrival of the Capuchins. It then fell foul of the ambitions of the Portuguese, and the Kongo king, Antonio I (*Nvita Nkanga*), was defeated and killed by them at the Battle of Ambuila in 1665. It has been estimated that between 1600 and 1852, 3 million slaves were transported to Brazil alone from the coasts of Kongo-Angola that is an average of 12,000 slaves per year. Some authors claim that the figure was closer to 20,000 slaves per year. The slaves were transported by three routes: in the north, Loango, dominated by French slave traders; in the south, Luanda, in the hands of the Portuguese; in the centre, Mpinda, a route that was used less frequently because of the Kingdom's hostility to this kind of trade. Seriously weakened by depopulation, the Kingdom declined into internal wars, instrumentalised by the colonial power and the religious authorities while the town, half-ruined, was reborn in a different, more western, form at the end of the 19th century. It was at this time that the small fort was built, along with the new cathedral, the Baptist church, and the second royal palace, which bears witness to a symbolic authority that was perpetuated right up to the death of the last sovereign, Antonio III, in 1957.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

In the revised nomination dossier, the State Party bases its argument on three key points.

The Kingdom of Kongo was one of the greatest constituted states in the history of Africa, because of its control of its economy and currency. Its sovereigns succeeded in maintaining political, administrative and spiritual control over a territory of 2.5 million square kilometres, from a town whose urban development was remarkable. As a place of royal residence, the town can be compared with other properties inscribed on the World Heritage List. The Tombs of Buganda Kings at Kasubi (Uganda, 2001, criteria (i), (iii), (iv) and (vi)) are in fact a former palace transformed into a royal burial ground. The site has tangible and intangible attributes similar to those of Mbanza Kongo, particularly the presence of the spirit *Ngo*, but it is more recent (1884). The Royal Hill of Ambohimanga (Madagascar, 2001, criteria (iii), (iv) and (vi)) included until 1794 (when power was transferred to Tananarive) the town and the tombs of the kings, and various holy places (wood, spring, lake, place of worship). Although it remained the centre of authority for a shorter period, it too is a place that still today embodies identity. The Sacred Natural Landscapes of Muramvya, Mpotsa and Nkiko-Mugamba (Burundi, Tentative List), former itinerant capitals and cemeteries of the Burundi kings, are similar in terms of their attributes (rituals, sacred trees), but in this case several towns took on the role of centre of the Kingdom in the course of history, whereas the town of Mbanza Kongo was unique and powerful.

Mbanza Kongo was a diplomatic capital between tropical Africa and Europe, an important site for the universalist Abrahamic religions (Christianity and Islam) and an exceptional centre for the Catholic religion on the African continent. The nomination file compares its action to those of other places linked to Christianity: Lalibela in Ethiopia (Rock-Hewn Churches, Lalibela, 1978, criteria (i), (ii) and (iii)) and Cidade Velha in Cabo Verde (Cidade Velha, Historic Centre of Ribeira Grande, 2009, criteria (ii), (iii) and (vi)), the platform for the spread of Christianity in Senegambia. Mbanza Kongo is different in that, for the first time outside Europe, Christianity was accepted as the state religion, because of the conversion of the kings, and this primacy was recognised at the Vatican. Mbanza Kongo was not the first place with which the Portuguese made contact in Africa. Elmina (Forts and Castles, Volta, Greater Accra, Central and Western Regions, Ghana, 1979, criterion (vi)) was founded by an expedition in 1482, but the Kingdom of Kongo maintained the closest relations with Portugal in terms of the transmission of knowledge and techniques over the longest period.

The Kingdom of Kongo was subjected to a strategy of encirclement, exhaustion and transformation into a reservoir of enslaved people, at the instigation of Portugal, which closely resembles that adopted in Western Africa and the islands of Cabo Verde from 1460 onwards. Paradoxically, the conversion of the kings to Catholicism facilitated this approach. The coast of Kongo was thus the area through which passed the largest number group of enslaved men and women for transportation to South America, where they participated in the creation and construction of cities, and the boom in the colonial economy. As a result, their imprint is omnipresent in the culture, language and intangible traditions they passed on to their descendants. The State Party refers to their strong presence in São Salvador de Bahia (Historic Centre of Salvador de Bahia, Brazil, 1985, criteria (iv) and (vi)).

ICOMOS considers that the comparison with Portuguese colonial towns in America does not work to the advantage of the nominated property, which is more modest in scope and composite in nature. Unlike the towns referred to, which were points of arrival for the enslaved people, it is not even known whether slaves were brought to Mbanza Kongo or whether they were collected elsewhere in the Kingdom.

The example of the Orthodox holy city of Lalibela is inappropriate, as its eleven Medieval monolithic churches (13th century), hewn out of the rock, and still venerated by pilgrims, have no equivalent, because of their aesthetic quality (criterion (i)) and their symbolic dimension as substitutes for the Holy Land (criterion (ii)). Criterion (iii), which could have formed the basis for a degree of comparison, refers to the testimony they bear to the Medieval and post-Medieval civilisation of Ethiopia, and not to the spread of the religion.

Similarly, Cidade Velha, the oldest town founded by the Europeans in the tropics, named in 1462 and previously uninhabited, is different in some ways from Mbanza

Kongo, because of its attributes (insular situation, and its intact urban plan, fortress and two churches). It is similar in terms of values: its role in the origin and development of the transatlantic slave trade (criteria (iii) and (vi)). However, as it was a port of transit for the slave trading fleets, a society that was mixed, in racial and cultural terms, developed there, which is quite different from the less heterogeneous society in Mbanza Kongo.

To conclude, ICOMOS considers that characterising Mbanza Kongo as the historic manifestation of one of the most prosperous and enduring African states is appropriate. The comparison with other kingdoms based on rituals and a relationship with nature of the same intensity is relevant. Mbanza Kongo bears testimony to imported Christianity, on which the slave trade has left a shadow but without leaving any material trace that has been attested up to now *intra muros*.

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

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#### **Justification of Outstanding Universal Value**

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

- The town of Mbanza Kongo was the capital of one of the largest states in Southern Africa, which was prosperous since the 14th century.
- The arrival of the Portuguese in the 15th century transformed the town, to which were added a colonial orthogonal street layout, fortifications and several religious buildings.
- The Europeans (Portuguese, Dutch, French) turned the Kingdom of Kongo into the largest reservoir of enslaved people ever known to humanity.
- The Kongo slaves transported to the Caribbean and to the Americas (primarily South America) took with them their cultural expressions and their beliefs, which have left a distinctive imprint on the countries that received them.
- Mbanza Kongo remains a place of remembrance for the populations of tropical Africa that share the Kongo culture.

ICOMOS considers that this justification is partly based on archaeological artefacts, which contribute to the history of one of the most ancient towns of equatorial Southern Africa. The tangible aspect of the heart of the town with its main structures (royal palaces, churches, tombs, sacred tree, excavated shelters) consists of the power, prerogatives and influence of the powerful Kingdom of Kongo. Not all the aspects of the history of this Kingdom are however illustrated by the property, as up to now no traces of the slave trade have been found.

## Integrity and authenticity

### Integrity

The historic town of Mbanza Kongo, located on an isolated plateau, has retained several of its original morphological characteristics.

On the plateau, a set of vestiges from the pre-colonial society that reflect the multi-secular existence of the kingdom is concentrated in a limited perimeter, comprising the court of the Kongo kings and the traditional ritual area (*Lumbu*), the customary court area and its holy tree, and two of the twelve original rock water springs, of which ten remain (the springs are in the buffer zone). The state of these vestiges is globally satisfactory, but there are problems and some are serious, such as the insalubrity of the springs.

In addition to the first cathedral (*Kulumbimbi*), and then the numerous churches and military and civil buildings left by the Portuguese, a part of the colonial town is also visible. This town, whose materials are more enduring and recent, is in a satisfactory state of integrity: churches (St. Anthony, Our Lady of the Conception) and convents (Franciscan) bear witness to exchanges between Mbanza Kongo and Christianity. Several excavations have been started in order to exploit the archaeological potential of the rich subsurface.

ICOMOS considers that the conditions of integrity of the elements constituting the property are acceptable. The property illustrates political and religious functions as they were exercised in the past in the heart of the Kingdom.

The conditions of visual integrity of the property are fragile. The town has undergone substantial modifications, particularly at the end of the colonial period. It was destroyed several times, which explains the limitations of the remaining vestiges. Although major efforts have been made over the last ten years, the conditions of visual integrity were recently still adversely affected by telecommunications antennae (they are currently being dismantled). In the buffer zone, the airstrip built by the Portuguese during the inter-war years remains a problem. The demolition of this airstrip, which is now virtually disused, has been confirmed by the State Party and a new airport site has been chosen, outside the town. ICOMOS considers that this dismantling and demolition are essential to reinforce the property's conditions of integrity.

### Authenticity

Authenticity relates to the ability of the overall property to convey its value clearly and truthfully. All the key attributes together can be said to convey their associations with the political and religious history of Mbanza Kongo clearly through their fabric, supported by extensive archival sources and archaeological material, as well as traditional knowledge.

The authenticity of the property lies in the fact that its sacred and symbolic function has been maintained ever since its foundation. The former capital of the Kingdom of Kongo is today the seat of political, cultural and administrative power in the province of Zaire. The guardians of the tradition transmit the prestige that underpinned the kings of the past: the customary court, which ensures that conflicts are managed correctly, has been reinstated after four decades of war, as a cultural and political link with a living tradition. The occupation of the urban space has been known since the 16th century, as recorded in the accounts of Portuguese travellers at the time. A certain degree of continuity has been maintained in the historic urban fabric, despite the orthogonal street layout imposed by the Europeans, although the main street has retained its long-established trace. The numerous churches and convents have contributed to stability, and more unusually the passing centuries have not affected the royal area, which is still clearly identifiable as the spiritual centre of the community.

In view of this, ICOMOS considers that the conditions of authenticity of the elements constituting the property have been met.

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ICOMOS considers that the conditions of integrity and authenticity have been met, but recommends that the State Party implement the suggested actions, so as to reinforce the property's conditions of integrity.

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### Criteria under which inscription is proposed

The property is nominated for inscription on the basis of cultural criteria (iii), (v) and (vi).

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

This criterion is justified by the State Party on the grounds that the nominated property bears witness to a great Kingdom whose presence has been continuous down all the ages of this part of the African continent. Its capital has conserved the ritual and symbolic powers embodied by the brotherhood of the Leopard *Ngo*, while it became the gateway for the entry and dissemination of Christianity on the continent, and also the most extensive reservoir of the slave trade, whose victims spread their beliefs and culture on the other side of the Atlantic. Mbanza Kongo is thus a place of remembrance both for the Kongo peoples of Africa and their Afro-descendants.

ICOMOS considers that the contribution of the Kingdom of Kongo to the history of the African continent is attested and undeniable, thanks to the documentation available over five centuries (from 1483 to the present day) and the archaeology. After the arrival of the Portuguese, the Kingdom adopted Christianity, while conserving elements of pre-existing Kongo customs. The vestiges of Mbanza Kongo thus evoke the political and symbolic importance of the Kingdom in its territory, and its role as a gateway for the entry of Christendom into

the African continent. Not all the aspects of the history of the Kingdom are however illustrated by the property as it stands today, because up to now no vestiges attesting to the slave trade have been found within the bounds of the nominated property.

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ICOMOS considers that this criterion has been justified.

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

This criterion was not put forward by the State Party but was considered by ICOMOS to be appropriate.

ICOMOS considers that the political and religious centre of Mbanza Kongo is an outstanding example of an architectural ensemble that illustrates, as nowhere else can in sub-Saharan Africa, the profound changes that emanated from the introduction of Christianity and the arrival of the Portuguese into Central Africa in the 15<sup>th</sup> century, events that influenced, not only religion but also trade, learning and contact between Central Africa and Europe, particularly Italy and Portugal.

The city was at the heart of a vast Kingdom that in turn was linked to a vast intercontinental network. The Cathedral had recently been built when in 1608, the Pope accredited in Rome the first ambassador of a sub-Saharan African state to the Vatican. A Jesuit college with a library was founded in 1621 and operated until 1678 and reflects the status given to Mbanza Kongo as a seat of learning. It is the place where in 1624 the first catechism was written in the Kikongo language to be used to spread Christianity across the Kingdom. Later buildings reflect not only the continuity of Christianity but also the influence of Portugal in the 19<sup>th</sup> century. The nominated area illustrates clearly this crucial stage in the history of central Africa.

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ICOMOS considers that criterion (iv) has been justified.

Criterion (v): *be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;*

This criterion is justified by the State Party on the grounds that Mbanza Kongo attained, before contact with the Portuguese, a degree of social accomplishment and urban refinement attested by the Portuguese mariners, who compared it to Evora. This example of success is linked to the skilful use of the foundation myth (in the 13<sup>th</sup> century) by the royal family, which spanned the centuries ensuring an unflinching link with the past. This harmony has constituted a unifying factor for the vast expanse of Kongo territory. The territory became vulnerable as the result of an irreversible change caused

by the arrival of Europeans and the slave trade that ensued.

ICOMOS considers that the use of the territory by the local traditional society has been documented ever since the drawing of Mbanza Kongo made by the Dutch traveller Olfert Dapper, in his *Description of Africa* (1668). On the founding site that has remained unchanged, the place itself has undergone many changes. The construction debris found on the plateau by Portuguese town planners when the town was modernised in the 20<sup>th</sup> century proved the pre-colonial antiquity of the site, and that the new town was built on the remains of the old royal town. However, the spatial evolution of the town, and the interaction of the traditional society with its environment are hard to visualise, because of a lack of precise information covering the whole process of its development down the ages across the plateau. Moreover, what is being nominated is only the core of the city and not the overall urban settlement on its promontory.

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ICOMOS considers that this criterion has not been justified.

Criterion (vi): *be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that the word "Kongo" is one of the terms most widely used by Afro-descendants to designate places or rites associated with their origins, particularly in the Caribbean and South America. More generally, many terms from the Kikongo language have crossed the Atlantic, and now designate dishes, cultural activities, etc. Furthermore, the same language remains a factor of unity and identity in the former area of influence of the Kingdom of Kongo (Angola, Gabon, Democratic Republic of the Congo) where the customary authorities use it to maintain traditions.

ICOMOS agrees that Afro-descendants still refer in their everyday lives to the original traces imprinted on the languages they currently use (Spanish, Portuguese, Creole). A more detailed analysis of these cultural interactions would however be necessary to determine the substance and extent of the phenomenon. Furthermore, the tangible and intangible attributes of the property can be linked to the entity constituted by the Kingdom of Kongo, to its monarchs, to the dominant social group and to the aristocracy, and to the more modest populations, and finally to the manifestations that perpetuate remembrance today: the sacred tree (*Yala Nkuwu*) and the customary court (*Mbanzi a Nkanu*). Although similar testimonies exist in other traditional groups in Black Africa, this heritage contributes to the specificity of Mbanza Kongo, but it remains weakened by the scarcity of tangible attributes that justify it, and particularly the attested trace of the slave trade, which

makes it difficult to forge a link with the intangible elements of the property.

In addition, it would need to be shown how this linguistic association might be seen as of outstanding universal significance as well as being directly and tangibly related to the property. Currently, this has not been demonstrated.

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ICOMOS considers that this criterion has not been justified.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity have been met, and that criteria (iii) and (iv) have been justified.

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#### **Description of the attributes**

The nominated property primarily reflects the political, symbolic, ritual and religious attributes of the capital of one of the greatest states of Africa from the 13th to the 19th century. These attributes include the royal domain, the royal residence (*Lumbu*), the customary court and the holy tree (*Yala Nkuwu*), associated with the justice rendered by the sovereigns, the royal cemetery, and the royal funeral places (*Sungilu*, for the purification of the remains of the kings; *Mpindi a Tadi* for their embalming). After the arrival of the Portuguese in 15th century, another series of built and archaeological attributes represents social life and Christian life in the Kingdom (*Madungu* and the new cathedral concession). Succeeding the Cathedral of the Holy Saviour (*Kulumbimbi*), which is the most ancient of the Catholic remains (end of 16th century) and the College of the Jesuits (*Tadi dya Bukikwa*, 17th century), a series of buildings were erected, after the renaissance of the town at the end of the 19th century: the new Our Lady of Conception cathedral, the Baptist evangelical church, the Church of St. Anthony, the missions of the Franciscan sisters.

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

The population of Mbanza Kongo rose from 5,000 inhabitants in 1997 to 50,000 in 2007, and then to 173,850 in 2014. Population pressure has led to a housebuilding boom, which could threaten vestiges in the subsurface, particularly in the buffer zone. ICOMOS notes that a swift increase in housing density could become a source of social pressure and a threat to the stability of traditional practices.

Specific problems have been noted on the hillsides and on the rainwater run-off passages. The plateau hillsides are being deforested to enable the construction of houses. Earth is being removed close to the property and in its buffer zone in order to make fired clay bricks used for the walls of traditional houses. All these factors are contributing to erosion, the creation of ravines, and in some cases rock falls on the slopes as a result of the torrential rainfall that frequently occurs in this region.

Inappropriate anthropic practices have begun to affect the ecosystem, seriously impacting the original rock water springs, which are poorly equipped and poorly maintained (six of them are in very poor condition). There are no paths enabling access to the springs, which surround the buffer zone. The lack of a drainage system makes it impossible to cope with any flooding. The drinking water supply system is inadequate. With no sewer system or refuse collection system, the town is suffering from the effects of pollution.

ICOMOS recommends that the infrastructures (drinking water, drainage, electricity, sewers, refuse treatment) should be constructed or extended as a matter of urgency, to attenuate the effects of demographic pressure, soil erosion and pollution by anthropic uses.

The historic zone where the vestiges are concentrated, just next to the administrative district, is not affected by such strong development constraints as the rest of the plateau. The telecommunications antennae located less than 100 metres from the former Jesuit College (*Tadi dya Bukikwa*) are an eyesore that is incompatible with the sacred nature of the setting. ICOMOS notes that the dismantling of the antennae has begun, and should be completed in 2018.

The airstrip is located next to the historic zone, and may cover archaeological remains that will need to be protected in the future. It seems almost certain that damage was caused when the airstrip was laid, but the area concerned is relatively limited. The airstrip is a major visual obstacle for the coherence of the heritage. The State Party has committed itself to removing the airstrip in 2019. Regular commercial flights have been suspended, only occasional charter flights are authorised, and a new airport is planned 30 km from Mbanza Kongo.

ICOMOS considers that the telecommunications antennae and the airstrip detract from the integrity of the property.

The current number of visitors, most of whom are local or regional, is low (508 in 2010 at the Museum of the Kings of Kongo, 892 in 2014). Adapting the historic town to enable more intense tourism levels is another major challenge. The authorities are considering installing signing and establishing a monument circuit, extending and modernising the museum, protecting the archaeological sites, building an interpretation centre, raising the level of cultural activities, reinforcing the health network, and providing local and trunk roads. Hotel accommodation is available, but limited (44 hotel rooms, plus about a hundred in boarding houses, about 300 rooms planned). ICOMOS recommends the establishment of a tourism management strategy.

There is no proven seismic risk (level 1) in this region. The properties are on the edge of the thalweg through which the River Lueji flows, but the historic zone high on the plateau cannot be attained if the river floods its banks. A

plan for the management of natural disaster risks, including an ecological plan for the plateau slopes, is currently being drawn up.

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ICOMOS considers that the threats to the property are demographic pressure, soil erosion, pollution from anthropic uses, the weakness of the infrastructures (drinking water supply, drainage, electricity, sewers, refuse treatment), the presence of telecommunications antennae (inside the property boundaries) and the airstrip (in the buffer zone).

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## 5 Protection, conservation and management

### Boundaries of the nominated property and buffer zone

Mbanza Kongo is situated at the top of a hill, which lies along a NNW-SSE axis. The State Party has redefined the boundaries of the property, which now covers an area of 89.29 hectares (initially 923.85 hectares). In the nominated property zone, there are 11,332 inhabitants (2014), that is 127 per hectare, which is a very high density. The population however live mainly on the edges of the historic centre. The zone containing the vestiges is less densely populated.

The buffer zone is situated to the west and north towards the summit of the plateau, and to the east and south towards the scarp slopes of the River Lueji. Its surface area is 622.16 ha (initially 2,631.88 ha). In the buffer zone, the number of inhabitants recorded is 84,091 (2014).

The boundaries of the buffer zone coincide with the location of the springs, and ensure global visibility of the property and its landscape. The nominated property boundaries include, to the south, the administrative town, and, to the north, the historic buildings and vestiges unearthed in the probable area of residence of the elites.

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ICOMOS considers that the boundaries of the nominated property and of its buffer zone are adequate.

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### Ownership

The ownership of the public buildings is governed by a Law of July 1990 and is the responsibility of the local administration. The municipality owns the archaeological sites and historic buildings, except for those, which are the property of the Church or religious communities.

### Protection

The heritage of Mbanza Kongo is protected by a series of legal texts (Angolan constitution of 2010, laws and decrees concerning the historic, cultural and artistic heritage). An executive decree of July 2014 defines the boundaries of the property and its buffer zone; a decree of January 2015 granted the "historic centre of Mbanza Kongo" national cultural heritage status and listed the protected places; a presidential decree of

September 2015 created a "Historic Centre Participative Management Committee".

In addition to these specific texts, the site is covered by the general urbanism and land use rules (Law of June 2004), which establish a no-building zone extending for a minimum of 50 metres from the outer limits of the protected monuments.

Despite the fact that the country's political stabilisation is relatively recent following a war of independence and civil war (2008), a substantial legal arsenal has been introduced. Mbanza Kongo is protected by specific and targeted legal provisions.

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ICOMOS considers that the legal protection in place is globally adequate.

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### Conservation

A substantial documentary corpus has already been compiled by referring to the Portuguese national archives in Lisbon, including correspondence between the Kongo kings and the Portuguese crown since the 16th century. It is however necessary to make a more systematic survey of sources, and a historiographic review of references to the Kingdom of Kongo in scholarly literature. Information about the rich oral tradition, which is still alive today, could be collected in order to contribute to museography in the future. ICOMOS therefore considers that more research is needed to enrich the written and oral documentation.

The current state of conservation of the elements of the nominated property – analysed separately – is said by the State Party to be generally good. There are however some cases in which the state of conservation is inadequate, and several programmes of works are necessary.

The former cathedral (*Kulumbimbi*) is largely in ruins (about one-third of the original structure is still standing). The masonry of the walls has stood the test of time, but their bases and summits are threatened by precipitation and encroaching vegetation. The flaking off the rendering, the barring of the wall stones, and the crumbling of the mortar must be stabilised to prevent collapse. A five-year consolidation plan is being considered. Restored in 1991, the Palace of the Kongo Kings is in a good state of conservation and requires only routine maintenance, but its museography is outdated (no preventive conservation of objects, no exhibition about the monarchy). The archaeological site *Tadi dya Bukikwa* is protected by a fence, but stagnating rainwater threatens its continuing existence, and fragments of the wall are falling away. A consolidation plan is scheduled within the next two years. The Church of Saint Anthony and the mission church are in a satisfactory condition, but are affected by water infiltration. The House of the King's Secretary, which has been altered, must be restored to its original state. The new Cathedral of Our Lady of the Conception is in a precarious condition, and it too is to be restored to its original state within the next five years. One of the tombs in the Cemetery of the kings has also been damaged. The



places in which the remains of the deceased kings were prepared, and most importantly the springs (in the buffer zone) are in a poor state of conservation.

The National Cultural Heritage Institute provides a reference framework for conducting work to preserve the built structure and the archaeological sites.

In January 2015, a mission from the *Consortio Aureo-Conservazione e Restauro* (Rome) set out in detail the restorations that were necessary. Several excavations have taken place: July 2010, December 2011, September-October 2013, January, February and April-July 2014. From 8 to 20 November 2015, an archaeological mission (from Portugal and Belgium) produced a synthesis of the earlier research, and carried out an archaeometric analysis of the ceramic artefacts unearthed, in order to determine their dates.

The municipality is following up the dossiers of buildings to be restored. But the State Party recognises the practical need to train the teams who are to conduct the preliminary studies, identify the construction techniques and supervise the worksites. While the principles of the restoration process are accepted by the State Party, there is no specific reference to the implementation of these urgent works. A five-year intervention programme is set out in the Management Plan 2016-2020; but ICOMOS recommends that details should be provided about the actions to be taken, the persons in charge and the funding.

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ICOMOS recommends that the documentary research should continue, and that detailed information should be provided about the actions, persons in charge and funding of the conservation intervention programme.

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## Management

Management structures and processes, including traditional management processes

The implementation of the legal provisions is the task of the Participative Management Committee, which coordinates the action of the entities in charge of managing the site: the Ministry of Culture (National Cultural Heritage Institute), the Governorate of Zaire Province, the Municipality of Mbanza Kongo, and the Traditional authorities unit. The Committee is led by governor, with the assistance of a scientific committee and a technical bureau responsible for scheduling and the everyday management of the site.

The implementation of the national, provincial, municipal and customary planning tools is also integrated in the Strategic Development Plan for the Town of Mbanza Kongo. Itself integrated in the National Development Plan 2013-2017 and the Provincial Development Plan of Zaire 2013-2017, this strategic plan is intended to ensure that inhabitants have access to vital infrastructures (water, energy) and basic services (health, housing), while at the same time ensuring the conservation of the properties and their landscape. To this end, the customary authorities act

as the guardians of a living tangible and intangible heritage, primarily with regard to sacred areas and places.

The civil protection services ensure surveillance of several zones of the town considered to be vulnerable to natural risks in the district of *Sagrada Esperança*, close to the heritage elements of the nominated property, where buildings considered to be at risk are inspected periodically. Any emergency interventions (to preserve the heritage, emergency exits, etc.) are the responsibility of these services. ICOMOS notes that no figures are stated for the number of personnel in charge of these actions.

Policy framework: management plans and arrangements, including visitor management and presentation

A "Historic Centre Urban Regulation Plan" (PREGU) is currently being prepared. It will control the volumes of residential properties, public buildings and commercial buildings (maximum of three storeys in the property zone and the buffer zone), circulations, pavements, the areas of land parcels in housing developments, and facades on to the street (maximum of 15 metres), materials (stone and fired brick), the renovation of existing properties, architectural decor, renderings and colours, windows and doors, and urban furniture. Air conditioners and antennae must not be visible from the street. A cadastral register of properties must be drawn up to enable the application of the plan, and a governor's decree requires that a building permit must be obtained (provincial decree of August 2013).

A "Historic Centre Management Plan" or documented management plan, has also been drawn up for the period 2016-2020. The plan aims to ensure the security of the natural and cultural elements of the nominated property, by protecting it against vandalism and external threats, by closing the existing airport and dismantling the telecommunications antennae. An archaeological surveillance brigade has been formed; the awareness of the local population is being raised with regard to restoration principles; local craftspeople are encouraged to contribute to the effort; children at school and students are informed about the property's Value. This plan is to be applied by a team of specialists forming part of the Participative Management Committee, but ICOMOS notes that no details are provided about the composition of the team.

The State Party is offering to fund this public policy by creating a Heritage Foundation, to be stimulated by tax incentives, but no details are given about the setting up of the Foundation.

Finally, a tourism development policy aims to coordinate visits to Mbanza Kongo with nearby places of interest (e.g. the rock art caves of Nzau Evua). It is suggested that a tourism route could be established between the town and Mpinda, in the Soyo municipality. Mpinda is the port where Diego Cão landed in 1482. The first baptism in the region took place there in 1491, and subsequently large numbers

of slaves were shipped from the port. The Catholic mission at Mpinda is open for visits. A tourism route of this type could clearly be established. Similarly, a link could be established with schools in order to generate social cohesion.

ICOMOS recommends that a tourism management strategy should be established, defining amongst other things signing, circuits and interpretation tools.

#### Involvement of the local communities

The decentralisation of cultural policies is intended to encourage the involvement of the local elites. The local inhabitants are still relatively unaware of the value of the property, but the customary authorities – who are active vectors of transmission and are respected by the population – are committed to the task of managing and protecting the property, because of its sacred power.

ICOMOS considers that a participative management structure has been set up. The participation of the customary authorities is a significant indicator of local involvement. There is a convergence of national, provincial and local efforts, but the technical coordination of conservation actions has not yet been described in detail. ICOMOS recommends that the State Party should confirm that the transversal management system is functioning, while specifying the human and material resources made available to those in charge of the system. A spreadsheet, with explanations, of the staffing requirement, of training actions, and of the planned funding, is necessary.

## 6 Monitoring

A set of five key indicators has been defined for the monitoring of the property on a multi-annual basis (three to five years), with regard to conservation (monuments and excavated sites), the monitoring of site frequentation, and the monitoring of the ravines around the plateau and the twelve rock water springs.

More details must be provided about the monitoring framework as defined. The monitoring must be conducted by the ministry, the province, and the customary authorities, under the coordination of the Participative Management Committee which meets in Mbanza Kongo. The Committee is considering recruiting several employees, thus involving local civil society. However, no monitoring exercise of the property, considered as a topographic, architectural and archaeological ensemble, has been carried out.

Lastly, a SWOT analysis has been conducted to determine the strategic tools needed for the safeguarding of the site in a medium-term perspective. Alongside some positive points, this analysis points to dangers and urgent issues: vestiges located beneath recent buildings, demography, airport, water distribution, sanitation, erosion, stubble burning, hotel infrastructure, road traffic,

cultural property trafficking, low level of learning of the Kikongo language.

ICOMOS notes that there is an operational coordination body, but that the executive directives do not cover all fields. The monitoring of constructions and building work in the zone of the nominated property and the buffer zone must go beyond the stage of collecting data at municipal level.

ICOMOS considers that the existence of an official body to coordinate monitoring and prepare environmental and building standards are advantages. However, the monitoring policy must be deepened by the use of precise indicators, and by executive directives.

## 7 Conclusions

Mbanza Kongo possesses a set of monuments, archaeological remains and intangible elements linked to the history of a major Kingdom in Sub-Saharan Africa, whose existence is attested from the 14th to the 19th century, thus dating back to the pre-colonial era and then to the period of Portuguese domination. The heritage is located in the heart of a historic zone, which came into being around the palace and the royal attributes. It constitutes a point of reference and a place of remembrance for the whole Kikongo culture, which is present not only in Angola, but also in the neighbouring countries. The former capital of the Kongo kings bears witness to the control of a vast territory by this power, which was political, symbolic, economic and spiritual, and then to the spread of Christianity in the central and southern part of the continent, as a result of the sovereigns' early acceptance of the Christian religion from 1491.

Although the slave trade was carried out on a large scale in the zone of influence of the Kongo Kingdom, resulting in the deportation of millions of slaves to South America and the Caribbean, where they spread the culture, language and rituals that originated in Kongo, no material vestige has yet been found in the nominated area that bears witness to the slave trade.

The current nomination reflects the political and religious influence of the Kongo Kingdom through the remains of influential structures at the heart of its capital city. As the long-lasting Kingdom of Kongo was one of the great Kingdoms of Central Africa that flourished between the 15th and the 19th centuries, ICOMOS considers that further nominations might be explored to see whether other places and dimensions of this Kingdom could have the potential to be inscribed on the World Heritage List, to reflect for example its involvement in the Slave Trade or its extensive trading activities.

ICOMOS also considers that if in the future on the basis of further research and investigation, sufficient material might be revealed to allow a better understanding of the scope

and form of the wider city of Mbanza Kongo, a major extension of the current property might be envisaged.

In order to take forward both these possible options, ICOMOS recommends that a Research strategy should be developed that might also consider partnerships with other countries that were once part of the Kongo Kingdom.

In the short-term, the removal of the airport is the highest priority for the property. As a local tradition mentions the possibility of a royal grove under the tarmac (of King Alfonso's mother buried in the Church of St Michael), any removal of the runway would need to be accompanied by detailed archaeological investigations.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that Mbanza Kongo, vestiges of the capital of the former Kingdom of Kongo, Angola, be inscribed on the World Heritage List on the basis of **criteria (iii) and (iv)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

The town of Mbanza Kongo was the political and spiritual capital of the Kingdom of Kongo, one of the largest constituted states of Southern Africa, which was active from the 14th to the 19th century. Located on a plateau at an altitude of 570 metres, it was prosperous when the Portuguese arrived in the 15th century. To the large existing urban conurbation built in local materials, the Portuguese added and substituted stone buildings constructed in accordance with European construction methods, including several churches. The town then experienced the expansion of Christianity with the Westernisation of the local elites, without however renouncing its culture. In its built structure and archaeological vestiges, the town retains the traces of its customary, colonial and religious past, of which it is an eminent place of remembrance. The Kingdom of Kongo was at the centre of the most important route for the trade in enslaved persons, who were deported to the Americas and the Caribbean. No material vestige attesting to the slave trade has been found up to now.

**Criterion (iii):** The contribution of the Kingdom of Kongo to the history of the African continent is attested and undeniable, thanks to the documentation available covering five centuries (from 1483 to the present day) and to the archaeological findings. Its capital has retained the ritual and symbolic powers embodied in the brotherhood of the Leopard *Ngo*. After the arrival of the Portuguese, the Kingdom adopted Christianity, while however retaining elements of pre-existing Kongo customs. The vestiges of Mbanza Kongo thus evoke the political and symbolic importance of the Kingdom in its

territory and its role as a gateway enabling the Christian world to enter the African continent.

**Criterion (iv):** The political and religious centre of Mbanza Kongo is an outstanding example of an architectural ensemble that illustrates, as nowhere else can in sub-Saharan Africa, the profound changes that emanated from the introduction of Christianity and the arrival of the Portuguese into Central Africa in the 15th century, events that influenced, not only religion but also trade, learning and contact between Central Africa and Europe, particularly Italy and Portugal. The Cathedral was standing when in 1608, the Pope accredited in Rome the first ambassador of a sub-Saharan African state to the Vatican. The Jesuit College reflects the status given to Mbanza Kongo as a seat of learning and is the place where in 1624 the first catechism was written in the Kikongo language to be used to spread Christianity across the Kingdom. The city was at the heart of the vast Kongo Kingdom that in turn was linked to a vast intercontinental network.

#### Integrity

All the attributes that express the property's Outstanding Universal Value are included inside the property boundaries. The property illustrates the political and religious functions as they were exercised in the heart of the former Kingdom of Kongo. The property includes a set of vestiges that evoke pre-colonial society, and the survival of the Kingdom over several centuries, and the many churches and the military and civil buildings left by the Portuguese. The state of these vestiges is generally satisfactory, but there are problems, some of which are serious, such as the insalubrity of the springs. Several excavations have begun to exploit the archaeological potential of a rich subsurface.

The conditions of visual integrity of the property are fragile, particularly because of the presence of telecommunications antennae (currently being dismantled) and the airstrip, located in the buffer zone, built by the Portuguese in the interwar years. The demolition of the airstrip, which is hardly used nowadays, has been confirmed by the State Party, and a new airport site has been chosen outside the town.

#### Authenticity

The authenticity of the property stems from the fact that since its foundation it has continuously maintained its sacred and symbolic function. The guardians of the tradition transmit the prestige on which the earlier kings relied: the customary court, which manages conflicts, has been reinstated after four decades of war, as a cultural and political link with a living tradition. The occupation of the urban space has been known since the 16th century, as reflected in the accounts written by Portuguese travellers. A certain degree of continuity has been maintained in this historic urban fabric, despite the orthogonal street pattern introduced by the Europeans, although the main street has retained its ancient trace. The many churches and convents contributed to stability,

and it is quite remarkable that the passing of centuries has not led to any encroachment on the royal space, which is still clearly identifiable as the spiritual centre of the community.

#### Management and protection requirements

Since the Angolan constitution was established in 2010, the heritage of Mbanza Kongo has been preserved by a set of legal texts that delineate the boundaries of the property and its buffer zone (executive decree of July 2014), and lists the protected places (decree of January 2015).

A participative management committee was set up by presidential decree in September 2015. The committee coordinates the action of the entities in charge of managing the site (Ministry of Culture, Governorate of Zaire province, Municipality, Customary authorities). The participation of the customary authorities is a significant indicator of local involvement. Two urban infrastructure development plans (water, energy, etc.) are scheduled to end in 2017; they must be extended. The Management Plan 2016-2020 has defined tools to ensure the property's security and enhance its appearance. Conservation and restoration measures, particularly for the former cathedral (*Kulumbimbi*), have been scheduled over the next five years. The National Cultural Heritage institute provides a frame of reference for these works, for their technical coordination and for funding. Documentary, archaeological and historic research about the property must however be continued and extended. A tourism management strategy will have to be developed. The civil protection services ensure the surveillance of the property. An urban regulation plan for the historic centre of Mbanza Kongo is also in preparation, while a provincial decree of August 2013 makes a prior building permit compulsory for any intervention inside the property boundaries and in the buffer zone.

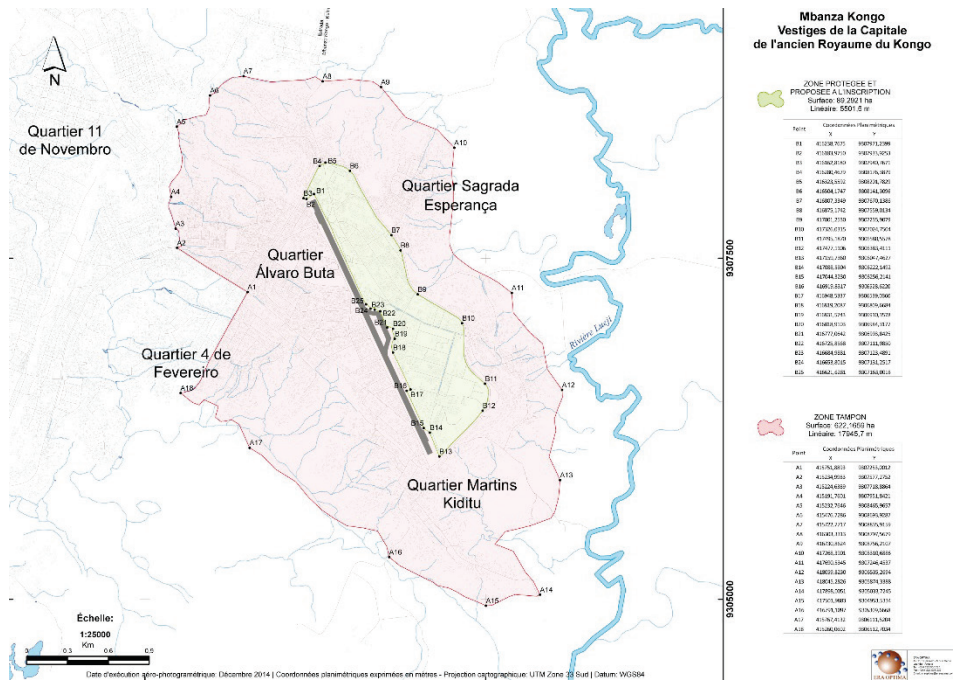
#### Additional recommendations

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

- a) Completing the dismantling of the telecommunications antennae as announced,
- b) Removing the airport runway as announced, and undertake detailed archaeological investigations to identify the location of graves, former churches and other remains linked to the historic centre,
- c) Confirming that the transversal management system is functioning, specifying the human and material resources made available to those in charge of the system,
- d) Providing details of actions, persons responsible, and funding of the conservation intervention system,

- e) Finalising the urbanism regulations (PREGU) as announced,
- f) Devising a tourism management strategy,
- g) Drawing up specific monitoring indicators based on Outstanding Universal Value,
- h) Submitting to the World Heritage Centre and to ICOMOS by 1st December 2019 a report on the implementation of the recommendations set out above;

ICOMOS further recommends to foster collaboration with other countries on research into sites in the former Kongo Kingdom to explore whether other places and dimensions of this Kingdom could have the potential to be inscribed on the World Heritage List, to reflect for example its involvement in the Slave Trade or its extensive trading activities.



Map showing the revised boundaries of the nominated property



View of the plateau of Mbanza Kongo



Kulumbimbi – Cathedral of the Holy Saviour



Yala Nkuwu The Sacred Tree



Overall view of the Tadi dya Bukikwa site





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## Asmara (Eritrea) No 1550

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### Official name as proposed by the State Party

Asmara: Africa's Modernist City

### Location

Central Region Administration  
Eritrea

### Brief description

Asmara, located on a plateau at the centre of the country, is the capital city of Eritrea. The nominated property encompasses the area of the city that resulted from subsequent phases of planning between 1893 and 1941, developed during the Italian colonial occupation. The property includes the urban layout of the city, which emerged from the different plans based mainly on an orthogonal grid but incorporating elements of a radial system, and a large number of buildings designed in the early modernist and rationalist architectural language of the fascist era. It also includes the indigenous unplanned neighbourhoods of Arbate Asmera and Abbashawel.

### Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a *group of buildings* and it is also a *new town of the 20<sup>th</sup> century* according to Annex 3 of the *Operational Guidelines*.

## 1 Basic data

### Included in the Tentative List

25 March 2005

### International Assistance from the World Heritage Fund for preparing the Nomination

A request for 30,000 USD to complete the Conservation Master Plan and its regulations was approved in 2016 and funds have been allocated by the World Heritage Fund.

### Date received by the World Heritage Centre

1 February 2016

### Background

This is a new nomination.

### Consultations

ICOMOS has consulted its International Scientific Committee on 20<sup>th</sup> Century Heritage, on Historic Towns and Villages, and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the nominated property from 23 to 31 July 2016.

### Additional information received by ICOMOS

ICOMOS sent a letter to the State Party on 13 October 2016 requesting additional information on the following points: provide additional arguments to justify criterion (ii); better explain the rationale for the delineation of the boundaries; and the current status of protection and management.

The State Party responded on 14 November 2016 and the information provided is integrated in the relevant sections of this report.

Following the meeting of the ICOMOS Panel in November 2016, an Interim Report was sent on 20 December 2016 to the State Party, seeking further information on the following aspects: construction techniques and morphologies to support the justification of criterion (ii); detailing of the attributes expressing the proposed Outstanding Universal Value; expanding the comparative analysis to the wider African context; the boundaries of the nominated property; measures and mechanisms to sustain the rehabilitation of the city; the hierarchy, provisions and validity of the existing planning instruments and their relationship with the management system/plan for the nominated property; and the involvement of the local communities.

The State Party responded on 28 February 2017 providing substantial additional information, which has been integrated into the relevant sections of this report.

## 2 The property

### Description

The property nominated includes the Historic Perimeter of Asmara which emerged from the successive planning phases from 1893 until 1941, when the town passed under British military administration, during World War II. It also includes the pre-existing settlement of Arbate Asmera and the indigenous quarter of Abbashawel.

Asmara developed from the 1890's onwards as a military outpost for the Italian colonial power, thanks to its strategic location at the centre of the colony. But it was soon to have better prospects: due to its fortunate geographical position, at 2,323m a.s.l., it enjoys a temperate climate and was free from malaria. Italians living in Eritrea subsequently preferred to reside in Asmara rather than in Massawa.

The early settlement – the Campo Cintato – originated thanks to the building of Fort Baldissera. The position of the Campo Cintato with respect to the main route coming from Massawa and crossing the Asmara upland, to Fort Baldissera and Arbate Asmera, determined a polarity and an axis at the territorial scale that was confirmed in all subsequent development plans. The first plan of

development dates back to 1902, although until 1908 most of the interventions in Asmara focussed on providing necessary infrastructure.

The first phase of growth of the city occurred east of the Campo Cintato up to the Mai Bela stream. The early nucleus of the residential and tertiary services' expansion developed on a grid layout which, organized around the market square, integrated the elements of the local landscape - the hills, rocks, the river, and the existing settlement. The early military settlement also included a residential area for conscripted Eritreans who served in the Italian Army (known as *askari*) which used the local residential models of the *hidmo* (a square-plan-based dwelling) and of the *agdo* (a circular-plan-based dwelling).

The grid layout was delimited by two main parallel arterial streets: the Corso del Re (King's Avenue, today's Nakfa Street) and Via Regina (Queen's Boulevard). On Corso del Re, which followed the same direction as the caravan route, a wide square – Piazza del Tribunale, later Piazza Roma – opened up: it functioned as the heart of city life. A garden with palm trees and a fountain adorned the square and buildings symbolic of the colonial power, such as the courthouse and the bank headquarters, overlooked it. Behind the courthouse, a smaller square with the post office was created.

The first organic plan for Asmara was issued in 1908, when its growth came to be regulated for the first time by an urban layout based on four zones, in conformity with ethnic segregation and functional programmes. The plan envisaged the European zone, the mixed zone, the indigenous zone and a suburban, mainly industrial, zone. The mixed zone corresponded to that of the market, eastward of the Campo Cintato, while the indigenous zone was located around the indigenous settlement. The industrial area was located at the periphery.

With the city growing, a new plan was necessary. Odoardo Cavnagari was appointed to draw it up and the new Plan was ready in 1913. It confirmed the racial segregation of the previous plan and its orthogonal grid by adding two new East-West axes at the edge of the previous expansion: Corso Italia (today's Harnet Avenue) to the south, which superceded Corso del Re (today's Nakfa Street) as the focus of the urban development; and Viale Manzoni (today's Afabet Avenue) to the north. In the fascist decades, some of the most important buildings that gave Asmara its rationalist appearance grew up along these streets. Radiating from their furthest ends and taking into account the uneven geography of the plain, a system of diagonal streets was developed to expand the city and to locate the new allotments. The rigidity of the grid therefore came to a halt in the layout of three grand goose-feet, located at the corners of the triangle containing the early core of Asmara. With the increase in the number of inhabitants between the 1920's and the mid 1930's, the entire periphery of the city to the south-east, south-west and north-west came to assume the appearance of a large new residential quarter made up of two- or three-storey houses.

The time was ripe for a new plan of expansion and in 1936 Vittorio Cafiero was charged with the task of developing a new regulatory plan for Asmara. His plan, completed in 1938, and accompanied by regulations still in existence today, focused on the reinforcement of the central axis between the Governor's Palace and the new railway station – thus shifting the representative areas of the town to the south – and the selective demolition of the oldest area. Cafiero conceived a new large indigenous quarter north of Abbashawel, which was intended to be transformed into a green belt. The plan should have been developed starting from the indigenous area while at the same time elaborating a detailed plan for the most representative parts of the city, such as those around the railway station and the old Governor's Palace. Cafiero integrated the previous street pattern conceived by Cavnagari into the new plan through a bypass, which linked the new residential quarters to the existing city.

Before 1935, the architectural character of the buildings erected in Asmara was mainly eclectic in nature and many areas still retain their eclectic appearance. It was only after 1935, with the Italian invasion of Ethiopia, that Asmara underwent a large scale programme of construction following the Italian rationalist idiom of the time: governmental and other administrative edifices, residential and commercial buildings, churches, mosques, synagogues, cinemas, hotels and restaurants, factories and service stations, and sport facilities, were erected following the most up-to-date design forms, in an expression of architectural experimentation and creativity that could be expressed in a freer manner than in the homeland, where architects were more directly subjected to ideological control.

Designed by Italian architects or engineers, the urban form of Asmara followed the models for colonial planned cities, although the natural features of the environment and the pre-existing settlements were largely integrated into the urban layout, thereby giving rise to a peculiar urban environment.

ICOMOS has requested additional information on the building techniques, materials and forms that were used in the construction of the town and its buildings.

The State Party responded in February 2017, expanding substantially on what is presented in the nomination dossier and the additional information provided in November 2016 on the use of local materials and techniques, and the use of traditional construction methods in buildings.

Relying on the indigenous workforce and as a result of specific interests of rationalist architects in traditional forms and techniques, elements of local construction idioms and techniques were used to construct a number of buildings, which, although exhibiting rationalist forms, thanks to the local workforce make use of local workmanship, materials and techniques.

The additional information documents very well through many illustrations the range of materials and techniques used to build the architecture of Asmara and also the role played by Eritreans in the construction of Asmara as a skilled and semi-skilled workforce.

### **History and development**

When the Italian colonial process began in 1890, the existing settlement was no more than a large village; at the time the population would not have exceeded a few thousand.

The first governmental decree aiming to give the centre of Asmara urban stature dates back to 1898. The relocation of the capital from Massawa to Asmara triggered architectural, infrastructural, and urban interventions, as well as public regulations and ordinary maintenance. In 1903, the first secular elementary school was inaugurated, and the market area near the Mosque was equipped with services and facilities, as well as the construction of the Governor's Palace, the opening of a few roads, and tree planting. The 1902 plan was not implemented and was superseded by another one in 1908. The growth of the town required a new plan, outlined by Cavagnari in 1913 and subsequently amended in 1916. In the 1920's, Asmara was a small town of no more than 18,000 inhabitants. However, by 1936 it had grown to 98,000, of which 53,000 were Italians, based in the area close to the older core, at the time occupied by military barracks.

The new 1938 plan of Cafiero designed the expansion of the city and integrated the eclectic city that had developed since the early 1900's. Within a five-year timespan, between 1935 – when preparations for the war against Ethiopia began – and April 1941 – when Italy lost Eritrea to the British army – Asmara saw a dramatic increase in population and underwent an unprecedented urban development.

While strict regulations applied for the European and mixed quarters, the indigenous neighbourhood was not provided with adequate services and soon became overcrowded and continued to suffer from the lack of basic infrastructure.

The city changed little during the British presence and, subsequently, under Ethiopian rule, although a few public buildings, the American military base, and an unfinished stadium were built.

Despite decades of civil war, Asmara suffered no significant damage, apart from neglect. The first threats to the integrity of the city were caused by new development, following independence. A few high-rise buildings and other examples of inappropriate development led the Eritrean and Asmara authorities to issue a moratorium for new construction, which has been in place since 2001.

In 1997, the Government of Eritrea, with the support of the World Bank, initiated the Cultural Assets Rehabilitation Project, with a mandate to document and preserve the

character of Asmara, an initiative that continues today with the Asmara Heritage Project.

### **3 Justification for inscription, integrity and authenticity**

#### **Comparative analysis**

The comparison considers the national and the sub-regional context, focusing mainly on eastern Africa and essentially on Italian planned colonial cities, such as Addis Ababa, Gondar, and Harar (Ethiopia); Mogadishu (Somalia); Tripoli (Libya), Tirana (Albania) or Sabaudia (Italy). The examples drawn from the international context include Tel Aviv (White City of Tel-Aviv – the Modern Movement, Israel, 2003, (ii) and (iv)), Casablanca (Tentative List of Morocco), Rabat (Rabat, Modern Capital and Historic City: a Shared Heritage, Morocco, 2012, (ii) and (iv)), Changchun, Dalian (China), Canberra (Australia) and New Delhi (Tentative List of India). The State Party concludes that the closest comparators for Asmara could be considered Canberra and New Delhi and to a certain extent Changchun. The nomination dossier concludes that Asmara stands out for the combination and completeness of its innovative urban planning and modernist architecture as emerged in an African context. However, the real exceptionality of Asmara resides in its integrity as an early modernist planned city.

ICOMOS considers that the comparative analysis has been limited only to the eastern African context and has not examined relevant examples of other colonial cities in Africa, nor has it demonstrated why these would not be relevant for the analysis. The comparison seems to be too much focused on Italian Modernism and planned towns, either in Italy or in the Colonies during the Fascist period, and overlooks other examples. An expansion of the comparative analysis within the African region is certainly needed to demonstrate the merits of Asmara.

ICOMOS in its Interim Report requested the State Party to expand the comparative analysis with other colonial planned cities in Africa. The State Party responded in February 2017 by providing a substantially expanded comparative analysis that examines a further 14 cities throughout Africa: Accra (Forts and Castles, Volta, Greater Accra, Central and Western Regions, 1979, criterion (vi)), Ghana; Antananarivo, Madagascar; Brazzaville, Republic of Congo; Dakar, Senegal; Dar es Salaam, Tanzania; Djibouti; Harare, Zimbabwe; Kinshasa, Democratic Republic of Congo; Lagos, Nigeria; Malabo, Equatorial Guinea; Maputo, Mozambique; Nairobi, Kenya; Pretoria, South Africa; Windhoek, Namibia.

The expanded comparative analysis does not draw explicit conclusions, although ICOMOS observes that Asmara exhibits only some similarities with the selected comparators but also remarkable differences related mainly to the relatively short period of colonial occupation, planning, and construction of the city as an almost

completely new town. In other cases, either the colonial occupation was much longer and is reflected in different urban development phases, or the post-colonial development modified the aspect of the colonial planned city, in some cases to a great extent, whilst in Asmara this did not happen and the quality of the urban and built fabric of the planned city has been retained to an exceptional degree.

ICOMOS concurs with the State Party that the intactness of Asmara in its urban layout, architecture, scale and character is outstanding and almost unique, and needs to be retained.

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

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### **Justification of Outstanding Universal Value**

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

- Asmara is an outstanding example of a colonial capital bearing witness to an encounter with modernity in the early 20<sup>th</sup> century and then in a post-colonial situation;
- The historic urban landscape illustrates the unity of innovative urban planning and modernist architecture combined with local conditions, both natural and cultural;
- The urban layout of the town illustrates how planning principles of racial segregation and functional zoning were applied by the Italian colonial power to respond to challenges of modern urban requirements in a highland African setting;
- The architectural character exemplifies a period of intense development and architectural experimentation of the rationalist architectural idiom in an African context.

ICOMOS considers that the way in which the justification for Outstanding Universal Value is phrased raises some problems, which it is useful to address in this report. While ICOMOS acknowledges the importance of the UNESCO recommendation on Historic Urban Landscapes (HUL) as being “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”, there is an agreement that the notion of HUL should be seen as a useful approach that can sustain and strengthen management but cannot be understood as a category of heritage and should not be mentioned as such in the justification for inscription.

The arguments altogether bring up issues related to planning and associations. Although the main buildings of the city are well documented in the nomination dossier, there is far less information on the structure of the city and how it might carry complex associations. There are also few details in the nomination dossier on the morphology

of the city or the characteristics of the various discrete areas that have been identified in the research on the town and have been used as a reference to describe the nominated property.

ICOMOS therefore requested the State Party to provide additional information on the overall urban dimension of the nominated property and its character as a planned city in a specific context, and on the related attributes that support the proposed justification for inscription.

In the additional information submitted in February 2017, the State Party argues that the notion of the historic urban landscape is not mentioned in the nomination dossier; however, it should be underlined that it is explicitly referred to in the justification for inscription. The additional information also substantially expanded the description of the attributes related to the urban scale, layout and overall character of Asmara. This is integrated in the relevant section of this report.

ICOMOS concurs with the State Party that the nominated property is an exceptionally well-preserved planned urban ensemble based on an orthogonal grid plan combined with diagonal axes, characterised by a human scale, eclectic and rationalist built forms, well-defined open spaces, and public and private buildings, including cinemas, shops, banks, religious structures, public and private offices, industrial facilities, and residences. Altogether, they outstandingly convey how colonial planning, based on functional and racial segregation principles, was applied and adapted to the local geographical conditions to achieve symbolic messages and functional requirements. The town has come to be associated with the struggle of the Eritrean people for self-determination, which was pursued whilst embracing the tangible, yet exceptional evidence of their colonial past.

### **Integrity and authenticity**

#### **Integrity**

According to the nomination dossier, the boundaries of the nominated property comprise all elements necessary to convey the proposed justification for inscription. It also includes the indigenous section of the town (Arbate Asmera and Abbashawel) – area 14 in the nomination dossier – which was incorporated into the plans for colonial Asmara, without enjoying a detailed design of its layout but rather illustrating the exclusion and segregation suffered by the indigenous population during the Italian colonial power, particularly from the advent of Fascism.

ICOMOS notes that this part of the city poses extreme challenges in terms of its conservation as a heritage property and the need for its infrastructural rehabilitation and possible decongestion.

On the other hand, the integrity of the buildings and of the city is overall remarkable. They do not suffer from particular development pressures, but rather from lack of

maintenance and neglect, due to the limited resources available in the country.

Buildings retain, in most cases, their original functions. Open spaces and public gardens have recently been undergoing thorough renovation thanks to the engagement of the nearby communities (with planning and supervision by city authorities).

#### Authenticity

The urban layout of Asmara combines the more traditional orthogonal grid with the radial system, which was being explored in its functional and architectural potential by the emerging discipline of urban planning at the dawn of the 20<sup>th</sup> century. Asmara's layout, organization and the specific character of the quarters illustrates also the application of zoning for both functional and racial reasons. The early eclectic architectural language was complemented and supplanted by the rationalist idiom of the 1930's buildings that give Asmara its peculiar character.

The property bears credible witness to the specific cultural, political and geographical circumstances in which Asmara's plan and architecture came into being.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity have been met, although sector 14 of the nominated property requires an urgent and defined rehabilitation programme.

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#### Criteria under which inscription is proposed

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

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

This criterion is justified by the State Party on the grounds that the nominated property bears exceptional witness to a cultural interchange during the early 20<sup>th</sup> century, illustrated by the innovative urban planning combined with modernist architecture and with local cultural and natural conditions, which created a distinctive urbanism characterized by a human scale.

ICOMOS requested additional information on the rationale for the justification for criterion (ii) in October 2016. The State Party replied explaining that this criterion is justified in two ways: the first relates to the planning phases of the town and its modernist architecture in the early 20<sup>th</sup> century; the second relates to Eritrea's response to the physical legacies of this urban heritage in the early 21<sup>st</sup> century in relation to the colonial past. Despite the evidence of its colonial imprint, Asmara has been incorporated into the Eritrean identity and struggle for self-determination and has been the object of early efforts for its protection.

ICOMOS considers that the value interchange in Asmara's urban fabric is less evident than the transposition and materialization of ideas about planning developed in Europe and North America in the multi-confessional African context, which, however, certainly brings in some sort of syncretism. The human scale does not seem to be the result of a conscious effort, but rather the effect of carefully applied architectural forms representative of an urban colonial project.

On the other hand, the involvement in the construction of the town of the local workforce and the use of local techniques and materials and the reference to local building morphologies, can be considered to complement the transposition of colonial models and contribute to reflecting an interchange of human values.

In February 2017, the State Party provided additional information that illustrates the ways in which Eritrean skills, capacities and workforce, as well as local techniques and materials, were used and reinterpreted into the architectural morphologies and constructions.

ICOMOS considers that the additional information contributes to justifying this criterion, although in conjunction with criterion (iv).

ICOMOS also recognizes that the sense of belonging of the Eritrean people to their capital Asmara has largely contributed to its preservation up until today.

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ICOMOS considers that this criterion has been justified.

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

This criterion is justified by the State Party on the grounds that Asmara bears exceptional testimony to the universal aspiration for and attainment of national self-determination founded on the development of cultural and political consciousness thanks to multiple encounters with regional civilisations and colonial experiences. The town was a centre of established cultural traditions and commercial networks before it came to be a hub of foreign agendas throughout the 20<sup>th</sup> century and in particular between the 1930's and the end of the Cold War.

ICOMOS believes that these arguments do not fulfil criterion (iii) and are not reflected in any evident manner by the nominated property.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that Asmara is seen as an outstanding example of the

transition in architecture and town planning at the beginning of the 20<sup>th</sup> century as a response to the encounter with modernity in an African context. The combination of town planning models and architectural idioms encapsulates stages of development of modernity including colonialism, scientific responses to the quest for planning and infrastructure, and rapid technological and urban development.

ICOMOS considers that Asmara's urban layout and character, in combining the orthogonal grid with radial street patterns, integrating topographical features, taking into account local cultural conditions created by different ethnic and religious groups, and using the principle of zoning for achieving racial segregation and functional organisation, bears exceptional witness to the development of the new discipline of urban planning at the beginning of the 20<sup>th</sup> century and its application in an African context to serve the Italian colonial agenda. This hybrid plan that combined the functional approach of the grid with the search for the picturesque and the creation of scenic spaces, vistas, civic plaza and monumental places, served the functional, civic and symbolic requirements for a colonial capital. The architecture of Asmara complements the plan and forms a coherent whole, although reflecting eclecticism and rationalist idioms, and is one of the most complete and intact collections of modernist/rationalist architecture in the world.

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ICOMOS considers that this criterion has been justified.

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In conclusion, ICOMOS considers that the nominated property meets criteria (ii) and (iv) and the conditions of authenticity and integrity.

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#### **Description of the attributes**

The additional information provided by the State Party on attributes of the property is integrated below:

Asmara's urban character and strong urban form exhibits a human scale in the relationship between buildings, streets, open spaces, and related activities adapted to the local conditions, which embodies both colonial and post-colonial African life, with its public spaces, mixed-use fabric and place-based material culture. These spaces and usage patterns also bear witness to interchange and cultural assimilation of successive encounters with different cultures as well as to the associations of Eritreans with Asmara. Asmara's urban layout with its different patterns associated with the planning phases, illustrates the adaptation of modern urban planning and architectural models to local cultural and geographical conditions. The ensembles attest to the colonial power and to the presence of Coptic and Jewish communities in Asmaran society, with their institutional and religious places, the elements of the urban architecture (Harnet et Sematat Avenues; Mai Jah Jah Park; the footpaths; the old plaques with traces of the street names), the buildings, complexes and facilities resulting from the 1930s programmes (the Post Office building at Senegyeti

Avenue), the cinemas (Impero, Roma, Odeon, Capitol, Hamasien), the schools, the sports facilities, the garages, the residential complexes and buildings, the villas, the commercial buildings, the factories (soap and textiles), the cores of the community quarters (e.g. the Italian quarter, the Coptic quarter and the Muslim quarter). The major religious places, marking the landscape with bell-towers, towers, and minarets, and civil and military cemeteries, illustrate the diversity of the populations and of their rituals. The main trade route was also incorporated into the plan; the administrative area with ministerial buildings and the Governor's palace, the public markets, the service stations.

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

The nomination dossier reports that the town suffers from pressure from development and the need for housing. The moratorium on new construction has, so far, preserved the city but solutions should be found in order to allow for urban rehabilitation of abandoned or under-developed areas within the city.

Pollution from poorly-located industries may threaten the attributes of the nominated property; and the lack of waste management and liquid waste treatment is of great concern, along with the lack of maintenance of the sewers. Seasonal flooding causes temporary but also mid- and long-term damage, especially to the infrastructure and the buildings, which all suffer from lack of maintenance.

Climate change is likely to affect Asmara through erratic and increased rainfall and flash floods, combined with an increase of drought, which can have important socio-economic effects.

For each affecting factor, the nomination dossier presents a set of strategic actions to be put in place.

ICOMOS notes that the challenges faced by Asmara are complex and manifold and require a proactive attitude.

ICOMOS considers that the main challenge for Asmara, that could turn into a threat if not addressed properly, is to retain the intact character of the urban environment of the historic perimeter, whilst achieving, at the same time, upgrade of the infrastructure, and maintenance and rehabilitation of the buildings, urban spaces and undeveloped or abandoned areas and facilities.

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ICOMOS considers that the main threats to the property are the lack of maintenance and disrepair, but major threats might derive from uncontrolled development and inadequate rehabilitation of parts of the city, if these processes are not carefully planned and managed. The finalization of the plans and regulations currently under development are key to avoiding potential threats from development.

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## 5 Protection, conservation and management

### Boundaries of the nominated property and buffer zone

The nominated property has a total area of 1,684 ha, which encompasses a property of 481 ha and a buffer zone of 1,203 ha.

The nominated property includes the entirety of the Asmara Historic Perimeter and encompasses the 15 areas, which emerge from the study of the planned city.

ICOMOS requested additional information on the rationale for the boundaries of the nominated property in its letter dated 13 October 2016 and the State Party replied on 14 November 2016 explaining that the boundaries incorporate the urban layout that had evolved in different stages of planning. They include therefore the urban fabric which resulted from the implementation of Cavagnari's 1913 plan and its subsequent adaptations and extensions up until the 1938 urban plan by Vittorio Cafiero. The perimeter also contains the historic buildings with varied architectural forms and styles that were constructed throughout the same period, and especially between 1935-1941.

ICOMOS considers that the additional explanation from the State Party could be considered satisfactory, although it notes that at least part of Area 10 includes recent development and features that would not justify its inclusion in the nominated property. Area 8 is occupied by the American army barracks, which, although exhibiting historic significance, is not related to the proposed justification for inscription. Additionally, it is indicated as a special project. In ICOMOS's view, both areas would better serve the purposes of the buffer zone.

ICOMOS in its Interim Report suggested to the State Party to give consideration to redefining the boundaries in order to exclude these two areas from the nominated property.

The State Party responded in February 2017 and accepted the proposed changes to the boundaries as per the ICOMOS Interim Report for Area 8 and Area 10 and submitted an updated map of the nominated property and of the buffer zone.

ICOMOS welcomes the proposed amendments to the boundaries and considers that they are now adequate for both the nominated property and the buffer zone.

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ICOMOS considers that the boundaries of the nominated property and of its buffer zone are adequate.

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### Ownership

Most of the elements of the property belong to private owners and only a limited proportion belongs to governmental and non-governmental institutions.

### Protection

The nomination dossier lists several building regulations (Building Regulations 1914, 1938, Interim Building Regulations 2003 - not in force, Outline Urban Planning Regulations 2005), the Strategic Urban Development Plan 2006 (SUDP 2006) and the Cultural and Natural Heritage Proclamation (CNHP 2015).

Three bodies implement the above: the Department of Public Work Development (DPWD) and the Central Regional Administration manage the regulations, and the Ministry of Culture is responsible for the CNHP 2015.

Eritrea passed a new legislation named Cultural and Natural Heritage Proclamation n. 177/2015 on 30 September 2015 (CNHP-2015). Among the immovable assets that the Law lists as eligible for having national significance are immovable colonial heritage, buildings, market places, public squares, boulevards and other public or private structures, although it does not comprise among eligible categories urban areas, or historic districts or centres. No specific declaration for buildings or other historic areas within the historic perimeter of Asmara have been presented in the nomination dossier according to the new CNHP-2015 or to previous laws.

ICOMOS requested additional information on the legal instruments available for protection and how they altogether provide protection to the nominated property.

The State Party responded explaining that all regulations – with the exclusion of the Interim Building Regulations 2003 and the Draft Asmara Planning Norms and Regulations 2015, which are expected to be finalised by 2017 – are in force and that they have been backed by the moratorium on new construction issued in 2001. It also explained that the implementation of the provisions of the CNHP 2015 have yet to take shape.

In this regard, ICOMOS requested further clarification in its Interim Report. The State Party responded that, as per art. 25 of the Law n. 177/2015, the declaration of the property as a protected site shall adhere to all immovable properties falling within the nominated area.

ICOMOS notes that legal protection has been made possible by the Proclamation but that such protection has not yet taken the form of specific declarations or designations, either for each and every built asset or for the entirety of the nominated property.

ICOMOS considers finalisation of the legal protection of the property through designations is a necessary step.

At present, ICOMOS notes that the nominated property has been, overall, effectively protected mainly through urban instruments, the first being the *Regolamento Edilizio 1938*, which was issued at the time of Cafiero's plan and continued to be upheld through the decades.

Another key instrument for the protection of the property up to today has been the Asmara Municipality moratorium

on construction, which suspended the possibility of building high rise buildings in Asmara and was issued in 2001, based on the proclamation 86/1996 establishing local administrations and their tasks and responsibilities. This instrument appears to have been effective and the Asmara authorities need to be praised for this courageous decision, which has helped preserve the skyline and the character of the city. However, a moratorium cannot be considered a planning instrument *per se* and verification of the effectiveness of planning provisions in place and currently being prepared when the ban will be removed will be crucial.

Additional planning tools that have acted both as protection and management instruments are the Outline Urban Planning Regulation (OUPR) 2005 and the Strategic Urban Development Plan (SUDP) 2006.

The buffer zone will be subject to the provisions of the Urban Conservation Master Plan, the completion of which is expected by 2017, and strategic orientations contained in the OUPR 2005 and the SUPD 2006.

ICOMOS notes that it is not clear what the relationships between the four sub-zones of the OUPR 2005, currently in force, and the 15 zones of the Urban Conservation Master Plan are; nor is it clear what type of instrument is currently being applied to regulate conservation activities on existing buildings.

Additionally, the Draft Norms for the Implementation of the Conservation Master Plan subdivides the nominated property into three subzones A1, A2, A3, which are different from the 15 zones in which the nominated property is described.

ICOMOS requested clarification in this regard from the State Party and, in February 2017, the State Party submitted the detailed description of the zones of the OUPR 2005. The map submitted also clarifies that the zoning of the OUPR 2005 does not correspond to the 15 zones according to which the nominated property has been described. In this regard ICOMOS considers it crucial that the planning instruments under preparation and particularly the Urban Conservation Master Plan clarify the role of the 15 zones from a regulatory and planning perspective and should be put in place. At this stage, they do not seem integrated into the planning system in place nor is it clear if they will be in the future, based on the documentation made available by the State Party.

ICOMOS further considers that it would be important to have more clarification on how the provisions of the SUPD 2006 to open up the still-free building plots of the Historic Perimeter to new building 'under specific conditions' will be controlled and assessed in relation to the need to maintain the value of Asmara's Historic Urban landscape. ICOMOS has found that the regulations contained in the OUPR 2005 only provide for basic urban parameters but do not address the historic character of the urban architectural environment of Asmara.

In its interim report, ICOMOS requested additional information and clarification from the State Party in this regard. The State Party responded in February 2017 that the Urban Conservation Master Plan (UCMP), which is the specific instrument through which the nominated property will be managed, is currently under development and it is expected to be finalized by November 2017 and put into force in 2018. It will take precedence over the SUPD and OUPR 2005 provisions. The Asmara Planning Norms and Technical Regulations (APNTR), the regulatory instruments through which the UCMP will be implemented, are also under development and are expected to be finalized by 2017. Key elements of the *Regolamento Edilizio 1938* are considered still valid and applicable, particularly those that take into consideration the aesthetic aspects, the look and the character of the city, and therefore the articles that are still valid will be incorporated into the APNTR.

The nominated property will be managed according to the provisions of the UCMP and APNTR whilst the buffer zone will be regulated according to both the UCMP and the SUDP.

As for the interim Regulations, these were mainly intended for other areas of Asmara and not for its Historic Perimeter and will be replaced when permanent regulations are prepared.

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In conclusion, ICOMOS considers that the premises for legal protection have been set up through the approval of the Cultural and Natural Heritage Proclamation 2015. However, actual legal protection will be adequate when the implementation of the CNHP 2015 is in place through specific designations as per the provisions of the CNHP. ICOMOS considers that the protective measures for the property will be adequate when the provisions of the various regulations and plans currently in draft forms are approved and implemented. ICOMOS considers that an implementation calendar for the above should be developed by the State Party.

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### **Conservation**

The state of conservation of the property is uneven, in that certain buildings, namely governmental or commercial buildings, but generally all infrastructure and edifices, are in urgent need of intervention due to the prolonged lack of maintenance, which has caused severe decay in many instances.

The State Party has developed strategies, plans and programmes to tackle this large-scale problem. The Asmara Heritage Project Unit has been carrying out documentation and surveying activities on the condition of the built fabric of historic Asmara.

The cartographic documentation of the town, its sectors and buildings, is also a work in progress.

ICOMOS congratulates the State Party for the documentation activity that it has implemented and encourages it to continue such activity. ICOMOS however



also notes that the task of the active conservation, rehabilitation and maintenance of the property and its elements is huge and requires a substantial and steady influx of financial resources, which need to be supported by a careful fund-raising strategy, public-private partnerships, and accompanied by solid institutional, technical and administrative capacity.

Considering that most of the buildings are in private ownership, ICOMOS observes that there would be a need for the involvement of the owners and the local community as well as a system of incentives and subventions to activate widespread rehabilitation and conservation interventions from individual owners.

ICOMOS requested the State Party for additional information on the measures and mechanisms envisaged to sustain the rehabilitation of the city, and to assist the private owners to carry out the necessary conservation measures, as well as to develop the economic activity that could support the livelihood of Asmara's population and sustain its particular character.

The State Party answered that recently measures have been put in place by Asmara Municipality for infrastructure, streets and street furniture. Other projects for public facilities and spaces have been undertaken by the Central Region Administration. The Asmara Heritage Project has been awarded a grant by the European Union for a two-year project on capacity building for safeguarding Asmara's urban environment. Reported specific measures to assist the private owners in carrying out conservation include awareness raising, technical staff training, capacity building of local contractors as well as subsidies to support the purchase of specific materials and administrative measures to facilitate the reactivation of economic activities.

ICOMOS considers that what has been envisaged by the State Party points in the right direction but loan programmes and tax reduction measures would be needed to complement and support the private rehabilitation initiatives.

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In conclusion, ICOMOS considers that the active conservation of the nominated property represents one of the biggest challenges and requires strategies to ensure a steady influx of financial resources, including loans and tax reduction or exemption measures, substantial qualified human resources, and considerable institutional and technical capacity.

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## Management

Management structures and processes, including traditional management processes

The key organisations for the protection and management of the nominated property include the Central Regional Administration, and its departments, among which the Department of Public Works Development (DPWD) plays a major role. It is supported in its activities by the Asmara Heritage Project, an agency established in 2014 by the

Department of Public Works that is charged with the development of the nomination dossier and the implementation of the Integrated Management Plan – IMP (developed in 2016, approval expected in 2017). Its duties include issuing building permits, permission for conservation and maintenance works, and enforcing compliance with building regulations. The Integrated Management Plan however envisages one additional centralised agency – the Focal Organ – which is expected to be set up in 2017.

ICOMOS requested additional clarification on the Focal Organ in October 2016. The State Party replied that the new Organ will be established soon. The IMP envisages extending the tasks and responsibilities of the Asmara Heritage Project (AHP) to the management of the nominated property and the AHP will have a revised organizational structure to reflect the basic structural organs and mandate specified in the CNHP.

In its Interim Report, ICOMOS requested updated information with regard to the implementation timeframe for the establishment of the revised management body. The State Party responded in February 2017 that the management body tasked with coordinating functions was in the process of being set up.

Policy framework: management plans and arrangements, including visitor management and presentation

The Integrated Management Plan, which also includes a disaster risk management framework, was finalised in January 2016, and endorsed by the Ministry of Education, the Commission on Culture and Sports and the Central Region Administration in September 2016, as explained in the additional information submitted in February 2017 by the State Party.

The objectives of the IMP with regard to tourism development find their broader framework in the National Tourism Development Plan. The additional information provided by the State Party explains that this Plan was approved in 1999 with a 20-year time-scale (2000-2020). It envisaged a number of projects, only a few of which were implemented. Other ones – Roof Africa Hotel, a conference centre, a golf course, a national zoological garden and ethnographic museum, Derfo Valley tourism lodge, restaurants and viewpoints – were not implemented and there is no plan to develop them.

The State Party informs also that in case any future project should be proposed, prior notice will be given to the World Heritage Centre in compliance with paragraph 172 of the *Operational Guidelines*.

ICOMOS notes that there are a number of planning instruments either in place or under development and it is important that their coordination and integration is ensured and based on objectives related to the conservation and enhancement of the attributes of the nominated property.

ICOMOS considers that all plans need to provide consistent and integrated measures for the protection and management of the nominated property and this does not yet seem to be the case, due to the many plans and instruments being developed in parallel.

In its Interim Report, ICOMOS requested additional information from the State Party in this regard. The State Party responded in February 2017 and explained the role of each plan and regulation and the way in which they will integrate with one another, once the plans and related regulations are finalised, approved and enter into force.

ICOMOS considers that the clarifications provided are reassuring but also notes that the UCMP and the APNTR are not yet finalised. Therefore, they need to be expeditiously completed, approved and implemented, in order to ensure the adequate and coordinated management of the property. Pending their approval and implementation, the IMP cannot alone ensure the necessary protection and management.

#### Involvement of the local communities

Considering the crucial role that will need to be played by the private owners in order to have a successful conservation programme that is extensive and complex, in its Interim Report, ICOMOS requested clarification about the involvement of the local communities and owners in the nomination process. The State Party responded in February 2017 providing explanations on the meetings, public hearings and stakeholders' consultations organized with the civil society and the inhabitants of Asmara to involve them during the elaboration of the nomination proposal.

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In conclusion, ICOMOS considers that the management system for the property will be adequate when all plans, regulations and guidelines currently under development, particularly the Urban Conservation Master Plan (UCMP) and the Asmara Planning Norms and Technical Regulations (APNTR), are finalized, approved and implemented. This step is crucial to ensuring the effective protection and management of the nominated property. ICOMOS considers that special attention is needed to ensure that the regulations that will be applied to the nominated property take into due account the 15 zones in which Asmara has been subdivided and adapt the OUPR 2005 or any future regulations to the new zones where necessary. The management system should be extended to include guidelines for any new construction within the nominated property, that help respect the urban and architectural specificity of the nominated property, and its immediate and wider setting.

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## 6 Monitoring

The monitoring system has been developed around the documentation and conservation objectives for the nominated property. Indicators have been identified accordingly.

ICOMOS considers that the current monitoring system is a good basis but needs to be further implemented and related to the management objectives, that cannot be confined to the conservation of the buildings or of the urban infrastructure, although these are certainly very important. For instance, the nomination dossier mentions also a disaster risk management system and programmes for raising awareness, as well as a tourism development plan. The achievement of their objectives should also be monitored and evaluated.

ICOMOS therefore suggests further developing the monitoring system so as to measure both the advancement in documentation and conservation activities but also all other management objectives and the major factors affecting the properties.

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In conclusion, ICOMOS considers that the monitoring system should be expanded to cover all factors affecting the property and all related management objectives.

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## 7 Conclusions

The property being nominated includes the urban layout and fabric of the historic perimeter of Asmara, which emerged from the different planning phases, and a large number of buildings designed in the early modernist and rationalist architectural idiom of the fascist era. It also includes the indigenous unplanned neighbourhoods of Arbata Asmera and Abbashawel, which were incorporated into the new planned city as part of the indigenous quarters.

Asmara is an exceptionally well-preserved planned urban ensemble based on an orthogonal grid plan combined with diagonal axes, characterised by a human scale, eclectic and rationalist built forms, well-defined open spaces, and public and private buildings.

ICOMOS has found that out of the three criteria under which the property has been nominated, two – criteria (ii) and (iv) – have been fully justified thanks also to the focused additional information provided by the State Party during the evaluation process. On the other hand, criterion (iii) was found not relevant in relation to the capacity of the property to exhibit through its tangible evidence the proposed associative values, which suggest a national scope. However, the justification for criterion (ii) expresses powerfully the dynamic processes of cultural interchange that underlie the strong associations between Eritreans and their capital city and the role it played in the struggle for self-determination.

The State Party has fully harnessed the opportunities offered by the evaluation process and has achieved a greater straightforwardness in presenting information and arguments supporting the justification for inscription and the description of the overall multi-layered protection and management system for the nominated property and its buffer zone.

This protection system dates back to the time when the city was planned and constructed and is essentially based on the *Regolamento Edilizio 1938*, which was issued at the time of Cafiero's plan and continued to be upheld through the decades; it was further complemented since Eritrea's independence by important protective measures that have ensured the preservation of the urban and built fabric and character of Asmara, first and foremost by the moratorium on high-rise buildings issued in 2001. Asmara's authorities should be praised for the efforts made for almost 20 years to protect the city.

The Municipality nonetheless has progressively developed planning instruments to complement the above key protection instruments through additional regulations and plans. In 2015, Eritrea issued the Cultural and Natural Heritage Proclamation, which will provide the nominated property with legal protection. An Urban Conservation Master Plan specifically dedicated to the nominated property and its buffer zone, equipped with ad-hoc regulations – Asmara Planning Norms and Technical Regulations – is being prepared and its finalization is expected by the end of 2017, with implementation envisaged at the beginning of 2018.

ICOMOS considers that all these are important steps which need to be urgently finalized and put in place, in order to strengthen the protection so far ensured by planning regulations and the moratorium on construction, and also in view of the new challenges that the city may find itself facing due to the exceptional visibility that will be triggered by the nomination.

ICOMOS therefore fully supports the inscription of the property on the World Heritage List but also considers that legal and planning protection be guaranteed by the expeditious completion and enforcement of the necessary instruments currently under development for a strengthened protection and management.

ICOMOS also suggests that the name of the nominated property be slightly modified to become: "Asmara: a Modernist City of Africa".

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that Asmara, Africa's Modernist City, Eritrea, be inscribed on the World Heritage List on the basis of **criteria (ii) and (iv)**.

## Recommended Statement of Outstanding Universal Value

### Brief synthesis

Located on an upland plateau at the centre of Eritrea, Asmara, a Modernist city of Africa is the capital of the country and is an exceptionally well-preserved example of a colonial planned city, which resulted from the subsequent phases of planning between 1893 and 1941, under the Italian colonial occupation. Its urban layout is based mainly on an orthogonal grid which later integrated elements of a radial system. Asmara preserves an unusually intact human scale, featuring eclectic and rationalist built forms, well-defined open spaces, and public and private buildings, including cinemas, shops, banks, religious structures, public and private offices, industrial facilities, and residences. Altogether, Asmara's urban-scape outstandingly conveys how colonial planning, based on functional and racial segregation principles, was applied and adapted to the local geographical conditions to achieve symbolic messages and functional requirements. The town has come to be associated with the struggle of the Eritrean people for self-determination, which was pursued whilst embracing the tangible, yet exceptional, evidence of their colonial past.

Asmara's urban character and strong urban form exhibits a human scale in the relationship between buildings, streets, open spaces, and related activities adapted to the local conditions, which embodies both colonial and post-colonial African life, with its public spaces, mixed-use fabric and place-based material culture. These spaces and use patterns also bear witness to interchange and cultural assimilation of successive encounters with different cultures as well as to the role played by Asmara in building people identity that also allowed for early efforts for its preservation. Asmara's urban layout with its different patterns associated to the planning phases, illustrates the adaptation of the modern urban planning and architectural models to local cultural and geographical conditions. The ensembles attesting to the colonial power and to the presence of the copt, jewish communities of the Asmaran society, with their institutional and religious places, the elements of the urban architecture (Harnet et Sematat avenues; Mai Jah Jah park; the walking paths; the old plaques with traces of the street names), the buildings, complexes and facilities resulting from the 1930s programmes (the post office building at Senegyeti avenue) the cinemas (Impero, Roma, Odeon, Capitol, Hamasien) the schools, the sport facilities, the garages, the residential complexes and buildings, the villas, the commercial buildings, the factories (soap and textiles); the cores of the community quarters (e.g. the Italian quarter, the Copt quarter and the Muslim quarter). The major cult places, marking the landscape with bell-towers, towers, and minarets, civil and military cemeteries illustrate the diversity of the populations and of their rituals. The main trade route which has been incorporated into the plan, the Capitol area with ministerial buildings and the governor palace, the public markets, the service stations.

**Criterion (ii):** Asmara, a Modernist City of Africa represents an outstanding example of the transposition and materialization of ideas about planning that developed in Europe and North America, in the multi-confessional African context and were used for functional and segregation purposes; the adaptation to the local context is reflected in the urban distribution and functional zoning, and in the architectural forms, which, although expressing a modernist and rationalist idiom, borrowed morphologies, construction methods, local materials combined with imported ones, as well as the use of local skills and workforce. The way in which Asmara came into being contributed to Eritreans' particular response to the tangible legacies of their colonial past. Despite the evidence of its colonial imprint, Asmara has been incorporated into the Eritrean identity and struggle for self-determination and has been the object of early efforts for its protection.

**Criterion (iv):** Asmara's urban layout and character, in combining the orthogonal grid with radial street patterns, integrating topographical features, taking into account local cultural conditions created by different ethnic and religious groups, and using the principle of zoning for achieving racial segregation and functional organisation, bears exceptional witness to the development of the new discipline of urban planning at the beginning of the 20<sup>th</sup> century and its application in an African context, to serve the Italian colonial agenda. This hybrid plan, that combined the functional approach of the grid with the search for the picturesque and the creation of scenic spaces, vistas, civic plaza and monumental places, served the functional, civic and symbolic requirements for a colonial capital. The architecture of Asmara complements the plan and forms a coherent whole, although reflecting eclecticism and rationalist idioms, and is one of the most complete and intact collections of modernist/rationalist architecture in the world.

#### Integrity

All the significant architectural structures and the original urban layout, including most of the characteristic features and public spaces, have been retained in their entirety. The site has also preserved its historical, cultural, functional and architectural integrity with its elements largely intact and generally in relatively acceptable condition, although a number of buildings suffer from lack of maintenance. Limited negative impacts have been the occasional inappropriate restoration of older structures and the construction of some buildings in the late 20<sup>th</sup> century that are inappropriate in size, scale or character. Despite continuing developmental pressures, the establishment of the 'Historic Perimeter' around the centre of the city since 2001 and a moratorium on new construction within this perimeter by the municipal authorities have safeguarded the site's integrity.

The integrity of the intangible attributes associated with the local community that has inhabited parts of the site for centuries has been maintained through a process of cultural continuity that, despite successive waves of

foreign influence, has been successfully assimilated into a modern national consciousness and a national capital. Authenticity

Asmara's combination of innovative town planning and modernist architecture in an African context represents important and early developmental phases of town planning and architectural modernism that are still fully reflected in its layout, urban character and architecture.

Climatic, cultural, economic and political conditions over subsequent decades have favoured the retention of the artistic, material and functional attributes of the city's architectural elements to an almost unique degree of intactness, which allows also for future research on the history of construction of its buildings.

The authenticity of local intangible attributes manifested in language, cultural practices, identity, and sense of place have been retained through Asmara's evolution from an indigenous centre of economy and administration, through a colonial capital, to a modern African capital.

#### Management and protection requirements

The protection of Asmara has been granted by the *Regolamento Edilizio 1938*, issued at the time of Cafiero's plan, and by the moratorium on new construction issued in 2001. The Cultural and Natural Heritage Proclamation 2015 provides conditions for the legal protection of the property through ad-hoc designations. The Asmara Heritage Project and the Department of Public Works Development hold responsibilities for issuing building permits and granting permission for maintenance works in compliance with existing regulations. Planning instruments at different scales are crucial in complementing the legal protection of Asmara and its setting and in guaranteeing its effective management: the Urban Conservation Master Plan and the related Asmara Planning Norms and Technical Regulations under development are key tools in this regard. Both need to ensure that the intactness of Asmara's urban and built fabric, its human scale and specific modernist yet African character, are preserved, though favouring proactive maintenance, conservation and rehabilitation of its urban fabric and spaces. Given the several administrative/technical structures and instruments already in place, the envisaged management framework needs to build on existing experiences and structures and ensure coordination and clear mandates, which avoid duplication.

#### Additional recommendations

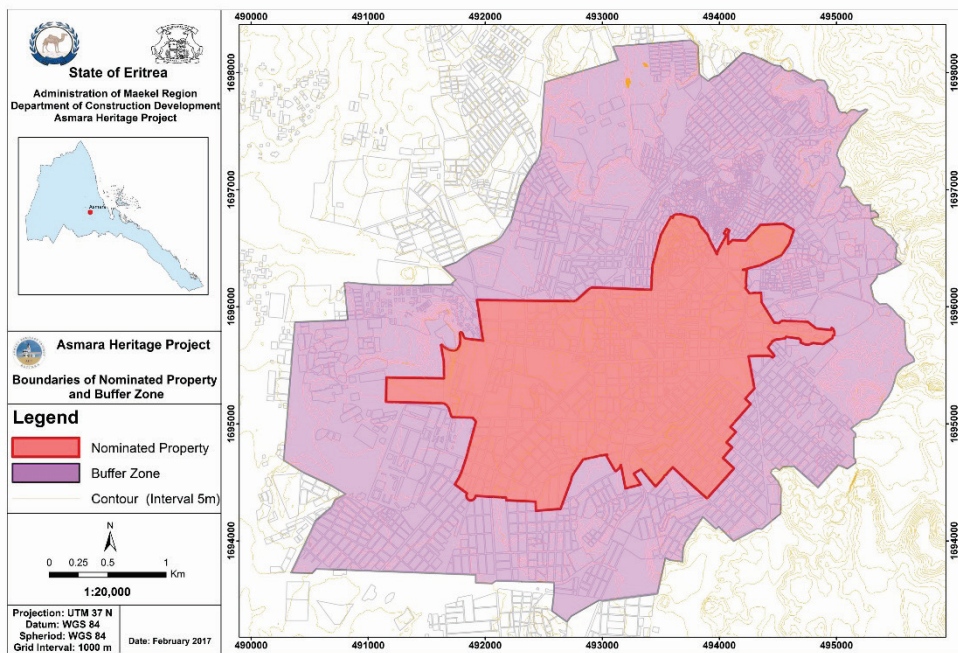
ICOMOS recommends that the State Party give consideration to the following:

- a) Issuing the specific protective designations for the property as per the provisions of the CNHP 2015 and developing an implementation calendar to monitor advancements in this regard,

- b) Finalising the Urban Conservation Master Plan and the Asmara Planning Norms and Technical Regulations, making consistent the zoning in the relevant plan and regulations, taking into account the 15 zones of the urban analysis, and developing action plans with clear priorities for conservation intervention and budget proposals,
- c) Developing strategies to ensure a steady influx of financial resources, including loans and tax reduction or exemption measures, substantial qualified human resources, and considerable institutional and technical capacity,
- d) Setting up the central management body envisaged by the Integrated Management Plan, based on the existing capacities and functioning structures, and giving it the function to coordinate all relevant stakeholders, both public and private, acting within the property and its buffer zone and providing it with the necessary technical and financial means and adequate human resources,
- e) Clarifying the geographical coordinates of the property and of the buffer zone,
- f) Submitting to the World Heritage Centre by 1<sup>st</sup> December 2018 a State of Conservation report on the progress on the above-mentioned recommendations, for examination by the World Heritage Committee at its 43rd session in 2019;

Moreover, ICOMOS recommends that the name of the property be modified to become: "Asmara: a Modernist City of Africa".





Map showing the revised boundaries of the nominated property



Aerial view of Asmara

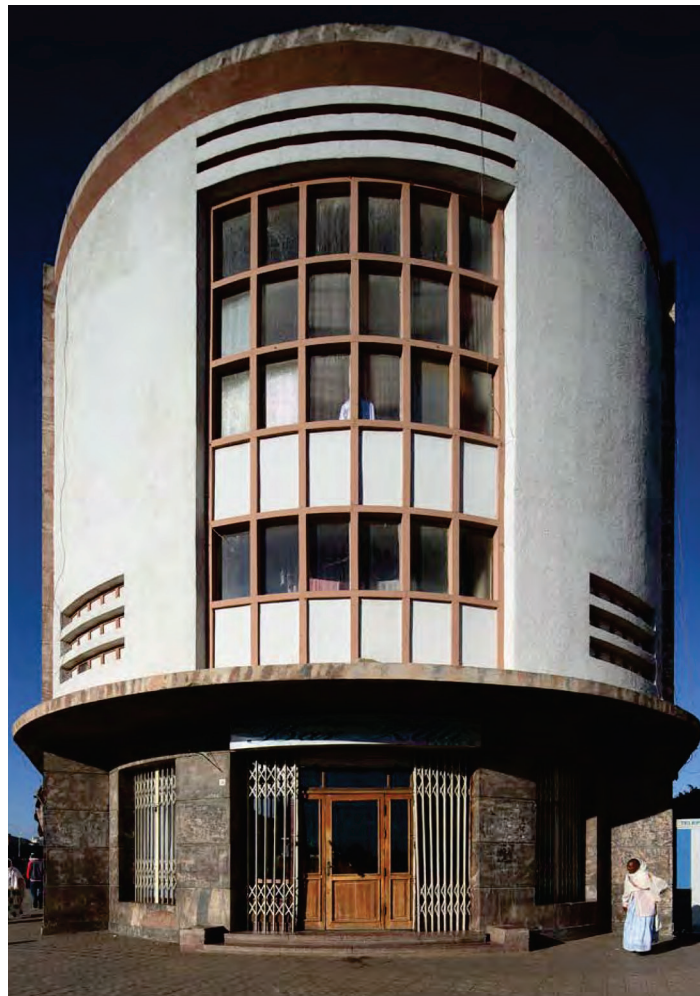


The Catholic Cathedral and the minaret of the Grand Mosque between the towers of St Mary's Orthodox Cathedral





Fiat Tagliero service station



Bar Zilli area 2



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## #Khomani Cultural Landscape (Republic of South Africa) No 1545

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### Official name as proposed by the State Party

#Khomani Cultural Landscape

### Location

ZF Mgcawu District  
Northern Cape Province  
South Africa

### Brief description

The #Khomani Cultural Landscape is located at the border with Botswana and Namibia in the northern part of the country. The nominated property comprises a vast area that coincides with the Kalahari Gemsbok National Park (KGNP). The large expanse of sand dunes and associated physical features contains evidence of human occupation from the Stone Age to the present and is said to be associated with the #Khomani San culture. The nominated landscape includes landmarks of San history, migration, livelihoods, memory and resources. It is said to attest to the adaptive responses and interaction of various San communities, past and present, to survive in a desert environment.

### Category of property

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

In terms of the *Operational Guidelines for the Implementation of the World Heritage Convention* (July 2015) paragraph 47, it is also a *cultural landscape*.

## 1 Basic data

### Included in the Tentative List

15 May 2004

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

1 February 2016

### Background

This is a new nomination.

### Consultations

ICOMOS has consulted its International Scientific Committee on Cultural Landscapes, and several independent experts.

Comments about the evaluation of this property were received from IUCN in November 2016. ICOMOS has carefully examined this information to arrive at its final decision and its March 2017 recommendation; IUCN also reviewed the presentation of its comments included in this ICOMOS report. IUCN's will include the full comments as provided to ICOMOS in its evaluation book 41COM.INF.8B2.

### Technical Evaluation Mission

An ICOMOS evaluation mission visited the property from 2 to 8 October 2016. An IUCN expert accompanied the mission.

### Additional information received by ICOMOS

ICOMOS sent a letter to the State Party on 14 October 2016 requesting additional information on the following points: further description of the nominated property, its features, processes and attributes illustrating a millennia-long human presence; distribution of San, #Khomani and other peoples in the wider region; rationale for the delineation of the boundaries; statutory regulatory frameworks for the planning system; cartographic and photographic documentation; results of cultural mapping exercise; working mechanisms of the management system; coordination of the existing management plans.

The State Party responded on 14 November 2016 and the information provided is integrated in the relevant sections of this report.

An Interim Report was sent by ICOMOS to the State Party on 18 January 2017

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

The nominated property comprises a vast area that coincides with the Kalahari Gemsbok National Park (KGNP), which is part of the vast Kgalagadi Transfrontier Park, straddling Botswana and South Africa.

It is a large desert area extending over the interior plateau of southern Africa and occupying most of Botswana, the eastern side of Namibia and the northern part of South Africa. It features sparse vegetation, occasional trees, and the dry riverbeds of the Nossob and Auob Rivers. Water flows underground and provides life for grasses and trees growing in the river beds.

The large expanse of sand dunes and associated physical features contains evidence of human occupation from the Stone Age to the present and is said to be associated with the #Khomani San culture. The nominated landscape includes landmarks of San history, migration, livelihoods, memory and resources. It attests to the adaptive responses and interaction of various San communities, past and present, to survive in a desert environment.

The #Khomani San people, a formerly nomadic population which is said to be the last indigenous San community in South Africa, developed subsistence strategies to cope with the extreme conditions of the environment. They developed a specific ethnobotanical and veld knowledge as well as cultural practices and a worldview where geographical features embody symbolic links between humans, wildlife and the land.

No San population resides within the nominated property; however a portion of the southern edge of the KGNP has been set aside for use by the #Khomani San people, to practice and rejuvenate aspects of their culture, such as traditional hunting, collecting medicinal and food plants, accessing the dunes and carrying out other economic activities. This land forms the !Ae!Hai Kalahari Heritage Park.

The nomination dossier holds that much San heritage can also be found outside the nominated property in small settlements, farms and other areas. The most relevant would include areas returned to the #Khomani through land-claim settlement – the farms of Sonderwater, Rolletjies, Erin, Witdraai, Uitkoms, Scotty's Fort, Andriesvale, Miersshoopan, and the town of Rietfontein.

ICOMOS requested from the State Party additional description and information on the property, on association of the population and on how their millennia-long presence has shaped the landscape.

The State Party has submitted a large amount of information but this largely deals with the land-claim activity and only limitedly responds to the ICOMOS requests.

### **History and development**

Until relatively recently the nominated cultural landscape was the domain of hunter-gatherers belonging to the linguistic group of the |Xam, which is said to have emerged around 20,000 years ago. They developed customs and beliefs that would be reflected in rock art painting and engravings, where rock was available, i.e. in areas other than the nominated property.

Around 2000 years ago Khoekhoen herders are said to have migrated into southern Africa and to have progressively assimilated and supplanted the |Xam. Subsequently, Bantu-speaking groups also reached South Africa, encroaching on the space of the San. However, it is claimed that these migrations left the nominated property and its indigenous population unaffected.

Substantial disturbance and change were to come with the colonial and post-colonial eras: the increasing occupation and colonisation of larger and larger areas by Europeans pushed into progressively smaller areas various groups of hunter-gatherers, herders and other groups, who competed with each other for the limited resources. The conflicts that flared across South Africa between the late 19<sup>th</sup> and early 20<sup>th</sup> centuries contributed to the displacement and disappearance of indigenous

populations. Subsequently the survivors were forced to abandon their lifestyles and cultural practices.

The creation of the Kalahari Gemsbok National Park (KGNP) in 1931 led to the relocation of indigenous and Baster families (a group descended from European settlers and African women) elsewhere: these were given the land along the southern edge of the Park, while the San were simply expelled from this territory.

After World War II, the situation for the San people got worse as the western and southern boundaries of the KGNP were fenced to prevent hunting and, in 1971, the Mabuasehube Game Reserve was created and incorporated into the Gemsbok National Park (Botswana) in 1992. In 1999, South Africa and Botswana signed a treaty to create the Kgalagadi Transfrontier Park.

In 1995 various Bushmen groups initiated a joint land claim for the restitution of the land that had been taken from them for the creation of the KGNP, which was settled some years later. The land was transferred to the #Khomani San Communal Property Association (CPA) and includes the farms Sonderwater, Rolletjies, Erin, Witdraai, Uitkoms, Scotty's Fort, Andriesvale and Miersshoopan.

## **3 Justification for inscription, integrity and authenticity**

### **Comparative analysis**

The nomination dossier carries out a comparison with three World Heritage properties: Tsodilo, Botswana (2001, criteria (i), (iii) and (vi)), Uluru-Kata Tjuta National Park, Australia (1987, extension in 1994, criteria (v), (vi), (vii) and (viii)), and Maloti-Drakensberg Park, Lesotho and South Africa (2000, extension in 2013, criteria (i), (iii), (vii) and (x)). The comparison is developed around the criteria used for the nomination and the focus of the nominations.

The nominated property is seen to differ from Tsodilo because of its size and the focus on the #Khomani traditions and practices. #Khomani Cultural Landscape is seen to share many similarities with Uluru-Kata Tjuta, although the nominated property differs due to its association with a different cultural tradition, its location on another continent, and association with the earliest possible human ancestors of humankind. Finally, the main difference with Maloti-Drakensberg is the absence of rock art in the nominated property and the fact that the nominated property is a living landscape, that is, where the association with the people continues, whereas Maloti-Drakensberg reflects relict cultural associations.

ICOMOS considers that the chosen comparators are appropriate, but far from sufficient. The analysis only includes World Heritage properties and does not consider properties on the Tentative Lists of the State Parties or other relevant properties for the nomination.

Other sites that could be considered should include other African hunter-gatherer sites such as Koutammakou, the Land of the Batammariba, Togo (2004, criteria (v) and (vi)), where people have subsisted for centuries as a model of sustainability. Other associative landscapes could have been considered for comparison, drawing from within or outside the World Heritage List.

There are at least two directly relevant comparators for the nominated landscape from the Tentative Lists: San Living Cultural Landscape, Namibia (proposed criteria (v) and (vi)), and the Central Kalahari Game Reserve, Botswana (proposed criteria (v), (vii) and (x)), which in their projects for justification include reference to the San and their role in shaping the landscape. ICOMOS considers that the nominated property needs to be compared with the above-mentioned properties and with other cultural landscapes associated with other existing African hunter-gatherer communities, including San, Hadza and Sandawe. This is needed if the State Party intends to prove whether the nominated #Khomani cultural landscape reflects in an exceptional and outstanding manner the association with the #Khomani-San cultural traditions or there could be room for a different nomination strategy.

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

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#### **Justification of Outstanding Universal Value**

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

- The red dunes of the #Khomani cultural landscape are associated with the #Khomani and related San people, who descend directly from the ancient population that inhabited southern Africa around 150,000 years ago and are the ancestors of all humans;
- The #Khomani cultural landscape is a unique and outstanding associative landscape due to in-situ biological continuity. The #Khomani exemplify the unique technology and way of life that the San developed to survive in this desert landscape and their culture represents a living link to the artistic legacy of San culture in southern Africa;
- The survival of the last speakers of the !Ui-Taa languages in the #Khomani community is of enormous significance and they are actively recovering their knowledge and cultural practices and traditions, reviving their associative cultural landscape.

ICOMOS considers that the justification focuses primarily on the #Khomani people, their biological and cultural continuity, particularly their languages and their indigenous knowledge, rather than on the nominated property.

While considering languages and cultural diversity very important, ICOMOS observes that the World Heritage Convention is a property-based convention and therefore it is properties that need to reflect peoples' associations with the land or sites. Languages and intangible heritage are important aspects of human culture but other conventions exist within the UNESCO framework under which these forms of heritage can be recognised.

With regard to the property, the nomination dossier does not provide sufficient evidence and arguments to demonstrate how and to what extent the nominated landscape outstandingly reflects tangible and long-lasting associations with the #Khomani San or their interaction with the environment.

The additional information provided in November 2016 by the State Party on linguistic groups inhabiting the wider region attest that San linguistic groups and the related speaking peoples are spread well outside South Africa, in Namibia and in Botswana.

Therefore, ICOMOS considers that several groups survive that belong to San-related people in South Africa, Namibia and Botswana and they also have left traces on landscapes in the same region: only a comparative analysis may reveal whether the nominated property, or other landscapes, could be considered outstanding examples reflecting this interaction.

#### **Integrity and authenticity**

##### **Integrity**

The State Party holds that the #Khomani Cultural Landscape includes all attributes that are needed to convey its Outstanding Universal Value. The nominated property is said to include a vast area where the #Khomani have commercial, symbolic and cultural rights. It also contains many historically important cultural heritage sites along the Nossob and Auob Rivers and in the dune corridors. Many graves can be found in the KGNP and further south at Welkom, Witdraai and Andriesvale, including the burial of the important traditional leader Dawid Kruiper.

ICOMOS notes that the dossier itself recognises that the original landscape of the #Khomani and other San-related people is much larger than the one being nominated. ICOMOS concurs with this view and considers that the nominated property represents only a portion of what used to be exploited by the #Khomani San. The historical landscape of the #Khomani San is known to extend into much of the Northern Cape, southern Namibia and western Botswana.

Elements expressing the values are included in the core area; however, stronger living traditions and elements representing the #Khomani way of life can be found in their communities, located approximately 72km from the nominated property. In Askam and the nearby reclaimed farms, the #Khomani San have places of memory and burial grounds, and practice various aspects of their culture.

IUCN notes that large areas of the landscape that represents the #Khomani relationship with the land, including the places where the #Khomani live, areas of nature conservation significance and areas that are cultural sites, is outside the National Park. Whilst much of this land is owned by non-San private owners, and thus potentially difficult to include in an inscribed area, it seems essential that this area should be more clearly considered as intrinsic to the identification, definition and protection and management of the relationship between the #Khomani San people and nature.

In this regard, ICOMOS considers that, due to the distance from their area of residence, there might be a danger that, in the long term, the #Khomani way of life will be more entrenched in these communities than in the nominated property. However, efforts are being made to restore the connection between the #Khomani and the land of the nominated property.

#### Authenticity

The dossier states that the nominated property exhibits associative attributes in the traditional knowledge, the languages, the cultural practices, and place names that reflect the links of the #Khomani San with the nominated property. The regained rights to the land and to its traditional use contribute to restoring aspects of the culture without fossilising it.

There still exist a few remaining N/uu-speakers among the #Khomani San communities, and efforts are being made to spread the language to the younger generation. In the broader cultural landscapes, other first people languages are still being spoken in southern Botswana.

ICOMOS considers that, indeed, oral traditions, memories and historical records connect the #Khomani San to the land. These, however, have not been illustrated or explained sufficiently in the nomination dossier. Memories of hunting places, sacred trees, burial places, wells, and pans are retained and rich botanical and zoological knowledge still exists but this needs to be documented and the connections explained, in order for them to act as sources of information on authenticity.

ICOMOS also notes that no sufficient information on the attributes that would express the values of the nominated property have been provided in the nomination dossier, and a direct and long-lasting link between the cultural practices, the language and the places names within the landscape has not been demonstrated.

Additionally, the fact that #Khomani San groups can be found in Botswana and Namibia and that their historic landscape was much wider than what is currently being nominated, does not support the arguments proposed in the nomination dossier. Only through substantial additional research and information on the key attributes of the nominated property and their relationships, could the property be seen as a credible witness of the proposed Outstanding Universal Value.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity have not been met at this stage.

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#### Criteria under which inscription is proposed

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

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

This criterion is justified by the State Party on the grounds that #Khomani tradition is based on rituals and associations between people and particular places and on the persistence of the lifestyle of hunter-gatherers who have lived in the region for at least 100,000 years. The presence of San people and their ancestors is supported by archaeological evidence and intangible attributes (e.g. place names). Following the extinction of the !Xam culture, the #Khomani remain as the sole bearers of what survives of this culture.

ICOMOS considers that the argument that the #Khomani San represent a 100,000-year old tradition is problematic for various reasons.

Firstly, looking at contemporary San communities as remnants of a Pleistocene people is seriously flawed. It negates social, cultural and environmental changes. There is ample archaeological, historical and ethnographic evidence for cultural dynamics over thousands of years.

Secondly, the archaeological evidence of San presence within the property is not discussed in the nomination dossier. It can thus not be ruled out that the property might have become meaningfully occupied by San foragers much later, possibly only some 2000 years ago, when agriculturalists pushed them to ecologically more marginal areas. During the colonial era, this process continued due to competition with both indigenized populations and with the colonisers; with the creation of the KGNP, people were forced out of the property and a forager lifestyle was lost.

Describing and discussing aspects related to toponyms, ethno-botany and traditional knowledge as it was, or still is, practiced in the nominated property would be necessary to provide arguments in support of this criterion.

Therefore, in the absence of detailed analysis and discussion of the evidence mentioned above, ICOMOS considers that the property cannot be said to reflect a unique or exceptional testimony to a cultural tradition or a civilisation.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that the #Khomani Cultural Landscape illustrates a landscape shaped by hunter-gatherers. They left traces of their use and these are marked by the elders. Evidence exists of cultural practices and potent associations between beliefs and places. These survive in the oral history and cultural practices of the #Khomani elders. Several archaeological sites related to the |Xam culture have been discovered south of the nominated property and these have been cross-referenced with the records of their culture collected through interviews in the 1870's. While the |Xam no longer survive, the #Khomani are said to be the continuation of this tradition.

ICOMOS considers that the nomination presents the physical environment of the property and mentions cultural adaptation to the arid ecology (sustainable resource use, tracking skills, ethno-medical botany) by hunter-gatherers. There are several problems with this assertion: the #Khomani are no longer hunter-gatherers and it is not clear to what extent they impacted this landscape, as there is no presentation and discussion of historical/archaeological data on the nature, extent and antiquity of hunting-gathering within the property in the past.

The reference to the |Xam culture is not relevant as its traces are said to be found elsewhere, south of the nominated property, and also the |Xam culture does not survive. Using the #Khomani as a proxy of the |Xam - as living inheritors of the |Xam tradition – does not appear to be appropriate.

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ICOMOS considers that this criterion has not been justified.

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Criterion (v): *be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change.*

This criterion is justified by the State Party on the grounds that the #Khomani Cultural Landscape reflects the way of life that dominated the region for several millennia and which shaped this property. The cultural and subsistence practices of the #Khomani San before

the loss of their lands has been documented and are said to be unique. The return of their lands gives the #Khomani opportunities to sustain at least some of their cultural practices. Additionally, the #Khomani and other San groups of the region are considered to be the direct descendants of the ancestors of all humankind.

ICOMOS considers that the nomination dossier provides very little explanation or evidence of how the long-standing practices of the #Khomani hunter-gatherers have impacted and shaped the nominated property. More information and arguments are necessary to demonstrate whether the property could reflect outstandingly a land-use developed over a long span of time in an extreme climate by hunting-gathering practices, or by much later foraging activities.

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ICOMOS considers that this criterion has not been demonstrated at this stage.

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Criterion (vi): *be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that the records of the #Khomani culture of their traditional knowledge and ethno-medicinal plants demonstrate the richness of veld knowledge they still hold and which they used to make a living out of a hostile environment. In particular, the N|u language was used to name places important for the San. The languages of the #Khomani preserve the knowledge of the San people and are a direct link with the |Xam language, which has been registered in the Memory of the World Register.

ICOMOS considers that the nomination dossier has not sufficiently elaborated upon the justification of this criterion and has not provided sufficient information on the indigenous knowledge systems or the toponyms or other intangible dimensions that might support the justification of this criterion. The presence of San place names is stated but no examples given or explanations about their historical, social or cultural significance.

Additionally, ICOMOS notes that the dossier tries to link the #Khomani to the rich historical ethnography of the |Xam and their highly artistic rock art known from elsewhere in South Africa. This shift appears highly problematic, in that referring to the #Khomani as the sole surviving group directly linked to this now culturally extinct group appears to be like using the #Khomani traditions and cultural expressions as a proxy for the |Xam rather than recognising that they deserve consideration in their own right.

ICOMOS considers that further arguments need to be provided on the spiritual associations, the traditional knowledge, and other intangible manifestations of the #Khomani San traditions that would express their associations with the nominated property.

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ICOMOS considers that this criterion has not been justified at this stage.

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In conclusion, ICOMOS does not consider that the nominated property meets the criteria at this stage, nor the conditions of integrity and authenticity.

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

Among the factors affecting the nominated property, the nomination dossier mentions tourism development and the impact it may have on the traditions and way of life of the Bushmen community; environmental pressures deriving from tourism activity, such as waste or pressure on scarce resources; and potential increase of visitation due to the nomination process. All these factors can and are being addressed through the management instruments and action by the management authority.

ICOMOS considers that the most concerning factor that can impact negatively on the value of the property as an associative cultural landscape is the distance between the residential areas of the Bushmen communities and the nominated landscape that may, over time, weaken their associations with the property, as practicing traditional and ritual activities becomes difficult.

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ICOMOS considers that the main threats to the property are the difficulties related to practicing the traditional activities and rituals that keep alive the associations with the landscape.

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#### **5 Protection, conservation and management**

##### **Boundaries of the nominated property and buffer zone**

The boundaries of the nominated property (959,100ha) are clearly defined. To the east, west and north, the boundaries are defined by South Africa's international borders with Namibia and Botswana. To the south, the boundary follows the existing park delimitation.

ICOMOS notes that the landscape that is being nominated is confined to South Africa, whilst the historic landscape pertaining to the San also extends to neighbouring Namibia and Botswana. Botswana has on its Tentative List the Central Kalahari Game Reserve as a mixed property based on the human/nature interaction of the Basarwa (San people). At present, even within South Africa, aspects of the #Khomani's living culture and other places of memory are outside the nominated property.

In October 2016, ICOMOS requested additional information from the State Party on the rationale for delineating the boundaries of the nominated property. The State Party responded on 14 November explaining that the area corresponds to the ancestral lands of the #Khomani and that knowledge of the cultural landscape was retained by the generation that was removed from it.

ICOMOS considers that the distribution of the San-speaking people in a much wider area indicates that the boundaries need to be reconsidered, in light of the focus of the nomination and of the evidence, as well as tangible and intangible attributes supporting the justification for inscription.

No buffer zone is proposed for the nominated property, relying on buffering mechanisms of the planning system.

ICOMOS considers that, depending on the revision of the boundaries of the nominated property, the need for a buffer zone or of buffering mechanisms may be reconsidered.

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In conclusion, ICOMOS considers that the boundaries of the nominated property do not appear adequate at this stage. The need for a buffer zone may be reconsidered, on the grounds of revised boundaries of the nominated property.

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##### **Ownership**

The section of the nominated property falling within the KGNP is owned by the State and administrated by SANParks, whilst the #Khomani section of the Heritage Park is owned by the #Khomani Community Property Association and the Mier section of the Heritage Park is owned by the Mier municipality.

##### **Protection**

The nominated property falls in its entirety within the Kalahari Gemsbok National Park and the Kgalagadi Transfrontier Park (KTP), which provide formal statutory protection status for natural protected areas. The relevant environmental protection laws are the National Environmental Management Act, 1998 (NEMA); National Environmental Management: Protected Areas Act n. 57/2003 (NEMPAA) and National Environmental Management: Biodiversity Act. All archaeological sites within the nominated landscape are protected under the National Heritage Resource Act n. 25/1999 (NHRA).

Further protection is granted by the planning system which is regulated by an array of laws and instruments. The Municipal System Act (2000) requires that local and district municipalities prepare an Integrated Development Plan (IDP) – a strategic planning instrument which guides and informs all planning, budgeting, management and decision-making in a municipality and is reviewed annually. The 2016/17 IDP for the ZF Mgcawu (formerly known as Siyanda) District Municipality is in place. The Spatial Planning and Land Use Management Act, 2013 (SPLUMA) provides for the national, provincial and local spheres of government to



prepare Spatial Development Frameworks (SDFs) – with a 5-year lifecycle - to represent the spatial development vision and to guide planning and development decisions across all sectors of government. The ZF Mgcawu District Municipality's SDF is already in place.

Additionally, based on the Regulations (2010) of the National Environmental Management Act (1998), local authorities are requested to prepare Environmental Management Frameworks (EMF) which are suites of integrated environmental management (IEM) tools that can be used to support informed decisions regarding the management of impacts on the environment as a result of human activities and development; their usual lifespan is 5 years. The current ZF Mgcawu District Municipality's EMF was developed in 2008 and is now due for review.

ICOMOS observes that the array of instruments described above seem to form a solid basis for the protection of the property currently being nominated; however, it appears that the entirety of the property is not currently protected under the National Heritage Resources Act nr. 25/1999. Consideration should be given to the opportunity to add this layer of protection.

Particularly interesting is the embedding of Heritage Impact Assessment procedures under the NEMA and the NHRA.

ICOMOS also observes that the planning framework and its tools may also provide for buffering mechanisms, the effectiveness of which largely depends on their enforcement and adoption by all decision-makers.

Additionally, the above-mentioned plans need to be reviewed to directly spell out how they ensure the protection of the Outstanding Universal Value of the nominated property as buffering mechanisms.

ICOMOS finally observes it would be extremely useful in terms of management to develop an Environmental Management Framework specifically for the nominated property as a tool to assess impacts on its proposed Outstanding Universal Value and its attributes.

#### Traditional protection

The nomination dossier states that the #Khomani San now have inalienable rights and access to the nominated property and therefore are now in a position to participate in the conservation and protection of their heritage. A system of prohibitions and taboos protects the sacred trees, dunes, pans and burial places.

ICOMOS considers that the measures to safeguard the living heritage from pressures of modernization point in the right direction; the efforts of the #Khomani San need to be sustained and accompanied by a process of extensive recording of their traditions and practices. Strategies to overcome the problem of distance between the #Khomani San settlements and their lands within the currently nominated property need to be thought out to sustain the continuation of traditional practices.

Forms of coordination between legal and traditional protection need to be sought to ensure a participatory approach to protection and management.

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In conclusion, ICOMOS considers that the legal protection in place for the nominated property could be considered adequate although consideration should be given to protecting its entirety under the National Heritage Resources Act. ICOMOS considers that the protective measures for the property could be adequate, if the planning framework is implemented. Regular updating of the planning instruments needs to be ensured and should integrate considerations of the need to protect the cultural values related to the #Khomani San. Intangible heritage needs to be thoroughly documented and recorded, as a basis for its protection and transmission. The need for establishing a buffer zone based on the buffering mechanisms in place may need to be reconsidered.

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#### Conservation

The State Party reports that, whilst the natural heritage is in a good state of conservation, having being protected and managed for several decades, the cultural associations with the landscape have suffered dramatically, due to dispossession and marginalisation of the local people throughout the 19<sup>th</sup> and 20<sup>th</sup> centuries. The languages are highly threatened and the links between the young and the land has been weakened. The elders of the #Khomani still hold the sophisticated traditional knowledge about the Kalahari landscape, the properties of the plants, the natural resources and their use. Cultural mapping and documentation has been conducted in the property and the return of land to the #Khomani community has contributed to reviving the cultural practices and to developing recording programmes.

ICOMOS considers that little is explained in the nomination dossier about the results of inventories carried out so far. It also notes that although research has been developed on a number of aspects of the #Khomani culture, its results are dispersed in different institutions, with little accessibility for the #Khomani San themselves: keeping copies of this documentation also at the nominated property would be beneficial for the continuation of the research.

Some 30 cultural heritage sites have been documented. ICOMOS notes that this is a very positive step; however, this number is still inadequate considering the huge size of the cultural landscape. The heritage mapping programme is an on-going exercise that still needs to be consolidated, expanded and speeded up to take advantage of the cultural memory that still exists within the #Khomani community.

ICOMOS considers that, overall, a lot still needs to be done. The archaeology, history, living heritage and intangible heritage still need to be documented: archaeological investigations focussing also on the human-made environmental modifications may assist in

improving the understanding of the length of time of occupation and use of the nominated landscape by the #Khomani San and other San-related populations.

Conservation work in the nominated property is carried out by SANParks which works with traditional knowledge holders in their day-to-day activities and involves the #Khomani San in tracking game. They also work closely with the #Khomani San in the Heritage Park in the intergenerational revitalization of significant cultural practices within the communities and at the Imbewu veld school.

ICOMOS considers that most conservation measures are planned for and programmed. Conservation intervention in the park is based on sound research. Local communities play an integral part in the conservation programme, although their involvement in the maintenance of the property is still a work in progress, as the #Khomani San are still improving their structures to respond to these tasks.

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In conclusion, ICOMOS considers that much research has been produced on the San and particularly on the #Khomani San culture. However, the inventorying exercise within the nominated property is still in its early stages and needs to be continued and expanded as a matter of urgency, especially with regard to traditional knowledge. Archaeological investigations are necessary to improve the understanding of how, for how long, and to what extent the nominated property has been altered by hunting-gathering, foraging and other subsistence practices of the indigenous populations.

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## Management

Management structures and processes, including traditional management processes

The nominated property is in a protected area which is currently run by a designated management authority, SANParks.

Following the finalisation of the restitution claim, the #Khomani and Mier communities signed with SANParks a co-management framework for the management of the nominated property involving extensive consultation with stakeholders, which has been set up and is in operation through the !Ae!Hai Kalahari Heritage Agreement. The co-management framework is driven by the Joint Management Board (JMB) comprising representatives of SANParks and the #Khomani San and Mier communities that oversee the management of the property.

Within the property the #Khomani San have rights of access and use of natural and cultural resources and, even in the protected zones, the San community has cultural and symbolic rights. These are recognised in management zones to allow for biodiversity and heritage conservation, community use and tourism development. They include the San Symbolic and Cultural Zone

(S-Zone), the San Commercial Preferential Zone (V-Zone) and the Natural Priority Areas.

### Traditional management

The use of natural resources in the nominated property by the #Khomani San will be regulated by traditional management practices which emphasise sustainable utilisation of resources. Sustainable use of natural resources is the focus of training at the Imbewu veld school/bush camp that is operational and run by the #Khomani San communities. The #Khomani San intend to formalise their exploitation thresholds and are in the process of producing written protocols to guide traditional use of natural resources within the nominated property.

ICOMOS considers that the above steps are very important for the sustenance of the communities and of their traditions and recommends that the envisaged thresholds be defined and the protocols finalised and implemented. They will also represent a useful basis for the education and training of the younger members of the communities.

ICOMOS notes that the nomination dossier does not mention specifically any plan or strategy for risk management nor does it appear in any of the management plans annexed to the nomination. ICOMOS considers that a disaster risk management strategy/plan is necessary, to ensure that measures are in place to minimise the impacts on the attributes of the property in case of disasters.

Conservation work is carried out by skilled and qualified people (game wardens, cultural heritage managers and by members of the local community). On the other hand, cultural heritage officers are centrally based at SANParks' Head Office in Pretoria and their involvement in regular conservation work is limited. Therefore, expertise in archaeological, heritage and historical issues in the day-to-day running of the nominated property is necessary, so as to elevate the cultural heritage component in the park to the level of the natural heritage. There is also the need to build capacity among local communities to assist them in their efforts to safeguard their living heritage and to enable them to be more involved in the conservation activities in the nominated property.

Policy framework: management plans and arrangements, including visitor management and presentation

The property enjoys an array of management plans: the Kalahari Gemsbok National Park Management Plan (2008-2013); the !Ae!Hai Kalahari Heritage Management Plan – which was appended to the Land restitution agreement in 2002 and then reviewed in 2008; the #Khomani San Tourism Development Plan, and the Kgalagadi Transfrontier Park Joint Management Plan.

SANParks adopted a policy in 2006 that guides all its actions and includes consideration of indigenous peoples' rights and their traditional knowledge in the protection and management of protected areas under their responsibility. ICOMOS considers that the above-mentioned plans attest to the efforts made over the last 10-15 years to achieve an effective and participatory management for the National Park, and this represents a solid basis for the management of the property. However, ICOMOS considers that these plans need revision and updating and to be integrated with specific consideration of the cultural value of the property and of the attributes that convey this value.

ICOMOS considers that a clear framework/hierarchy among the existing plans is needed in order to ensure integration, collaboration and effectiveness in management. A common action plan with prioritised activities and an identified responsible implementing body is necessary. Particular attention should be paid to ensuring that development opportunities be used to improve the living conditions and the capacity of the local communities.

#### Involvement of the local communities

Local descendent communities have been involved in the nomination process and are actively involved in the protection, conservation and management of the nominated property.

ICOMOS concurs with this view, but considers that, since the local community has been marginalised for a long time, there is a need to build capacity of the local communities to increase their involvement in all aspects of management, conservation and safeguarding of the nominated property.

IUCN noted the commitment of KGNP to community participation, which entails a Joint Management Board (JMB) and provision for cultural use in different zones within the property. The participation of the #Khomani in the management of the property remains still at an early stage and needs to be accorded progressive support. IUCN noted that there will be room to improve the functioning of the JMB over time, so that communities are not only consulted but empowered and supported to take a greater role in management and leadership.

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ICOMOS considers that special attention is needed for the effective implementation of the joint management and the involvement of the local and indigenous communities in the management process.

In conclusion, ICOMOS considers that the management system should be extended to include a risk management strategy. Furthermore, ICOMOS recommends that the different existing management plans be updated and a clear framework and hierarchy amongst them be established to ensure the adequate and respectful management of the cultural values and attributes of the nominated property.

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## 6 Monitoring

SANParks as the management authority is responsible for the monitoring system which is based on indicators already developed within the management system and plans for the KGNP.

ICOMOS considers that although the monitoring system is highly developed and serves the purpose of the National Parks authority, what is in place has not been based on the attributes of the nominated property that would reflect the proposed Outstanding Universal Value and on the most likely factors affecting the property. ICOMOS considers that the existing monitoring system and indicators could be a basis on which to build an ad-hoc monitoring framework for the monitoring of the nominated property, its attributes and the effectiveness of the management objectives.

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In conclusion, ICOMOS considers that the monitoring system needs to be developed in relation to the attributes of, and the most likely threats to, the property.

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## 7 Conclusions

ICOMOS congratulates the State Party for this nomination, which concerns a type of property which is still underrepresented on the World Heritage List.

However, the current proposal appears rather premature from several perspectives.

The documentation presented in the description section only in a very limited way concerns the nominated property and, rather, focuses on the #Khomani San people, their languages, and their successfully-settled land claim. The nomination dossier does not provide sufficient evidence and arguments to demonstrate how and to what extent the nominated landscape outstandingly reflects tangible and long-lasting associations with the #Khomani San or their interaction with the environment.

The additional information provided in November 2016 by the State Party upon ICOMOS' request does not provide the information that is needed.

The justification focuses primarily on the #Khomani people, their biological and cultural continuity, particularly their languages and their indigenous knowledge, rather than on the nominated property and on the attributes, tangible and intangible.

This approach does not fit within the World Heritage Convention, which is a property-based convention and therefore requires that the nominated property reflects peoples' associations with the land or sites. Languages and intangible heritage are important aspects of human culture but other conventions exist within the UNESCO framework under which these forms of heritage can be recognised.

The additional information expanding on linguistic groups inhabiting the wider region attests that San linguistic groups and the related speaking people are spread well outside South Africa, in Namibia and Botswana. The Tentative Lists of Namibia and Botswana include two properties – the Sān Living Cultural Landscape, and the Central Kalahari Game Reserve – which refer to the San and their role in shaping the landscape. However, the nomination dossier does not mention these properties in the comparative analysis or elsewhere.

The integrity of the nominated property also poses questions, as the original landscape of the #Khomani and other San-related people is much larger than the one being nominated and therefore the nominated property represents only a portion of what used to be the #Khomani San associative landscape.

The conditions of authenticity also raise issues: the oral traditions, memories and historical records connecting the #Khomani San to the land have not been illustrated or explained sufficiently in the nomination dossier, nor related to specific places in the nominated property. Further documentation is needed to document the memory of hunting places, sacred trees, burial places, wells, and pans, as well as botanical and zoological knowledge.

None of the criteria could be considered demonstrated at this stage, due to insufficient information and problematic justifications.

Arguing that the #Khomani San represent a 100,000-year old tradition cannot be supported: looking at contemporary San communities as remnants of a Pleistocene people would negate social, cultural and environmental dynamics, of which ample archaeological, historical and ethnographic evidence exists. On the other hand, the archaeological evidence of San people's presence within the property is not discussed in the nomination dossier and it is not clear to what extent the #Khomani San impacted this landscape. The reference to the |Xam culture is not relevant as its traces are said to be found elsewhere, south of the nominated property, and the |Xam culture does not survive.

More information and arguments are necessary to demonstrate whether the property could reflect outstandingly a land-use developed over a long span of time in an extreme climate by hunting-gathering practices, or by much later foraging activities.

The nomination dossier has not provided sufficient information on the indigenous knowledge systems, the toponyms or other intangible dimensions, that might support criterion (vi).

The issues expressed above also impact on the conditions of integrity and authenticity as well as on the boundaries of the nominated property, which currently are not justified.

The legal protection in place is complex and made up of an array of different instruments, including planning provisions, and in order to be considered adequate it could be strengthened.

Much research and inventorying activity has been carried out but this is still far from being sufficient and the documentation of intangible attributes is a matter of urgency.

The management system is very well articulated and relies upon a co-management framework that envisages the engagement of the #Khomani San and of the Mier communities as well as upon several plans that need to be coordinated amongst each other to ensure that the cultural values are sustained and promoted.

In summary, ICOMOS considers that further work is needed to achieve a convincing nomination for the cultural landscape associated to the #Khomani and other San-related peoples.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the examination of the nomination of #Khomani Cultural Landscape, South Africa, to the World Heritage List be **deferred** in order to allow the State Party, with the advice of ICOMOS and the World Heritage Centre, if requested, to:

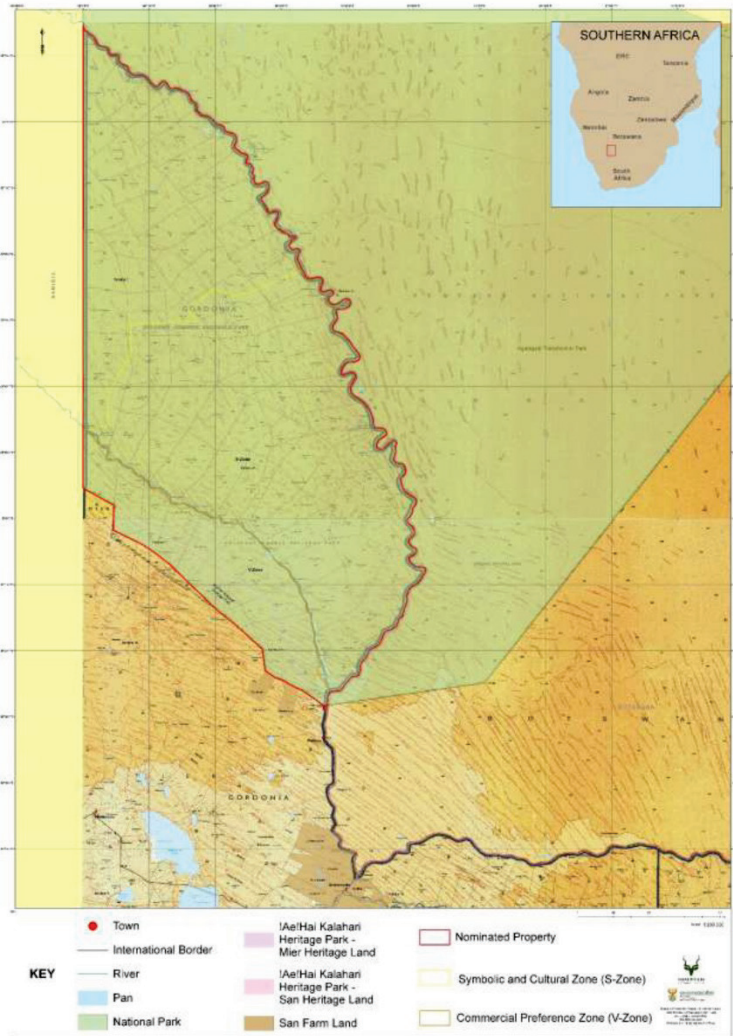
- a) Reconsider the scope of the nomination on the basis of an expanded and augmented analysis of the region in relation to the historical distribution of the San and #Khomani San communities in the landscape and to the presence and density of tangible and intangible attributes that reflect their spiritual associations and their traditional subsistence practices,
- b) Revise the justification for inscription and the criteria, focussing on the most appropriate ones in relation to the potential of the property and the focus of the nomination,
- c) Reconsider the boundaries of the nominated property on the basis of an assessment of the analysis mentioned above,

- d) Augment the comparative analysis, basing it on the properties rather than on the peoples that inhabited them;

Any revised nomination should be visited by a mission to the site.

ICOMOS would be ready and willing to work along collaborative lines with the State Party to consider possible ways forward, if requested to do so.





Map showing the boundaries of the nominated property



Desert landscape



Historical and memorial tree





Ancient water sources



#Khomani San music and dance



## **IV Cultural properties**

- A Africa**  
New nominations
  
- B Arab States**  
Nominations deferred by previous sessions  
of the World Heritage Committee
  
- C Asia – Pacific**  
New nominations
  
- D Europe – North America**  
New nominations  
Extensions  
Nomination deferred or referred back by  
previous sessions of the World Heritage  
Committee
  
- E Latin America - Caribbean**  
New nominations



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## As-Salt Eclectic Architecture (1865-1925) (Jordan) No 689rev

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### Official name as proposed by the State Party

As-Salt Eclectic Architecture (1865-1925) | Origins and Evolution of an Architectural Language in the Levant

### Location

Al-Balqa District  
Greater As-Salt Municipality  
Jordan

### Brief description

During the last fifty years of the Ottoman domination (1870-1920), the As-Salt region became wealthy through the arrival and settlement of merchants from Nablus, Syria and Egypt who built their fortunes on trade, banking and farming. This new middle class invested in the development of large family mansions, and their prosperity attracted skilled craftsmen. As-Salt was transformed from a rural settlement into a thriving city, with a significant townscape and an elaborate architecture, reflecting various influences and styles, local and classical. The serial property is comprised of eight components that contain the twenty-two best-preserved houses built in the distinctive yellow stone on the slopes of the scenic hills of the city. Together these components demonstrate aspects of the modern architectural heritage of the Levant.

### Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a serial nomination of 8 *groups of buildings*.

## 1 Basic data

### Included in the Tentative List

4 February 2015

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

1 February 2016

### Background

This is a deferred nomination (18 COM, Phuket, 1994).

A first nomination dossier for “the Old City of As-Salt” was examined by the Bureau of the World Heritage Committee at its 18<sup>th</sup> session (18 COM, Phuket, 1994).

The Bureau of the World Heritage Committee adopted the following decision:

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

### Consultations

ICOMOS has consulted its International Scientific Committee on Historic Towns and Villages and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 3 to 7 September 2016.

### Additional information received by ICOMOS

A letter was sent by ICOMOS to the State Party on 3 October 2016 to request further information about the visual integrity, urban planning, legal protection, conservation and rehabilitation and the management system. The State Party replied on 14 November 2016, sending additional documentation, which has been taken into account in this evaluation.

An interim report was sent by ICOMOS to the State Party on 20 December 2016 requesting additional information on the justification for inscription, the comparative analysis, the integrity and authenticity and the management of the property. The State Party responded on 13 February 2017, sending additional documentation, which has also been taken into account in this evaluation.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

A citadel built in the 13<sup>th</sup> century in the Levant, As-Salt old town lies between the three hills of Al-Qala'a, Jad'a and Salalem, with the smaller tree-covered hill of Al-Jadour to the south. Composed of 8 components (totalling 22 buildings), the serial property covers 2.06 ha and the buffer zone 30.58 ha. It shows the development of this rural settlement into a formal city during the period of late Ottoman domination.

*Al Qala'a Buildings* (component 1, A.1)

*Al Qala'a Buildings* display two different typologies. A traditional peasant's complex built onto the mountain, from which the ground floor was carved out, *Al-Jaghbeer House* (component 1, A.1.i) consists of two main buildings extended after 1860. Associated with a priest (“khoury”) of the nearby Greek Orthodox Church, *Al-Fakhoury House* (component 1, A.1.ii) is a two-storey building, made of yellow stone, unattached to other buildings on three sides and overlooking the valley.

#### *Al-Khader Buildings* (component 2, A.2)

*Al-Khader Buildings* represent the way the builders adapted to a hilly topography, with narrow streets and steep slopes. *Al-Qaqish House* (component 2, A.2.i), one of the oldest notable residences (1866), possesses an elegant façade, a cross-vaulted *iwan* and a double terrace decorated by a false front wall with openings. Another dimension of As-Salt is the establishment of large urban institutions, like the *Anglican Church Complex* (component 2, A.2.ii), spread out over two separate levels. The lower one includes the Church of the Good Shepherd, built in the 1920s, and the Sunday School, the oldest on the site (1873). The upper level contains the three-storey English Hospital (1904-1905) and the small two-storey block of the doctors' residence (1921-1923).

#### *Hammam Street Buildings* (component 3, B)

*Hammam Street Buildings* incorporate a series of homes and shops, built by Abdelrahman Aqrouq (1851-1943) and other stone masons, stretched out along the pedestrian passageway of the Ottoman souk. *Daoud Building* (component 3, B.i) is a triangular two-storey mixed-use house whose ground floor has six shops. Merchants coming from Nablus between 1881 and 1884 established *Abu Alouf Building* (component 3, B.ii). Built of yellow stone, it contains five shops, a main gateway and four warehouses, plus two apartments on the upper floor. The *Latin Church* (component 3, B.iii), the first Catholic Church in Jordan, includes a monastery, missionary facilities, a private school and several shops. It was designed in 1870 by the French missionary Jean Morétain (1816-1883) and completed in 1886 by Father Giuseppe Gatti (1839-1887), priest of the Latin Patriarchate, with high cross-vaulted ceilings, eight triple rounded columns and Corinthian capitals carved in stone. *Muhyar Building* (component 3, B.iv) has a main two-storey façade on Hammam Street, built of yellow stone. *Muhyar House* (component 3, B.v) is also a two-storey building, but smaller and integrated into the street pattern, with twinned windows and three segmental arches. The *Small Mosque* (component 3, B.vi), the oldest in the town, was constructed in 1906-1907 by Sulaiman Abu Al-Hussein, a builder from As-Salt. Its layout integrates a large prayer hall with a narrow wooden mezzanine, a minbar and a richly decorated mihrab protruding over its back elevation. The best-known feature of this mosque is a minaret, which is paired with that of Hanbali Mosque in Nablus.

#### *Sahat Al-Ain Buildings* (component 4, C)

Overlooking the main square of the town, *Sahat Al-Ain Buildings* are remodelled peasants' houses. Facing the Grand Mosque and the *Anglican Church Complex*, *Saket House* (component 4, C.i) was built between 1918 and 1925 for an extended family and consists, therefore, of several buildings. *Khatib House* (component 4, C.ii), also made for an extended family, has three parts altogether: a peasant's house (1860) half dug into the mountain, a courtyard house (1880), and a family house (1925). *Daoud House* (component 4, C.iii) and *Sukkar Building* (component 4, C.iv) are small two-storey residences,

which include courtyards. On a steep slope, *Sukkar House* (component 4, C.v) is one of the most spectacular merchant's houses in As-Salt (1879-1884), built by the Nabulsi builder Abdelrahman Aqrouq who used nearby yellow stone, glass and tiles brought from Jerusalem, and carved wooden ceilings. *Mouasher Building A* (component 4, C.vi) exhibits twin pointed arches on the front of the ground floor. Surrounded by stairways in a prominent location, *Mouasher Building B* (component 4, C.vii) is notable because of its well-proportioned set of windows. *Abu Jaber House* (component 4, C.viii) is another major work of Aqrouq's, consisting of shops and prestigious dwellings built in several stages (1880-1905), each of them being provided, on the outside, with white hard stone and yellow limestone and, inside, with German tiles, Belgian stained glass and flat wooden painted ceilings. This is where famous personalities resided, such as the Turkish Commander Jamal Pasha, ruler of the Ottoman Empire, and Prince Abdullah Bin Al Hussein, Emir of Transjordan.

#### *Mouasher House* (component 5, D.1)

Located in Deir Street, *Mouasher House* (component D.1) was built by Aqrouq in the late 19<sup>th</sup> century. Displaying a classical decoration carved in yellow stone, this two-storey house includes two shops on the ground floor and a residence on the first floor.

#### *Hattar House* (component 6, D.2)

*Hattar House* (component D.2) is another type of square villa, built in 1907, with a classical façade and a richly decorated doorway, fitted with four attached columns carved in yellow stone.

#### *Touqan House* (component 7, D.3)

A Nabulsi dignitary built the two-storey *Touqan House* (component D.3) in 1900-1910. After the family moved to Amman in the 1950's, it was restored in 1992 and currently houses the Archaeological Museum. A grand façade with two flights of stairs and a stone balustrade gives it the look of a late-medieval Venetian palace.

#### *Falah Al-Hamad House* (component 8, D.4)

*Falah Al-Hamad House* (component D.4) is a single, rectangular house, dating back to 1890 and completed in 1918 for a tribal court judge. It had a flourmill on the ground floor and a big apartment on the first floor. Its façade is distinguished by two decorative features: a doorway with a solid entablature carried by three engaged twisted columns on each side and, above it, a balcony with a window designed as a sort of Florentine arch.

### History and development

Transjordan suffered under the anarchical rule of Bedouin tribes in the early 19<sup>th</sup> century. But it became a rich region between 1865 and 1925 when a group of merchants, coming from Nablus (a total of 88 families), Syria and Egypt, amassed huge fortunes thanks to trade, banking and farming. Encouraged by the recent stability in the Ottoman Empire, following the *Tanzimat*

reformation (Edicts of 1839 and 1856), this new middle-class invested in big family mansions that changed the morphology of As-Salt. The Municipal Council was established in 1892 and the population grew from 6,000 in 1875 to 20,000 in 1913.

This is the context in which new houses were built next to the old local farmers' dwellings, reconfiguring the area around Sahat Al-Ain (the main square of the town), then designated as the Nabulsi Quarter (in reference to the origins of most of its residents), along two main roads: Al-Khader Street and Hammam Street. At the crossroads between the main cities of Palestine, As-Salt benefited from its position on the Syrian pilgrimage route to Mecca and on the Hijaz Railway from Damascus to Medina, opened in 1908. After 1860, the Europeans arrived: French missionaries built the Latin Church in 1869-1870, and the Anglican Church was built in 1867. Christian and Muslim families coexisted in harmony.

Among the stone masons who helped build the new city, Abdelrahman Aqrouq is the dedicated technician who introduced elements of novelty whilst also helping to perpetuate the cultural traditions of architecture in the Levant, whose Roman civil remains and military structures influenced him. Two generations of expert builders were part of a successful construction industry in Beirut, Nablus, Jerusalem and Damascus: that of Aqrouq's generation in the 1880s and that of Sulaiman Abu Al-Hussein's, who built the *Small Mosque* (component 3, B.vi) in the 1900s. These men were familiar with the proportions of classical columns and capitals, as well as learning about the properties of concrete slabs.

These Palestinian workers did not act only as builders, but were also blacksmiths, carpenters and skilled stone masons who carved the yellow stone of the neighbouring quarries and reused stone blocks from ancient buildings, which helped keep the secular identity of the place. They also learnt to work wood, mix mud with straw and produce lime, brick and tiles in the old traditional ways. In relation to those skills and to the municipal "norms" that were enforced, As-Salt benefited from a homogeneous language of architecture, which reflected the social, economic, political, intellectual and practical conditions of the time, bringing the region into the modern era.

This expertise and prosperity declined when the newly founded Emirate of Transjordan (1921) moved its capital to Amman. This transfer of power left vacant sites, empty buildings and houses in poor repair in As-Salt, and brought its economy back to an agriculturally based one. The 1967 war severed links with the West Bank of Jordan; its impact was severe, as many citizens migrated to Amman and Zarqa. Many years went by before the town regained some attraction. As-Salt's architectural heritage was reappraised when historical studies were carried out in 1984 and 1990, followed by several land surveys and restoration projects that were

initiated by both foreign and local institutions up until 2014.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The State Party considers that As-Salt architecture reflects a tradition that goes beyond the borders of Transjordan and encompasses the whole Levant. It was a process of "acculturation", which borrowed innovative features from Europe and mixed them with local materials and eclectic styles, such as in Beirut, Damascus or Jerusalem.

As part of the Ottoman Empire's area of influence, As-Salt may have imported the layout of the Anatolian home with its central hall, as well as inspiration from the upper-class dwellings that were being built all over Europe, during the era of Art Nouveau, incorporating the resources of popular art. Neo-Medieval or neo-Classical styles were spreading all over the European and the colonial empires, reaching North Africa and the Middle East. As-Salt could therefore be considered as evidence of the flow of internal and external knowledge within the Ottoman Empire. At the same time, it would reflect the dialectics between cosmopolitan and national ideas, and highlight the search for a renewal combining a sense of tradition, the use of local materials and the development of handicraft and art industries. Such combinations were observed in Catalonia in the first modernist works by Antoni Gaudí (Spain, Works of Antoni Gaudí, inscribed in 1984, extended in 2005, criteria (i), (ii) and (iv)) and Lluís Domènech i Montaner (Spain, Palau de la Música Catalana and Hospital de San Pau, Barcelona, inscribed in 1997, criteria (i), (ii) and (iv)).

However, in contrast to the Islamic revivals that were being promoted by European architects in Egypt and Constantinople, this cultural swap did not much affect the local builders, such as Abdelrahman Aqrouq, the Nabulsi, who developed their skills and their distinctive styles by themselves. Self-taught workers, these builders learnt on the job the rules of stonemasonry and decoration to which they gave a clear vernacular patina that met their clients' tastes. The State Party considers that their art does not reference an obscure "westernisation" and therefore cannot be compared to the larger cities of the colonial powers, such as Rabat (Rabat, Modern Capital and Historic City: a Shared Heritage, Morocco, inscribed in 2012, criteria (ii) and (iv)).

ICOMOS acknowledges that, as happened in Hungary and Finland, Art Nouveau models travelled by means of Universal Exhibitions (Paris, 1889, 1900), reviews such as *The Studio*, and treatises on architecture in use around the Mediterranean Sea. ICOMOS considers that there is no need to establish the equivalence between As-Salt and Western artistic trends, whether inscribed

on the World Heritage List or in a wider context, such as the Belgian Art nouveau or Catalan modernism that responded to different social and cultural contexts. Similarly, it is not relevant to compare the As-Salt merchants' houses to the neo-Mamluk edifices built at the same time in Egypt by famous European architects, which fostered an opposite eclectic trend.

ICOMOS further considered that, in order to demonstrate evidence of an indigenous tradition at As-Salt, reflecting the history of Bilad Al-Sham, the former "Greater Syria" (an area covering today Syria, Lebanon, Jordan, the West Bank and Israel), different comparisons were needed. In the additional information sent by the State Party in February 2017, a brief comparison is sketched with Damascus and Nablus, which shows that Damascus was heavily transformed in the late 19<sup>th</sup> century, and that Nablus depended more on the topography and its regular grid inherited from Roman times. ICOMOS considers that this could have been deepened further by comparing the architectural references and styles, domestic types, building methods, materials and handicrafts with the vernacular districts of Beirut, Homs, or Jerusalem, for example.

Overall, the information provided by the State Party describes the architecture of the 22 selected buildings in relation to complex historical and artistic processes; however, the comparative analysis does not confirm that As-Salt's architectural heritage demonstrates in an exceptional way evidence of localised/indigenous traditions, or the blending of various regional traditions, with or without accommodation of external inputs by regional elites.

In conclusion, ICOMOS does not consider that the comparative analysis demonstrates why the architecture of As-Salt can be considered exceptional within its geo-cultural context. ICOMOS considers that, whilst various and interesting strands of description, historical associations and comparisons have been provided, the analysis has not established an understanding of what is really special about As-Salt, and how it can be considered to move beyond a localised or niche phenomenon to potentially demonstrate Outstanding Universal Value.

A second requirement for serial nominations is the provision of an 'internal' comparative analysis which supports the rationale for the selection of the components of the series. ICOMOS appreciates that the serial approach has been selected by the State Party because of the discontinuous nature of the urban landscape in which the 22 buildings occur. This issue is discussed further below (in the section on 'Integrity'), although the selection of the 8 components seems to be based on a sufficient 'internal' comparison of historic buildings within the city.

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

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#### **Justification of Outstanding Universal Value**

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

- It testifies to the origins and evolution of an eclectic architecture, which turned As-Salt from a small rural settlement into a wealthy city.
- This evolution is typical of the Levant under the late Ottoman Empire, which provided stability. Many families at that time migrated from neighbouring cities, mainly Damascus and Nablus, to As-Salt. Skilled masons built rich dwellings for these prosperous merchants, who developed trade and farming.
- Each component of the property is an example of this development in its own right, but it also relates to the historic core of As-Salt, built around the main square, Sahat Al-Ain, shaping a unique townscape, one of a kind.
- As-Salt's houses incorporate classical references, probably borrowed from ancient monuments in Palestine, where most of the builders and merchants came from. Combined with technical know-how and individual tastes, this influence gave the city a distinct architecture.
- As-Salt's eclectic architecture shows how craftsmanship spread throughout the Ottoman Empire. It is a mix of innovative features and local traditions, reflecting the trends that led to the modern world of the 20<sup>th</sup> century.

ICOMOS understands that the State Party has proposed the series on the basis of the concept of a pre-modern Near Eastern town, developed in the sphere of influence of Damascus during a short span of history, roughly the last fifty years of the Ottoman Empire. Although it is not clear what As-Salt looked like before 1860, typological forms of dwellings evolved quickly after that time, and can be understood as historical markers of political, social, economic and cultural events. The State Party emphasises the phenomenon of an indigenous architectural tradition, mixing a legacy of styles, types of domestic homes, materials and building methods. These "eclectic" qualities are also influenced by new ideas that spread all over the Levant in this period.

ICOMOS considers that the suggested "eclectic" characteristics raise questions about this justification, which is not supported by clear evidence about how the city can be understood as especially original or exceptional within its region; and, more generally, why it could be considered an exceptional case in the processes of modernisation. In particular, the nomination does not explain how such architecture could be both eclectic and indigenous at the same time. If it is an "amalgam" of styles borrowed from various influences



(European, antique, local, Islamic, etc), more evidence is needed about the specific historical processes that produced such an “amalgam” or “eclectic” result. For these reasons, ICOMOS does not consider that a compelling justification for Outstanding Universal Value has been presented.

### **Integrity and authenticity**

#### **Integrity**

The State Party declares that the requisite integrity of the buildings is the major reason for the decision to develop the revised nomination of As-Salt as a serial property, since the full continuity of As-Salt’s urban fabric is no longer in place. Demolitions, additions, transformations, alterations and new constructions have occurred in the last forty years, altering the integrity of the city as a whole and the continuity of its landscape.

The State Party asserts that each building within the selected components displays intact attributes, i.e. comprehensive architectural typologies, decor and features, and the tangible evidence of the way the historic fabric evolved during the period concerned.

The requirements of integrity are several. For ICOMOS, in this case, a key question concerns whether the composition of the serial property is a sufficient basis for the claimed potential Outstanding Universal Value. Relying on recent thorough studies undertaken with international partners, the State Party has made significant efforts to preserve elements of the townscape and to regain part of its visual integrity. While each of the component boundaries is reasonably well-delineated, ICOMOS has concerns about the ability of the eight components to be ‘read’ or understood as parts of a coherent whole. The State Party acknowledges this problem to an extent, explaining that there’s been a deterioration of the ability to present a single urban ensemble since the first nomination was made in the 1990s.

ICOMOS considers that it is unclear how these separate elements, some quite small and well apart from the larger and more central components, can give the visitor an appreciation of the urban fabric during this late Ottoman period, and of the rise of modernity in the Arab world. The single enveloping buffer zone is therefore critically important, but covers a very large urban area which does not relieve pressures on the integrity of the nominated serial property.

In terms of the integrity of the fabric, ICOMOS notes the survey information provided by the State Party on the twenty-two buildings, which reveals that the wall structures and original roofing are generally in good condition.

However, ICOMOS considers that the weathering of the yellow stone, which gives the walls their character and beauty, is a factor of concern; and observes that damp is

another important pathology. However, most of the twenty-two buildings are in a good or satisfactory state of conservation, needing only regular maintenance; but that a few have been restored or even reconstructed, either because of renewed usage or a reordering affecting important parts, such as *Falah Al-Hamad House* (component 8, D.4).

Finally, ICOMOS considers that there are several reservations about the way a few houses and their settings have been transformed or affected by modern developments.

#### **Authenticity**

The authenticity of the nominated property lies primarily in the full display of its indigenous eclectic architecture. The serial components still possess their architectural features, and display their original materials and techniques. Through these things, the visitor gets a picture of the property’s significance and can appreciate the historical process from which it has come. Within their built parts and open spaces, one can observe a disappeared way of living. The houses are authentic in their structure, form and original design, with minor alterations introduced in the past, which are possible to remove.

Easy to carve, the local yellow limestone is the major attribute of As-Salt’s landscape and architectural decoration. As happened in other parts of the world where the local stone had the same workability, the city could support the stone masons’ expertise and welcome exogenous contributions. However, if the selected houses are made of thick stonewalls, there are also wooden trusses and painted decorations, as well as segmental arch windows, pointed arches, cross vaults, I-beams and concrete slabs, all still visible today. Like the old peasants’ houses, several of these buildings exploit the morphology of the terrain, extending out from rooms carved in the rock or incorporating grottos, which convey specific traces of cave dwellings.

The ownership of the selected components of the nominated property has stayed remarkably stable: apart from four buildings now owned by the Ministry of Tourism and Antiquity and the Greater Salt Municipality, the heirs of the merchants have kept these historical mansions or villas in family hands and several of these people recently declared themselves open to restoration projects, in *Fakhoury House* (component 1, A.1.ii) or *Abu Alouf Building* (component 3, B.ii). Attitudes have changed in the past twenty-five years and conditions are now met for ensuring that the original uses will be maintained or, if it is not possible, that new compatible uses will be discussed between the owners and the municipality.

ICOMOS notes that the nominated property is authentic as a whole, as far as the architectural forms, styles, ornamentation and materials are concerned, but has some concerns about the urban landscape and the way

new uses will respect the original purposes of the buildings.

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In conclusion, while the ownership and the condition of the selected components support the authenticity of the nominated property, the integrity is not demonstrated. The authenticity and integrity are vulnerable due to the form of the wider urban landscape, potential development pressures within the buffer zone, and the presence of some vacant buildings. This is accentuated by the fragmented quality of the selected components and the large enveloping buffer zone. ICOMOS therefore considers that the requirements of integrity are not met.

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

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

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

This criterion is justified by the State Party on the grounds that the fusion between the rural traditions of As-Salt, the regional influences of the Levantine cities (Beirut, Nablus, Jerusalem, Damascus), and the indirect progress imported from the West (via industrialised building methods) provide the evidence of an important interchange of human values. As-Salt's hybrid architecture reflects the stability of the late Ottoman Empire, which encouraged an entrepreneurial class of Palestinian merchants to invest both in business and residences, and allowed a class of builders to be active and prosperous.

ICOMOS considers that during this half-century a set of eclectic dwellings, an urban landscape, and a series of technical and artistic works were produced as a result of interchanges within the Levant, the Ottoman Empire and beyond; and that this is commonly observed in many regions during the Art Nouveau era. The eclecticism of As-Salt shows some typical aspects of the development of architecture and technology as disciplines and practices. The new features did not come straight from the West but filtered through the Levant (Baalbek, Palmyra, Anjar etc) via networks of artisans. As-Salt has inherited a diverse legacy of styles, types of domestic buildings, construction techniques, stone masonry and handicraft skills dating to different historical periods, together with more modern elements, such as the metal I-beam, sawed timber and industrialised tiles.

ICOMOS considers that demonstrating that an interchange has occurred is only the first step in justifying this criterion. While these elements and influences can be traced historically and culturally, their importance, and demonstration of how these interchanges worked and made As-Salt a specific case in the Levant, has not been established. Beyond general considerations, the question is what makes it important

or exceptional among other historic cities in the region, as the cradle of a new amalgamated expression of different styles. However, the comparative analysis does not support this possibility, nor does it establish how this form of "eclecticism" or "composite" order was generated, and why an important cultural interchange occurred in As-Salt when viewed in the broader geo-cultural context.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that the nominated property gathers together a series of buildings, which were built by a group of stone masons, mainly coming from the nearby city of Nablus. The best known stone mason is Abdelrahman Aqrouq, who built *Sukkar House*, *Abu Jaber House* and *Mouasher House*.

These builders were attracted to the region by a new middle class of merchants who traded with Istanbul, and beyond. The State Party describes such an influx of exchanges as bringing in an indigenous eclecticism, which brought about a spectacularly quick transformation of As-Salt. The new architecture was superimposed on the old rural settlements of the peasants' houses. Several examples of this evolution are visible and documented. This production of the late Ottoman Empire was decisive in shaping the Kingdom of Jordan and its emerging towns. As-Salt was initially chosen to house the seat of power of the newly born nation, before the Hashemite emir and, later, king, Abdullah I (1882-1951), installed the seat of government in Amman, in 1921.

ICOMOS considers that the merchants' dwellings and mansions, as well as the churches and the *Old Mosque*, the narrow streets and many stairways climbing up the hills, are a tangible repository of a short historical moment in the Levant, one that welcomed Muslims and Christians in a shared environment. As-Salt's houses portray the domain of a social class emerging in Transjordan, in modern times.

While this is a relatively brief historical period, it was an important one for the region, illustrated by the Ottoman reforms, World War I, and the many colonial, economic and cultural influences from the West. However, in spite of the rules and norms that were introduced by the municipal council, ICOMOS considers that As-Salt's historic architecture cannot be seen as a cultural tradition, nor can it stand on its own for this historical period and the processes of transformation of the Levant. Factors such as localised incorporation of earlier historical influences together with flows of new technologies and styles can be seen in most cities of the region. Furthermore, ICOMOS does not consider that

arguments provided by the State Party about the exceptional importance of the role of women and interfaith exchanges were specific to this city. ICOMOS therefore concludes that there is little relevant evidence that can demonstrate criterion (iii).

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ICOMOS considers that this criterion has not been justified.

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ICOMOS considers that because the justification for inscription has not been established by the comparative analysis, questions remain about the appropriateness of the serial approach and the selection of components.

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ICOMOS does not consider that any of the cultural criteria have been demonstrated for the nominated series, and that the Outstanding Universal Value of the nominated serial property has not been demonstrated.

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#### 4 Factors affecting the property

As a consequence of the growth of the population, in particular in the buffer zone, the great demand for telecommunications equipment and the extensive electrical wiring has had a negative impact on the urban landscape and, ultimately, on the nominated components of the serial property. Efforts have been made to minimise this impact within the boundaries of the eight components, through a new design of electrical installations on the façades, but, as the twenty-two buildings are spread out all over the historic city centre, the result has not yet been effective. However, in November 2016, As-Salt Greater Municipality signed memoranda with two companies to provide corrective measures and restore the visual integrity of the urban setting. This step forward should help regain the “spirit of the place”, which the visitors will only feel if the narrow streets, steep stairways and open spaces are free of such obstructions.

Traffic and parking in the historic core are an issue, given that most of the streets are not suitable for cars. As-Salt Greater Municipality has started to tackle the problem through a “Downtown Traffic Study. Phase I”, which led to the creation of car parks beyond the historic core. But in a city that could potentially be visited in the future by a great many people driving cars, it became clear that more had to be done. In the project for the “Upgrading and Rehabilitation of As-Salt City Centre”, the municipality has a project to build a large underground car park apart from the historic town itself: in doing so, the “Oqba Bin Nafe’ Development project” could help upgrade the visual landscape, provided it is well monitored, and enable a coexistence between tourists and residents who must remain part of a well-conserved living city.

Tourism is not invasive so far; most foreign visitors make a round trip in a day from Amman. A plan to increase

tourism and enable interactions with the local population is under development. It aims at providing guided tours (on themes such as daily life, social harmony, etc.), promoting typical cuisine and introducing guests into family homes. However, ICOMOS considers that the plan should be enhanced. Interactive technology could be used and signage modernised accordingly. The project “Salt Distinctive Destination”, awarded in December 2016 by the United States Agency for International Development (USAID), should help to develop and organise facilities for tourists.

There is no environmental pressure affecting the property. The impact of exhaust fumes is very little, as the topography does not allow heavy car traffic. The city has no major industrial activity that could increase air pollution. The former stone quarries located within the boundaries of the selected components have been closed down. ICOMOS considers that air quality will still have to be monitored, as the yellow stone is sensitive to pollution and many buildings suffer from humidity, dampness and growth of vegetation, peeling and discolouration.

Along the Dead Sea, seismic risk is high (level 4), although the last earthquake in the region, which hit Nablus in 1927, did not cause any damage in As-Salt. ICOMOS notes that future conservation works on the selected buildings will incorporate anti-seismic regulations. However, the risk of partial or total collapse of the buildings cannot be downplayed. With the city being built on hills, there is no flood risk, only the possibility of runoff in case of storm or tornado, although this is unlikely. The impact of climate change cannot be considered decisive in aggravating those risks.

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ICOMOS considers that the main threats to the property are the population growth in the buffer zone, infrastructure and other developments causing damage to the integrity of the wider urban landscape, and the seismic risk.

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#### 5 Protection, conservation and management

##### Boundaries of the nominated property and buffer zone

The nominated property and the buffer zone are as follows:

Component 1, A.1: *Al-Qala’a Buildings*: 0.1803 ha;  
Component 2, A.2: *Al-Khader Buildings*: 0.5024 ha;  
Component 3, B: *Hammam Street Buildings*: 0.8261 ha;  
Component 4, C: *Sahat Al-Ain Buildings*: 0.4668 ha;  
Component 5, D.1: *Mouasher House*: 0.0171 ha;  
Component 6, D.2: *Hattar House*: 0.0188 ha;  
Component 7, D.3: *Touqan House*: 0.0180 ha;  
Component 8, D.4: *Falah Al-Hamad House*: 0.0381 ha.

In total, the area within the boundaries of the selected components totals 2.0675 ha, with a single enveloping buffer zone of 30.585 ha. Together, there is a total of 32.6525 ha.

ICOMOS considers that the boundaries of some of the components of the nominated property are not easy to read on the maps, but are based on features that can be appreciated *in situ* (such as slopes, stairs and main streets).

The boundary of the buffer zone follows the perimeter of the historic town, and contains an area with six hundred and fifty-seven registered buildings. The historical stone quarry is located outside the buffer zone. A larger area which includes the buffer zone is protected by As-Salt City Core Special Regulations (CCSR). Despite the relatively large area of the buffer zone, ICOMOS considers it to be coherent, facilitating the protection of the nominated components.

The population living within the eight components is about four hundred persons. The estimated population in the buffer zone is around 8,000 inhabitants (out of a total of 91,000 in Greater Salt Municipality, in 2009).

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ICOMOS considers that the boundaries of the components of the nominated property and of its buffer zone are adequate.

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#### **Ownership**

The twenty-two buildings of the property are mainly owned either by the heirs of the original families that built them or by religious endowments. Public authorities now own four of the buildings.

#### **Protection**

Three national laws relate to heritage in Jordan. The *Cities, Villages and Buildings Planning Law* (n° 79, 1966), applied by the Ministry of Municipalities and Rural Affairs, monitors new constructions and regional plans dedicated to historical monuments (art. 15-19). Such plans having been declared optional (art. 23), none of them has ever come into existence. The *Antiquities Law* (n° 21, 1988) is administered by the Ministry of Tourism and Antiquities. As it only applies to sites or monuments prior to 1700 AD, it is not applicable to more recent places like As-Salt. The *Architectural and Urban Protection Law* (n° 5, 2005) protects heritage from after 1750 AD. It regulates the conservation process, specifies the conditions under which experts and technicians may work on rehabilitation, and organises the documentation needed, in particular the buildings registers, which the municipalities must open and keep.

In relation to the issues about protection that were identified by the Bureau of the World Heritage Committee in its decision in 1994, ICOMOS notes that the property now benefits from legal protection at the highest possible level in the State.

The Ministries of Municipalities and Rural Affairs and Tourism and Antiquities, together with the As-Salt Greater Municipality ensure the implementation of the legal protection. The Municipality recently purchased two historic houses (A.1.i; D.4) and strengthened the As-Salt City Development Projects Unit (CDPU), which is in charge of providing the required managerial support.

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

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#### **Conservation**

The importance of As-Salt's architectural heritage was recognised from 1984 when the Salt Development Corporation published a study of the historic town. In 1990, the Royal Scientific Society of Jordan listed 657 buildings that were worthy of preservation. The same year, a Plan for Action recommended protecting the main landmarks and revitalising the city. But Jordan's heritage laws at that time did not protect monuments built after 1750 AD and the burden of responsibilities between the government and the municipality was unclear.

Nevertheless, in the early 1990's, USAID funded the enhancement of the façades along Hammam Street (component 3, B); the Salt Development Corporation funded the restoration of the *Small Mosque* (component 3, B.vi); and, in 1991, the first project dedicated to one of the notable houses built at the turn of the 20<sup>th</sup> century benefited the *Touqan House* (component 7, D.3). In 1999, the Japanese International Cooperation Agency (JICA) conducted a project for the reuse of *Abu Jaber House* (component 4, C.viii), which was refurbished as the Old Salt Historic Museum. In the panoramic area of Sahat Al-Ain, JICA identified four main vistas, four open spaces, plus 7 km of paths and stairways, for a total area of 3,850 m<sup>2</sup>; the purpose was to enhance the built environment of As-Salt's strategic core. The cost for implementing this project was estimated at JD 4.5 million.

The third World Bank Tourism Development Project in As-Salt took over, proposing to remove the modern administration buildings erected in the 1960's, to clean four façades in Sahat Al-Ain, and redesign the façade of the Grand Mosque. In 2006, Bitar Engineering published a study for the renovation of the main square of the city. In 2008, Euronet Consulting and Dar Omran conducted a development project for four historic towns in Jordan, including As-Salt. They surveyed 120 buildings in the town and, in 2010, provided the Ministry of Tourism and Antiquities with a thorough study in five volumes, including guidelines on conservation, restoration and site management. They finally highlighted twenty buildings and selected Special Conservation Areas where the landscape was considered good. The results of this study led the Ministry of Municipalities and Rural Affairs, the Higher City Planning Council of Jordan, and As-Salt Greater Municipality to endorse in September 2014 the As-Salt CCSR, whose boundaries enclose the major part

of the approved land use map of the city and exceed the buffer zone of this nomination.

In 2010, JICA conducted a Basic Survey of the Cultural Resources in As-Salt. Technical tools have been produced: *As-Salt Building Pathology Manual* (German-Jordanian University, 2013) and *Manual for the Conservation of the Historic Centre of As-Salt* (Cultech, 2014), which provide guidance for conducting good restoration of the fragile yellow stone (whose physical and chemical properties are currently analysed in Italy), monitoring the development pressures, and preserving the appearance of the urban landscape. Cultech also developed a Geographic Information System (GIS), which details plot parcels, building surveys, ownerships, materials used, dates of construction and current uses. Four thousand, four hundred buildings were surveyed.

Although As-Salt has gone through rapid urban development since the 1980's, the State Party considers that the general condition of the buildings is good or at least acceptable. The integrity of the main bearing walls and original roofing structures is judged to be sound in most cases. However, ICOMOS notes that there is a high degree of uneven condition. Cracks on the surfaces and in the lintels are often reported. Leakage, humidity problems and rising damp in those houses are frequent problems. Peeling and discolouration of the yellow stone is also noticed. Doors and windows need repairs. Balconies suffer from rust. Steel bars are exposed to corrosion, for instance in *Fakhoury House* (component 1, A.1.i).

However, during the last twenty-five years a few conservation projects have been carried out, in *Touqan House* (As-Salt Archaeological Museum, component 7, D.3), *Abu Jaber Building* (Old Salt Historic Museum, component 5, C.viii) and *Mouasher House* (component 5, D.1). Several places have been significantly restored, such as *Qaqish House* (component 2, A.2.i, now used as offices by As-Salt CDPU), *Hammam Street Buildings* (component 3, B) and *Sahat Al-Ain Buildings* (component 4, C). Others were sometimes altered, such as *Falah Al-Hamad House* (component 8, D.4), now one of the priorities for restoration (future conservation training centre). Many have been maintained in good condition, such as the *Anglican Church Complex* (component 2, A.2.ii), but some have suffered from vacancy and damage, such as *Jaghbeer House* component 1, A.1.i), *Fakhoury House* (component 1, A.1.ii) and *Hattar House* (component 6, D.2).

The property is currently being studied in detail. A five-year Conservation Plan has been prepared for each of its twenty-two elements and was approved in November 2016. The total budget for the full renovation of all the buildings will reach JD 14.3 million. Discussions have started with the private owners, while the state of religious edifices is overall good (except the *Old Mosque*, which suffers stone façade and dampness problems).

The State Party provided the final draft of the Conservation Plan approved in November 2016 by the Higher Steering Committee of As-Salt CDPU. It explains the relationship to other existing planning tools, identifies the stakeholders, and focuses on the measures to be taken. Each house will have an "individual card" relating to its statement of significance, its history, its development over time and its present state of conservation. In addition to this, the As-Salt CDPU is preparing a detailed diagnostic study for the complete restoration of *Jaghbeer House* (component 1, A1.i), of which the Jordanian Department of Antiquities undertook a survey in December 2015, using Terrestrial Laser Scanning technology.

The State Party assumes that the conservation of the property should be completed within five years. As-Salt Greater Municipality has purchased two of the historical buildings (at the cost of JD 2.5 million), with the aim of conserving them during the course of 2016: *Jaghbeer House* (component 1, A.1.i) and *Falah Al-Hamad House* (component 8, D.4).

Since 1995, ICOMOS notes the improvement in terms of conservation, leading to a much better knowledge and to a clearer definition of the property and of its boundaries. The willingness of the authorities is high, as they already manage two buildings [*Abu Jaber House* (component 4, C.viii) and *Touqan House* (component 7, D.3)] and have purchased two others. But past interventions on buildings were not always adequate. The private owners have expressed interest in a partnership, but so far the maintenance of their buildings has been overall poor.

In 2016, there was a large amount of funding committed to implementing immediate conservation and maintenance work, on behalf of As-Salt Greater Municipality (JD 750,000 for restoration), the Ministry of Tourism and Antiquity (JD 350,000 for maintenance), the Ministry of Municipalities and Rural Affairs (JD 250,000, *id.*), the Ministries of Planning and Finance (JD 9 million, for infrastructure and equipment). This is an indication of a strong national and local commitment to safeguarding the urban fabric.

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ICOMOS considers that the Authorities have clearly expressed their commitment, by planning for the funding needed for preserving the nominated property in the short and medium term. In November 2016, As-Salt Greater Municipality adopted a Conservation Plan with a complete budget. According to this Plan, each of the twenty-two buildings will be restored within five years.

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ICOMOS considers that the state of conservation of the serial nominated property is adequate.

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## Management

Management structures and processes, including traditional management processes

There is a technical structure to coordinate conservation and management actions: As-Salt CDPU. This structure is composed of several professionals (two civil engineers and three architects), plus administrative staff, directed by an architect. The municipal departments of Planning and Building and Construction can provide assistance.

In parallel with the Conservation Plan, a Management Plan, structured around the eight components and the buffer zone, was adopted in November 2016. ICOMOS noted that a “Master Plan for As-Salt Greater Municipality” was adopted in 2014, dealing in particular with the issues of transportation and population growth.

Policy framework: management plans and arrangements, including visitor management and presentation

The Management Plan aims at safeguarding the “historic urban fabric” (which involves an area larger than the buffer zone); it is based on Euronet Consulting and Dar Al-Omran’s 2010 recommendations, and on As-Salt CCSR. Essentially, the fifteen articles of these Specific Regulations supersede previous norms within the historic town. They define the “volumetric and dimensional conditions of development”, designate categories of heritage buildings (grades 1 and 2) and establish conservation standards. All buildings included in the property belong to grade 1. Any work modifying architectural elements on these buildings is subject to a special permit. The Regulations reveal the commitment of the municipality to the safeguarding of As-Salt’s architectural and urban heritage, and give it the legal tools for proper action.

Involvement of the local communities

The As-Salt CCSR is an attempt to introduce a process of collaboration and partnership with the inhabitants, shopkeepers and stakeholders. Maintaining and enhancing the quality of the historical area will depend on how the CCSR is accepted as a fair measure by the population as a whole. As the Regulations were adopted in 2014, it may be too early to assess whether people will feel more involved than before, but their interest will be a key element for success. It is also too early to know whether the 2005 *Architectural and Urban Protection Law* implies enough incentives, guidelines and mechanisms to encourage communities to participate and invest in heritage conservation.

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ICOMOS considers that the management system is adequate. However, greater cooperation between the ministry of Municipalities and Rural Affairs, the Higher City Planning of Jordan and As-Salt Greater Municipality will improve its effectiveness. A mapping of the actors in charge and human resources training needs would still have to be provided.

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## 6 Monitoring

The As-Salt CDPU will undertake the regular monitoring of the property and of the buffer zone, in conjunction with the Department of Antiquities of Jordan. Photographic records of each component dated from the late 1980’s exist, as well as aerial photographs dating from 1917 to the present. The twenty-two buildings were documented through geometrical and photographic surveys, including Terrestrial Laser Scanner techniques, for instance in Al-Jaghbeer House (component 1, A.1.i), in 2016. A series of ten key indicators has been determined to enable the measuring of the state of conservation on an annual or biennial basis.

ICOMOS notes that the monitoring of buildings and work in the nominated property is the result of survey *in situ*, ensuring that the different threats are regularly investigated.

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ICOMOS considers that the monitoring measures for the property are adequate.

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## 7 Conclusions

As-Salt is located in a spectacular landscape, and the 22 buildings in the eight nominated components are characterised by distinctive architectural forms and styles as well as their yellow stonework. These buildings are associated with the city’s transformation from a rural settlement at the turn of the 19<sup>th</sup> and 20<sup>th</sup> centuries, a period of change for the Levant region. As-Salt has undoubted importance at the national level for its associations with the history of the birth of the Hashemite Kingdom. However, ICOMOS considers that As-Salt’s townscape and architecture do not meet the requirements of Outstanding Universal Value.

ICOMOS does not consider that a compelling justification for Outstanding Universal Value has been presented; and that the arguments provided via the comparative analysis for the consideration of this property for inscription in the World Heritage List are not sufficient. As a result, ICOMOS does not consider that any of the cultural criteria are demonstrated at the level beyond national and/or sub-regional interest.

While the city exhibits interesting and aesthetically attractive architectural and historical attributes, the “eclectic” architectural characteristics of As-Salt pose questions about the proposed justification for Outstanding Universal Value that are not answered. There is little specific evidence about how the city can be understood as especially original or exceptional within the Levant; and, more generally, there are insufficient reasons given for considering As-Salt as an exceptional case in the processes of modernisation. It is also not clear how the nominated buildings could be both eclectic and indigenous at the same time.

While the ownership and the condition of the selected components support the authenticity and integrity of the nominated property, there are some vulnerable aspects, particularly in relation to the form of, infrastructure, and other development pressures in the wider urban landscape (buffer zone). ICOMOS questions the effectiveness of the serial approach because of the fragmentation of the selected components within the buffer zone. The authenticity of the nominated components is satisfactory, but these issues diminish the integrity of the nominated serial property.

The 22 buildings that are the focus of this nomination are provided with legal protection at the highest available level. ICOMOS considers that the legal protection and measures in place for the nominated serial property are adequate, and that the programs to support the conservation of the buildings in the nominated components are commendable. ICOMOS considers that the management system is adequate to retain the significance of the historic buildings, although some provisions are relatively new and still being tested. Capacity building and continuing efforts to enhance the cooperation between the ministry of Municipalities and Rural Affairs, the Higher City Planning of Jordan and As-Salt Greater Municipality will improve the management effectiveness for the nominated components. ICOMOS considers that the monitoring arrangements are satisfactory.

In conclusion, while management, conservation and protection efforts seem adequate, it is As-Salt's lack of ability to demonstrate Outstanding Universal Value in terms of criteria and integrity, which leads to the following recommendation.

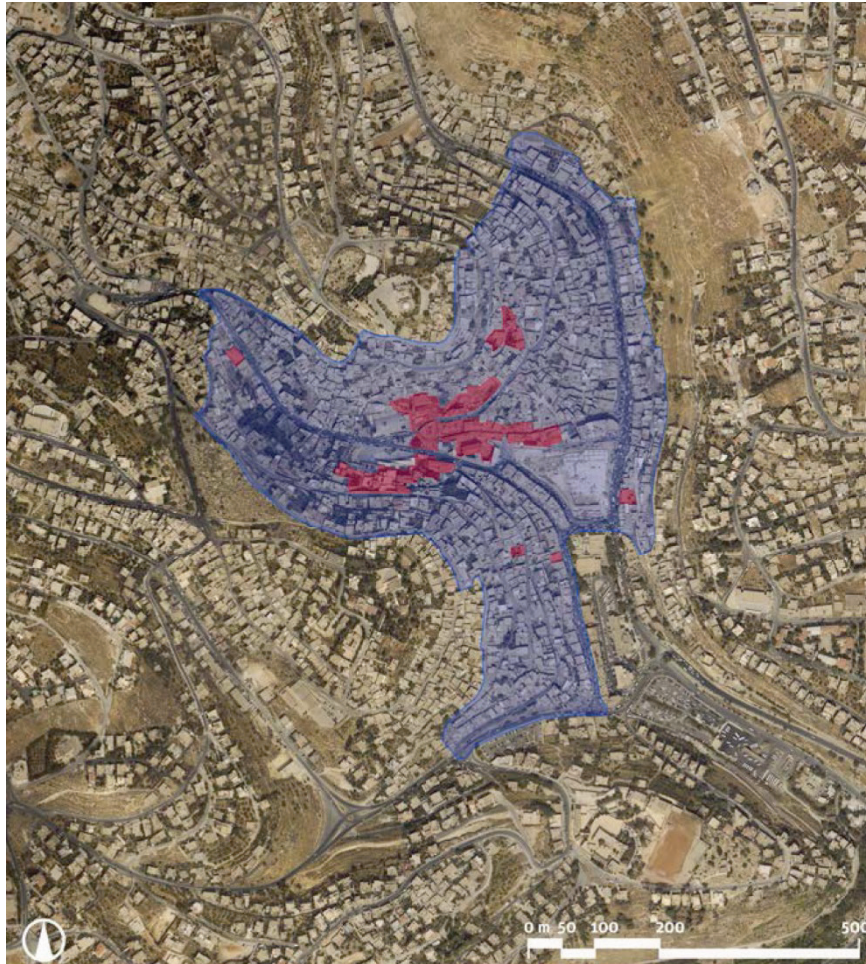
## **8 Recommendations**

### **Recommendations with respect to inscription**

ICOMOS recommends that As-Salt Eclectic Architecture (1865-1925) | Origins and Evolution of an Architectural Language in the Levant, Jordan, should **not be inscribed** on the World Heritage List.







- Nominated property
- Buffer Zone

Map showing the boundaries of the nominated property



General view of As-Salt



Abu Jaber House



Mouasher House



Detail of Touqan House



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# Khor Dubai (United Arab Emirates) No 1458rev

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## Official name as proposed by the State Party

Khor Dubai, a Traditional Merchant's Harbour

## Location

City of Dubai, Emirate of Dubai  
United Arab Emirates

## Brief description

Khor Dubai is centred on the creek, a natural seawater inlet of the Persian Gulf, part of the historic centre of the city of Dubai, around which the city developed rapidly in the late 20<sup>th</sup> century. Its continuous use as a commercial waterway shaped the urban skyline on both banks of the creek and provided goods to the adjacent markets (souks) of Deira and Bur Dubai. The property comprises part of the waterway and its banks, the two markets, one on each side of the creek, as well as three historic neighbourhoods, the merchant settlements of al-Faheidi and al-Ras, and the largely reconstructed ruler's quarter of Shindagha.

## Category of property

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

## 1 Basic data

### Included in the Tentative List

30 January 2012

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

1 February 2014

27 January 2016

## Background

This is an originally deferred nomination (38 COM, Qatar, 2014). The World Heritage Committee adopted the following decision (38 COM 8B.22):

*The World Heritage Committee,*

1. *Having examined Documents WHC-14/38.COM/8B and WHC-14/38.COM/INF.8B1,*

2. *Defers the examination of the nomination of Khor Dubai (Dubai Creek), United Arab Emirates, to the World Heritage List in order to allow the State Party to:*

- a) *Reconsider the limits of the nominated property and its buffer zone in relation to the proposed criteria and ongoing urban development plans,*
  - b) *Deepen the urban historic and comparative analysis in order to understand whether the property might be considered of Outstanding Universal Value,*
  - c) *Develop the analysis of the role of Historic Dubai as international trade centre on a natural harbour, and demonstrate the uniqueness and the preservation of the waterway feature and role,*
  - d) *Better explain the uniqueness of the technological elements characteristic of Historic Dubai buildings, particularly the wind-towers,*
  - e) *Reinforce the existing legal and regulatory protection mechanisms for the historic areas and natural elements and prove the effectiveness of the management system to control and direct urban development plans within the property;*
3. *Recommends the State Party to invite an ICOMOS Advisory Mission.*

ICOMOS conducted an Advisory Mission and the State Party resubmitted the nomination dossier on 27 January 2016.

## Consultations

ICOMOS consulted its International Scientific Committee on Historic Towns and Villages and several independent experts.

## Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 20 to 25 October 2013. An Advisory Mission visited the property from 29 to 30 October 2014. In the context of the submission of the revised nomination in 2016, an ICOMOS technical evaluation mission again visited the property from 9 to 13 October 2016.

## Additional information received by ICOMOS

In the context of its 2014 evaluation, ICOMOS sent a letter to the State Party on 4 October 2013 requesting additional information with regard to the justification of Outstanding Universal Value, the global comparative analysis, the inventory of historic houses in the property, an overview of restoration and reconstruction work for each property and further imagery. The State Party provided additional information in response to the questions raised on 6 November 2013. ICOMOS received further additional information not responding to a request by ICOMOS on 28 February 2014, which provided updates on latest management and community involvement activities.

Following decision 38 COM 8B.22 in 2014, ICOMOS undertook an Advisory Mission at the request of the State Party. This suggested that the State Party review possibilities for how the conditions of authenticity and integrity might be met and whether a reconceptualised nomination might allow for Outstanding Universal Value to be convincingly justified. If both of these aspects were considered to have potential, then they would need to further be worked on in relation to the comparative analysis and the delineation of boundaries. ICOMOS also suggested that consideration be given to reinforcing the

protection system and re-considering the ongoing reconstruction in relation to the historic documentary evidence. A revised nomination was submitted on 27 January 2017.

A letter was sent by the State Party to ICOMOS on 7 February 2017 with questions regarding the Interim report provided by ICOMOS on 23 January 2017 and the ICOMOS Evaluation process. ICOMOS replied to the State Party on 27 February 2017.

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

10 March 2017

## **2 The property**

### **Description**

The resubmitted property of Khor Dubai, a Traditional Merchants' harbour comprises a reduced area of 48.5 hectares, as opposed to 166 hectares in the previous nomination, surrounded by a buffer zone of 97.5 hectares.

The revised nomination focuses on Khor Dubai as a "uniquely active and thriving commercial hub" and on the 19<sup>th</sup> century urban morphology around the creek related to its function as a harbour and trading centre and its continued functionality for trade.

Khor Dubai is the nucleus of the city of Dubai in terms of urban and trade development, as the contemporary metropolis of Dubai progressively developed around its seawater creek from the second half of the 19<sup>th</sup> century. The pace of its development quickened at the turn of the 20<sup>th</sup> century and, since the 1980s and 1990s, urban expansion has been extremely rapid.

The creek continues to be a place of trade, with active boat traffic and commercial structures along both banks, though at a much reduced scale since the development of new port facilities of Jebel Ali, Port Rashid and the Dubai Maritime City. Its relationship with the Gulf has been much changed though, as result of land reclamations at the mouth and both sides of the creek, and by roads, new infrastructure, demolition and housing developments that obscure the links between the creek and its markets and merchants' houses, which were once essential to its function.

The property extends from the original mouth of the creek, which is now inland as a result of land reclamation, for 2.5 kilometres into the creek, until the limit of the al-Faheidi historic neighbourhood. The width of the creek ranges between 100 and 500 metres. It can be fully shipped thanks to dredging that has been regularly undertaken since as early as the 1950s. The creek played a major role in the development of the Emirate of Dubai, in both dividing the city into two parts and being its trade lifeline. It continues to act as its commercial and urban thoroughfare and even in contemporary times, the creek is still crossed by boats, so-called abras, which are single engine wooden boats transporting approximately 20 passengers.

The creek likewise continues its traditional harbour function. Its northern banks are used along almost their entire length as loading and downloading areas for traditional wooden dhows. The property also includes the creek harbour in front of the historic souk while the traditional boat maintenance yards at the mouth of the creek have not been preserved.

The nomination considers the Dubai Creek as a traditional urban port with a commercial organization that define its structure. The property therefore comprises part of the waterway itself and its banks with quays where wooden dhows continue to moor and download goods. It further includes two historic markets (souks) in Deira and Bur Dubai, which both open onto the creek and illustrate the direct interaction between water trade and stationary sale of goods. In addition to these, three historic neighbourhoods remain part of the property. Towards the west, the first is the largely reconstructed neighbourhood of Shindagha, the former rulers' quarter which controlled the entrance to the harbour and in which the customs building was located. On the same bank, further into the creek the property includes the merchant neighbourhood of al-Faheidi and on the opposite bank selected merchant's houses of Al-Ras.

In terms of the urban morphology, the spatial relationships of the three historic neighbourhoods with the creek and the markets have changed considerably since the early 20<sup>th</sup> century. The former historic nucleus is now fragmented with, in places, only street or water surfaces connecting the various areas and components.

Among the architectural features of the property are the two souks of Bur Dubai and Deira. The souk al-Kabeer in Bur Dubai was established in the 1850s and expanded in 1935. It has recently been renovated and is now a popular market specializing in textiles. The souk is composed of regular 3.5 metres wide shops in linear arrangement. Traditionally, the souk was owned by Arab, Indian and Persian merchants. Today, the souk is dominated by Indian merchants and the largest Hindu temple of Dubai is located just next to it. The historic souk of Deira is the larger of the two and has developed into several parallel paths. Originally established in the mid-19<sup>th</sup> century, it was destroyed by a fire in 1894 and has since been rebuilt. Although the souks were developed as part of the trading function of the creek, today they are often catering to tourist audiences.

Three historic neighbourhoods developed around the creek, Shindagha, al-Faheidi near the Bur Dubai souk and al-Ras near the Deira souk. Selected fragments of these once thriving neighbourhoods are included in the property, although none still has direct links to trade and they are presently used for tourism or cultural activities. Shindagha was built on the originally thin strip of land between the sea and the creek and hosted the residences of the ruling family and important merchants. In the 1980s the municipality of Dubai decided to demolish the then abandoned neighbourhood, with complete demolition carried out in a couple of weeks. Only trees and mosques

escaped the bulldozers. Within a few years a new sensitivity towards heritage emerged and with it the plan to reconstruct the neighbourhood. The property now nominated forward includes part of the reconstruction of the neighbourhood in the 1990s.

The residential neighbourhood located closest to the original nucleus of Dubai is al-Faheidi, formerly known as Bastakiya. It was the settlement of Persian merchants who had moved to Dubai from Iranian coastal cities at the beginning of the 20<sup>th</sup> century. The merchants who lived here were typically involved in the trade of pearls. Today, the neighbourhood preserves several historic as well as reconstructed houses, which are used as museum, gallery, hotel, restaurant and office facilities as well as a cultural centre.

Only small areas around three merchant house complexes are included in the neighbourhood of al-Ras. One of these was recently transferred to the Dubai Culture and Arts authority and opened to public as the "Heritage House". The property further includes other religious and public buildings, among them several mosques, a Hindu temple, schools and a cultural centre.

#### **History and development**

Dubai and its creek firstly appear on maps as a small settlement in the 16<sup>th</sup> and 17<sup>th</sup> centuries. At the end of the 18<sup>th</sup> century, it was a small fishing town in the southern part of Trucial Oman. The period was marked by a struggle for supremacy between the Bani Yas and the Qawasim tribes. The British allied with the Bani Yas, which determined power over Dubai and made the rulers enter a peace treaty in the early 19<sup>th</sup> century. The origin of the modern city of Dubai roots in this time of tribal alliances. In 1833 a group of around 800 members of the Bani Yas seceded from the seat of power in Abu Dhabi and founded an independent Sheikhdom in Dubai, ruled by Maktoum bin Buti. All subsequent rulers were his descendants, the Maktoum family.

In 1856 Dubai was a minor centre described by the British as a miserable assemblage of mud hovels surrounded by a low mud wall. Most of the population resided in Bur Dubai, which was surrounded by a defensive wall. Around the turn towards the 20<sup>th</sup> century, the Arabian coast experienced a remarkable increase of commerce. After 1904, Dubai became a significant Pearling Centre for the lower Gulf and in 1907 the British Government assumed responsibility for foreign affairs. Dubai had turned an embryonic city state of about 10,000 inhabitants at that time. The interwar period proved economically difficult due to the global recession and the introduction of cultured pearls from Japan. With the collapse of the pearling industry, Dubai focused even more decisively on trade.

In the early 1950s, Dubai was the largest town along the Trucial Coast. The decision to dredge the creek in 1952, largely financed by the Emir of Kuwait, changed the appearance and role of Dubai as a major trade harbour providing sheltered anchorage for up to 500 tons.

Following the dredging, the number of dhows entering Khor Dubai rapidly increased. In 1964, it became evident that there would soon be more seaborne traffic than could be handled by the creek and the population had risen to above 30,000 people.

Following the full use of the Khor Dubai as a commercial hub in the 1960s the city developed rapidly. The emerging striving local economy and its multicultural merchant community characterizes Dubai until today. Also at that time oil was discovered offshore and soon Dubai granted concession licenses to international oil companies. Oil revenues enabled the government to undertake major infrastructure works and redevelop the creek area in the 1970s, facilitating more landing and loading processes. The discovery of oil also led to an influx of foreign workers, who required housing and hence, to urban development and expansion. Major transport developments including the creek tunnel and bridges were initiated and the international import and container harbour was developed on the other side of the creek.

In the 1980s and 1990s rapid urban expansion continued. A strategic master plan developed in 1993 for 2012 was by far exceeded as result of tremendously fast urban and economic development. A series of large scale mega-projects have been launched and realized, some not too far from the nominated property. A new master plan Dubai 2020 has recently been approved and a more general strategic vision for the city, Dubai 2050, has also been put forth.

### **3 Justification for inscription, integrity and authenticity**

#### **Comparative analysis**

The comparative analysis is developed around three distinct themes: (1) traditional and contemporary port cities, which are viewed at a local, regional and global scale; (2) wind towers in the Gulf region and (3) reconstruction of architectural and urban elements in the Gulf region and a World Heritage context.

The comparison of port cities commences at a global perspective analysing shared patterns of all port cities and comparing the major port cities and free trade ports of the world. A focus is made on similarities in natural features (the creek), governance structures, their commercial role and their urban morphology. The port cities analysed in this section include Liverpool – Maritime Mercantile City, United Kingdom (2004, (ii), (iii) and (iv)), Bordeaux, Port of the Moon, France (2007, (ii) and (iv)), Historic Quarter of the Seaport City of Valparaíso, Chile (2003, (iii)), Melaka and George Town, Historic Cities of the Straits of Malacca, Malaysia (2008, (ii), (iii) and (iv)), as well as several Hanseatic World Heritage cities around the Baltic Sea.

ICOMOS notes that while the list of trade port cities on the World Heritage List is not exhausted within this

comparison, it is striking that many of these cities apply very similar arguments to exceptionality including the influences of multicultural merchants on their urban structure and architecture. It is not fully clear what Dubai wishes to offer in addition to the already recognized port city characteristics elsewhere.

At a regional level, the comparative analysis emphasizes port cities which have become relevant in the trade of the Persian Gulf and the Northern Indian Ocean. This includes among others Bandar Lingeh, Bandar Abbas and Busheer in Iran and Ajman and Sharjah in the United Arab Emirates. In ICOMOS' view, the justification for the exceptionality of Dubai in this context is derived from the combination of a number otherwise non-related factors including the continuity of trade and harbour function, the specific function of the respective creeks, the development of urban expansion from the creek element and the existence of markets along the waterfront and with specialized market sections. ICOMOS considered on this basis that in its role as an international trade hub, Khor Dubai could not be said to stand out in global or geo-cultural comparisons.

The second section of the comparative analysis is focused on wind towers or, more precisely, settlements with a certain quantity of wind towers. The focus of comparison lies on the Iranian counterpart cities including Yazd, which however preserves a different type of wind towers, Bastak, Bandar Lingeh, Qeshm Island, all in Iran and Muharraq and Manama in Bahrain. ICOMOS considers that, despite revised statements in the conclusion of this comparative analysis, ICOMOS is not more convinced than during its previous examination of the property that wind towers constitute an outstanding element in Dubai.

In the final section entitled reconstruction and heritage, the State Party provides background research to advocate that the property merits Outstanding Universal Value despite its large-scale reconstructions. This section hence has rather the character of an essay than a comparative analysis in being focused on reconstruction doctrine and listing World Heritage Sites, which for different reasons contain reconstructed elements. These include the Historic Fortified City of Carcassonne, France (1997, (ii) and (iv)), the Historic Centre of Warsaw, Poland (1980, (ii) and (vi)), or the Rila Monastery, Bulgaria (1983, (vi)). ICOMOS considers that while in some of the sites mentioned, the reconstruction was recognized as being a specific value in its own right, such as in Carcassonne or Warsaw, in others these are debatable projects that occurred after their World Heritage inscription, such as in the Historic Centre of Vilnius, Lithuania (1994, (ii) and (iv)).

ICOMOS considers that the ongoing reconstruction of historic houses in Shindagha following their demolition in the 1990s does not constitute an exceptional case of reconstruction which could demonstrate Outstanding Universal Value for its reconstruction methodology or ideology.

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

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#### **Justification of Outstanding Universal Value**

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

- The traditional commercial role combined with a unique urban landscape in which different architectural styles have melted distinguishes Khor Dubai, a Traditional Merchants' Harbour one of the most remarkable ports in the Middle East;
- Creek traffic, port activities, and souk features illustrate the continuous commercial and cultural exchanges of trading families from different countries, cultures and faiths;
- The property's urban landscape showcases the century-long continuity and vivacity of free trade traditions;
- Khor Dubai, a Traditional Merchants' Harbour retains the original port and urban settlement connected to the creek and preserves the last remaining example of an entire neighbourhood of traditional wind-tower houses on the Arabian coast of the Gulf.

ICOMOS considers that although Khor Dubai, as a merchants' harbour, is still actively involved in commercial trade and illustrates multicultural encounters in a cosmopolitan city of the 21<sup>st</sup> century, these active trade movements on the creek and its banks, are not reflected in the architectural and urban testimony, which cannot be said to be an exceptional or outstanding examples of the architecture of a trading port at an international or wider regional level.

The physical attributes of the proposed Outstanding Universal Value within the property boundaries, relating to commercial and residential use, thus cannot collectively be seen to represent in an outstanding way a cosmopolitan mercantile society.

More fundamentally, ICOMOS considers that the alterations to the urban morphology during the second half of the 20<sup>th</sup> century, as result of land reclamations, roads and new infrastructure, demolitions and housing developments obscure an understanding of the continuous evolution from a historic creek towards a free trade port, and have irreversibly limited the capacity of the property to credibly carry the narrative of continuous commercial and cultural exchanges.

ICOMOS notes that although the theme of free trade is relevant in Dubai, ICOMOS did not consider that the physical attributes within the property boundaries, could collectively represent in an outstanding way a cosmopolitan mercantile society shaped by free trade.



In terms of specific details, ICOMOS does not consider that the amount or shape of historic wind towers in Dubai can be considered exceptional in a wider than regional context.

### **Integrity and authenticity**

#### **Integrity**

The nomination dossier argues that the integrity of Dubai is based on the morphological permanence of the commercial settlements around the port and the continuity of port and commercial functions.

The integrity of the property is affected by the dramatic changes that occurred around the creek since the 1950s. The present layout is the result of the works in the 1970s, when land was reclaimed to allow for new infrastructure and buildings. The original spatial relations of the three historic neighbourhoods, the creek and the markets as well as the urban landscape surrounding it, have changed considerably, often to the extent that their features are difficult to recognize when historic and contemporary aerial photographs are compared.

The property also cannot reflect in a comprehensive fashion the contemporary character of Dubai as a trade city given that the key port and trade administration functions nowadays occur outside the property boundaries, so that the representation of free trade cannot be seen as complete.

ICOMOS considers that while the property provides some architectural testimony to the evolution of trade and commerce in Dubai, not all its components can now be seen to reflect this topic, such as the neighbourhood of Shindagha, which used to be the ruler's residence, and the remaining evidence is much fragmented.

ICOMOS notes that although the boundaries of the property have been modified in the revised nomination, the property continues to appear fragmented with, in places, only street or water surfaces connecting the architectural components. The boundaries of the property pay witness to the fragmented character of the historic nucleus of Dubai.

Lastly, the land reclamation in front of the mouth of the creek prevents the contemporary visitor from understanding the historic morphological relations between the creek and the Gulf and with this its strategic location within the city, and the setting of the property is strongly affected by 20<sup>th</sup> century medium and high-rise buildings, which have changed the urban skyline.

#### **Authenticity**

Authenticity, in the view of the State Party, lies primarily in the relationship between maritime trade and the city development as a dynamic and continuously evolving relationship.

ICOMOS appreciates the theoretical discourses on authenticity and reconstruction, which are presented as part of the comparative analysis. ICOMOS is strongly committed to the policies of the Nara Document on Authenticity, including that authenticity should be judged within its regional context.

It notes that while a property does not necessarily need to demonstrate its ability to credibly communicate its significance solely in material terms, partially or fully reconstructed properties would need to demonstrate how the attributes that reflect the proposed Outstanding Universal Value clearly and truthfully convey that value.

For the revised nomination of the Khor Dubai, and its new focus on a "uniquely active and thriving commercial hub" supported by the morphology of the creek, in particular the interrelation of "its port banks and associated specialized, traditional markets", ICOMOS considers, that the most relevant information sources for the judgement of authenticity in its cultural context are continuity in use and function, urban form and layout, including location and setting, as well as the cosmopolitan community integration of both traders and residents, within the property.

The continuity of use and function, although very visible on the water surface of the creek, in ICOMOS' view cannot be demonstrated by the architectural and urban components and the current overall morphology of the creek landscape. The residential and ruling quarters of Shindagha and al-Faheidi retain very limited residential and ruling functions and the contemporary relations to the trade function of the property are considered very slight. Although the markets retain commercial activities, the goods traded and the small surviving merchant community had restricted capacity to represent specialized, traditional markets or a cosmopolitan mercantile society with rich and multiple urban cultures. ICOMOS therefore considers that the information sources related to use and function cannot be said to convey the suggested Outstanding Universal Value.

ICOMOS also notes that the urban form and layout has been modified over recent decades by narrowing of the natural creek as result of land reclamations and the construction of the Baniyas Road, with the result that the areas between and around the property could no longer credibly communicate the potential Outstanding Universal Value of Khor Dubai in relation to urban form and layout as well as location and setting.

In conclusion, ICOMOS considers that the property does not demonstrate the level of authenticity required to convey Outstanding Universal Value. In arriving at its conclusion, ICOMOS considered carefully the outcomes of the seminar on Urban Conservation and Reconstruction in the Gulf, organized in Dubai in March 2015.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity have not been met.

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### Criteria under which inscription is proposed

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

Criterion (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;*

This criterion is justified by the State Party on the grounds that Khor Dubai reflects the exchanges of a cosmopolitan, mercantile society which brought forth a unique architectural synthesis of Arab, Persian and Indian traditions, which have influenced the architectural and urban development of the city.

ICOMOS considers that while the creek is the nucleus of a cosmopolitan city and continues to provide space for trade exchanges, the urban and architectural remains linked to these cannot demonstrate, in an exceptional way, an interchange of human values, when compared to other port trade cities. ICOMOS considers that the capacity of the property to represent such important interchange was irreversibly reduced by the demolitions of structures and changes in urban morphology that occurred during the second half of the 20<sup>th</sup> century and that the authentic remains reflecting such influences are too limited and fragmented to be considered exceptional at a global or wider regional scale.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that the Khor Dubai, a Traditional Merchants' Harbour is an exceptional testimony of the Free Trade cultural tradition and the living tradition of regional commerce. The continuity of the Free Trade tradition is said to be represented by a permanent commercial organization based upon the roles of the ruler and the merchant community as well as shipmen of Dubai and the exchanging trade regions.

ICOMOS considers that while Dubai might indeed be an interesting place to consider unique values of free trade in the twentieth and even twenty-first century, it is not clear how the proposed property Khor Dubai, a Traditional Merchants' Harbour could illustrate an exceptional example of a free trade cultural tradition at a global or even wider regional scale. ICOMOS considers that the continuity of free trade can be better seen in other locations, including perhaps in Dubai, and that the architectural structures in the former merchant residence quarters have little to contribute to this theme. In ICOMOS' view it is not comprehensible how the property, as the State Party argues, reflects the close-

knit interaction between political choices, commercial activity, urban fabric and architectural elements.

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ICOMOS considers that this criterion has not been justified.

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Criterion (vi): *be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that Khor Dubai, a Traditional Merchant's Harbour is tangibly associated with a set of political and economic principles, which attracted the region's leading merchants to settle in the city and, hence, make it the established free trade port that it is today. It is argued that through early liberal governance mechanisms agreed upon between the rulers and the mercantile elite, a socio-political environment was created which favoured the free movement of people and goods.

ICOMOS considers that although it acknowledges that Dubai created through early liberal trade governance mechanisms the prospering city it has become today, it is not obvious how this governance mechanism can be said exceptional at a global or wider regional scale or how exactly the proposed property illustrates this governance in its form and structures. This justification, in the view of ICOMOS, is weakened because the key associations and activities of free trade in Dubai are no longer associated with the creek and its few traditional neighbourhoods, which now primarily host cultural and tourism activities.

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ICOMOS considers that this criterion has not been justified.

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In conclusion, ICOMOS does not consider that the criteria have been justified or that the conditions of integrity and authenticity have been met.

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## 4 Factors affecting the property

Like in the past evaluation process of ICOMOS, the key factor which negatively affected and affects the property is rapid urban development. Despite the reconsideration of some of the giant projects planned as result of the recent economic crisis, Dubai continues to expand, both in horizontal and vertical dimension with impacts on urban patterns, morphology and cityscape. The nomination dossier provides an overview of all ongoing and planned development projects and several of these will further alter the urban characteristics and setting of Khor Dubai.

These developments include the Marsa al-Seef project, which creates hotel and tourism facilities and is partly located in the buffer zone of the southern bank. The effect of this development might not be in terms of urban skyline as it is a low scale development but rather in its imitation

of traditional Dubai architecture and the creation of look-alike tourism facilities, including multiple new wind towers, in the vicinity of the historic al-Faheidi neighbourhood. In terms of the urban skyline, impacts of the Deira Waterfront Development LLC might be more relevant. This up to six storey development aims at providing housing, offices and commercial spaces along the northern banks of the creek from the mouth of Khor Dubai until the creek's turn. It also references traditional architectural elements and is located entirely in the Deira bank buffer zone and merely a stone's throw from the historic merchant houses in al-Ras.

Dubai is a major tourism destination and visitor numbers to its historic centre increase. Yet, Khor Dubai, a Traditional Merchant's Harbour does not yet receive a heavy share of visitors. Although an accurate analysis of visitor numbers to the property is not available, large visitor conglomerations only occur in the Deira market. Even if visitor numbers are to increase significantly in the future, the extensive restoration works undertaken on historic buildings as well as the change of function of previously residential quarters towards visitor facilities and cultural centres reduce the risk for negative impacts by visitors.

Air pollution by car and boat traffic occurs within the centre of Dubai but remains within acceptable range. Urban development, tourism and trade exert pressures on the marine environment but are more visible in the upper parts of the creek which have less water movement occurs. Past episodes of fish kills have raised concerns and led to increased environmental monitoring.

Khor Dubai is exposed to the effects of sea level rises that might be triggered by climatic changes. Climate change might also have an impact on freshwater resources that sustain the growing population in Dubai. Dubai Municipality's risk management strategy complies with highest international standards; its risk management plan addresses earthquakes, storms, floods and sea tides. However, since the Persian Gulf is not an earthquake prone region and the Gulf itself as a sea too shallow to create major risks of Tsunami or flooding, these risks are largely theoretical. Likelier risk factors include fire, especially in multi-storey buildings perhaps even with resulting building collapses. These have also been amply addressed in the risk management plan.

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ICOMOS considers that the main threats to the property are urban and infrastructure developments, which change the urban morphology or introduce new traditional look-alike architectural features in the vicinity of historic and reconstructed neighbourhoods.

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## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

Compared to the previous submission of this nomination, the property area and buffer zone have both been reduced, the property from previously 166.5ha to 48.4ha and the buffer zone from previously 240ha to 97.5ha. The property now excludes a significant part of the creek beyond the boundaries of al-Faheidi, the residential neighbourhood north of the Deira souk and the northern part of Shindagha, which is currently in the process of reconstruction. However, in al-Ras two merchant's houses not previously nominated were included in the property, Bin Dalmak House and Matar bin Mosabbah al-Hay House.

The property boundaries illustrate the fragmentation of the property, which at times connects the urban and architectural elements merely by means of a street or water surface. ICOMOS considers that the rationale for including only part of the reconstructed neighbourhood of Shindagha in the property while another part, where reconstruction is still underway, is excluded, does not become clear. ICOMOS notes that its 2014 Advisory Mission suggested reducing the boundaries, but it also highlighted the importance of the Shindagha skyline along the creek which does no longer seem to be fully reflected in the boundaries. ICOMOS further considers that the values of Dubai as a free trade port are not well represented within the property boundaries.

With regard to the buffer zone, ICOMOS notes that it is intended to offer smooth transitions for the surrounding urban development. ICOMOS considers that elements within the buffer zone are already developed without smooth transitions which will make this intention hard to realize. In addition, the buffer zone does not protect essential attributes of the creek, in particular the skylines of the creek. To retain the imagination of a historic cityscape in Shindagha, it would be important to prevent in the long-term any high rise developments towards the north of Shindagha on reclaimed land towards the Gulf. These areas however are not included in the buffer zone. The same applies to the south of al-Faheidi where the buffer zone is merely one block of buildings. To protect the few remaining views across the creek which may allow to understand how Dubai may have occurred in the past, a three-dimensional view-shed study would be required to allow designation which maximum heights of development behind the historic neighbourhoods would not impact the skyline as presently perceived.

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In conclusion, ICOMOS considers that the boundaries of the nominated property and of its buffer zone are not adequate.

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### **Ownership**

The waterway of Dubai creek is owned by the Emirate of Dubai and is managed by the Dubai Municipality in charge of navigation control and maintenance. All historic buildings within the property are in public ownership and belong to the Emirate, the Dubai Municipality or other government agencies. Mosques in the property are under the ownership and administration of the Islamic Waqf system, while merchants privately own the shops in the Deira and Bur Dubai souks.

### **Protection**

The waterway of the creek is protected in generic ways by Federal Law No. 23 of 1999 regarding the Exploitation, Protection and Development of the Living Aquatic Resources in the Waters as well as Federal Law No. 24 of 1999 on the Protection and Development of the Environment.

A legislative process for a federal law of antiquities was initiated in the 1990s and since several drafts have been prepared. On 20 May 2015, the Federal National Council (FNC) has approved a draft Federal Law on Antiquities. At the time of preparation of the nomination dossier, the draft law was awaiting formal endorsement by HH Sheikh Khalifa bin Zayed Al Nahyan, President of the United Arab Emirates. Until the formal ratification of the new law, the responsibility for cultural heritage protection remains at the level of each Emirate.

The Emirate of Dubai has no cultural heritage law but regulates cultural heritage aspects in the municipal bylaws. This applies to the nominated property of Khor Dubai which is protected from unauthorized development based on bylaws of the Dubai Municipality. These bylaws also assign the Architectural Heritage and Antiquities Department as responsible for all historic structures located in Dubai. Historic structures are defined as structures built in the 1960s or earlier. The architectural and urban components of the property are also located in Dubai Historical Zone, for which the Architectural Heritage and Antiquities Department has been given general responsibility on all structures.

The Architectural Heritage and Antiquities Department was established in 1994 and the historical zone was protected in 1996. Since then, the protective mechanism operated under basically the same bylaw situation which exists today. ICOMOS notes that most adverse measures, in particular the demolition of the historic districts were undertaken under the same legal circumstances without adequate Heritage Impact Assessments or considerations for the setting of historic resources. The buffer zone is not protected by municipal bylaws. Its protection is accordingly dependant on negotiations between the different departments of Dubai Municipality. Development plans in the area are still directly run by the Planning Department of the Municipality. However, the director of the World Heritage Section of the Architectural Heritage and Antiquities Department should approve any modification or any new building permit within the buffer zone. ICOMOS considers that while protection cannot yet

formally exist at the highest national level, the architectural structures in the property appear well protected by the municipal arrangements. However, the setting and skylines of the property are not presently protected as most areas, which could be developed with negative impacts on the property are located outside the buffer zone.

In conclusion, ICOMOS considers that the legal protection in place for the property, although not yet at the highest national level, is de facto adequate. However, ICOMOS considers that this protection only applies to the architectural structures in the property and that no adequate protection is available for the urban morphology, skylines and the property's setting. ICOMOS considers that the protection of the buffer zone is not adequate.

### **Conservation**

After a phase of fast pace development in the second half of the 20<sup>th</sup> century, a policy change has created a stronger focus on identity and heritage, which generated desire to reconstruct the previously demolished quarters and create stronger protection for the few elements which survived. Comprehensive reconstruction projects were launched in 1996 aimed at recreating previously demolished historical neighbourhoods based on historic aerial photographs and archaeological evidence combined with oral information of previous residents. In the Shindagha district the reconstruction of traditional merchant and ruler residences is still underway.

Houses in Dubai were originally palm frond structures, then built in coral stone and gypsum mortar; and since the 1950s concrete building structures and cement rendered surfaces have become familiar sights, together with standard elements of European architectural typology. The Architectural Heritage and Antiquities Department, as a matter of principle, conducts restoration activities in those materials and forms that a structure was originally built with. The remaining historic architectural structures are in a good state of conservation as result of intense restoration and regular maintenance.

The conservation of the creek is based on regular maintenance, which may also include dredging, and observation of water quality. While the water quality is within acceptable range, past episodes of pollution have raised concerns with regard to the conservation of the marine ecosystem. ICOMOS considers that the efforts towards the improvement of the waste management system for the boats on the creek will reduce these pollution risks significantly. ICOMOS considers that the maintenance measures for the historic components of the site are effective but that previous conservation measures have at times been very extensive and the complete change of function of some historic structures remains regrettable.

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In conclusion, ICOMOS considers that while past conservation measures have been rather extensive, the current conservation policies and maintenance efforts are in line with international standards.

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## Management

Management structures and processes, including traditional management processes

The property in its entirety is not currently managed by one single management authority, although all responsibilities lie within the Dubai Municipality and its different units. The architectural and urban fabric is under the Architectural Heritage and Antiquities Department of the municipality while the waterway of the creek falls under the Environment Department as well as the Customs and Port Authority. The roads within and between these two elements fall under the Road and Transport Authority.

The Architectural Heritage and Antiquities Department is responsible for the historic and reconstructed architectural structures, including the reconstruction processes. It is composed of four units dedicated to (1) Heritage Projects Execution, (2) Heritage Projects Design, (3) Architectural Heritage Studies, and (4) Antiquities. The department operates based on a vision, "to preserve our architectural heritage with a vision that looks for a distinctive future" and a mission statement, which aims to guide heritage management strategies. A welcome centre in Shindagha was recently opened and now presents the public face of the Architectural Heritage and Antiquities Department. The administration itself is located within the property.

The budget of the Architectural Heritage and Antiquities Department amounted to approximately 40 million USD per year between 2010 and 2014. ICOMOS understands that this has remained constant until 2016 and is continued to be allocated for management and maintenance activities. The department has a staff resource of 385 individuals in 2015 and is guided by individuals with high quality training and expertise. Dubai Municipality's risk management strategy complies with highest international standards and the Architectural Heritage and Antiquities Department is directly entrusted with emergency management in relation to the architectural and urban components of the property.

Policy framework: management plans and arrangements, including visitor management and presentation

The nomination dossier indicates that the Dubai Municipality does not aim at creating new management mechanisms or regulations for the property but at better integrating and coordinating currently existing processes and responsibilities. For this reason, the structure of the Architectural Heritage and Antiquities Department was revised in 2015 and a Coordination Committee between the three concerned management authorities established.

The concerned authorities aim at establishing a management plan and the guidelines towards this which were submitted with the initial nomination in 2014 remain valid. This management plan will be based on broad participatory processes, with stakeholder consultation workshops being undertaken since 2012. The objectives of the management plan apart from protecting the property are focused on developing a framework for sustainable development, reinforcing community involvement in the management processes and further strengthening human and financial resources. A concrete time frame for the completion of a management plan is not foreseen.

However, ICOMOS notes that a master plan for the creek has been prepared. It recommends interventions in landscaping and pedestrianization to ensure the area is accessible and attractive. A series of small museums and cultural centres has been created in the historic houses to provide facilities and information to visitors. The related exhibitions focus on the social and cultural traditions of life in historic Dubai but also in some instances highlight architectural stylistics. Since the previous evaluation by ICOMOS, the Welcome Centre in Shindagha has opened which is expected to be the entry point to the property with large parking facilities. In two reconstructed and now connected houses, it provides tickets, property maps and general orientation to the arriving visitor but also familiarizes them with traditional crafts and conservation technologies.

Involvement of the local communities

The management authorities aim at involving communities into the management processes, however, apart from the merchants in the two souks and the shipmen on the creek there is hardly a community. Residential functions have almost entirely disappeared and the Architectural Heritage and Antiquities Department aims at re-establishing ties between the descendants of traditional merchant families and "their" reconstructed houses.

ICOMOS considers that the Architectural Heritage and Antiquities Department is very well resourced, both in human and financial terms, to supervise the management of the property and cooperate with all concerned stakeholders including the related communities.

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In conclusion, ICOMOS considers that the management system for the architectural and urban components, which are under the direct supervision of the Architectural Heritage and Antiquities Department is adequate but that a management plan should be prepared to fully integrate the management processes of the water and transport components of the property.

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## 6 Monitoring

The State Party has provided a comprehensive set of monitoring indicators addressing the environmental, architectural and urban planning as well as infrastructure condition of the property. Tourism and merchant activities are being monitored to assess the attractiveness of the site as a tourism and shopping destination. The monitoring is supervised by the Architectural Heritage and Antiquities Department and linked to the other municipal management partners as required. Approximate timeframes for the monitoring exercises and responsible authorities are identified and monthly as well as annual reports with monitoring results are compiled.

However, ICOMOS regrets that the nomination dossier does not indicate whether these monitoring exercises have been undertaken since the initial submission of the nomination in 2014 and that results of undertaken activities in this regard were not included in the present submission. It therefore remains questionable whether the monitoring system presented is indeed implemented.

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In conclusion, ICOMOS considers that the monitoring indicators and procedures presented are adequate but require to be implemented and documented.

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## 7 Conclusions

The proposed nomination Khor Dubai, a Traditional Merchant's Harbour covers a reduced area from the previous nomination of Khor Dubai (Dubai Creek) submitted in 2014. It is now given a new focus, emphasizing the creek's traditional commercial role within the urban landscape in which different architectural styles have been melded as a result of the of merchant exchange processes. The creek traffic, port activities, and souk features are said to illustrate the continuous commercial and cultural exchanges of trading families from different cultures, while the urban landscape reflects the vivacity of free trade traditions.

ICOMOS notes that although Khor Dubai, a Traditional Merchants' Harbour is still actively involved in commercial trade and multicultural encounters as part of a large cosmopolitan city, it considers these aspects are reflected only in the active trade movements on the creek and its immediate banks.

ICOMOS also considers that the alterations of the urban morphology as result of land reclamations, roads, new infrastructure, demolitions and housing developments in since the 1950s obscure the original spatial relations of the three historic neighbourhoods, the creek and the markets as well as the urban landscape surrounding it and overall the ability of the property to convey an understanding of the creek's continuous evolution from a historic safe harbour towards a free trade port in Dubai.

The architectural and urban testimony to the development or continuity of this trading activity is now somewhat fragmented and in places reconstructed. Its built form cannot be seen as either exceptional or outstanding in terms of the way it reflects the development and use of the port and its mercantile activities.

Although the markets retain commercial activity, the goods traded and the small surviving merchant community have restricted capacity to represent specialized, traditional markets or a cosmopolitan mercantile society with rich and multiple urban cultures. The reconstructed neighbourhood of Shindagha, only hesitantly reinstalls functions which relate to trade and commerce, and is unable to illustrate continuous commercial and cultural exchanges.

ICOMOS appreciates the theoretical discourses presented on authenticity and is strongly committed to the policies of the Nara Document on Authenticity, including that authenticity should be judged within its regional context. However, ICOMOS considers that the information sources of authenticity, which are most relevant to judge whether the proposed Outstanding Universal Value of the refocused nomination is credibly conveyed, are continuous use and function, as well as location and setting of the historic centre. These, however, are only partly demonstrated for the creek as a commercial waterway and are insufficiently demonstrated in the markets and residential neighbourhoods and the overall morphology of the port landscape, which is now much fragmented.

ICOMOS does not consider that the amount or shape of historic wind towers in Dubai is exceptional.

ICOMOS considers that the boundaries of the property illustrate its fragmented character and that the delineated buffer zone is not sufficient to protect the relevant sight relations and cityscapes of the creek. Although protection does not yet formally exist at the highest national level, the architectural structures in the property are well protected by the municipal arrangements. The setting and skylines of the property are not presently covered with adequate development restrictions that could ensure their preservation.

Previous conservation measures have at times been extensive and the change of function of the historic structures remains regrettable. Nevertheless, the present maintenance activities are very diligent while the reconstructions undertaken illustrate the continuity of craft skills. ICOMOS further considers that the Architectural Heritage and Antiquities Department is well resourced and highly skilled to implement its management responsibility. ICOMOS regrets however that the monitoring exercises designed in 2014 have not yet commenced their formal implementation.

In conclusion, ICOMOS fully respects the desire of the State Party to sustain and promote the specificities of the

way Khor Dubai developed as a prosperous international port and how it contributed to the wider urban development of the city of Dubai and its region. Having fully considered the revised nomination, in relation to the recommendations of the World Heritage Committee and the possible avenues for further exploration suggested by the Advisory mission, ICOMOS considers that the nominated property suffers from weaknesses that are difficult to overcome and do hinder its ability to project the history and use of the port, and the important cultural exchanges it promoted, in a way that could be seen as exceptional.

The pace of change over the decades since the 1950s has resulted in development encompassing land reclamation, new infrastructure, demolition and new development that has isolated the Khor Dubai from the Gulf, fragmented its core, and removed the traditional purpose of its historic buildings and quarters. The dynamic trading activities are confined to the surface of the creek and its immediately adjacent shores, and, as the State Party acknowledges, these are no longer focused solely on commerce, as tourism plays an important role in the city's development.

ICOMOS appreciates the efforts of the State Party to consider different possible nomination concepts but considers that all of these factors combined have left the port as a shadow of what once existed and with insufficient attributes to reflect the high value multi-cultural trade that once drove its businesses and shaped its domestic, mercantile and state quarters. It does not consider that what remains has the potential to justify Outstanding Universal Value.

## **8 Recommendations**

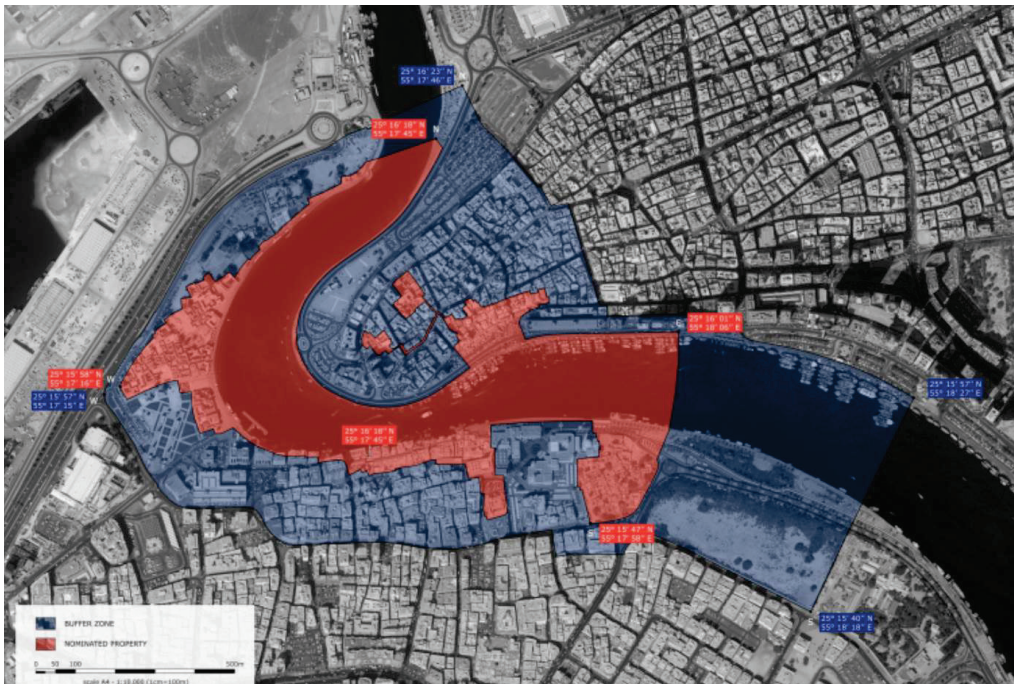
### **Recommendations with respect to inscription**

While ICOMOS and the State Party have entered into the process of reformulating this nomination with good intentions, in this case the additional work undertaken has not resulted in a nomination that ICOMOS can support for inscription.

ICOMOS therefore recommends that Khor Dubai, a Traditional Merchant's Harbour, United Arab Emirates, should **not be inscribed** on the World Heritage List.







Map showing the boundaries of the nominated property



Aerial view of Bur Dubai



Dhows in the creek harbour



A house courtyard in al-Faheidi



Souk al-Kabeer in Bur Dubai



## **IV Cultural properties**

- A Africa**  
New nominations
  
- B Arab States**  
Nominations deferred by previous sessions of the World Heritage Committee
  
- C Asia – Pacific**  
New nominations
  
- D Europe – North America**  
New nominations  
Extensions  
Nomination deferred or referred back by previous sessions of the World Heritage Committee
  
- E Latin America - Caribbean**  
New nominations



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## **Sambor Prei Kuk (Cambodia) No 1532**

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

Sambor Prei Kuk Archaeological Site of Ancient Ishanapura

### **Location**

Commune of Sambor  
District of Prasat Sambor  
Province of Kampong Thom  
Cambodia

### **Brief description**

Sambor Prei Kuk is believed to be the site of Ishanapura, the ancient capital of the Chenla Empire that flourished in the 6<sup>th</sup> and 7<sup>th</sup> centuries CE, in present day Cambodia. The city is said to display complex planning on a monumental scale. It produced a unique iconography known as the 'Sambor Prei Kuk Style'. The city's cultural and political achievements, such as the introduction of the concept of a God-King and making Khmer a universal language, are seen to have resonated far beyond its own borders, and attracted important diplomatic missions. The combination of these features would eventually give birth to the more famous Angkor Empire.

### **Category of property**

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

In terms of the *Operational Guidelines for the Implementation of the World Heritage Convention* (8 July 2015), paragraph 47, it is also nominated as a *cultural landscape*.

## **1 Basic data**

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

1 September 1992

### **International Assistance from the World Heritage Fund for preparing the Nomination**

2014

### **Date received by the World Heritage Centre**

26 January 2016

### **Background**

This is a new nomination.

### **Consultations**

ICOMOS has consulted its International Scientific Committee on Archaeological Heritage Management and several independent experts.

### **Technical Evaluation Mission**

An ICOMOS technical evaluation mission visited the property from 9 to 16 September 2016.

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

ICOMOS sent a letter to the State Party on 8 August 2016 requesting additional information on the management plan of the property, in particular on SPKAG Tourism Strategic Development Plan, SPKAG Preservation Planning: Guidelines for Archaeological & Other Research Designs, SPK Risk Assessment Statistics, SPKAG-TSDP Worksheet, Directory Map, SPKAG Bird eye view.

The State Party responded on 26 August 2016 and the additional information provided has been integrated into the relevant sections of this report.

An Interim Report was sent by ICOMOS to the State Party on 19 December 2016 who responded on 23 February 2017 and the additional information provided has been integrated into the relevant sections of this report.

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

10 March 2017

## **2 The property**

### **Description**

The archaeological site of Sambor Prei Kuk, which means in Khmer 'the temple in the richness of forest', is identified as Ishanapura, the capital city of the Chenla Empire that flourished in the late 6<sup>th</sup> and early 7<sup>th</sup> centuries CE. It was sited in a plain marked by the strong influence of water: the Steung Sen River, the O Krou Ke River, many channels, marshes, and natural levees. In particular, trade and exchange were stimulated by navigation through the Steung Sen River.

The remains of this large city are spread over 25 square kilometres within which there was a walled city core of some 4 square kilometres. Although work is ongoing at Sambor Prei Kuk, and recent LIDAR surveys have identified the key elements of the city, the nomination dossier acknowledges that 'further archaeological research' is needed to 'enlighten us in the structure, use and occupation of this vast city complex'.

Although the city is said to reflect complex city planning, currently there is insufficient evidence to be able to say with any certainty what form the city had, how water management was organised, and the extent of its boundaries. Further work is needed to supply some of this much needed information on the form of the city, its planning and its engineering systems.

### *Central Temples Zone*

The most prominent upstanding remains on the slightly higher ground are parts of temples, some of which have been cleared of forest.

There are three main monument complexes, each having a central tower on a raised platform surrounded by smaller towers and other structures: Prasat Sambor (North Group), Prasat Tao (Central Group), and Prasat Yeay Poan (South Group). They contain a total of 79 monuments, and each group/complex is surrounded by two square brick and/or laterite walls. However, the Prasat Sambor complex has a third enclosure wall measuring 389m on each side. They are oriented east-west, and are linked to the river (perhaps to an ancient and long-gone harbour) with two causeways that start at the eastern gates of Prasat Sambor and Prasat Yeay Poan, and run some 600m and 700m. There are remains of another causeway that connects Prasat Tao temple complex with a pond called Boeng Kla Kramov, which runs for 250m east-west and 240m north-south.

Besides the three main complexes, there are 46 other temples within the central temples zone. To the north, outside the central temples zone, there is a satellite zone that is composed of two complexes totalling 16 temples: Prasat Srei Krup Leak and Prasat Robang Romeas.

A particular feature of the North and South Groups is the octagonal shaped temple. Ten such octagonal temples exist in Sambor Prei Kuk Archaeological Site, which are said to be the oldest and also unique specimens of their genre in Southeast Asia. There are five octagonal temples in the South Group (S7, S8, S9, S10 and S11), one in the North Group (N7), and two in the Z Group, Prasat Y, and Khnack Tol. These brick and sandstone buildings are designed according to the principles of the ancient Indian Manuals of Architecture, but there is no known Indian precedent that could have been used as a prototype. They are believed to represent the flying octagonal palace of Indra or Vimana Trivishtapa, the heaven of Indra and of 33 gods. Inside these temples, ornamentation carved on brick walls features a peculiar motif called 'reaching the heavens'.

The outside walls are decorated with Hindu iconography, and in the five structures of the South Group there are exquisite sculptural depictions of flying palaces. The origin of the flying palaces is the Indian flying vehicle originally designated in Sanskrit as 'Ratha', later referred to as Sanskrit 'vimana'. In Sanskrit epics, the original flying vimana is a flying wheeled chariot that transports Indra and other Vedic gods. It seems that references to these flying machines are commonplace in ancient Indian texts.

The wall surrounding Prasat Yeay Poan complex displays a series of brick carved bas-relief medallions depicting mythical scenes that are without parallel in other Khmer sites.

Decorated sandstone elements include lintels, statues, pedestals, colonnades and pediments. Among these, many are carved in the distinctive late 6<sup>th</sup> to early 7<sup>th</sup> century

'Sambor Prei Kuk Style', which is said to be the earliest consolidation of Khmer artistic style. Some of these elements are regarded as masterpieces of Khmer art. Later pieces such as the lintels, colonnades and lion statues of Prasat Tao, represent the 8<sup>th</sup> century transition between pre-Angkor and Angkor styles. Some of these sandstone pieces remain in situ, but many others have been removed for safekeeping, or are being exhibited in national museums and abroad.

Twenty-one inscriptions, which range from the 6<sup>th</sup> to the 11<sup>th</sup> century, have been found, mainly on door jambs. They record, mostly in Sanskrit and old Khmer, the history of the temple complex, and provide us with details about dates, temple activities, names of kings and other individuals, and religious and political life.

### *Water Management systems*

The development of the city benefitted from the abundant water resources of its environment. The area went through intensive transformation with the concurrent construction of city moats, dykes, and water reservoirs to supply the city and its surroundings. The moats, originally 15m wide and 2 to 3m deep, were connected to a drainage canal at the mid-point of its western side. The canal was also connected, at the middle of its southern side, to the downstream part of the O Krou Ke River, and to the same river at its extreme south-eastern end. Thus, the moats served, at one and the same time, the city's water supply, defence, and agriculture.

In parallel, many dams were built upstream, and were used to create deviations and catch water for agricultural irrigation, and to supply a third hydraulic system of large reservoirs and smaller containers. The shape and emplacement of these reservoirs/containers would suggest they are the precursors of Angkor's very large water reservoirs called 'barays'. This is, supposedly, the first time in the history of Southeast Asia that such a sophisticated engineered hydraulic system was created. Only fragments of this system survive and these have not yet been fully documented. An inventory of individual water features is provided – this includes 18 ponds, now used as part of agricultural enterprises; part of the moats in the north, now used for growing rice; and remains of two causeways. More work is needed in order to understand how this water system functioned.

### **History and development**

The site of Sambor Prei Kuk was compellingly identified, but only on the basis of archaeological evidence, as ancient Ishanapura (and by some scholars as Bhavapura, city of Bhavavarman and Ishanavarman I), the capital city of the first empire and first Khmer State in the late 6<sup>th</sup> and early 7<sup>th</sup> centuries CE. Sanskrit and Khmer inscriptions, and art and archaeological evidence, indicate that construction of this urban complex began at that time. The rise of Sambor Prei Kuk corresponded to the political decline of the coastal centres of the Funan Empire. More importantly, it is believed that the developments that took place in Sambor Prei Kuk laid the foundations for the later achievements of the Khmer Empire, which seems to have controlled most of



Southeast Asia until the beginning of the 14<sup>th</sup> century. It also seems to have influenced the later Siamese kingdoms.

The nominated property became an important provincial centre after political power moved north to Angkor. It retained its religious role as part of the Angkor road network; a fact indicated by inscriptions and ceramic finds. At the end of the 19<sup>th</sup> century, the city started attracting archaeologists. The site was then studied by researchers, in particular the *École Française d'Extrême-Orient*, and was considered as a Pre-Angkor civilisation site. However, archaeological work was interrupted by internal turmoil from the 1960's until the 1990's, after which the Cambodian government started restoration work. To date, it continues to be inhabited, and some of the ancient temple shrines are used for worship by local inhabitants and visitors. Agriculture too is still practiced using some of the remains of the traditional hydraulic systems. This continuing occupation of the site has assisted in maintaining it.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The nomination dossier includes a comparative analysis of the nominated property with eleven sites, including properties from the World Heritage List, and the Tentative Lists, which are categorized into four geographic groups. At the national level, the nominated property is compared to other Khmer art and culture sites. At the sub-regional level, it is equally compared to other Khmer art and culture sites in Lao People's Democratic Republic, and Vietnam. At the regional level, it is compared to contemporaneous sites in East and Southeast Asia, namely in the People's Republic of China, India and Japan. At the international level, the nominated property is compared to sites from Guatemala, Jordan and Italy. This comparative analysis is based on different factors including historical period, external influences, religion, governance, city planning and architecture, construction materials, hydraulic system and agriculture. It concludes that the nominated property is the most important site for 6<sup>th</sup>-7<sup>th</sup> century Southeast Asia in terms of city planning, with a town designed on a monumental scale, art, with the development of the so-called 'Sambor Prei Kuk Style', history of State formation with the introduction of the concept of the God-King, administrative innovation, with the transferring of the universality of the Sanskrit language to the Khmer language, and religious tolerance, with a syncretism of Hinduism and Buddhism.

ICOMOS considers that relevant comparisons must be based on similarity of type of site. In this case, it should be with archaeological sites of ancient towns with similar cultural and historical characteristics and values. Based on this, amongst the comparisons proposed by the State Party, only the following sites are relevant.

Angkor Borei (Site d'Angkor Borei et Phnom Da (Tentative List)), is a capital of Funan that existed before Ishanapura that is comparable to the nominated property

for its historic place in State formation in Southeast Asia, early Khmer inscriptions, brick architecture and statuary. The State Party argues that the nominated property shows a more sophisticated urban complex with elaborate hydraulic engineering works, but does not mention the discovery of an important sculpture of Harihara at this site, which indicates that regional adoption of this religious cult existed before its embracing by the rulers of the nominated property.

Roluos is a part of the Angkor World Heritage property (1992, criteria (i), (ii), (iii) and (iv)), the capital of the early Angkor Empire founded on the Harihara cult. It is comparable to the nominated property for its religious role. The comparison demonstrates Sambor Prei Kuk's role as precursor for religious syncretism designed to support the State and its peace policies.

Oc Eo is the Vietnamese 1<sup>st</sup> – 7<sup>th</sup> century urban centre and port of Funan. It is the first evidence of Indian influence in the region dated before Sambor Prei Kuk. It is comparable to the nominated property in terms of hydraulic works and harbours in Southeast Asia's early cities, and as an earlier centre that shows the transitional role of the nominated property from early urban forms to later Khmer urban systems.

'My Son Sanctuary' in Vietnam is comparable to the nominated property because it is partly from the same period and both have religious roles with spiritual roots in India. But, whereas 'My Son Sanctuary' is a religious ensemble, the nominated property is a city with religious elements, and therefore represents more urban and social complexity.

The most obvious comparable site to the nominated property is 'Vat Phou and Associated Ancient Settlements within the Champasak Cultural Landscape' (2001, criteria (iii), (iv) and (vi)), in Lao People's Democratic Republic, because it is the birthplace of the dynasty that ruled over the nominated property, and was part of the Pre-Angkor and Angkor Empires from the 7<sup>th</sup> to the 15<sup>th</sup> centuries. Vat Phou does not show the specific 7<sup>th</sup>-8<sup>th</sup> century characteristics of the nominated property, in particular the artistic development of the 'Sambor Prei Kuk Style'.

In conclusion, ICOMOS considers that the nominated property appears to stand among all these comparable sites, as the only one that is, at one and the same time, a town that displays a complex city planning with elaborate hydraulic engineering works, religious roots in India, the development of an art style ('Sambor Prei Kuk Style') that was the basis for the later development of Angkor art, and that represents an important stage in the history of State formation in Southeast Asia.

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

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### **Justification of Outstanding Universal Value**

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

- Sambor Prei Kuk is the most important archaeological site for 6<sup>th</sup>-7<sup>th</sup> century Southeast Asia, which extends over 25 km<sup>2</sup>, and boasts a very complex city planning with monumental buildings (harbour, causeways, hydraulic structures, religious complex temples and a moat-protected habitation zone) and a specific iconographic style.
- Historic evidence shows that Sambor Prei Kuk was the capital of a vast empire, with 20,000 resident families, and ruling over 30 cities, each with a few thousand families. Moreover, thanks to sea harbours located north and south, the Chenla Empire was open to neighbouring countries and cultures, and its political, administrative and spiritual importance resonated beyond its borders. Thus, it was a place of diplomatic and cultural exchange where a syncretism of Hinduism and Buddhism was first established.
- The nominated property was the place where octagonal temples were introduced for the first time in Southeast Asia. It also witnessed the dedication of temples to two deities, the Lord of Seriousness Gambireshvara Shiva, and the Lord of the Smile Prahasiteshvara Shiva, with the latter paving the way for the Buddhist smile. Both of these would have a profound impact on Khmer iconography, architecture and civilization.
- The nominated property also witnessed the blending of Vishnu worship (from the South) and Shiva worship (from the North), which lent it political empowerment in the region and reflected its religious tolerance. It incidentally contributed to the universal value of peace.
- Sambor Prei Kuk is the place where the Khmer language was made universal and the language of the Khmer empire alongside Sanskrit. In addition, it is the place where the first local instance of a divine title was given to secular rulers, a concept borrowed from India, and which would underpin the Angkor Empire and last until the 20<sup>th</sup> century.

As noted above, the urban layout of the ancient city is currently largely not visible on the ground, while the upstanding ruins are dispersed in a forest setting. Only traces of the overall layout and planning of the city remain, and an understanding as to how the overall hydraulic system once functioned is not clear. There is thus insufficient evidence to be able to say with any certainty what form the city had and how water management was organized. On the basis of current knowledge, it is not possible to assess the importance or complexity of the city planning or to understand the position the city might have played in the development of state formation.

In its Interim Report, ICOMOS noted that the use of the term 'Cultural Landscape' in the name of the property as originally proposed by the State Party could not be said to be entirely appropriate at the present time on the basis of the information provided. In its reply, the State Party agreed with that comment and revised the name of the property from "Sambor Prei Kuk Archaeological Sites Representing the Cultural Landscape of Ancient Ishanapura" to "Sambor Prei Kuk Archaeological Site of Ancient Ishanapura".

Whether or not Sambor Prei Kuk was the capital of a vast empire ruling over 30 cities, or whether there was a looser association of cities or city-states, also appears to be a subject of debate. The idea of Sambor Prei Kuk being seen as the place where the Khmer language was made universal does not seem to be reflected in the property in what could be seen as an exceptional way. Nor is evidence provided as to how the property reflects the idea of divine titles being given to secular rulers for the first time in this area, or how it manifests the way Vishnu worship lent political empowerment in the region and reflected its religious tolerance.

What is clear though is that Sambor Prei Kuk was ancient Ishanapura, a highly influential and prosperous trading city along the maritime trade routes, and the most prominent city of the Chenla Empire. By the 6<sup>th</sup> century AD at Ishanapura, Indian architectural and sculptural concepts had become fused with local ideas to produce a distinctive architectural style and iconography that came to be seen as the Khmer style, which in turn influenced Angkor Wat, the capital of the great Khmer Empire that emerged from the Chenla Empire, and became the high point of a fully developed Khmer cultural and architectural style.

Within Sambor Prei Kuk, this Khmer style can be seen in the octagonal temples, that reflect ancient Indian Manuals of Architecture, but with no known Indian prototype, and are believed to represent the flying octagonal palace of Indra or Vimana Trivishtapa.

### **Integrity and authenticity**

#### **Integrity**

The State Party argues that, despite the degradations caused by time and the 1960-1990 civil war, the nominated property retains its integrity. Indeed, according to the State Party, it includes all the relevant historical, cultural, religious, secular and archaeological features and artefacts of the ancient urban complex, manifested in its moated city, three main temple complexes, hydraulic features and numerous monumental remains within its original setting. It also includes, within its boundaries, its natural environment with the forested area that gave it its name.

Moreover, the major temples of the site retain their original form and materials, despite repairs and modifications carried out from the 7<sup>th</sup> to the 13<sup>th</sup> century. Therefore, a good number of decorative elements, statues, and

inscriptions remain in situ. Most of the masterpieces are in storage, or are exhibited in museums in Cambodia and abroad. Excavation surveys have indicated that many of the buried structures are in good condition. The system of dykes, canals, and hydraulic features are intact, with many still in use today.

ICOMOS considers that all the still-standing buildings, most of the known remains of the hydraulic elements, all causeways and the vast majority of currently known of ruins and archaeological elements and areas are contained within the nominated property and its buffer zone. However, the spatial layout of the nominated property is overlain by a low-impact 20<sup>th</sup> century road system. The buffer zone includes seven mounds (probably collapsed structures) pointing to the possibility that future work might reveal additional attributes that could contribute to and enhance the understanding of the property.

Despite the destruction of the site during the civil war, looting, and the fact that only some buildings in the temple complexes are in a moderate to good state of conservation, enough above-ground historic structures remain, to demonstrate the integrity of the temples zone.

The integrity of the below-ground remains and of the water management system is more problematic, as insufficient evidence has been gathered on their disposition and condition over the extent of the extremely large property to allow a judgement to be made.

Thus, the integrity of the temples zone is clear but the overall integrity of the wider city cannot be established on the basis of the knowledge available and can best be said to be vulnerable and needs to be strengthened on the basis of better documentation.

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ICOMOS considers that the conditions of integrity of the property as a whole are difficult to evaluate on the basis of current knowledge and are vulnerable and need to be strengthened on the basis of better documentation, while the integrity of the temples zone is adequate.

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#### Authenticity

The State Party considers that the nominated property retains its authenticity because it continues to be used for the purposes of human habitation, agricultural production, commerce and religious worship.

Indeed, many of the ancient shrines are still used for worship by local people as well as visitors. Local communities consider ancient Ishanapura as the dwelling place of 'Neak Ta', powerful ancestral spirits who are worshipped in everyday rituals and two unique annual festivals with practices peculiar to the place. Some 'Neak Ta' shrines are set in monuments, and many more dwell throughout the site.

In addition, the State Party has explained that the low density villages with traditional gardens and trees very likely

retain the ancient pattern of settlement. As in the past, today local villagers depend on agriculture (with rice production, and farm animals such as water buffaloes, cattle, pigs and chickens). Moreover, the harbour, which is probably sited in its ancient location, is a thriving trade centre that benefits from the Steung Sen River's traffic. All these manifestations of continued ancient practices allowed for the preservation and maintenance of the archaeological and cultural site.

ICOMOS cannot concur with the view that enough material and cultural features of the ancient city have been preserved to justify the authenticity of the site as a city that displays its former functions and structures. ICOMOS notes that it cannot be ascertained that the ancient pattern of settlement is largely retained because this is not definitely proven. Moreover, over time, forest growth has changed the visual setting of most of the structures.

Nevertheless, in spite of decay, the still-standing temples display authenticity in form and design and demonstrate Indian cultural and architectural influence during the Chenla period. In terms of materials, the remnant features retain their original substance because of sympathetic repairs, in particular of damaged brickwork that continues traditional techniques and uses old bricks. This helps maintain the authenticity of form, function and visual qualities. In addition, and by comparison with Angkor, there have been relatively fewer physical interventions and almost no hypothetical reconstruction. Minor reconstruction activity has occurred in some temples, but mainly to ensure structural stability. Many other temple remains are, however, highly vulnerable, awaiting consolidation and conservation.

However, for the majority of the very large property, little documentation is available to enable a judgment to be made on the authenticity of the surviving below-ground remains or of remains of the water management system.

In terms of function, although low-intensity agricultural production, local commerce, religious festivals and worship are still practiced within the property, these cannot be shown to be linked to ancient practices. It should also be noted that the question of how current religious practices relate to ancient ones remains unanswered.

Thus the overall authenticity of the whole city is difficult to ascertain on the basis of current knowledge and can best be said to be vulnerable and needs to be strengthened on the basis of better documentation. The authenticity of the temples zone is adequate but the remains are highly vulnerable.

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ICOMOS considers that the conditions of authenticity of the overall property are difficult to assess on the basis of current knowledge and are vulnerable and need to be strengthened on the basis of better documentation, while the authenticity of the temples zone is adequate although also vulnerable.

ICOMOS considers that the conditions of integrity and authenticity of the property as a whole are difficult to

assess on the basis of current knowledge and are vulnerable and need to be strengthened on the basis of better documentation, while the integrity and authenticity of the temples zone are adequate although authenticity is vulnerable.

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

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

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

This criterion is justified by the State Party on the grounds of the uniqueness of the property's architecture and town planning and their Indian sources. It is supported, at the architectural level, by the introduction of the octagonal building, and new aesthetic forms such as the flying palaces and medallions carved on brick walls, stone lintels and sculptures known as 'Sambor Prei Kuk Style'. At the city planning level, the justification is based on the design of a landscape integrating three different water systems and engineered to supply the town and its agricultural needs. This hydraulic system made possible the control of water flow and catchment in a manner that allowed continuous water supply for the city even in periods of drought, as well as preventing flooding in the rainy season.

ICOMOS considers that there is indeed scholarly agreement on the Indian influence on Sambor Prei Kuk's art, although the available information has not been fully utilised in the proposed justification. As for the city planning and water management, the current level of knowledge of the property does not provide enough information and detailed explanations on their historical connections to previous and later practices to show how they might be considered to demonstrate an interchange of ideas

ICOMOS considers that the development of the "Sambor Prei Kuk Style" and the artistic argument alone could justify this criterion, for the way art and architecture were developed and became a prototype which was spread to other parts of the region and ultimately led to the crystallisation of the unique Khmer style of the Angkorian period. However, on the basis of current knowledge, this criterion could only apply to the temples zone rather than the city as a whole.

For it to apply to the whole city, it would need to be demonstrated how the Indian spiritual and technical influences were manifested, not just in the art and architecture of the temples zone, but more widely across the city through its buildings and planning.

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ICOMOS considers that currently this criterion has not been justified for the whole city, but could be justified for the more limited temples zone if the justification is revised as proposed above.

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

This criterion is justified by the State Party on the grounds that Ancient Ishanapura had been deeply influenced by the Indian subcontinent at the level of the form of social institutions, religion and art, and that its religious complex was considered as the largest pilgrimage centre in Southeast Asia.

ICOMOS considers that these descriptions do not demonstrate that the property is a testimony of a unique or exceptional civilization over a span of time. The nomination dossier states that the property was a place of tolerance and syncretism of Hinduism and Buddhism, but the information provided is focussed on Hinduism and very little is said about Buddhism. More importantly, at the time, coexistence of the two religions was the norm in most Indian religious places. Buddhist and Hindu monuments coexist in Ellora Caves, India (World Heritage List, 1983, criteria (i), (iii) and (vi)), and Jain, for example. On the other hand, it is not definitely demonstrated that Ishanapura was the largest pilgrimage site. Moreover this justification only applies to a part of the property and not the whole city, on the basis of current knowledge.

In conclusion, ICOMOS considers that for this criterion to be justified for the whole city, more information would need to be provided to show how the evidence within the property might be seen to demonstrate in an exceptional way its importance as a major city of the Chenla Kingdom that reflects an important cultural tradition or civilisation related to the origin of Khmer civilization in the Angkorian period. The criterion could be justified for the temples zone alone.

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ICOMOS considers that for this criterion to be justified for the whole city it would need a much more substantial justification as proposed above, but it could be demonstrated for the temples zone alone.

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Criterion (vi): *be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that the connection of the nominated property with the universal values of tolerance and peace as introduced by the first official introduction of the Harihara, from India, and Sakabrahmana, from Persia, and being the place of the first inscription in Southeast Asia referring to the universal teachings of Buddhism. It also calls upon the importance of representations of musical instruments and orchestras found in the nominated property to the study of ancient music.

Additionally, it invokes inscriptions that are the first to use the Khmer language alongside Sanskrit, and the introduction of the concept of the God-King, a political notion that became central to Cambodia's governance system until the beginning of the 20<sup>th</sup> century.

ICOMOS considers that, concerning the first part of the argument related to the connection to universal values of peace and tolerance, it is worth noting that the sculpture of Harihara was not in the main sanctuary of the nominated property, which indicates a lower standing than one would expect for a supposedly very important figure. It should also be said that serious reservations can be made about the importance of the property's representations of musical instruments and orchestras to the study of ancient music. Representations of musical instruments are found in earlier periods, for example in Mesopotamia in the first millennium BCE. On the other hand, the inscriptions about administration and the God-King concept are interesting because they could be read in conjunction with the developments that originated, according to legends, in Vat Phou, and continued further in the Angkor period. The administrative system mentioned in the inscriptions also influenced Thailand's 4-Pillared Administrative System of Ayutthaya. It is also essential to emphasize that the God-King concept is still alive today in the political systems of Cambodia and Thailand.

More fundamentally, on the basis of the present evidence, justification of this criterion on the basis of the inscriptions about administration and the God-King concept alone, could be seen to apply to the temples zone but cannot be said to apply to the whole property unless physical aspects of the city can be seen to reflect the concept of the God-King as central to the Angkorian political system.

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ICOMOS considers that this criterion could be justified for the temples zone rather than the whole property but the justification needs to be substantially revised, as proposed above.

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ICOMOS considers that the nominated property as a whole could meet criteria (ii), (iii), and (vi), for the temples zone alone on the basis of revised justifications. In order to apply to the whole property, justifications should be revised in a substantial way and better underpinned.

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

The State Party considers that the number of inhabitants within the nominated property (886), and in the buffer zone (6,720) in 2014 is low. However, development pressures, especially in terms of planned road networks, do exist. To solve these problems, the planned roads were re-routed around the property. Trails, paths and small roads within the nominated property, in particular in the habitation zone, need careful monitoring. Development within the satellite zone, which is a zone that extends 1,500m beyond the

buffer zone, will be monitored by the Sambor Prei Kuk Authority.

ICOMOS concurs with these views, and notes that there has been no development in the nominated property in recent years, other than the Visitor Centre and associated facilities, whose architecture is sympathetic to the visual qualities of the site. Developments in the buffer zone have not affected adversely the values of the nominated property. However, ICOMOS notes that despite the re-routing of the planned roads, the existing road network overlies the ancient settlement layout, though with low impact. In its Interim Report, ICOMOS noted that the protection of the property and its enforcement mechanisms needed the adoption and implementation of a management plan, which was still not finalized. In its reply, the State Party informed ICOMOS that a Management Plan had been prepared, with a holistic approach for management, and officially adopted.

One of the main threats to the property is the lack of conservation of the built remains. As set out by the State Party (see below), 35.4% are at high risk of collapse.

The State Party states that the jungle environment involves many risks such as trees falling down on monuments, and weeds or/and water intruding into the structures and destabilizing the monuments. The risks are reduced by the regular clearing of hazardous trees, and weeds.

ICOMOS considers that the monitoring of masonry structures and the conservation programs based on minor anastylis, re-pointing, installation of non-intrusive ties and structural supports, and, when necessary, replacement of degraded bricks with recycled local historical bricks, are suitable.

Whilst ICOMOS considers that the maintenance programme, consisting of preventing and mitigating further deterioration of the fabric of the nominated property, is adequate in the short term, many of the remains are at serious risk from lack of conservation, the impact of heavy rains and water intrusion, and these threats need to be dealt with more adequately.

As pointed out in ICOMOS's Interim Report, a defined conservation programme is urgently needed to show how the conservation of both monuments and archaeological sites and water features will be organised in the long term, what parameters will guide the work, and how it will be documented.

The lack of detailed documentation of the monuments and sites is an issue that also needs to be addressed.

The State Party asserts that seismic risks are non-existent, as well as flooding risks in the nominated property because of its topography and ingenious hydraulic systems. A fire risk exists, but the education programs of the Forestry Department and the Royal Decree on Environmental Protecting and Resources (NS/RKM/1296/36, 24/12/1996)

have helped to address the risk. Intentional burning is also used to mitigate the risk.

ICOMOS considers that the fire risk remains important, but education programs can help address the risk and mitigate it. Intentional burning certainly also helps mitigate the risk. As a measure of fire protection, the newly finalized Management Plan includes a plan of 'Emergency Equipment' to be installed, over the course of a year, at critical locations within the property. This includes over-ground and underground water storage tanks and adequate fire extinguishers at the visitor centre. Smoke detectors and fire alarms will be installed in vulnerable areas.

ICOMOS also notes that during the wet season the surroundings of the buffer zone are typically flooded, which seems to indicate that flooding risks do exist. Other risks from lightning, wind, and falling trees need to be considered as well. Therefore, there is a need to prepare an appropriate risk management response plan, as recognised in the Management Plan. ICOMOS also notes that heavy rain is a serious threat as demonstrated by the collapse of S2 Tower (now covered by a shelter) in 2006.

The State Party considers that current, day-to-day and annual religious activities do not represent a risk for the nominated property; neither do foreign visitors. Based on parking capacity, the provisions for the future are about 1,400 visitors per day, or 504,000 per year. According to the State Party, this number would be handled easily. Annual religious activities may attract foreign visitors in the future, but planning for mitigation of potential risks connected to these activities should involve all interested parties.

ICOMOS considers that the issue of tourism is not adequately addressed because the features of the nominated property cannot possibly accommodate the 504,000 predicted visitors, especially given that, for climatic reasons, the tourism season is limited to November-February. Thus, the estimated total number on the basis of a regular daily number throughout the year is simply not feasible. Moreover, it is crucial to recognize that the nominated property itself, and particularly individual temples, have limited physical capacity and that access to the monuments and archaeological sites is not controlled or limited. There is thus considerable potential for visitors to damage individual sites. Carrying capacity must therefore be viewed as a dynamic process, which is responsive to site conditions, seasonality and tourism industry needs. As indicated in the Interim Report, a more appropriate management model that takes into account the condition of the property, the carrying capacities of each monument, and the dynamic and seasonal nature of site operations should be realized. And this model must take account of not only the monuments but also the much more extensive issue of the archaeological sites. Which parts of the property are to be accessible must be defined.

ICOMOS considers that the main threats to the property are the high vulnerability of the built remains to lack of

conservation, water infiltration and over-visiting. Overall, the property is vulnerable to heavy rains, fire, looting, and tourism pressure. The lack of documentation of the sites is also a serious constraint.

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## 5 Protection, conservation and management

### Boundaries of the nominated property and buffer zone

The boundaries of the nominated property (1,354.26 ha.) and those of the buffer zone (2,009.30 ha.) are delineated by straight lines. Both cover a total surface of 3,363.56 ha.

The State Party asserts that the boundaries of the nominated property and its buffer zone are adequately delineated. It notes that the protected zone follows the boundaries formed by roads, canals, rivers, property demarcation lines or administrative arrangements. Furthermore, the State Party has created a 'Development Zone', which is a zone extending 1,500m beyond the buffer zone, and within which development will be monitored by the Sambor Prei Kuk Authority.

Thus, there are three different areas: the nominated property where sit the temples and other physical objects, as well as other unexcavated structures; the buffer zone, which contains traces of possible remains; and a Satellite Area designated for the preservation of traditional lifestyles.

ICOMOS considers that the boundaries of the nominated property and the buffer zone are clearly delineated by seemingly straight lines, presumably because the full extent of the city remains unknown. The nominated property incorporates the main secular and religious areas of the ancient city, and many surviving significant structures, archaeological areas and works of engineering, and their forest setting. However, it should be noted that some water features are not included in the nominated property. Some of them are included in the buffer zone, and others in the Satellite Area. The property area is clearly marked on-site through the use of painted concrete posts with simple informative signs. It also contains many areas that can potentially be fruitful for future research and to enrich the understanding of the site.

The boundaries of the buffer zone are also delineated by seemingly arbitrary lines. They comprise an area in which activities may directly affect the values of the nominated property and within which control is required in order to provide an appropriate visual and physical setting. It thus offers extra protection to the nominated property. However, ICOMOS notes that some water features in the southeast and northeast are not included in the property or the buffer zone, and that these features need protection, as future archaeological investigation may uncover in these areas remains of water works that could have some importance for the understanding of the water system of the nominated property.

Moreover, in its Interim Report, ICOMOS had noted that protection and management statutory measures remained incomplete unless and until the draft Sub Decree for the use of zones within the Sambor Prei Kuk Region is implemented. In its reply, the State Party informed ICOMOS that the Sub Decree was adopted on 4 January 2017 and provided a copy as part of the information.

Although the boundaries of the property and the buffer zone encompass large areas within which remains of the city have been found, their delineation is somewhat arbitrary and needs to be refined so that the boundaries relate to physical features and can be justified on the basis of surveys and research.

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ICOMOS considers that the boundaries of the nominated property and of its buffer zone are basically adequate, but recommends that water features in the southeast and northeast of the buffer zone be protected, and included in the buffer zone. It also recommends that the boundaries of the property are refined to relate to physical features related to the extent of the town.

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#### **Ownership**

The State Party asserts that, under the provisions of the Law on the Protection of Cultural Heritage (NS/RKM/0196/26 of 25/01/1996), the Land Law (NS/RKM/0801/14 of 30/08/2001) and the 2003 Royal Decree establishing Sambor Prei Kuk a protected site, the nominated property is the property of the Royal Government of Cambodia.

ICOMOS notes that the nomination dossier does not discuss the current status of land plots privately utilized by villagers within the nominated property.

#### **Protection**

The State Party states that the nominated property benefits from a series of national laws that protect natural, archaeological and cultural sites. The site of Prasat Sambor Prei Kuk Archaeological Site was established as a protected site by Royal decree on 03/11/ 2003.

The protection of the nominated area was extended to encompass all of the nominated property (1,354.26 hectares) by the Royal Decree on the Establishment of 'Sambor Prei Kuk Temple Site', dated 24 December 2014.

Lastly, it is worth noticing that Cambodia has a comprehensive Law on the Protection of Cultural Heritage (Law No.26, 25 January 1996) which states in art.19: 'Classified cultural property is imprescriptible.'

Parts of the nominated property fall within the Protected Forest for the Conservation of Plant and Animal Genetics.

Implementation of the protection of the nominated property relies mainly on the National Authority for Sambor Prei Kuk, (NASPK), under the authority of the Ministry of Culture and Fine Arts, Department of Archaeology.

ICOMOS considers that the provisions of the protecting laws and the protective measures are promising, but that their effectiveness needs to be monitored in the future. ICOMOS also recommends that the protected zones be clearly delineated in maps for all protecting laws.

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ICOMOS considers that the legal protection in place is adequate. ICOMOS considers that the protective measures for the property are adequate but that future monitoring of their effectiveness is necessary. It also recommends that the protected zones be clearly delineated in maps for all protecting laws.

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#### **Conservation**

The State Party presents, in a draft "Comprehensive Cultural Heritage Conservation Management Plan", a detailed description of the surveys and inventories conducted on the site. These include a Total Station Survey, whose survey maps have been integrated to produce one base map; a Historic Precinct Survey that formed the basic information to develop 'a concept plan' and identify the rural fabric and primary structures, and the Historic Building Information System, a database that contains for each building archival information, description of the building and the embellishments, its present state of conservation, analytical information, recommendations, and information on the current maintenance practices, date of survey, name of the surveyor and photographic documentation.

The State Party asserts that a survey conducted in the 1990's shows the poor state of the 291 buildings surveyed, which constitute a total of 133 monuments, and extensive looting. However, some monuments are in moderate to good condition. Additional information provided by the State Party gives more recent statistics of risk assessment indicating that, among 271 assessed buildings, 15.1% of the monuments are in a critical condition, 35.4% are at high risk of collapse, 44.3% are at medium risk, and only 5.2% present a low risk of collapse.

A summary of the Conservation Report is included in the nomination dossier. It indicates the group of buildings that compose each monument, and briefly describes the state of conservation of every building. A large number of these monuments are simple mounds, with a few bricks scattered around, and most of the standing structures are in a poor state of conservation.

The State Party indicates that preservation and restoration works started in the 1990s, after the end of the civil war. Works undertaken since 1990 are listed and described in broad lines in the Management Plan. This document also includes a Conservation Management Plan prepared on a values-based methodology.

ICOMOS considers that by comparison with Angkor, there have been relatively fewer physical interventions, and almost no hypothetical reconstruction. The few irreversible interventions made in the past did not significantly compromise the values of the nominated property.

Given the seriousness of the risk of collapse of the still partly-standing monuments identified in the risk assessment, ICOMOS considers that it is preferable to firstly invest most of the available resources in protection and conservation of all the standing structures. Excavation works can be delayed until safety is met in all standing structures. ICOMOS also recommends that conservation techniques, including day-to-day know-how, that currently rest within the individual knowledge of key personnel, be recorded in a readily-updated manual. Protection and conservation approaches and methods used should be systematically documented, so that they can be applied in the future.

Given the vulnerability of many of the structures, ICOMOS had requested the State Party to develop a conservation plan and identify the necessary resources for its implementation, and possibly develop a roadmap. In response to that request, the Management Plan that was finalized in February 2017 includes a Conservation Plan with a three-phase plan for implementation. The conservation planning identifies two distinct types of features based on the risk assessment surveys. The first type includes seventy-three temples and features of high-to medium-risk, which will be the primary focus of conservation. The second type includes 218 temples and features that are in a very poor state of conservation, or are simple rubble mounds. Planning for the second type of features aims at protection and conservation in their present state. A 15 years planning based on a long-term conservation strategy, divided into three five-year phases, is designed to ensure that all features do not undergo any unforeseen degradation. Conservation actions include regular monitoring, risk assessment, scientific surveys, and maintenance. Training programs and capacity building are included in the first and second phases (2017-2022 and 2022-2027) of the plan.

ICOMOS considers that the details provided are helpful but that the plan needs to be augmented with more details on the parameters that will guide conservation work, how choices will be made, and how monuments will be documented before and after conservation, all of which should be set out in a conservation manual.

ICOMOS considers that the conservation plan is adequate, but needs more refinement. It also considers that a conservation manual needs to be written and details of resources set out for priority conservation work.

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## Management

Management structures and processes,  
Including traditional management processes

There is no ongoing tradition of building maintenance or conservation. For more than a century, conservation programs of the setting of the property have been undertaken by government agencies, with input from academic institutions.

The management arrangements for the nominated property, buffer zone and satellite zone are set out in the Sub Decree for the use of zones within the Sambor Prei Kuk Region, with the goal of preserving archaeological evidence and natural resources, and promoting sustainable development in the region.

The Ministry of Culture and Fine Arts is responsible for the implementation of the Law on the Protection of Cultural Heritage (Royal decision NS/RKM/0196/26 dated 25 January 1996). Within this framework, and under the Department of Archaeology, the National Authority for Sambor Prei Kuk (NASPK) is responsible for ongoing conservation, preservation, restoration, revitalization and general management. It is funded through a State budgetary allocation, and entry fees. In addition, it may seek more funding from national and regional authorities, international donations, and more revenues from tourist services.

NASPK is guided by the draft "Comprehensive Cultural Heritage Conservation Management Plan". In the future, it will be guided by the recently adopted Management Plan. The State Party asserts that it will be staffed adequately, and be able to provide training for guides and local people in the fields of conservation and maintenance. It will receive expertise and personnel support from the Royal University of Fine Arts. Different ministries (Tourism, Culture and Fine Arts, and Environment) will provide additional support to NASPK. The nominated property is also included in an ongoing research program of the Ministry of Culture and Fine Arts in cooperation with Waseda University (Japan).

NASPK currently employs a workforce of 37 people on-site, including the site manager and assistant, a project manager, 10 technical workers and 24 guardians, plus various security officers from the Heritage police, Tourism police and Cambodian police.

The senior staff of NASPK are well-qualified and experienced. The senior personnel in charge of community engagement, archaeology, maintenance and conservation works have many years of experience of the site, particularly through the Sambor Prei Kuk Conservation Project. The Advisory Board, which is based on cross-departmental representation, facilitates communication and liaison between various National Government Agencies and the Provincial Government.

ICOMOS notes that the 23 staff members of NASPK have only recently been formally appointed, but considers that given the current status of the property, the level of senior staffing and the flexibility available for deployment of additional personnel on site are appropriate. When visitation increases, additions to the staffing will be required. The new office of NASPK is located in Kampong Thom, and it appears that the re-location of the majority of the staff has already taken place.



Policy framework: management plans and arrangements, including visitor management and presentation

In the nomination dossier the State Party has produced a draft “Comprehensive Cultural Heritage Conservation Plan Proposal”, also called “Proposed Management Plan”, which is still in the process of refinement. A letter from the Cambodian National Commission for UNESCO dated 26 August 2016 asserts that a final proposal would be made by December 2016. On 23 February 2017, the State Party informed ICOMOS that a Management Plan was finalized and adopted, and its implementation would start as soon as possible.

The recently completed facilities at the Visitor Centre, within the property, are suitable for the management needs and site operations. Senior staff are currently based in Phnom Penh, but will soon occupy the upper floor of a provincial government building that is suitable for current management purposes. With time, NASPK staff will increase, and more suitable facilities will be required.

Information about Sambor Prei Kuk is available in brochures, and on the web. Leaflets about the historical values of the nominated property are provided at the ‘Visitor Interpretation Centre’. Guides are also available.

The nominated property can also be visited as part of a tour to Cambodia’s other World Heritage properties, which is designed to offer a better understanding of the Pre-Angkor history and culture. Also, the nomination dossier asserts that visitors have the possibility of participating in excavations and restoration work.

ICOMOS considers that existing management arrangements are founded upon a clear understanding of the values of the nominated property and that there is a commitment to effectively manage it in a manner that conserves those values. The Management Plan is designed within the framework of the existing Royal Decrees, and the Sub Decree referred to in Section 5, subsection Protection. The policy framework of the Management Plan is thorough and embodies both high level statements of principle, and detailed guidance.

However, ICOMOS considers that, in order to protect the nominated property and its artefacts, visitor participation in excavations and conservation should be adequately and very closely supervised. On the other hand, it is advisable to improve the visitor display and interpretation information at the Sambor Prei Kuk Visitor Centre. Furthermore, looting remains a serious risk that ought to be a constant priority for management.

#### Involvement of the local communities

The nomination dossier states that a local Non-Governmental Organisation, the Sambor Prei Kuk Conservation and Development Community, founded in 2004, supports the NASPK and contributes to the sustainable conservation and development of the site.

ICOMOS notes that the local community maintains religious practices in connection with the spiritual qualities attributed to the place. In spite of the absence of any tradition of building maintenance, these continued traditional cultural practices assist in maintaining and conserving the setting and some features that are important to the values of the nominated property.

However, ICOMOS considers that more proactive community participation ought to be sought, and that local inhabitants should be more actively engaged in the protection and conservation of the nominated property.

In conclusion, ICOMOS considers that all actions of the Management Plan are adequate except the treatment of tourism and the projected visitor numbers. As shown in Section 4, the tourism management plan should be revised to efficiently take into account the weather conditions, seasonality of tourism activities, and the carrying capacities of individual monuments of the nominated property.

ICOMOS also notes that heavy rain is a serious threat as demonstrated by the collapse of S2 Tower (now covered by a shelter) in 2006. As mentioned above in Section 4, risks, such as flooding, lightning, wind, and falling trees do exist, and call for the preparation of an appropriate risk management response plan.

The State Party is also invited to refine and augment the Conservation Plan with a conservation manual and indicate the adequate resources for all planned actions.

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ICOMOS considers that the management system should be perfected by addressing more effectively the need for an appropriate risk management response, and adopting an efficient approach to the tourism carrying capacity of the nominated property.

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## 6 Monitoring

The State Party views monitoring as a way to adapt and improve the conservation and management, for which it is important to create a base line data for both environmental and cultural assets of the site, and to periodically assess their condition. It also plans a qualitative annual review that would be combined with a series of ‘objective indicators’.

ICOMOS considers that this combination should be complemented by regular reports on the progress of excavation, preservation, conservation and restoration works. Indeed, a large number of the standing monuments are at risk of collapse and need protection and conservation to avoid further deterioration and collapse. Therefore, the state of conservation of the monuments ought to be included in the monitoring system, which should also include risk data.

It also considers that these indicators must be extended to encompass all the attributes of potential Outstanding Universal Value. Regular monitoring of the state of conservation of the wider archaeological remains that reflect the ancient pattern of settlement is needed as well as of the remains of the ancient hydraulic structures that are still in use. In addition, consideration should be given to monitoring of broader environmental indicators, as well as non-physical attributes, such as local community involvement, or visitor satisfaction.

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ICOMOS considers that the monitoring program needs to be complemented by more indicators relating to the attributes of potential Outstanding Universal Value, such as archaeological sites and the ancient hydraulic structures, as well as by regular reports on the conservation and restoration works, and the monitoring of risk data, community involvement, visitor satisfaction, and broader environmental indicators.

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## 7 Conclusions

The archaeological site of Sambor Prei Kuk, with its urban composition and what survives of its once sophisticated engineered hydraulic system, is believed to be ancient Ishanapura, the capital city of the Chenla Empire that flourished in the late 6<sup>th</sup> and early 7<sup>th</sup> centuries CE. The city is by no means yet fully documented, although three main zones have been identified: the central temples zone, the western habitation zone (a square area that is surrounded by moats on three sides and a river on the fourth side), and the eastern causeways zone.

The majority of the standing remains are concentrated in the central temples zone, and this is where most attention has been paid through research and conservation. The importance of the temples' architectural designs, and particularly the orthogonal-shaped temples, based on the principles of the ancient Indian Manuals of Architecture, and their associated stone carvings, are well set out.

By contrast, the remains of the overall city, and its planning and its water management arrangements, have been less well studied and only outline details have so far been compiled. As the State Party states, 'further archaeological research' is needed to 'enlighten us in the structure, use and occupation of this vast city complex'. Furthermore, more research is also needed to gain a clearer picture as to the processes of state formation associated with Sambor Prei Kuk and the influence it might have had in the region. As a result, articulating its value and the attributes that convey that value is not straightforward.

The property is being nominated as an overall city within which are temples, the remains of settlement areas and vestiges of a complex water management system. If the three criteria for which it is being nominated, cultural criteria (ii), (iii) and (vi), are to be justified for the whole city, ICOMOS considers that more work is needed to set

out how the city as a whole might meet one or more of these criteria, not just the temples zone. The assertion that the city demonstrates grand planning would need to be supported by more details of what remains of its layout and more details of what remains of its sophisticated water management system, and of how both might have functioned. If the city is seen to be influential in terms of state formation, more scholarly justifications would need to be provided as to the processes of interchange and influence. If this cannot be achieved until further research has been undertaken, then the State Party might wish to consider nominating only the temples zone in the first instance, as the temple zone alone could be seen to justify the criteria on its own, and to wait until the overall city is better studied before nominating the whole area.

The boundaries of the nominated property and its buffer zone are delineated by seemingly straight lines, and this also reflects the lack of accurate data on the limits of the city. ICOMOS notes that some water features in the southeast and northeast of the buffer zone are not included in it. These water works could have some importance for the understanding of the overall water system. Like the other obvious archaeological features, these features should be included in the buffer zone.

The conservation of the overall large property is a major conservation challenge, given the extremely large number of identified sites and above-ground monuments, some of which are still deep in forest or within agricultural land. The condition of the standing temples is a particular challenge when 35.4% are said to be at imminent danger of collapse.

Although a conservation programme has been set out this needs to be augmented with a conservation manual that sets out the parameters within which conservation work is undertaken, and clear indications of both the human and financial resources that will be needed.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the examination of the nomination of Sambor Prei Kuk, Archaeological Site of Ancient Ishanapura, Cambodia, to the World Heritage List, be **deferred** in order to allow the State Party, with the advice of ICOMOS and the World Heritage Centre, if requested, to:

- a) Undertake necessary research and augment documentation and scholarly support for more substantial proposed justifications for the Outstanding Universal Value of the whole city for one or more criteria that apply to the whole of the nominated property and not just the temples area,

Or,

Propose a nomination of the temples zone alone which could be seen to justify the proposed criteria on its own, and then consider extending the property

once the wider property has been better studied, documented and assessed,

satisfaction, community involvement, and relevant broader environmental indicators;

- b) Whichever is the option chosen, identify more clearly the attributes of potential Outstanding Universal Value in relation to the boundaries of the property and its buffer zone,
- c) Augment the Conservation Plan with a conservation manual to set out the parameters within which conservation is carried out, and develop details of necessary resources to address the urgent conservation of the temple buildings that are in danger of collapse,
- d) Refine the Management Plan by addressing more effectively the need for an appropriate risk management response and by identifying adequate resources for all planned actions,
- e) Revise the Tourism Accommodation Plan by using a more dynamic and efficient approach that includes weather conditions, seasonal industry variations and monument conditions and their carrying capacities;

ICOMOS considers that any revised nomination would need to be considered by an expert mission to the site.

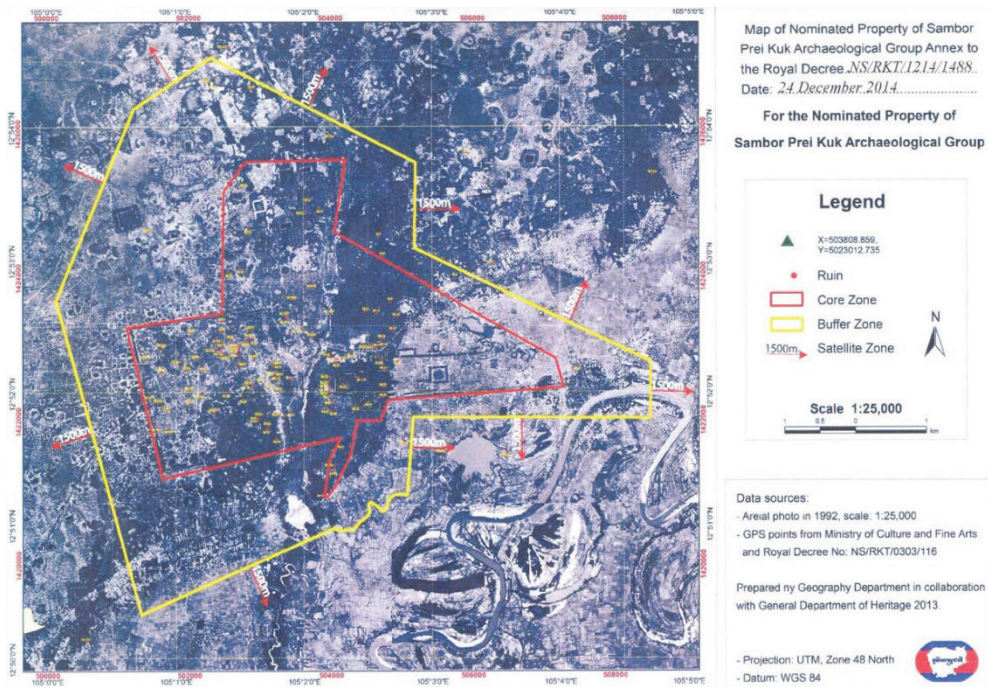
ICOMOS would be ready and willing to work along collaborative lines with the State Party to consider possible ways forward, if requested to do so.

#### **Additional recommendations**

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

- a) Preparing and implementing a visitor code of conduct,
- b) Funding research and preparing an interpretation and presentation plan for the Kampon Thom Museum,
- c) Researching ways to avoid herbicides in fighting weeds and replace them by masonry- and environment-friendly methods,
- d) Designing and implementing better signage in the nominated property,
- e) Improving the visitor display and interpretation information at the Sambor Prei Kuk Visitor Centre,
- f) Continuing careful looting control, and implement the theft alarms plan mentioned in the Management Plan,
- g) Complementing the monitoring program by regular reports on the conservation and restoration works, and the monitoring of risks data, the settlement pattern, the ancient hydraulic structures, visitor





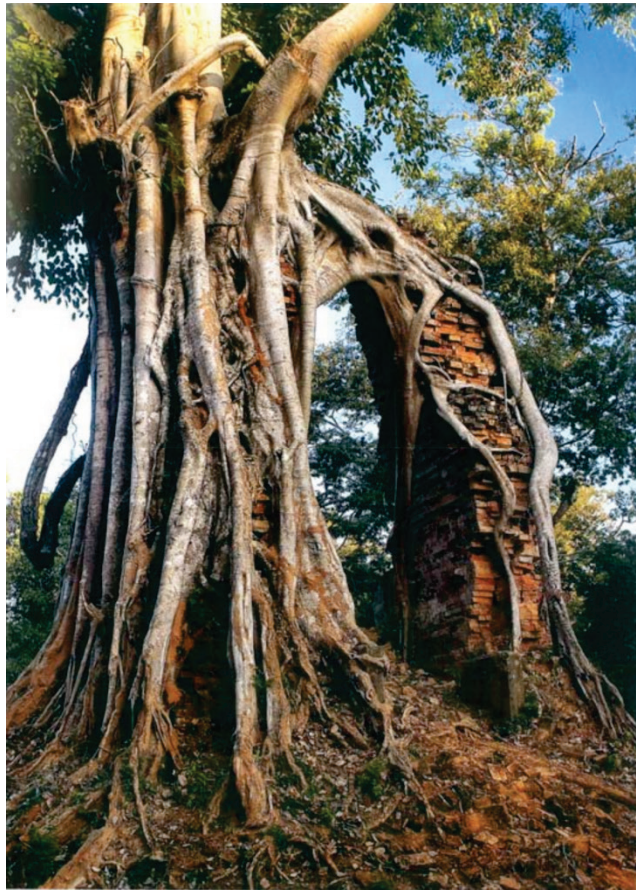
Map showing the boundaries of the nominated property



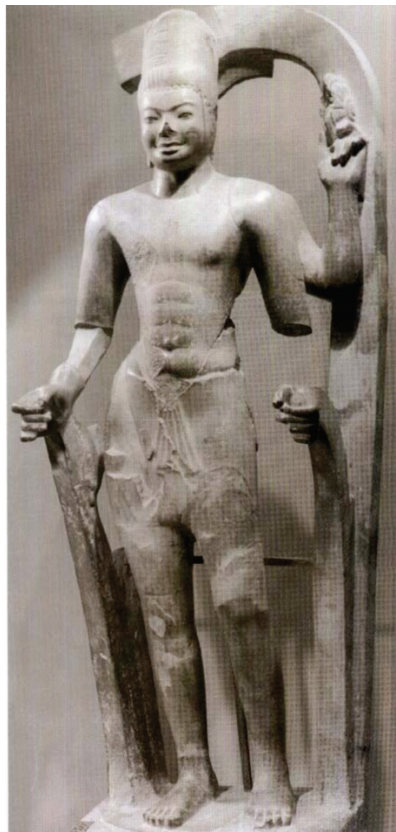
Octagonal Temple



North face of west side Prasat Tamon (T1)



Remains of tower S3



Harihara, 7th Century, Sambor Prei Kuk Prasat N 10  
National Museum Phnom Penh





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## Kulangsu (China) No 1541

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### Official name as proposed by the State Party

Kulangsu: A historic international settlement

### Location

Fujian Province  
China

### Brief description

Kulangsu is a tiny island located at the estuary of Chiu-lung River facing the 600 metres distant city of Xiamen across the Lujiang Strait. Based on earlier traditional settlements, the international settlement, which formally carries this title since 1903, integrated influences of foreigners living there is the late 19<sup>th</sup> century in the vicinity of Yiamen international port and later in the early 20<sup>th</sup> century of Chinese returning from abroad. Its heritage reflects the composite nature of a modern settlement composed of 931 historical buildings of a variety of local and international architectural styles, natural sceneries, a historic network of roads and historic gardens.

### Category of property

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

## 1 Basic data

### Included in the Tentative List

21 January 2013

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

29 January 2016

### Background

This is a new nomination.

### Consultations

ICOMOS consulted its International Scientific Committees on Shared Built Heritage, Historic Towns and Villages, and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 16 to 21 October 2016.

### Additional information received by ICOMOS

A letter was sent by ICOMOS to the State Party on 29 September 2016 requesting further clarification and

additional information on disaster preparedness, the relation of the proposed Outstanding Universal Value to the gardens and conservation measures undertaken. A response was received from the State Party on 23 November 2016.

On 20 December 2016, ICOMOS sent an Interim Report to the State Party, which contained further requests for additional information on the justification for the proposed Outstanding Universal Value, protection of the property and its visitor management. The State Party responded on 22 February 2017. All additional information has been incorporated into the relevant sections below.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

The nominated property covers the entire island of Kulangsu and its adjacent coastal waters with an overall size of 316.2 hectares. The boundaries in the waters are demarcated by the extension of the surrounding coral reefs. The buffer zone, which covers the adjacent Dayu and Monkey islands and reaches until the shoreline of Xiamen, includes additional 886 hectares.

The nominated property is located in sub-tropical marine monsoon climate, which determines its evergreen ecological landscape. Two ridges extending across the island, one in north-south and the other in east-west direction, divide the area into distinct areas with limited visual sight relations. The urban spaces and highest architectural density is framed by these ridged towards the north east of the island facing the city Xiamen.

The island hosts an urban settlement of close to a thousand historic buildings and is further characterized by historic roads, natural landscape elements and historic gardens. The architectural structures include private residences, public buildings of administrative, judicial or diplomatic function, commercial structures, including former office and warehouse buildings of foreign firms and religious structures of Buddhist, Taoist, Christian and Ancestral communities. Educational, recreational and sports structures complete the spectrum of facilities for the Kulangsu community. The private residences are often larger structures in form of villas and mansions but also include the former staff quarters of foreign firms.

These architectural structures represent a variety of architectural styles, most of which can be traced back to the interaction with or import of foreign architectural traditions. These styles are referred to as traditional southern Fujian Style, Veranda Colonial Style, Western Classical Revival Style, Modernist Style and Art Deco, as well as their fusion in what is considered unique of Kulangsu and called the Amoy Deco Style.

Kulangsu also integrates four roads designated as of historic importance as well as the natural landscapes of several hill and cliff sites. Such natural features, in particular reefs and rocks are associated to narratives of local history and traditional culture and, hence, bear special cultural connotations. Its preserved and diversified historic gardens, both independent and affiliated with historic buildings, like the architectural features reflect combined layouts of both Chinese and Western styles demonstrating the interaction and integration of different cultures.

### History and development

The history of Kulangsu is part of the history of Chinese migration to Southern Asia and further abroad. Early residents, from the 14<sup>th</sup> century CE and before, supposedly migrants from the north, established scattered traditional settlements on the island. They were moved to the mainland in 1387, and returned after 1487. Three large settlements were formed during the Ming and Qing dynasties (15<sup>th</sup>-18<sup>th</sup> centuries), and were located at: Neicuo'ao (being the oldest of the three), Lu'erjiao and Yanzajiao.

As early as the 18<sup>th</sup> century, foreign traders have been attracted to the island, a fact attested by a tomb of a Spaniard sea trader named Manuel (1729-1759). After the Opium War in the 1840s, Kulangsu became administratively independent from the British Settlement in Xiamen, which was then an open commercial port. However, its development as a residential settlement remained dependent on Xiamen. It was determined by the presence of foreign missionaries, consular and diplomatic officers and foreigners working in larger city visible across the strait. These foreign residents brought with them western and South Asian architectural styles and concepts of modern community amenities including schools, hospitals, roads and cemeteries, as well as their respective religious and cultural lifestyles. Thus, Kulangsu became a nucleus of the introduction of international culture towards China as well as a base for modern western culture and technology that were to be disseminated to the wider region and inland China.

The history of the introduction of modern western culture can be divided in two phases. The first beginning in the mid-19<sup>th</sup> century was a 'phase of collision and exchange', with relatively distinct residential areas. The second, a phase of blending and maturation, symbolically started when the 1903 Land Regulations for the Settlement of Kulangsu took effect. The starting of the Pacific War in 1941 caused many foreigners and overseas Chinese to settle in Kulangsu, which accelerated the maturation of the multi-cultural blending in the island. This resulted in the development of culture, education, industry, new architectural and decorative styles with local features, modern spaces, facilities and infrastructure such as the historic road system established in the first half of the 20<sup>th</sup> century.

Another remarkable trait of this second period is the shifting of the driving force behind construction and development from foreigners to returned overseas Chinese. The latter

renovated the traditional settlement and developed new ones. At the same time, they initiated the integration of Chinese and foreign residential areas. Parallel to this development, Kulangsu witnessed a boom in community service facilities and infrastructure, which remains well evidenced in tangible heritage. Finally, it is worth noting that the 20<sup>th</sup> century also witnessed the introduction of alien plant varieties that enriched the botanical diversity of the island, and changed its previously somewhat desolate landscape.

## 3 Justification for inscription, integrity and authenticity

### Comparative analysis

The State Party presents a comparative analysis of the nominated property with properties inscribed on the World Heritage List and the UNESCO Tentative Lists. It is focused on Chinese Historic Towns and other Building Complexes of the 19<sup>th</sup> century reflecting exchanges between Chinese and Western cultures. This comparative analysis is accordingly focused on a chronological, regional approach, comparing similar phenomena within the same historical period and broader geographic location, but also considers the function and nature of the site, and the nature of its foreign cultural influence.

The comparative analysis shows that most of Latin America's properties are from the 16<sup>th</sup>-18<sup>th</sup> centuries and were generally developed under the cultural influence of one country (Spain, or Portugal). Among Latin America's World Heritage properties, only "Historic Quarter of the Seaport City of Valparaíso", Chile (2003, criterion (iii)), and the "Urban Historic Centre of Cienfuegos", Cuba, (2005, criteria (ii) and (iv)) date to the 19<sup>th</sup> century. The latter was mainly a sugar and tobacco production centre and the former a business and trade centre. In terms of function, both properties, like most of the properties inscribed on the World Heritage List in Latin America, are mainly trade, industry, and administrative centres.

Comparison with cities from the Asia-Pacific region inscribed on the World Heritage List shows that also these towns display different features for various reasons. Towns from the 16<sup>th</sup> -18<sup>th</sup> centuries like Macao ("Historic Centre of Macao", China, 2005, criteria (ii), (iii), (iv) and (vi)) have an overall planning system based on western ideas. Singapore witnessed a urban planning transformation, which aimed at spreading western culture, but its residential areas were based on ethnic separation.

Comparison with Malacca ("Melaka and George Town, Historic Cities of the Straits of Malacca", Malaysia, 2008, criteria (ii), (iii) and (iv)) shows that Kulangsu's building heritage is more diverse in styles and typology. Comparison with "Kaiping Diaolou and Villages" (China, 2007, criteria (ii), (iii) and (iv)) shows how Kaiping illustrates a peculiar architectural form under a special social and historic context. Comparison with fifteen other Chinese cultural heritages sites likewise indicates how the unique geographical location and the autonomous

management system with diverse groups and cultures produced a city fabric without clear divisions of settlement between people from different countries. When compared with Shanghai's Bund, a regional trade centre developed under the influence of European and American cultures, or with Guangzhou, and Yantai Hill, the analysis shows that all these sites are merely architectural ensembles but not cities reflecting multicultural influences.

Among all cities, which could provide such representation, Kulangsu is shown to be unique in that it witnessed mutual reference and a cultural fusion between diverse cultures that materialized in an organic urban fabric, and a slow self-transformation.

The State Party concludes that Kulangsu through the overall comparison is confirmed a unique example of modern settlement with exceptional multi-cultural characteristics, that have influenced its social governance, quality of life and environmental features. It also concludes that no other cultural heritage site of this historical period from the Asia-Pacific region is comparable in terms of these aspects while retaining a principally residential function.

ICOMOS concurs that Kulangsu settlement stands out in terms of its multi-cultural influences and their evidence in the urban and architectural fabric. ICOMOS therefore considers that the comparative analysis has demonstrated that the nominated property is a unique and representative example of a multicultural international settlement of the 19<sup>th</sup> and the 20<sup>th</sup> centuries based on its well-preserved architectural, urban and garden heritage which retains a full range of public facilities illustrating the rich blending of modern habitat concepts with a traditional local culture.

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

#### **Justification of Outstanding Universal Value**

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

- Kulangsu was an important window for Sino-foreign exchanges, initially since the opening of a commercial port at Xiamen in 1843, and later the establishment of the island as an international settlement in 1903. As such it stands out as a witness to China's modernization in the early processes of globalisation.
- Under the special Sino-foreign joint management agreement, Kulangsu became an international settlement of outstanding cultural diversity and remarkable modern living quality. Its development appears as a unique demonstration embodying modern habitat concepts from the mid-19<sup>th</sup> to the mid-20<sup>th</sup> century.
- The history of the island is by itself a tangible evidence for the extensive and exchanges of diverse Chinese and foreign cultures in all aspects of material culture.

Its well preserved historical remains are an authentic and integral record of its tortuous development process and vivid style changes, and a crystalized reflection of the history of an era with intense reforms.

- Kulangsu's development is said to clearly document the spread of foreign cultures and the shaping of the basic characteristics of early modernization by the southern Fujian people, who returned from their overseas undertakings. Today, Kulangsu exemplifies a historical experience of mutual understanding and joint development among different cultures and values across the world.

ICOMOS considers that the nominated property is indeed an exceptional example of cultural exchanges in South-East Asia, which provides reference to the cultural fusion between Chinese and diverse other cultures. This materialized intermingling remains legible in an organic urban fabric, which formed over decades through slow transformation constantly integrating more diverse cultural references. In documentation of this, Kulangsu's built heritage illustrates a large variety of architectural styles including Traditional Southern Fujian Style, Veranda Colonial Style, Western Classical Revival Style, Modern Style and Art Deco. Most exceptional however is the fusion of these stylistic influences into a genuinely new architectural movement representative of South East Asia, called the Amoy Deco Style. Kulangsu is established as the origin and best representation of this style and hence illustrates potential for Outstanding Universal Value.

#### **Integrity and authenticity**

##### **Integrity**

The integrity of the historic landscape has been maintained, primarily as result of consistent conservation of historic architectural structures and effective development controls regarding height, volume and form of new buildings. The historic relationship of built up and green spaces also contributes to the overall landscape integrity which includes the preserved natural sceneries of cliffs and rocks and the historic gardens, both affiliated courtyard and independent private gardens.

The completeness of the property is demonstrated in the delimitation of the entire island including its surrounding coastal water until the edge of the reef. By means of this boundary designation, the island is not only included based on the architectural structures which document the Amoy Deco Style but also in relation to its ecological and geological characteristics, which underpins that the built structures and the natural setting of the island form one harmonious whole. The early recognition of this harmony has also prevented extensive development in waters surrounding the island, which can be witnessed on other islands or the nearby mainland. Essential for the recognition of the value of the island is that it was never connected to Xiamen via traffic infrastructure and remains solely accessible by ferry. Today, this restriction constitutes

an essential element of visitor management processes ensuring the continued intactness of the island.

Tourism pressures are indeed a concern that could affect the integrity of the island and hence require strict controls. In its additional information submitted in February 2017 at the request of ICOMOS, the State Party specified that the maximum number of visitors per day would amount to 15,000 while measures towards a better distribution of these on the island were being developed. ICOMOS considers that effective tourism management is key to the future integrity of the property.

Lastly, typhoons represent a serious threat, as demonstrated by the September 2016 typhoon, which has damaged several historic buildings. Adequate risk preparedness and disaster response strategies are therefore equally essential.

#### Authenticity

Kulangsu island has retained its authenticity in a number of qualifying conditions, including form and design, location and setting and in many elements of the island material and substance and – to a lower extent – use and function. As regards the information source of form and design, both the urban settlement patterns as well as the architectural structures have retained their characteristic layout and stylistic features. The latter remain credible representations of the various architectural styles the island unites.

Kulangsu further retains its original location and natural landscape setting and has preserved the atmospheric qualities of an ideal residential settlement with a wide range of public services, which continue to serve their original function. The urban structures remain protected by the original legal context, which was created for the establishment of the international settlement in 1902 and remains valid until present, contributing to the continuity of the ideas of the settlement as well as its early design principles.

The various spatial contexts of the island, both natural and built-up retain their original links and relations including road connections and sight relations. The continuation of these ensures that the perception of Kulangsu today conveys a credible representation of what a visitor would have encountered at the beginning of the 20<sup>th</sup> century. Strict development controls ensure the protection of these essential interlinkages and spatial relations.

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

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#### Criteria under which inscription is proposed

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

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

This criterion is justified by the State Party on the grounds that the nominated property presents an outstanding international cultural exchange window with unique characteristics in East and Southeast Asia from the mid-19<sup>th</sup> century to mid-20<sup>th</sup> century, which exhibits many architectural styles including Traditional Southern Fujian Style, Veranda Colonial Style, Western Classical Revival Style, Modernist Style and Art Deco, as well as their fusion in the unique Amoy Deco Style. Its diversified historic gardens, both independent and affiliated, reflect combined layouts and features of both Chinese and Western styles demonstrating the interaction and integration of different cultures.

ICOMOS considers that Kulangsu island exhibits in its architectural features and styles the interchange of Chinese, South East Asian and European architectural and cultural values and traditions produced in this variety by foreign residents or returned overseas Chinese who settled on the island. The settlement created did not only mirror the various influences settlers brought with them from their places of origin or previous residence but it synthesized a new hybrid style – the so-called Amoy Deco Style – which developed in Kulangsu and exerted influences over a far wider region in South-east Asian coastal areas and beyond.

ICOMOS therefore considers that the nominated property exhibits the extensive and in-depth exchanges between the traditional Chinese culture and in particular also local vernacular traditions and Western styles and technologies. The settlement illustrates the encounters, interactions and fusion of diverse values during an early globalization stage in East Asia and South-east Asia coastal areas.

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ICOMOS considers that this criterion has been justified.

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

This criterion is justified by the State Party on the grounds that the development of the nominated property is a testimony to China's joining the early waves of globalization, and 'evidence of the pioneering and inclusive migration culture of southern Fujian'. This south Fujian migration culture demonstrated great openness to heterogeneous cultures while keeping its roots in ancient Chinese culture. This has been fully exhibited in the modern reforms at multiple aspects, such as the community governance, public facility construction, economic activities and cultural innovations that were boosted by the returned overseas Chinese in the mid-20<sup>th</sup> century.

ICOMOS considers that the justification is not in line with the understanding of cultural tradition or civilization usually applied in the demonstration of criterion (iii). To understand Kulangsu as the epitome of China's modernization processes is difficult as the settlement seems far too specific in its intercultural development and

local setting to be representative of modern reforms in the larger South-East Asian context. ICOMOS considers that the nominated property cannot be said an outstanding example representative of China's modernization and that the Fujian migration does not suggest to be considered a cultural tradition, which could be considered outstanding at a wider regional or even global scale.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that the nominated property is 'a unique example of an international settlement with high living quality and initial modernization characteristics in East and Southeast Asia in modern times. It is said to display, within a small island, a completely functional organic urban structure, which boasts fashionable buildings and gardens of various styles, and introduced 'the most advanced public facilities' at that time. Finally, it is a well preserved and integrated historical island landscape, presenting the leading form of modernity at that moment, and the modern concept of habitat resulting from the syncretism of Chinese and foreign cultures.

In its interim report sent in December 2016, ICOMOS requested the State Party to augment the justification for criterion (iv) to demonstrate its validity. In its response received in February 2017, the State Party indicated that Kulangsu reflected a specific relationship between urban structure and natural environment during each phase of its historic development. It is mentioned that for example during its initial development under the Ming Dynasty, the crossing ridges the island were viewed as the "gathering of fives dragons" and three traditional villages were located in harmony with the traditional FengShui concept, while after, later foreigners compared these ridges and towering rocks with a galleon, and built their settlements on the top of the hills or the slopes.

ICOMOS considers that this justification highlights that Kulangsu brings together a variety of typological approaches illustrating significant stages of history on Kulangsu Island, but that none of these landscape interpretations could be said of Outstanding Universal Value. However, ICOMOS consider that Kulangsu has the capacity to justify criterion (iv) in relation to it being the origin and best representation of the Amoy Deco Style. Named after Xiamen's local Hokkien dialect name Amoy, Amoy Deco Style refers to an architectural style and typology, which first occurred on the island facing Xiamen, Kulangsu, and illustrates the fusion of inspirations drawn from local building traditions, early western and in particular modernist influences as well as the southern Fujian Migrant culture. Based on these the Amoy Deco Style shows a transformation of traditional building typology towards new forms, which were later referenced

throughout South-East Asia and became popular in the wider region. ICOMOS therefore considers that Kulangsu is an outstanding example of Amoy Deco architecture, which reflects the moment of transition from traditional local towards a modernist and international approach to architecture in South-East Asia.

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ICOMOS considers that this criterion has been justified.

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ICOMOS considers that the nominated property meets criterion (ii), and (iv) and conditions of authenticity and integrity, but it does not meet criterion (iii).

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#### **Description of the attributes**

Kulangsu's attributes lie in the division of the island and establishment of its settlement plan and urban layouts in subsequent phases guided by the natural topography as well as its distinct architectural styles, which together illustrate the fusion of different cultural influences in the international settlement of the early 20<sup>th</sup> century. In particular, 931 historic architectural structures, natural sceneries and historic gardens as well as a network of historic roads mark these features.

Specific emphasis among these structures should be given to those which are exceptional representations of the Amoy Deco Style. Prominent examples of these many buildings are the Hongning Hospital, the Yanping Complex, the former water supply facility, the building of the former Kulangsu Telephone Company, and the former building of China & South Sea Bank Limited.

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

The State Party indicates that in recent years Kulangsu witnessed a strong demographic decline from 19,600 in 2000 to 13,343 and some 3,489 floating inhabitants in 2012. This decline resulted in several vacant building, which henceforth lacked regular maintenance. The situation was however remedied by state controls on maintenance, and programmes towards the reuse of vacant buildings.

According to the State Party, environmental pressures are limited since motor vehicles are prohibited in the island, except for the fire department, garbage collection and medical assistance. Besides, industrial activities have been relocated from the north of the island to Xiamen. However, the sea waters of the nominated property are affected by the quality of the water of Chiu-lung River, especially during the flooding season. ICOMOS notes that the sea waters constituting both the property and the buffer zone are subject to contamination from the neighbouring cities, the Lujian River, and the active sea traffic, but that none of these seems to have immediate adverse effects on the Outstanding Universal Value of the property.

The State Party asserts that historical records indicate that the main threats to historic buildings are collapse due to typhoons, fire, plant diseases and insect pests. Over the

past 50 years, some 180 typhoons have hit Xiamen and Kulangsu. Façade decorative elements, which are very important stylistic features of the historic buildings, are very vulnerable to this threat. In actual fact, some damages of recent typhoons are still waiting their repairs. As a measure of prevention, a monitoring and warning system, together with mitigating measures have been put in place. The responses to the September 2016 typhoon, the strongest in recent years - which caused the fall of three thousand trees, among them nineteen designated Historic Trees and damaged up to 42 historic buildings - indicate the gravity of the threat and the appropriateness of the monitoring and warning system, as well as the efficiency of the recovery measures and the strong commitment and involvement of the local community. Climate change may further affect the nominated property if it amplifies the frequency of typhoons and their strength.

ICOMOS notes that Typhoons are a real threat to the property, and at the same time confirms that the typhoon targeted preparedness plans are adequate. ICOMOS also notes that the nominated property is in a seism prone location, and consequently recommends that a retrofitting plan for brick and stone historic buildings be drawn up and implemented. The State Party considers that the upgrading of the ongoing firefighting infrastructure and the projected prevention measures constitute an effective prevention and mitigation plan against this threat. It further asserted that despite theoretical seismic risks, the property has no historic record of seismic destruction.

The State Party indicates that Kulangsu has recently faced a sharp rise in visitor numbers, which increased from 5,748,500 in 2009 to 12,463,000 in 2014. The local authorities indicated however that this increase had not yet resulted in negative impacts on the historic buildings. However, tourism has a negative impact on the environmental level. The State Party also considers that the ideal tourism capacity of the property is 13,000,000 visitors per year, and that the control measures taken are effective.

ICOMOS considers that tourism is a key threat to the tangible heritage and the environment of the island, especially during the holiday peak season. The ban on private motor vehicle is an appropriate prevention measure; however, the density of tourists is very high. With inscription on the World Heritage List, tourism interest would likely increase and it is essential that the cap limits introduced would be effectively controlled.

In the Interim Report, ICOMOS informed the State Party about its concerns in relation to visitor numbers and access management and recommended to further elaborate a restrictive tourism management strategy and a calendar to avoid the negatives impacts of tourism. In its response received in February 2017, the State Party informed ICOMOS that the daily maximum capacity of 65,000 persons mentioned in the nomination dossier already included 15,000 residents and commuters. The maximum number of visitors to the island is therefore 50,000 per day. More importantly, a new study commissioned by the State Party, which was completed in 2017 indicates that the

optimum capacity of Kulangsu Scenic Area is 25,000 persons per day, including visitors and commuters. Xiamen Municipal Government has accordingly decided to adopt this number, and an official order is being drafted and is foreseen be implemented starting from 15 June 2017. To meet this goal, a series of measures will be taken including the separation of visitor and resident transportation (ferry) to the island, sale of visitor tickets through a special platform (combined with checkpoint control measures at the ferry terminal), the opening of more areas to visitors, expanding of tour routes, improvement of the monitoring system and other measures including the effective involvement of the local community and stakeholders.

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ICOMOS considers that the main threats to the property are tourism pressure, environmental, pollution and natural disasters, especially typhoons and earthquakes.

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## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The boundaries of the 316.3 hectares property include the entire Kulangsu Island and its adjacent coastal waters that are delineated according to the furthest extension of the surrounding reefs. In ICOMOS' view, these boundaries are clearly delineated, and include all the elements expressing the property's Outstanding Universal Value.

Likewise the buffer zone, entirely drawn in the waters and including two adjacent smaller islands, is clearly delineated, and includes the surrounding waters of the island and its immediate settings. The buffer zone covers a zone of 886 hectares.

Both, the nominated property and its buffer zone are protected as the Kulangsu Mountain Scenic Area under the 2006 Management of Scenery Areas Regulations. The regulations of Scenery Areas that govern both the nominated property and its buffer zone are effectively implemented.

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ICOMOS considers that the boundaries of the nominated property and its buffer zone are adequate.

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### **Ownership**

The land parcels of the entire island belong to the State but built structures fall under four management categories, which include state managed public structures, houses administrated by management communities, houses entrusted by their owners to state management and maintenance and private properties. Most of the designated heritage structures on the island belong to the first category and are exclusively state managed.

### **Protection**

Kulangsu was recognized by the State Council as a National Scenic Area in 1988 under the National Scenic Area framework. The boundaries of the property and its

buffer zone coincide with the delimitation of the national scenic area, which also became the basis for the management areas designated in the Conservation Management Plan for Kulangsu Cultural Heritage Site (2014). Fifty-one representative historic buildings, gardens, structures and cultural sites are included in Heritage lists: nineteen as National Heritage Sites, eight as Provincial Heritage Sites, and twenty-four as County Heritage Sites. Moreover, all the provincial and county protected sites will be added to the 8<sup>th</sup> Tranche of the National Heritage List. These sites will be under the 2013 revised Law of the People's Republic of China on the Preservation of National Relics, and the Rules on Implementation of the same law.

The nominated property and its buffer zone are also part of the Kulangsu Mountain Scenic Area, which is governed by the 2006 Management of Scenery Areas Regulations. Xiamen Municipal Government further created special laws and regulations for the scenic area conservation and management of Kulangsu, implemented among others through the ban of private motor vehicles on the island.

In its Interim Report, ICOMOS requested the State Party to further clarify the protection status of historic architectural structures, not explicitly listed in the above described heritage listing schemes. In its response, the State Party indicated that through the provisions of the General Plan of Kulangsu Scenic Area (2017-2030) issued by China's State Council, all major construction projects be submitted to, and approved by the heritage and construction department of the State Council, regardless of the status of concerned or adjacent structures. The State Party further elaborates that the 931 historic buildings not protected at a national level were subject to the *Regulations of Xiamen Special Economic Zone on the Conservation of Historic Buildings on Kulangsu (2009)*.

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ICOMOS considers that the legal protection in place is adequate and effectively implemented.

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### Conservation

The historic architectural structures on Kulangsu Island are fully inventoried. All structures are listed on either national, provincial, county or municipal registers. The inventory and further information, drawings and photographs on each structure and the history of Kulangsu in general is made available to the public at the Cultural Archives Center in Kulangsu Municipal Library.

The overall state of conservation of historic structures in Kulangsu is acceptable. The fifty-one representative Historic Buildings listed on various heritage registers are said in satisfactory condition, while the condition of other historic structures is good in 68% of the cases, good but with slight damages for 26% and in need of attention with obvious damage for 6 % of the historic structures. The natural setting as well as historic road network has been well maintained and is in a good state of conservation.

A Conservation Master Plan for Kulangsu Historic Buildings was drafted in 2010 and revised in 2012. The Conservation and Management Plan for all heritage elements on Kulangsu likewise includes the key notions and references the earlier conservation plan for historic structures. A research and practice centre to transfer knowledge on historic construction and maintenance techniques was created in 2016.

Conservation measures are not only addressed at individual houses but the complete island and its attributes. Since 2006, industrial and mining enterprises located in the north of the island were relocated to Xiamen city, buildings and structures that impacted spatial and visual corridors of historic buildings were removed and 170 historic buildings were conserved based on tailor-made conservation approaches for each and fully accompanied by detailed analysis and documentation.

ICOMOS considers that the conservation measures taken are adequate and efficient. However, ICOMOS notes that the main focus of conservation documentation and preservation is directed towards the building exteriors and recommends that equal attention is given to their historic interiors.

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ICOMOS considers that the conservation plan and active conservation measures implemented are adequate.

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### Management

Management structures and processes including traditional management processes

The property is jointly managed by two structures established in cooperation of the State Council, Fujian Province, Xiamen Municipality and Kulangsu Sub-district Office of Siming District. These are the Administrative Committee of Kulangsu Scenic Area, an agency of the Government of Xiamen city in charge of Cultural Heritage and Scenic Areas and the Kulangsu Sub-District Office of the Siming District, in charge of other settlement related aspects of Kulangsu Island management.

Following the information on available human and financial resources, these two management bodies are adequately equipped to effectively deal with the protection, conservation and management of the site. Further training measures and continuous capacity building and qualification control for personnel are envisaged by the management authorities. The management structures also rely on external expertise from the University of Xiamen and international experts who advice in an individual capacity.

Policy framework: management plans and arrangements, including visitor management and presentation

The Conservation and Management Plan for Kulangsu Cultural Heritage was officially adopted 2011 and is being implemented by the Government since 2014. The plan establishes management strategies and actions based on

an extensive analysis of the property's conditions and threats. The strategic documents also integrate the provisions of all other plans and protective regulations into a comprehensive management system institutionalizing the cooperation between all concerned management stakeholders. Indicated by the plan as a necessity, the Conservation and Management Plan is supported by Guidelines on Control of Commercial Activities on Kulangsu, which have been adopted in 2014. These guide scale and quality assurance measures for commercial services on the island, in particular those in the tourism sector.

As tourism pressures remain a key threat to the integrity of Kulangsu, several studies have addressed the property's carrying capacity and limits of acceptable change and maximum permitted visitor numbers have recently been revised. Controls were firstly implemented in 2014 under the "Design of Tourism Capacity and Tourists Control of Kulangsu" (2014) framework, a policy tools which based on a multi-factor analysis defined maximum visitor numbers to the island. Following ICOMOS' request for additional information in its interim report, the State Party added information in February 2017, indicating that the visitor numbers which guided this control framework had once more been reduced.

The latest 2017 Capacity Calculation Report of Kulangsu Scenic Zone indicates that the optimum number of people on the island is 25,000 while the absolute maximum lies at 50,000 people per day. Since this number includes the residents and commuters to the island, the effective maximum number of visitors is now controlled at 35,000 visitors on peak days while the average optimum desired lies at 15,000 visitors per day. Effective tourism controls on the access ferries are to be implemented towards this end starting from 15 June 2017.

In terms of presentation and interpretation the property offers a variety of services due to its strong visitor attraction and high numbers. It can be explored by guided tours on boat or land as well as individually via sign-guided routes and maps. Signage also communicates historic data and attributes of Outstanding Universal Value and the online presentation of the property allows for a virtual tour by means of a GIS based exploration platform.

#### Involvement of the local communities

The State Party asserts that community involvement was key to the preparation of the management system of Kulangsu and remains essential in its implementation. Continuous community consultation and participation is in particular implied in the idea that the whole island is a living community site, the attributes of which are based on the continuity of functions nurtured by the resident community.

ICOMOS considers the management system as well as the conservation and management plan adequate and its implementation measures with the revised visitor controls

effective once fully implemented starting from 15 June 2017. ICOMOS recommends that the monitoring of visitor controls and periodic revised studies on the limits of acceptable change with regard to visitation of the island be undertaken to confirm that the current cut off numbers are indeed sufficient for the protection of the Outstanding Universal Value. ICOMOS recommends that the State Party provides assessment reports on the visitor controls to be implemented from June 2017 onwards to the World Heritage Centre and the Advisory Bodies after a trial period of two years.

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ICOMOS considers that the management system for the property is adequate, but recommends that the now strengthened visitor controls are further assessed and periodically reviewed to ensure that these are already sufficient to address the challenges posed by large visitor numbers.

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## 6 Monitoring

For the monitoring of the property, the two management structures are complemented by a special body devoted to heritage monitoring: the Kulangsu Heritage Monitoring Center. Its task is to develop, maintain, implement and review a monitoring system based on a precise indicator-driven assessments, including an alert system for recognition of risks which could have negative impacts on the property's Outstanding Universal Value. Key attributes monitored as part of the system are changes in the overall settlement patterns, including nature-culture interrelations, the uses and functions of historic structures, physical condition of all heritage elements, risks and their potential increase or decrease, social and environmental factors, visitor numbers and behaviour as well as policy development and its suspected impact on the property.

Previous monitoring exercises were archived, even if their scope may have varied in terms of themes, detail of indicators and completeness. The Kulangsu Heritage Monitoring Centre's archive does further hold reports on the Conservation Status of all heritage sites, previous conservation measures and statistic data on the environmental development of the island. ICOMOS considers the monitoring system is highly sophisticated and that the indicators are clearly linked to the attributes of the Outstanding Universal Value and reflect the most pertinent threats to the property.

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ICOMOS considers that the monitoring measures for the property are adequate.

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## 7 Conclusions

The property covers the entire island of Kulangsu and its coastal waters as demarcated by the surrounding reefs, with an overall area of 1.88 square kilometre. Its main urban settlement faces the city of Xiamen across the 600-metre-



wide Lujiang Strait. In 1903, an international settlement was established on the island, which integrated the previously existing traditional settlements into a new multi-faceted new urban development of the early 20<sup>th</sup> century, which became a nucleus of cultural exchanges in South-East Asia at the time.

Kulangsu enjoys an intact environment, a distinctive urban fabric and close to one thousand historic buildings. It illustrates the ambitions of internationalization at the turn of the 20<sup>th</sup> century, based on an interchange of Chinese, South-East Asian and Western influences. Its built heritage represents different architectural styles including Traditional Southern Fujian Style, Veranda Colonial Style, Western Classical Revival Style, early Modernist Style and Art Deco, as well as their fusion in the unique Amoy Deco Style. In addition to its unique architecture, the island preserves its original settlement patterns, historic road and the relationships and proportions between built-up and natural environment, including important sight relations and natural sceneries.

ICOMOS considers that the property meets criteria (ii) and (iv) as a settlement which mirrors the various cultural influences settlers brought with them from their places of origin or previous residence in South East Asia and beyond as far as Europe and North America, which through these influences brought forth a new hybrid style – the so-called Amoy Deco Style.

Criterion (iv) also recognizes Kulangsu in relation to it being the origin and best representation of the Amoy Deco Style. This specific style illustrates the fusion of inspirations drawn from local building traditions, early western and in particular modernist influences as well as the southern Fujian migrant culture. Based on these, the Amoy Deco Style shows the transformation from traditional building typology towards new forms of architecture, which were later referenced throughout South-East Asia and became popular in the wider region.

The property demonstrates the qualifying conditions of authenticity and integrity, although the integrity could be affected by visitor numbers and behaviours, which require consistent controls. At present, the responsible authorities have committed to restrict access to the island at 50,000 people per day, which includes around 15,000 inhabitants and commuters and accordingly restricts the number of visitors to 35,000 per day including during the peak season.

Kulangsu Island is protected as a National Scenic Area and its historic buildings are registered at various levels, including national, provincial, county and municipal. It is managed by a dual management structure responsible for cultural heritage and other settlement concerns. The management is further guided by a conservation and management plan, which is implemented since 2014. A detailed monitoring system constantly reviews the condition of the property as well as the development of threats.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that Kulangsu: A historic international settlement, China, be inscribed on the World Heritage List on the basis of **criteria (ii) and (iv)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

Kulangsu Island is located on the estuary of Chiu-lung River facing the city of Xiamen across the 600-meter-wide Lujiang Strait. With the opening of Xiamen as a commercial port in 1843, and Kulangsu as an international settlement in 1903, the island of the southern coastal areas of the Chinese empire suddenly became an important window for Sino-foreign exchanges. Its heritage reflects the composite nature of a modern settlement composed of 931 historical buildings of a variety of local and international architectural styles, natural sceneries, a historic network of roads and historic gardens.

Through the concerted endeavour of local Chinese, returned overseas Chinese, and foreign residents from many countries, Kulangsu developed into an international settlement with outstanding cultural diversity and modern living quality. It also became an ideal dwelling place for the overseas Chinese and elites who were active in East Asia and South-eastern Asia as well as an embodiment of modern habitat concepts of the period between mid-19<sup>th</sup> and mid-20<sup>th</sup> century.

Kulangsu is an exceptional example of the cultural fusion, which emerged from these exchanges, which remain legible in an organic urban fabric formed over decades constantly integrating more diverse cultural references. Most exceptional testimony of the fusion of various stylistic influences is a genuinely new architectural movement the Amoy Deco Style, which emerged from the island.

**Criterion (ii):** Kulangsu Island exhibits in its architectural features and styles the interchange of Chinese, South East Asian and European architectural and cultural values and traditions produced in this variety by foreign residents or returned overseas Chinese who settled on the island. The settlement created did not only mirror the various influences settlers brought with them from their places of origin or previous residence but it synthesized a new hybrid style – the so-called Amoy Deco Style, which developed in Kulangsu and exerted influences over a far wider region in South-east Asian coastal areas and beyond. In this, the settlement illustrates the encounters, interactions and fusion of diverse values during an early Asian globalization stage.

**Criterion (iv):** Kulangsu is the origin and best representation of the Amoy Deco Style. Named after Xiamen's local Hokkien dialect name Amoy, Amoy Deco Style refers to an architectural style and typology, which

first occurred in Kulangsu and illustrates the fusion of inspirations drawn from local building traditions, early western and in particular modernist influences as well as the southern Fujian Migrant culture. Based on these the Amoy Deco Style shows a transformation of traditional building typology towards new forms, which were later referenced throughout South-East Asia and became popular in the wider region.

#### Integrity

The integrity of the historic landscape has been maintained, primarily as result of consistent conservation of historic architectural structures and effective development controls regarding height, volume and form of new buildings. The historic relationship of built up and green spaces also contributes to the overall landscape integrity which includes the preserved natural sceneries of cliffs and rocks and the historic gardens, both affiliated courtyard and independent private gardens.

The completeness of the property is demonstrated in the delimitation of the entire island including its surrounding coastal water until the edge of the reef, which underpins that the built structures and the natural setting of the island form one harmonious whole. The early recognition of the harmony has prevented extensive development in the waters surrounding the island, which can be witnesses on other islands or the nearby mainland. Essential for the recognition of the value of the island is that it was never connected to Xiamen via traffic infrastructure and remains solely accessible by ferry. Today, this restriction constitutes and essential element of visitor management processes ensuring the continued intactness of the island.

Tourism pressures are a concern that could affect the integrity of the island and hence require strict controls. A maximum number of 35,000 visitors per day will be allowed to access Kulangsu, a number that will require close monitoring to ensure it suffices to prevent negative impacts of large visitor flows.

#### Authenticity

Kulangsu Island has retained its authenticity in form and design, location and setting and in many elements of the island material and substance as well as – to a lower extent – use and function. Both the urban settlement patterns as well as the architectural structures have retain their characteristic layout and stylistic features. The latter remain credible representations of the various architectural styles the island unites as well as the Amoy Deco Style it created.

Kulangsu retains its original location and natural landscape setting and has preserved the atmospheric qualities of an ideal residential settlement with a wide range of public services, which continue to serve their original function. The urban structures remain protected by the original legal context, which was created for the establishment of the international settlement in 1903 and remains valid until present. The various spatial contexts of the island, both natural and built-up retain their original links and relations including road connections and sight relations.

#### Management and protection requirements

Kulangsu was recognized by the State Council as a National Scenic Area in 1988 under the National Scenic Area framework. Fifty-one representative historic buildings, gardens, structures and cultural sites are included in Heritage lists: nineteen as National Heritage Sites, eight as Provincial Heritage Sites, and twenty-four as County Heritage Sites. Moreover, all the provincial and county protected sites will be added to the 8<sup>th</sup> Tranche of the National Heritage List.

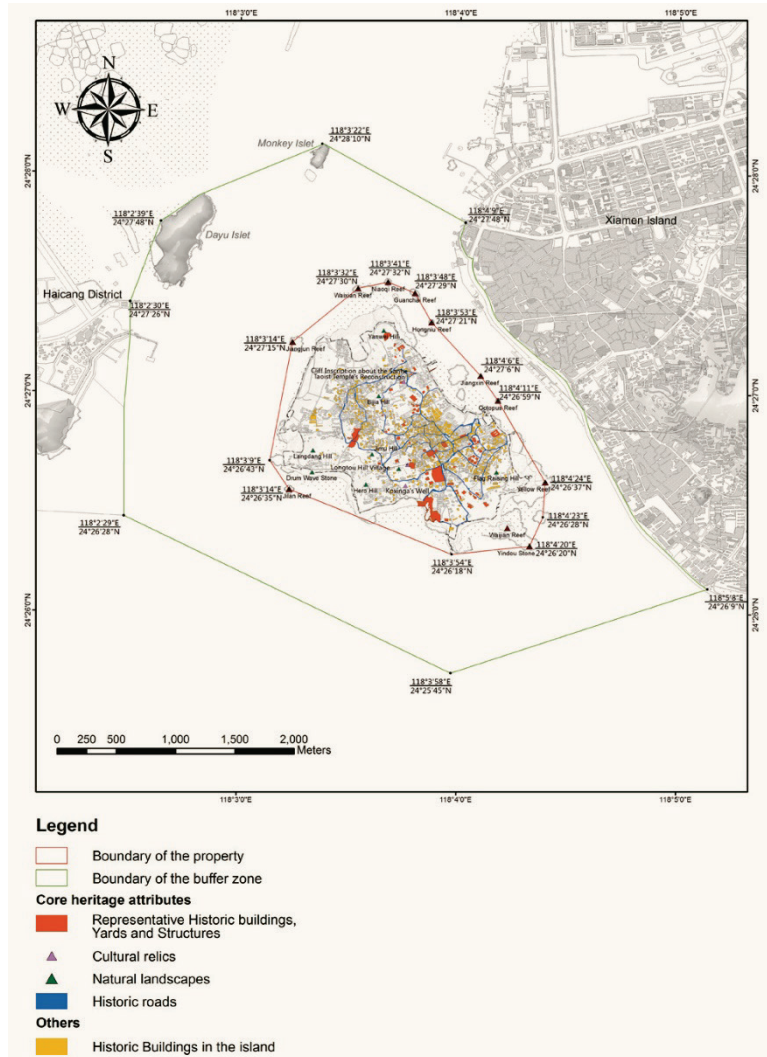
The Conservation and Management Plan for Kulangsu Cultural Heritage was officially adopted 2011 and is being implemented by the Government since 2014. The plan establishes management strategies and actions based on an extensive analysis of the property's conditions and threats. The strategic documents also integrate the provisions of all other plans and protective regulations into a comprehensive management system institutionalizing the cooperation between all concerned management stakeholders. Indicated by the plan as a necessity, the Conservation and Management Plan is supported by Guidelines on Control of Commercial Activities on Kulangsu, which have been adopted in 2014. These guide scale and quality assurance measures for commercial services on the island, in particular those in the tourism sector.

Following the 2017 Capacity Calculation Report of Kulangsu Scenic Zone, the optimum number of people on the island is set at 25,000 while the absolute maximum lies at 50,000 people per day. Since this number includes the residents and commuters to the island, the effective maximum number of visitors is now controlled at 35,000 visitors, including on peak days.

#### Additional recommendations

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

- a) Submitting an assessment report of the visitor controls to be implemented from June 2017 onwards to the World Heritage Centre and the Advisory Bodies after a trial period of 2 years,
- b) Monitoring of visitor controls and periodic update of studies on the limits of acceptable change with regard to visitation of the island to confirm that the current cut off numbers are sufficient to ensure the protection of the Outstanding Universal Value,
- c) Developing and implementing a seismic retrofitting plan for brick and stone historic buildings,
- d) Extending the focus of conservation measures to also include the interior of buildings;



Map showing the boundaries of the nominated property



Aerial view of Kulangsu



Amoy Deco style mansion



Huang Cimin Villa



Shuzhuang Gardens



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## Historic City of Ahmadabad (India) No 1551

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### Official name as proposed by the State Party

Historic City of Ahmadabad

### Location

Ahmedabad District

Gujarat State

India

### Brief description

The walled city of Ahmadabad was founded by Sultan Ahmad Shah in 1411 AD on the eastern bank of the Sabarmati River. It continued to flourish as the capital of the State of Gujarat for six centuries, up to the present. Muslim, Jain and Hindu inhabitants of Ahmadabad coexist and share common traditions of commercial enterprise and philanthropy, regardless of their different religious beliefs. The nominated property consists of the remains of the city walls and gates, 28 historic buildings of a national significance and the footprint of traditional urban fabric of gated residential streets called *puras*, and traditional houses known as *poles*.

### Category of property

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

In terms of the *Operational Guidelines for the Implementation of the World Heritage Convention* (July 2015), Annex 3, it is also an *historic town which is still inhabited*.

## 1 Basic data

### Included in the Tentative List

31 March 2011

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

1 February 2016

### Background

This is a new nomination.

### Consultations

ICOMOS consulted its International Scientific Committee on Historic Towns and Villages and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 27 September to 1 October 2016.

### Additional information received by ICOMOS

A letter was sent to the State Party on 19 October 2016 requesting further information about a wide range of issues, including: the comparative analysis; rationale for the delineation of the buffer zone; mapping inconsistencies between the nomination dossier and the management plan; future plans to extend the property boundary to incorporate additional buildings/sites; how the buildings in the nominated area demonstrate particular social structures, cultural groups and activities; the self-sustaining character of the *pol*; the history of the form of housing clusters; role and status of the markets, educational institutions, and libraries; current status of the Mughal gardens; associations with Gandhi; role of water structures in the historic functions of the city; development pressures; documentation of the *poles*; status of legal protection of identified historic buildings; and status of tourism planning.

Additional information was received from the State Party addressing these questions on 15 November 2016, and has been incorporated into the relevant sections of this evaluation report.

An Interim Report was provided to the State Party in December 2016 summarising the issues identified by the ICOMOS World Heritage Panel. Further information was requested in the Interim Report: photographic documentation of the central area of the nominated property; full documentation of the historic buildings of the nominated property; the potential to extend the western boundary of the nominated property, and the western boundaries of the buffer zone; mechanisms for ensuring that the integrity and authenticity of historic structures can be ensured during interventions; the possibility of developing a conservation plan for the wooden buildings in the nominated property; the legal status of the management plan; and information about the Local Area Plan and associated maps.

Additional information was received from the State Party on 16 February 2017 in response to the Interim Report; and has been incorporated into the relevant sections of this evaluation report.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

The Historic City of Ahmadabad is located on the eastern bank of the Sabarmati River, close to the ancient trade route connecting Delhi to Khambhat, and on the route to the port of Surat on the Arabian Sea.

The nominated property covers 535.7 hectares. The length of the east-west axis is about 2km and the length of the

north-south axis is about 2.5 km. The city walls are 10.97 km in length and include 12 original gates, two closed gates from the Sultanate period, and two gates added in the nineteenth century.

The Historic City of Ahmadabad consists of 6 municipal wards, divided into 13 sub-wards and includes 27 historic buildings protected by the Archaeological Survey of India (ASI), one historic building protected by the State Department of Archaeology (SDA), and 2,696 important buildings protected by the Ahmedabad Municipal Corporation (AMC).

Sultanate architecture from the fifteenth century is characterised by the fusion of Islamic elements and local Jain and Hindu building traditions, which are manifested in the Bhadra Fort, the city walls and gates, the Jama Masjid, the mausoleums of the royal family, and other mosques and minarets. Ahmadabad is also an important city of Mughal architecture from the late 16<sup>th</sup> and early 17<sup>th</sup> centuries, with particular contributions of buildings and gardens by Shah Jahan during his residence in Ahmadabad as the Mughal Suba. These were early prototypes for his constructions in Agra when he became emperor.

The historic city of Ahmadabad also includes important Jain and Hindu temples from the Maratha and British periods, such as the Ajitnath Jain Temple and the Swaminarayana Temple.

The population of the nominated property is 370,000. It is an historic city with multicultural communities belonging to the Hindu, Jain and Islamic faiths. The urban fabric and architectural characteristics of the walled city have distinctive characteristics that reflect the lifestyles of its communities and the historical development of the city.

The urban fabric consists of densely populated neighbourhoods (*puras*) around main streets (*pol*s) and controlled by inner entrances to the *pol* (*khadki*). A *pol* includes between 50-100 closely-packed houses that share side walls and produce an homogenous urban fabric.

Traditional houses (*pol houses*) are built using composite construction techniques with timber and brick-lime. They contain courtyards, water storage systems and richly embellished façades with intricate decorations, including carvings of religious symbolism which gave rise to characteristic domestic architecture in western India.

The urban public spaces of the *pol* are characterised by vibrant street life, public buildings, religious buildings, community wells, bird feeders (*chabutaro*) and richly decorated wooden residential facades.

The State Party provided additional information clarifying that the *pol* environment is considered to be 'self-sustaining' because the endogenous settlement pattern has remained largely unchanged, keeping an intrinsic character that has persisted since its origins. The *pol* has retained traditional plot sizes and house heights,

maintaining the profile of the settlement, including climate and natural lighting conditions.

The characteristics of the *pol* reflect the collective agreement of the community on environmental conditions and functionality. As gated enclosures, the *pol* provided water for the community and also provided for spiritual needs such as places for worship and water for birds and animals. The strong community bond is manifested by the elders who manage its daily affairs from their position on the upper floor of the *pol* gate.

The houses are often distributed in an hierarchical order within a *pol*. Thus, the houses of important families are located close to the gates. Although not a strict rule, it is often observed and gives the *pol* its hierarchical character. Important families are usually the patrons of public facilities and spiritual deeds, such as the building of temples and bird feeders in their *pol*.

Similar building materials, construction systems and the forms of the houses gave the *pol* an homogenous character. The social structure is also characterized by homogeneity in a general sense.

#### History and development

The historic city of Ahmadabad was founded in 1411 AD by Sultan Ahmad Shah on the eastern bank of the Sabarmati River in the proximity of two earlier settlements: "Asha Bihil no Tekro" to the south-east of Ahmadabad, within its walls; and "Karnavaati" to the south of the city, outside its walls.

The city was built close to the ancient trade route between Delhi and Khambhat, which was extended to Surat when it was developed in the Mughal period as a main port on the Indian Ocean.

Ahmad Shah established the Bhadra Fort by the river, and it was expanded and completed in 1486-87 during the time of Mahmud Begada, the names of four of its noble men being given to the gates of Daryapur, Kalupur, Sarangpur and Jamalpur. The eastern gates of the fort opened onto *Maidan-e-Shahi* square. On the other side of the square the *Jama Masjid* main mosque was built, and a later mausoleum of the royal family was built within its own enclosure.

The *pur* neighbourhoods of the city were built in phases around the *Maidan-e-Shahi* and the *Jama Masjid* as an Islamic city. The urban pattern of courtyard houses built closely next to each other produced a compact urban fabric, reflecting strong community ties. This pattern was accepted by the Jain community as it accorded with their values and way of life.

According to Amin Razi, the 15<sup>th</sup> century Persian geographer, Ahmadabad had three hundred and sixty *pur*as (neighbourhoods), each a self-contained town in itself with a thriving population.

The walls of the city are nearly 10 km in length, and according to the historic text *Mirat-i-Ahmadi* dating to



1759 AD, had 12 gates, 139 towers, 9 corners and more than 6,000 battlements. Two gates were added in the 19<sup>th</sup> century.

The city went through the following phases during its history:

- From 1411 to 1511: Foundation, growth and rising wealth of the Sultanate period;
- From 1512 to 1572: Decline during the Gujarat dynasty;
- From 1572 to 1707: Renewed greatness under the Mughal emperors;
- From 1707 to 1817: Disorder and loss under Mughals and Marathas;
- From 1818 to 1878: Steady progress under British rule;
- From 1878 to 1947 and onwards: Evolution of the city as a progressive city and important on national level.

Ahmadabad was hit by earthquakes three times in its history (in 1819, 1821 and 2001), all of which caused major damage to the historic monuments of the city. Floods also hit the city and caused destruction.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The nomination dossier draws comparisons on three levels; national, regional and international.

With regards to city planning, comparisons within India are made with prominent capitals established by Muslim rulers in India prior to, and at the same time as, Ahmadabad. These include imperial cities and provisional capitals, many of which did not survive, are archaeological sites or have lost most of their historic buildings from the period of Sultanate rule. The comparison emphasizes the significance of Ahmadabad on the grounds of 15<sup>th</sup> century planning of an Indo-Islamic city in the Indian sub-continent that is still a living city. Mughal city planning for Shahjahanabad was on an imperial scale, and its influence by Ahmadabad is established. Ahmadabad is significant for its continuity, flourishing even after the decline of the founding sultanate, unlike Shahjahanabad, which suffered after the decline of the Mughal Empire.

With regards to architecture, Ahmadabad is compared with Mandu, Gulbarga, and Bidar which are included in India's Tentative List; and the World Heritage properties of Champaner-Pavagadh Archaeological Park (2004, (iii), (iv), (v), (vi)); and Fatehpur Sikri (1986, (ii), (iii), (iv)).

According to the State Party, the comparison with Mandu, Gulbarga, and Bidar establishes the significance of Ahmadabad as the only city apart from Mandu in which a large number of original historic buildings with different typologies survive today. The comparison with Champaner-Pavagadh Archaeological Park

demonstrates the architectural significance of Ahmadabad's 15<sup>th</sup> century mosques, which were replicated and further refined by Champaner (which, unlike Ahmadabad, was abandoned in 1536).

Ahmadabad is compared with other cities in Gujarat, such as Junagarh, Surat and Vadodara, on the basis of their urban fabric and the system of neighbourhood planning. The comparison shows that Ahmadabad is distinctive because of the scale and refinement of its features as the capital of Gujarat for the last six centuries, and an important trade centre.

Ahmadabad is compared with Arab-Islamic cities of North Africa including the Kasbah of Algiers, Algeria (1992, (ii), (v)); Medina of Marrakesh, Morocco (1985, (i), (ii), (iv), (v)); Medina of Fez, Morocco (1981, (ii), (v)), and other fortified cities around the world on the World Heritage List, including the Historic Mosque City of Bagerhat, Bangladesh (1985, (iv)), Harar Jugol, the Fortified Historic Town, Ethiopia (2006, (ii), (iii), (iv), (v)), Old Town of Lijiang, China (1997, (ii), (iv), (v)), Historic Centre of Prague, Czech Republic (2012, (ii), (iv), (vi)), Historic Cairo, Egypt (1979, (i), (v), (vi)), Historic Centre of Santa Ana de los Rios de Cuenca, Ecuador (1999, (ii), (iv), (v)), Historic Centre of Bukhara, Uzbekistan (1993, (ii), (iv), (vi)), Hoi An Ancient Town, Vietnam (1999, (ii), (v)), Melaka and George Town, Historic Cities of the Straits of Malacca, Malaysia (2008, (ii), (iii), (iv)), and Old City of Sanaa, Yemen (1986, (iv), (v), (vi)).

The State Party's conclusion of this comparison is that Ahmadabad is an outstanding harmonious assimilation and coexistence of two cultures and religions, Central Asian Islam and Ancient Indian Hindu-Jain; and is distinctive because of its large-scale use of wood in an urban context, and the *pol* - an inward-facing unit of neighborhood planning and the building block for the city's growth.

At the request of ICOMOS, the State Party extended its comparative analysis to include comparison of the *pol*s of Ahmadabad with the *havelis* of Chandni Chowk in Old Delhi, with respect to architecture, business trading, settlement patterns and evolution of culture. The State Party concluded that the *havelis* is a much bigger and more elaborate a group of stone buildings, with influence from Rajasthan and north-western Moghul India, while the *pol* of Ahmadabad is a smaller group of composite brick and timber buildings.

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ICOMOS considers that the comparative analysis justifies consideration of this property for the World Heritage List. However, ICOMOS considers that the comparative analysis does not provide sufficient evidence to justify the consideration of the nominated property according to criterion (vi).

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### Justification of Outstanding Universal Value

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

- The walled city of Ahmadabad is rich with Sultanate period historic buildings, distinctive of Gujarat and a prototype for later architectural developments; and is significant for the fusion of the architectural traditions of two highly distinctive cultures and religions: Islamic architectural traditions brought by the rulers and founders of the city, and the Hindu-Jain tradition of construction and crafts of the local community.
- The urban structure of the historic city of Ahmadabad is distinctive due to its *puras* (neighbourhoods), *pol*s (residential streets), and *khadki* (inner entrances to *pol*s), which are closely connected to the dynamics of the communities and their organisational networks.
- The timber historic residential architecture, with its elaborately decorated wooden facades, reflects symbols and myths connected with their inhabitants. The wooden houses of the historic city of Ahmadabad are a significant contribution to arts, crafts and design in the Indian sub-continent.
- The historic city of Ahmadabad is a unique example of multicultural coexistence as followers of Hinduism, Islam, Jainism and Christianity are present in the city.
- Ahmadabad's noble families patronised modern masters of art and architecture, which enriched the city's culture.

ICOMOS considers that much of this justification is appropriate, particularly with regard to the city's architecture, urban planning and wooden houses. However, ICOMOS does not consider that the arguments referring to the multicultural coexistence has been established through the comparative analysis, and notes that many historic cities manifest this characteristic.

Furthermore, ICOMOS notes that references to masterpieces of modern art and architecture, the results of patronage by notable inhabitants of Ahmadabad, are located outside the boundary of the nominated property and have limited tangible connections with the nominated historic city.

ICOMOS therefore considers that some aspects of the justification provided by the State Party could have the potential to justify the consideration of this property for inscription in the World Heritage List; but that some re-scoping of the proposed justification of Outstanding Universal Value is needed in order to emphasise the distinctive architecture, urban planning and wooden residential buildings of the historic city (and omitting the weaker components as noted above).

### Integrity and authenticity

#### Integrity

The State Party identifies the integrity of the property through description of the urban morphology, house forms,

nationally significant monuments, historic buildings and architectural expressions.

ICOMOS agrees with these arguments, but notes some issues that compromise the integrity of the property. For example, high rise concrete blocks have been constructed east and north of Bhadra Fort, raising questions about the effectiveness of the protection of historic sites listed by the Archaeological Survey of India (ASI).

Furthermore, ICOMOS notes that the rationale for excluding associated districts and building ensembles situated outside the nominated property is not clear. In response to questions raised about this by ICOMOS, the State Party explained that the focus of the nomination was the walled city and that relevant historic buildings that are located outside the city walls do not qualify to be included in the property even if they are excellent examples of Islamic architecture.

In addition, pressures for change and development of the urban fabric of such a vibrant living commercial city, and arising from the need for improved infrastructure services and transport are acknowledged by the State Party. However, these pressures are not clearly articulated, nor are the tools and mechanisms to avoid their impact on the integrity of the nominated property.

ICOMOS considers that the important historical connection of the historic city with the Sabarmati River is weak, raising questions about the adequacy of the boundaries of the nominated property, particularly the western boundary, and the need to extend this boundary to the river. Furthermore, the rationale for the delineation of the boundaries of the buffer zone are not clear, particularly at the western boundary in connection to the river and the two bridges of Nehru and Ellis.

ICOMOS also requested photographic documentation of the central area of the nominated property, particularly around the Bhadra Fort and Jama Mosque from different directions; and a photographic survey of the boundaries of the nominated property and its buffer zone in order to establish and support its integrity in relation to development pressures inside and outside the proposed boundaries. The State Party submitted additional information in response to the ICOMOS Interim Report, including photographic records of the nominated property and its buffer zone.

The State Party clarified that the delineation of the western boundary of the buffer zone and its relation to the river was carefully considered. The River Front Development Project was initiated some years before the property was nominated to India's Tentative List in April 2010. This project has redefined the edge of the river and created green landscaped areas on both banks of the river and complexes of public facilities on the western bank. The State Party decided therefore to align the buffer zone boundary with the eastern redefined bank of the river, and considers that it will adequately protect the proposed Outstanding Universal Value of the nominated

property. The State Party argues that in the past there was little direct connection between the historic city and the river, and that the river bed offered panoramic horizons for the historic city as the river remained dry for much of the year. This was dictated by the site morphology, as the western edge of the historic city slopes gradually towards the south-western corner, close to Sardar Patel Bridge. The fort was connected with the river by Ellis Bridge through Ganeshbari Gate at the south-western corner of the fort, where water was lifted from the river to the fort by water wheels. Thus, while the western side of the fort along the river consists of green areas, there are new buildings constructed along a section of this side. The State Party assures that sufficient safeguarding will be observed to prevent that no visual impact will affect the integrity of the fort, and claims that these are public facilities, which will help decongest the nominated property.

ICOMOS notes from the photographic survey submitted by the State Party that it appears that high-rise modern buildings are presently separating the nominated property and the river and that a number of modern high-rise buildings are also constructed close to some ASI-listed buildings.

ICOMOS notes that further detailed and systematic photographic survey is required for the whole western edge of both the nominated property and the buffer zone, including detailed information and documentation of the River Front Development Project and all the modern buildings that are on the western side of the property and the buffer zone.

Whilst ICOMOS appreciates that the River Front Development Project was initiated before submitting the property for the Tentative List, it notes that the modern structures that are built between the historic city and the river fall within the ASI protection zone. ICOMOS therefore questions the effectiveness of the protection zone for the purposes of potential World Heritage listing and requests a careful assessment of the visual impact of the modern constructions on the integrity of the property, as well as traffic and parking issues, of the western section of the nominated property.

For these reasons, ICOMOS considers that the conditions of integrity of the nominated property have not been met at this stage.

#### Authenticity

The State Party illustrates the authenticity of the property with regards to form and design, materials and substance, use and function, traditions, techniques and management systems, location and setting, language and other forms of intangible heritage.

Whilst this information is relevant, ICOMOS notes that the features of the traditional houses of Ahmadabad are not clearly and consistently identified in the nomination documents; nor are the tangible remains of the educational

institutions and libraries (for which the historic city of Ahmadabad was known) clearly identified. The State Party subsequently clarified that no tangible remains exist from these libraries and educational institutions; nor are there any tangible attributes within the nominated property associated with Gandhi's ashram and the nationalist movement (which are mentioned in the nomination dossier).

In response to requests for additional information by ICOMOS, the State Party provided further explanations of the features of traditional houses with regards to their typology, design and construction. The State Party submitted a sample of its work on the documentation for the buildings of the property and explained that the full documentation will be carried out by architectural students, and is expected to be completed in three years.

ICOMOS notes that the sample documentation submitted by the State Party is useful for studying the typology of the recorded buildings; however, they are not sufficient for conservation and management purposes as they do not record the fabric of the historic houses. For example, the recording template assumes that all vertical planes are perfectly vertical and straight, all horizontal planes perfectly horizontal and straight, all forms, sizes and spacing of decorative elements are equal and exact, and so on. The sample record is also missing sections on the condition and state of conservation of the houses, which will be necessary for conservation and management purposes.

Without this detailed documentation of the timber houses and other buildings, ICOMOS considers that the basis of the authenticity of the nominated property is not demonstrated at this stage.

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ICOMOS considers that the conditions of integrity and authenticity have not been met at this stage.

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#### Criteria under which inscription is proposed

The property is nominated on the basis of cultural criteria (ii), (v) and (vi).

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

This criterion is justified by the State Party on the grounds that the historic architecture of Ahmadabad from the Sultanate period manifests a unique fusion of Islamic culture by the rulers and founders of the city, and local traditions and crafts. The architecture and monumental arts in timber and stone established a regional architectural expression unparalleled in India.

The town planning of the walled city of Ahmadabad is based on the foundations laid down in the 15<sup>th</sup> century on the basis of Islamic tenets, with the Bhadra Citadel, the main mosque and main square marking the centre of the city, with the residential areas around them. The

organisation of the closely-packed houses, inward-facing neighbourhoods and narrow streets were also adopted by Hindu communities in the city.

The State Party also considers that this criterion is justified by the landscape design of twelve gardens mentioned by chronicles from the Sultanate period and the remains of the Mughal gardens established by Shah Jahan, which were the prototype of the gardens he later built in Agra.

ICOMOS considers that the significance of the historic architecture and town planning of Ahmadabad is established and could justify criterion (ii) if the issues of integrity and authenticity can be resolved. However, ICOMOS does not consider that the arguments about landscape design are supported by tangible evidence of components within the boundaries of the nominated property.

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ICOMOS considers that the nominated property has some potential to justify this criterion, but that it has not yet been sufficiently demonstrated.

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*Criterion (v): be an outstanding example of a traditional human settlement, land-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;*

This criterion is justified by the State Party on the grounds of Ahmadabad's distinctive urban fabric, with well-defined community-based settlements and main residential streets known as *pol*s, consisting of densely-built traditional houses. Several such settlements form a bigger unit which is known as a *pur*. A *pol* is gated and includes dead-end narrow alleys and characteristic features such as bird feeders, known as *Chabutaro*, and public wells. The facades of the *pol*'s houses are embellished with wooden decoration characteristic of Ahmadabad.

ICOMOS considers that this criterion is potentially appropriate for the nominated property, but that this requires further detailed documentation and information on the urban fabric of Ahmadabad as a living historic city in terms of commercial areas of shops and crafts, the different religious communities, water management and other traditional characteristics, and a clear articulation of the way the city functions.

In response to requests by ICOMOS, the State Party provided additional information clarifying that Jain merchants were located mainly in the areas north and south of the Queen's tomb. They also lived in certain *pol*s in neighbourhoods such as Kalupur, Khadia, Raipur, and partially in Dariypur and Jamalpur wards. Hindu Temples are located in these areas.

The State Party has also provided additional information explaining that communities of certain crafts were located along main streets, or inner main streets, according to the

nature of their crafts, type of production, and clientele. Often the ground floors of merchants' and craftsmen's houses were occupied by production and sales activities, while the upper floors were dedicated to living.

The three markets Manek Chowk, Khas Bazar and the main Bazar are located in the city centre. These are as old as the city itself, and grew in size with the passing of time. They remain very important to the city, as its historic market, even with the immense growth of the city.

ICOMOS notes the value of this information in understanding the nature of the urban fabric of the city and the way it functions. However, detailed and comprehensive information and documentation are needed to support the conservation, management and monitoring of the attributes for this criterion, as discussed above.

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ICOMOS considers that this criterion could be justified once there is comprehensive documentation and information needed to explicitly articulate relevant attributes, and to support their conservation, management and monitoring.

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*Criterion (vi): be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that Ahmadabad was known in the 15<sup>th</sup> and 16<sup>th</sup> centuries for its important libraries and educational establishments. The strong community ties of the *pol*s and the variety of trades and crafts that flourished in Ahmadabad from the time of its foundation, and the enterprising spirit of its inhabitants, regardless of their religion, are another aspect of its intangible culture. Furthermore, according to the State Party, Ahmadabad is associated with the independence movement led by Gandhi, who established his Ashram on the River Sabarmati, the first Ashram to be built in the 20<sup>th</sup> century.

ICOMOS considers that the evidence presented for these arguments is insufficient. Many of these aspects described by the State Party are not tangibly associated with the nominated property; and others are located outside the nominated property. ICOMOS also notes that the comparative analysis does not support the arguments presented for this criterion.

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ICOMOS considers that this criterion has not been justified.

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ICOMOS does not consider that the criteria have been demonstrated at this stage; but that there is some potential to justify criteria (ii) and (v), based on comprehensive additional documentation and resolution of the issues raised in relation to the authenticity and integrity of the nominated property.

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## 4 Factors affecting the property

According to the State Party, development pressures, are increasing, and commercial development and traffic congestion are causing the original inhabitants to move out of the area. Increasingly, the traditional houses are rented for commercial purposes or to newcomers who do not have the same bonds with the historic fabric. This is causing changes to the community structures and the rapid deterioration of the historic houses, sometimes resulting in the wilful demolition of historic architectural or decorative elements.

Environmental pressures include moisture penetration through cracks or rising damp, termite infestation of wooden elements, and the impacts of industrial pollution. All these agents of deterioration are magnified by the lack of maintenance.

The State Party identifies natural disaster risks as earthquakes, torrential rain and fire. The property falls in earthquake risk zone 3. In 2001, an earthquake with its epicentre 300 km from the property caused damage.

ICOMOS notes that the State Party has conducted a disaster risk assessment study and that the Gujarat State Disaster Management Authority, together with the Institute of Disaster Management, have prepared disaster response plans and conducted training for responsible authorities in the state, including Ahmadabad.

Ahmadabad is served by an international airport, main roads and railways. According to the State Party, in the year 2013/14 the city received approximately 4.5 million tourists, which is 16% of all tourists who visited Gujarat.

ICOMOS notes that no tourism management plan is included in the nomination dossier or the management plan for the property. The State Party provided additional information on the survey report by the State Tourism Corporation of Gujarat and clarified that it has initiated a separate program focusing on the historic city of Ahmadabad, with the aim of enlarging its programmes with heritage-oriented activities.

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ICOMOS considers that the main threats to the property are development pressures and demographic changes; and that environmental pressures and natural disasters (earthquakes, torrential rain and fire) are also notable pressures. Because of the existing and likely future levels of tourism, ICOMOS recommends that a tourism management plan be prepared. The western edge of the property and the western edge of the buffer zone may be threatened by development pressures, which could be understood once clear documentation and information are submitted on this issue by the State Party.

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## 5 Protection, conservation and management

### Boundaries of the nominated property and buffer zone

The nominated property includes the city walls and all the area inside the walls, which covers 535.7 hectares. The city walls are 10.97 km in length.

While the city walls are a very clearly identified and delineated element, the proposed property boundary leaves out some small areas and elements that seem worthy of inclusion:

- At the western boundary of the property, the strip of land between the western city walls and the bank of the Sabarmati River is outside the property boundary. This has historically been an integral part of city life and the connection between the city and the river.
- The boundaries of the property on the southern, eastern and northern sides match the city walls exactly, which leaves the foundations of the walls outside of the property.

ICOMOS recommends that the western boundary of the property be extended to re-establish the historic connection of the Historic City of Ahmedabad to the river. The western boundaries of the buffer zone should be extended to include the width of the river and the two bridges in order to secure the integrity of the property and its protection from visual impact of development pressures of the modern city of Ahmadabad. This recommendation was communicated to the State Party in the ICOMOS Interim Report (December 2016).

As noted above, the State Party responded to the questions and proposals in the ICOMOS Interim Report, and provided photographic records of the western edge of the nominated property and its buffer zone. The State Party re-stated that the boundary of the buffer zone remains the same as the eastern bank of the river, and that the city was not directly connected to the river historically.

ICOMOS notes that further information is required on the new constructions and development projects on the western section of the property for an informed delineation of the western boundary of the property and its buffer zone as explained above (under Integrity).

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ICOMOS considers that the boundaries of the nominated property and of its buffer zone require further investigation and possible adjustments.

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### Ownership

Public open spaces and public facilities are owned by the Ahmadabad Municipal Corporation. Other institutions are owned by community trusts, temple trusts for Hindu and Jain structures, and by *Waqf* for Islamic structures. Listed historic buildings are owned by the ASI (central

government) or the State Department of Archaeology (State government). The majority of properties within the nominated property are privately owned.

### **Protection**

The nominated property includes 28 monuments listed by the Archaeological Survey of India (ASI), one monument listed by the State Department of Archaeology (SDA), and 2,696 important buildings protected by the Heritage Department at the Ahmadabad Municipal Corporation (AMC).

Monuments listed by the ASI enjoy legal protection at the national level via the Antiquities and Art Treasures Act, 1972, and the Ancient Monuments and Archaeological Sites and Remains Act, 1958, and Amendment & Validation Act, 2010 (AMASR). The monument listed by the SDA is of regional significance and is protected by AMASR.

The buildings and sites listed by the AMC (components of the walled historic city) are protected as a zone with special regulations by the development plan of Ahmadabad Urban Development Authority (AUDA).

ICOMOS notes that all monuments protected by AMASR are fully protected and no interventions are permitted to them except where permitted or conducted by the ASI or SDA. A prohibited zone of 100 metres radius and a regulated zone of a further 200 metres radius are provided by legislation. ICOMOS considers that the effectiveness of the implementation of these protected and regulated zones around the monuments is established.

The buildings listed by the AMC including houses, institutions and public spaces within the walled city of Ahmadabad and the buffer zone are controlled by a process of approval for listed buildings, precincts, sites, heritage zones, and conservation areas for nominated and buffer areas by Ahmadabad Municipal Corporation, with guidelines for conservation, building forms and designs, materials and construction, use and reuse.

ICOMOS notes that the management and conservation of many important buildings, both residential and institutional, are regulated by the AUDA Development Plan (DP 2021). Although the legal protection of the list of valuable buildings and the implementation have been effective since December 2014, the modifications and additions to the development control regulations are not effective yet. The State Party clarified that they will be completed by December 2017. These modifications are essential as they include punishment for illegal developments, demolitions, additions, alterations of the listed valuable buildings and enforcing penalties for such violations.

ICOMOS considers that the legal protection in place is for monuments listed by the ASI and SDA, although these may need further enforcement in relation to protected and regulated zones and the buffer zone of the nominated property. However, the legal protection of the remaining valuable buildings and the entire urban fabric of the walled city is incomplete and needs to be put into effect. Because

these buildings and areas are central to the proposed Outstanding Universal Value of the nominated property, ICOMOS concludes that the required legal protection is not fully in place at this stage.

### **Conservation**

Many components and aspects of the nominated property have been inventoried, recorded and researched. This process started two decades ago with French contributions to the 'Houses of Ahmadabad Project'. Other efforts were carried out by different institutions and on different levels; national, state and local.

The present state of conservation of monuments listed by the ASI and SDA is under control with clear distribution of roles between the two institutions; while the houses, institutions and public spaces within the walled city of Ahmadabad and the buffer zone are under the supervision of the AMC. Conservation goals address the essential qualities of the urban form with emphasis on facades and their relationship to the street, the overall house form and the architectural period.

ICOMOS notes that despite the richness of available records and research work on the nominated property, there is a need for full documentation of the historic buildings of the nominated property (plans, sections, elevations and technical information for each building), including private houses and less grand valuable buildings (particularly the traditional wooden structures). Full documentation is necessary for effective monitoring, management and conservation of the historic city in order to ensure the effectiveness of the management system.

As noted above, in response to the ICOMOS Interim Report, the State Party submitted additional information, including samples of the detailed documentation for the historic buildings of the property, and explained that the full documentation will be carried out by architectural students and is expected to be completed in three years. However, as discussed above, ICOMOS considers that the sample documentation is not fully sufficient for the purposes of conservation, management, and monitoring.

ICOMOS notes the need for overall planning and management of records across all involved agencies, including government on different levels, communities, academic and individual bodies.

ICOMOS notes that the availability of traditional craftsmen is a great asset to the conservation of the historic houses. There is an urgent need to set up an efficient mechanism that secures integrity and authenticity during interventions made by traditional craftsmen, particularly with regards to private houses and buildings.

In response to the ICOMOS Interim Report, the State Party provided additional information explaining that the Heritage Directorate would be functional within the next three months and the Conservation Plan for the historic city would be completed with details of Local Area Plans by the end of 2017. The Heritage Directorate proposes to

establish a Heritage Resource Building Center as part of the Conservation Plan. ICOMOS particularly considers that a conservation plan for the wooden historic houses of the nominated property is needed.

ICOMOS considers that the effectiveness of conservation measures is reduced by the lack of maintenance. This is a result of numerous factors such as the lack of financial incentives and the lack of tools to control traditional maintenance efforts, particularly for privately-owned historic buildings (as acknowledged by the heritage management plan submitted by the State Party).

ICOMOS considers that the conservation of the nominated property is vulnerable due to numerous factors. The full documentation of all historic buildings within the property needs to be improved and completed; a mechanism to guide and control interventions by traditional craftsmen is needed; and better coordination and consolidation of efforts by different stakeholders could be achieved by supporting the Heritage Department at the AMC as the nodal agency, with particular attention to privately-owned properties and traditionally-maintained houses and public buildings and spaces. ICOMOS further recommends that the State Party develop the Conservation Plan for the historic city and a conservation plan for wooden historic houses as a priority.

## Management

Management structures and processes, including traditional management processes

A heritage management plan has been prepared for the AMC to be the nodal agency for the management of the nominated property with the participation, coordination and support from different responsible stakeholders including:

- Community level (Mahajan/Pol Panchayat);
- Ward level (Elected Municipal Councillor);
- City level (Mayor, Commissioner, Heritage Conservation Committee, Town Development Officer, Heritage Cell (now Heritage Department), and City Traffic);
- District Level (Relevant Minister, State Directorate of Archaeology, State Chief Town Planner); and
- Central government level (Relevant ministry, Secretary/ Archaeological Survey of India).

The Heritage Department at the AMC is responsible for ensuring the implementation of heritage management strategy including:

- Monitoring the state of conservation for listed buildings;
- Scrutiny and screening applications for additions and alterations to historic buildings;

- Coordination with heritage conservation committee and heritage property owners;
- Provision of technical guidance to home owners;
- Carrying out stakeholder consultations;
- Raising awareness; and
- Execution of conservation and restoration projects planned by AMC.

Policy framework: management plans and arrangements, including visitor management and presentation

The State Party has developed a detailed disaster risk assessment study. The nominated property falls in earthquake risk zone 3 and is vulnerable to fire hazards. It is therefore included in disaster response plans, including training for relevant authorities, prepared by the Gujarat State Disaster Management Authority and the Gujarat Institute of Disaster Management.

According to the State Party, the expertise of staff at the Heritage Department of the AMC consists of engineers, architects, historians and support staff and is enhanced by collaboration with the ASI, CEPT University, Indian National Trust for Arts and Cultural Heritage, and other relevant institutions.

ICOMOS considers that the Heritage Department of AMC is in need of staff specializing in the field of conservation of built heritage with training on international best practice in the field.

ICOMOS notes that the heritage management plan is identified in Chapter 10 of the development plan (DP2021), by Ahmadabad Urban Development Authority and is approved by the authorities as the legal document for site management and implemented. However, the modifications and additions for enforcing it effectively are not yet completed. The State Party provided additional information stating that these would be finalized, ratified and implemented together with the Conservation Plan in December 2017.

ICOMOS notes that the modifications and additions to the development control regulations (DCR) are not yet finalised, ratified or implemented.

ICOMOS notes that the Local Area Plan, as a part of the Heritage Conservation Plan for the nominated property, is not identified, and the Heritage Areas are not marked on the relevant maps, and detailed measures for their management are not outlined. The State Party stated that the Local Area Plan is expected to be finalized by December 2017.

Involvement of the local communities

Community and religious groups and trusts are involved in the management process in different localities. However, ICOMOS considers that a concrete plan for capacity building and awareness raising is needed for the local communities given the level of control that is required to safeguard its heritage resources.

The heritage management plan prepared by the State Party aims to improve visitor experience, encourage sustainable tourism, and manage possible negative impacts of tourism developments amongst other objectives. However, ICOMOS notes that these objectives are not based on a visitor management plan.

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ICOMOS considers that the approval, adoption and implementation of the Local Area Plan and the regulations associated with the Heritage Conservation Plan is urgently required before the management system can be considered to be effective. Special attention needs to be given to capacity building of the Heritage Department at AMC in the field of management and conservation of built heritage. Furthermore, ICOMOS recommends to extend the management plan and its implementation mechanisms to engage in an informed and proactive way the local communities and religious groups that are responsible for heritage resources. ICOMOS recommends including a visitors' management plan into the management process of the nominated property.

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## 6 Monitoring

The State Party has outlined four key indicators to monitor the state of conservation of the nominated property. These address the homogeneity of the settlement pattern, the state of individual houses, the overall changes in land use, and the cultural homogeneity of *po*/ communities.

ICOMOS notes that these monitoring indicators address changes to the state of conservation and the life in *po*'s and traditional houses. However, ICOMOS recommends the identification of other indicators to monitor the state of conservation of those monuments listed by the ASI and SDA and their protected and regulated zones.

ICOMOS notes that indicators are needed to monitor the impact of development pressures and environmental pressures on the state of conservation of the nominated property.

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ICOMOS considers that monitoring indicators should be expanded to address the state of conservation for all components and attributes of the nominated property and the impact of identified pressures.

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## 7 Conclusions

ICOMOS recognises the significance of the Historic City of Ahmadabad as a vibrant living city founded in the 15<sup>th</sup> century, with a rich heritage of Sultanate architecture, including the Bhadra Fort, city walls and gates, numerous mosques and tombs, and important Jain and Hindu temples of later dates. The urban fabric of Ahmadabad is made up of densely-packed traditional houses in gated traditional streets with characteristic features such as bird feeders, public wells and religious institutions. The communities of

the walled city are coexisting followers of Islam, Jain and Hinduism.

However, ICOMOS notes that the conditions of integrity and authenticity have not been met due to lack of sufficient information on the extent and impact of new buildings and development projects in the western section of the nominated property and its buffer zone, and also due to the lack of appropriate documentation of the buildings of the property.

ICOMOS considers that criteria (ii) and (v) could be justified based on further work and resolution of the problems with authenticity and integrity; but that criterion (vi) has not been demonstrated.

ICOMOS considers that the boundaries of the nominated property and the buffer zone need to be revised, particularly on the western side of the property.

ICOMOS considers that the main threats to the property are development pressures and demographic changes; and that environmental pressures and natural disasters (earthquakes, torrential rain and fire) are also notable pressures. Because of the existing and likely future levels of tourism, ICOMOS recommends that a tourism management plan be prepared.

While the proposed mechanisms for legal protection seem appropriate, the protection of the city's buildings and urban fabric is not yet in place. Although the buildings and monuments listed by the ASI and SDA are provided with legal protection, these may need further enforcement.

Similarly, the proposed management system seems potentially appropriate, but a number of important components are not yet in place. Implementation of the Local Area Plan and the regulations associated with the Heritage Conservation Plan is urgently required before the management system can be considered to be effective. Incorporation of visitor management planning into the management system for the nominated property is also required.

The conservation of the nominated property is vulnerable, and full documentation of all historic buildings within the property is needed, along with better coordination of the efforts of different stakeholders and mechanisms to guide and control interventions by traditional craftsmen. Capacity building for the AMC in the field of management and conservation of built heritage is needed.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the examination of the nomination of the Historic City of Ahmadabad, India, to the World Heritage List be **deferred** in order to allow the State Party, with the advice of ICOMOS and the World Heritage Centre, if requested, to:



- a) Reformulate the justification for Outstanding Universal Value of the nominated property, according to criteria (ii) and/or (v), clearly articulating the relevant attributes based on comprehensive documentation of the city's urban fabric, spaces and buildings, particularly the characteristics and cultural traditions associated with the *pol* and *pur* found throughout the city,
- b) Conduct comprehensive and accurate documentation of the historic buildings of the property, particularly the privately owned timber houses, according to accepted international standards of documentation of historic buildings for conservation and management purposes, with the aim of meeting the conditions of authenticity,
- c) Reconsider the boundaries of the nominated property and the buffer zone by strengthening the connection between the walled city and the river,
- d) Conduct a detailed assessment of the extent and impact of the new constructions and development projects on the western section of the property and its buffer zone with the aim of meeting the conditions of integrity,
- e) Ensure the effective implementation of the Heritage Management Plan and the finalisation, ratification and implementation of the modification and additions to the development control regulations (DCR),
- f) Complete and implement the Local Area Plan as a part of the Heritage Conservation Plan,
- g) Prepare, approve and implement a conservation plan for the wooden historic houses,
- h) Prepare, approve and implement a visitor management plan for the nominated property to complement the Heritage Management Plan and ensure an informed and sensitive development of tourism for the property;

Any revised nomination should be visited by a mission to the site.

**Additional recommendations**

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

- a) Enriching the Heritage Department at AMC with capacity building and technical capacity relevant to the challenging size and extent of responsibilities of the documentation, conservation and monitoring of the nominated property and its buffer zone;



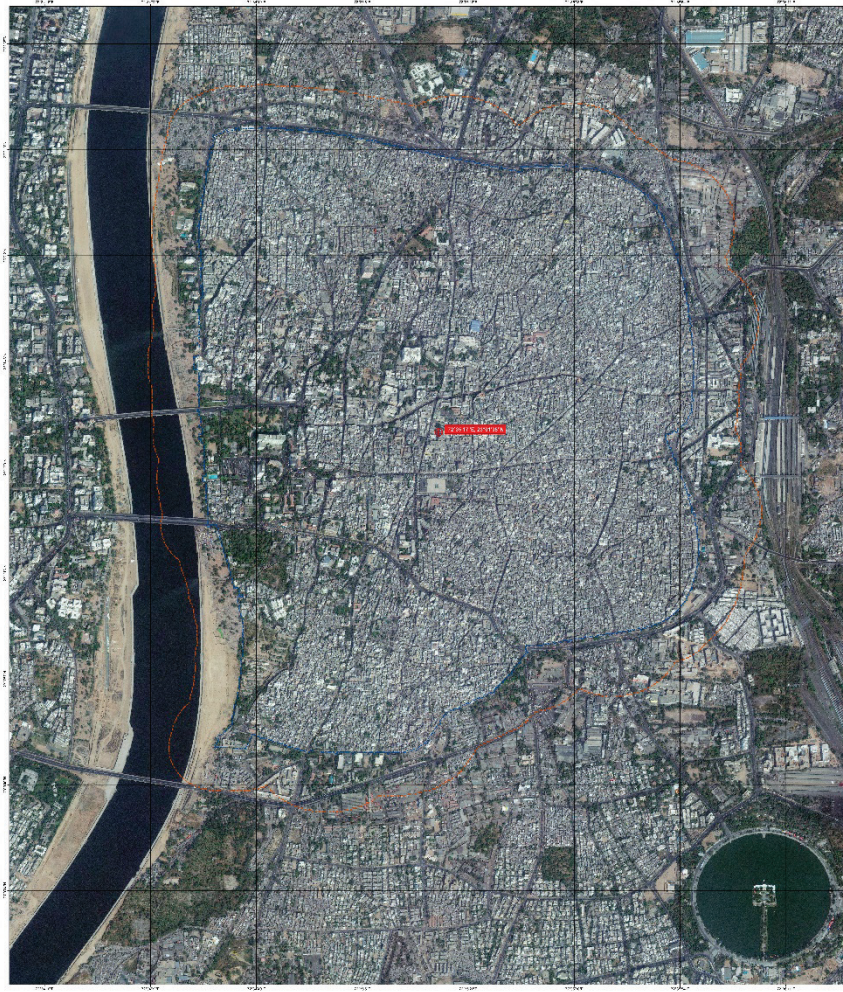


Photo: World Bank, 2010. Source: Google Earth, 2010. Image courtesy of Google Earth.

- Boundary of the proposed Core Zone  
 - Boundary of the Buffer Zone  
 - Core Zone  
 - Buffer Zone  
 - City of Ahmadabad  
 - Sabar Kantha River  
 - City of Gandhinagar

MAP 05 Satellite Image showing Boundaries Of The Nominated Property & Buffer Zone  
 World Heritage Nomination Historic City of Ahmadabad  
 Prepared by the National Institute of Cultural Heritage, New Delhi, India



Map showing the boundaries of the nominated property



Entrance to Bhadra Fort



b



c



d

Jama Masjid – The prayer hall and details of the dome



Swaminarayana Temple



View of *Pol*



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## Historic City of Yazd (Islamic Republic of Iran) No 1544

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### Official name as proposed by the State Party

Historic City of Yazd

### Location

Yazd Province

Islamic Republic of Iran

### Brief description

The City of Yazd is located in the deserts of Iran close to the Spice and Silk Roads. It is a living testimony to intelligent use of limited available resources in the desert for survival. Water is brought to the city by the qanat system. Each district of the city is built on a qanat and has a communal centre. Buildings are built of earth. The use of earth in buildings includes walls, and roofs by the construction of vaults and domes. Houses are built with courtyards below ground level, serving underground areas. Wind-catchers, courtyards, and thick earthen walls create a pleasant microclimate. Partially covered alleyways together with streets, public squares and courtyards contribute to a pleasant urban quality. The city escaped the modernization trends that destroyed many traditional earthen cities. It survives today with its traditional districts, the qanat system, traditional houses, bazars, hammams, water cisterns, mosques, synagogues, Zoroastrian temples and the historic garden of Dolat-abad. The city enjoys the peaceful coexistence of three religions: Islam, Judaism and Zoroastrianism.

### Category of property

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

In terms of the *Operational Guidelines for the Implementation of the World Heritage Convention* (8 July 2015), Annex 3, it is also an *historic town which is still inhabited*.

## 1 Basic data

### Included in the Tentative List

9 August 2007

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

1 February 2016

### Background

This is a new nomination.

### Consultations

ICOMOS has consulted its International Scientific Committees on Historic Towns and Villages and Earthen Architecture and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 22 to 28 August 2016.

### Additional information received by ICOMOS

A letter was sent to the State Party on 6 October 2016 requesting further information about the comparative analysis, inclusion of the Dolat-abad Garden, property boundaries and buffer zone, use of traditional materials and techniques in conservation interventions, documentation of conservation works, environmental pressures, development pressures, status of legal protection and management plan, visitor numbers and impacts, relationship with the management system of the other overlapping World Heritage properties, and the coordination of management.

Additional information was received from the State Party addressing these questions on 6 November 2016; and this has been incorporated into the relevant sections of this evaluation report.

An Interim Report was provided to the State Party in December 2016 summarising the issues identified by the ICOMOS World Heritage Panel. Further information was requested in the Interim Report about documentation on urban levels, the boundaries of the central component and the Zoroastrian component, conservation practices with regards to rendering non-earthen new buildings with earthen plaster, offering guidelines to owners of historic earthen buildings, and capacity building for ICHHTO Base staff.

All additional information received from the State Party on 27 February 2017 has been incorporated into the relevant sections of this evaluation report.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

The Historic City of Yazd is located in the middle of the central plateau of Iran, 270 km southeast of Isfahan. The nominated property consists of three components covering an area of 195.76 ha and includes the historic city centre, the Zoroastrian district, and the Dolat-abad Persian garden, which is also a component of the serial World Heritage property, The Persian Garden (2011, (i), (ii), (iii), (iv) and (vi)). Traditional water management elements within the nominated property are components of the serial World Heritage property, The Persian Qanat

(2016, (iii) and (iv)). The buffer zone encompasses the three nominated components and covers an area of 665.93 ha.

Throughout its history, Yazd has been of great importance to Iran as a fortified city and for commerce as it is situated close to major trade routes such as the Spice Road, and the Kerman-Rey and Khorasan-Fars roads. Yazd is also an important centre of urban and rural production.

The coexistence of Zoroastrians, Jews and Muslims is an important feature of the Historic City of Yazd. This is reflected in the urban fabric and architecture, including the location of water cisterns that are built to meet the needs of both Muslim and Zoroastrian communities. Celebrations and festivities of one religion involve followers of other religions within the historic city, such as the celebration of *Nowrooz*, a Zoroastrian ancient feast celebrated by all.

The Historic City of Yazd survived and flourished despite the harsh desert environment due to the qanat system of collecting water from the nearby mountains. The nominated property is characterized by its earthen buildings and distinctive architectural features such as wind-catchers, domes, vaults and minarets. It is also characterized by its physical system of spatial organization made up of courtyards, alleyways, streets and public squares as well as roofed and open alleys.

Yazd has about sixty districts. Nineteen districts are located within the Historic City of Yazd. Districts are characterized by professional, ethnic or religious concentrations. For example, Posht-e Bagh is the district of coppersmiths, Tal and Khorramshah are the districts of builders, Sahl ibn-e Ali and Golchinan are the districts of merchants, Fahadan and Shah ab-ol-qasem are the districts for weavers. Jews lived mainly in the area west and southwest of the Jame Mosque, while Zoroastrians lived in specific districts such as Khalaf Khanali, Khorramshah and others.

Each district has its own centre for the daily needs of its inhabitants, including bazaars, hammams, water cisterns, mosques, Hoseiniehs, lards (squares in front of a caravanserai), small workshops and access to qanat water. The different district centres are connected by a main thoroughfare. Some district centres continue cultural traditions, while traditions are discontinued in others, depending on the demographic changes in each district.

Thoroughfares of the Historic City of Yazd are built in response to the harsh climate by providing the maximum amount of shade, despite the shortage of vegetation. Shade is provided by the orientation and narrow width of streets, the height of adjacent walls, and the practice of roofing parts of the street by *sabats* - rooms that bridge two houses across the thoroughfare and cover it, often with overlooking windows which create recurring light and shade changes along thoroughfares.

The scarcity of wood was overcome by building with earth, including walls, arches, vaults and domes. Fired bricks were also used. Glazed fired bricks, tiles and stucco were used for decoration. Historic buildings of Yazd are also characterized by decorative wood, metal and glass.

The Islamic endowment system (*waqf*) is a significant contributor to the construction, management and maintenance of many religious, charitable and communal structures in Yazd. The qanat system and all other hydraulic structures, which were instrumental in sustaining the livelihood of the city are almost totally supported by *waqf*.

Some historic buildings such as hammams and houses have been adapted to be reused for modern functions, particularly those serving tourism such as hotels and restaurants.

### **History and development**

According to oral history, Yazd was founded in the Achaemenid era on the intersection of the road connecting Rey to Kerman and Isfahan, and the road connecting Pars to Khorasan.

According to historians, Yazd was founded on the ruins of Kaseh. According to silver coins struck during the early Islamic era (from the 7<sup>th</sup> to 10<sup>th</sup> centuries AD), Yazd was under the authority of Fars which was under the governance of Basreh. The palace and garden of the Abbasid ruler were built and later turned into a district which was called 'Mad-abad Kooch-e-Bagh'. Two other districts were built during that period, although one of them was completely destroyed by the flood of 1455 AD. According to the historian Estakhri, the city was fortified and had two gates. The mosque built by Ahmed Zamaji in the 7<sup>th</sup> century was known in historic sources as 'Fort' and is still known by this name. Some of the walls of the Jame Mosque date back to this period.

During the Kakuyid era (from the 10<sup>th</sup> to 12<sup>th</sup> century AD), Yazd witnessed its main development and prosperity. A place for prayers was appointed and named 'Dar-ol-Ebadeh'. The flow of water to the city via numerous qanats contributed to the flourishing and expansion of the city. Fortifications were constructed with four main gates. Gardens and farms were expanded in the western and southern parts of the city. Mosques, madrasas and new districts were constructed during this era and the city expanded in three directions: east, west and south. The production of textiles, silk and cotton, gained importance and many bazaars were built. The oldest dated inscription surviving in Yazd today is on the Davazdah-Imam monument, attributing the building to two commanders from this era.

During the Atabeg era (12<sup>th</sup> century AD) the city escaped the destructions, massacres and plunders of Genghis Khan that occurred in other Iranian cities. The city fortifications were restored and new fortifications were added. Four districts were developed and several qanats



were constructed to supply the new districts with water. Several madrasas were established, of which only Zia'ieh Madrasedeh remains today; and hospitals were established. The economic axes of bazaars were formed and led to the expansion of the city towards Mehrijard Gate. Agricultural, industrial and commercial activities flourished. During this era, a destructive flood caused some districts to fall into ruin, and people moved to a higher location and established new districts.

During the Muzaffarid era (14<sup>th</sup> century AD), Yazd flourished, as their rule lasted more than half a century, and gained unprecedented economic and political importance. The Madrasedeh was extended during this period and became Darol-Elm (house of knowledge) and Sufism gained popularity. No new districts were developed during this era except Abeshahi. However, restorations and reconstructions were carried out for buildings and infrastructure damaged by the floods, and additions and improvements were made to the city walls, gates and watch towers. The city expanded southwards. This era witnessed a development in architectural and decorative features such as the use of honeycomb vaults and mosaic tile work. Some parts of the Jame Mosque surviving today date back to this era, such as the dome chamber, the main ayvan and the portal. This era witnessed the construction of madrasas, a hospital and observatory.

During the Timurid era (14<sup>th</sup> – 15<sup>th</sup> century AD), the city suffered damage as a result of a siege by the Timurids after an uprising by the local inhabitants. The city witnessed a short period of reconstruction and development before being hit by destructive floods in 860 AH (1456 AD) which caused damage to the southern and western parts of the city. Nineteen districts fell into ruin and one third of the population left the city.

The urban structure of the city evolved during this era, trade flourished and the textile industry became prosperous. More than 1,000 houses and other buildings were restored or reconstructed, and the bazaar, which exists today was built close to the Meriz Gate of the city walls. The Mobarakeh Palace complex was built and functioned as the administrative centre and governor's office up to the 1990's. The surviving buildings from this era include mosques, khanqahs, tekiehs, squares, hammams, water cisterns, caravanserai and bazaars. Some parts of the Jame Mosque were built by the Timurids. In the southern parts of the city, the Amirchaqmaq complex was constructed in this era and included a mosque, caravanserai, hammam, water cistern and bazaar.

During the Safavid era (16<sup>th</sup> – 18<sup>th</sup> century AD), the period of growth was followed by political instability and economic depression. Additions and alterations were made to the bazaar and the Jame Mosque. In this era, new districts were constructed with 'Bagh' in their names, indicating that they were adaptations of earlier gardens into residential districts. This era witnessed the rise of the importance of Yazd for regional trade and the

construction of caravanserais on major routes from Yazd to regional trade centres. Silk and other textiles of Yazd became well known in Europe, India and China. However, the prosperity of Yazd declined towards the end of this era. The foundation of great bazaars and Khan Square date to this period, and also two minarets of the Jame Mosque and a hammam.

During the 18<sup>th</sup> century, the central district of Jannat-Abad was established, the city walls were strengthened, and the city expanded to the southwest. The southern part of the bazaar was founded and a new bazaar complex was developed between Amirchaqmaq and Shah Tahmasb Mosques in this period with the flourishing of trade with England and Russia. The remaining buildings from this period include Bagh-e-Dolatabad, Qeisarieh bazaar, two caravanserais, a palace with its cistern and Shah Tahmasb Square.

From the 18<sup>th</sup> to the 20<sup>th</sup> century, during the Qajar era, Yazd regained its former significance, but was then affected by an outbreak of cholera and social chaos. During this era, almost all Iranian Zoroastrians were living in Yazd, in the Zoroastrian district that continues to this day. During this period the majority of the inhabitants were engaged in silk and cotton production. Yazd had 8 districts inside the old city walls and 16 outside. The last repairs and renovations of the city walls took place in 1820 before losing their function due to modern changes in warfare and defensive strategies. A number of bazaars were added including the now-named Khan Bazaar. The majority of the historic residential districts surviving today are from the Qajar era. The late nineteenth century witnessed a new genre of buildings and spaces, illustrated by the Post Office, cinemas, banks and urban green spaces.

### **3 Justification for inscription, integrity and authenticity**

#### **Comparative analysis**

The nomination dossier draws comparisons on two levels. It compares Yazd with other cities in Iran and with other cities around the world, which are inscribed on the World Heritage List and built using earth.

The comparison with cities inside Iran includes the cities of Ardakan, Bam ((ii), (iii), (iv), (v), 2007), Isfahan ((i), (v), (vi), 1979) and ((ii), 2012), Kashan, Kerman, Meybod (on the Tentative List), and Semnan. The comparison is based on the area of the historic fabric, integrity and authenticity, factors affecting city formation, the role of qanats in the formation of the city, historical periods, whether the outstanding historical period is distinguishable, human and natural factors affecting the historic fabric, dominant construction materials and percentage of local presence and residential functions.

The comparison with cities around the world includes the cities of Agadez (Niger), ((ii), (iii), 2013), Ait-ben-Haddou (Morocco), ((iv), (v), 1987), Aleppo (Syria), ((iii), (iv),

1986), Ghadamès (Libya), ((v), 1986), Shibam ((iii), (iv), (v), 1982) and Sana'a (Yemen), ((iv), (v), (vi), 1986), and Itchan Kala ((iii), (iv), (v), 1990), Shakhriyabz ((iii), (iv), 2000) and Bukhara ((ii), (iv), (vi), 1993) (all Uzbekistan). These comparisons are based on area, authenticity, integrity, dynamism, material, cultural diversity, intangible heritage, architecture and urban planning, innovation and technology.

The comparative analysis concluded that Yazd is unique in a number of ways. Yazd is the largest and longest-surviving earthen city, and is based on four levels of construction: qanats, ground floors, rooftops and wind-catchers. Yazd is characterized by specific traditional building techniques and innovations.

In its request for further information, ICOMOS requested that the comparative analysis be extended to include historic cities with Islamic/chaar-bagh gardens in their vicinities. The State Party responded by comparing Yazd and Dolat-abad garden with the historic gardens of Isfahan (Iran), Taj Mahal (India) and Shalimar (Pakistan). The comparison concluded that Yazd and Dolat-abad garden are unique because of the continuation of the architectural features of Yazd into the structures of Dolat-abad, the proximity of Dolat-abad garden to Yazd as opposed to historic gardens in India and Pakistan which are located at a greater distance from urban areas, and the dependency of Dolat-abad on qanat water as opposed to river water.

ICOMOS considers the comparative analysis useful and relevant to the proposed Outstanding Universal Value of the property, although there are some remaining gaps including the use of wind-catchers as the fourth level on which the city is constructed, the cohabitation of the followers of three religions, and claims of the nature-friendly urban design and architecture as well as sustainable energy system.

ICOMOS considers that while some aspects could be further strengthened, the comparative analysis justifies consideration of this property for the World Heritage List.

#### **Justification of Outstanding Universal Value**

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

- Yazd is a unique surviving example of architecture and urban planning in the deserts of central Iran, relying on an effective water supply system;
- Its location close to main trade routes of commerce for silk and spices contributed to the flourishing of the city as a commercial centre that influenced cities and towns in the region and along the trade routes;
- The builders of Yazd developed methods for survival in the desert by clever management of limited available resources and by bringing water into the city via the qanat system and the use of earthen materials in construction (including houses and other

types of buildings such as hammams, water cisterns, mills, shrines, mausoleums, synagogues and mosques);

- The design of buildings in Yazd is climatically controlled and resistant to earthquakes through the use of thick walls, underground building elements and wind-catchers;
- The city consists of districts, each of which is organized along a qanat and different components; and is an example of the homogenous coexistence of the followers of different religions;
- Yazd is an example of environmentally-friendly construction and sustainable development.

ICOMOS considers that this justification is appropriate, but that it needs to be supported by a clear list of attributes, and the property must meet the requirements of authenticity and integrity. ICOMOS notes that there are questions concerning the authenticity of materials for traditional buildings that need to be resolved in order for this justification to be sustained.

#### **Integrity and authenticity**

##### **Integrity**

The integrity of the nominated property is based on arguments about the adequacy of the size and completeness of the selected components in relation to the proposed Outstanding Universal Value of the property. The condition and effective management of pressures are also part of the requirements of integrity. The State Party bases the statement of integrity on the visual, functional and structural integrity of the nominated property.

ICOMOS considers the selection of components for the serial nomination adequate as it represents the attributes of the proposed Outstanding Universal Value that are all managed by the same agency (the Iranian Cultural Heritage, Handicrafts & Tourism Organization (ICHHTO)).

ICOMOS notes that Imam Khomeini Street, Qiam Street and three other large streets cross the historic central component of the nominated property and impact on it in particular due to parking issues, new commercial developments and uncontrolled advertising signs. In the Zoroastrian component, development pressure is high, particularly close to the boundaries. The rising pressure of vehicular traffic on the nominated property is another challenge to its integrity. Another issue is the number of fired brick buildings in the Zoroastrian zone, many of which were constructed before the legislative protection was in place.

Finally, the evaluation of integrity is affected by issues identified by ICOMOS concerning the adequacy of the component boundaries and buffer zones (as discussed below).

## Authenticity

Cities are highly dynamic and reflect changing cultural processes. The State Party briefly discusses the authenticity of the nominated property from several perspectives, including design, materials, use and function, techniques, setting (including the qanat system) and intangible heritage (such as the culturally diverse communities and the importance of the *waqf* in the social organisation of the city).

ICOMOS considers that the question about the authenticity of the nominated property cannot be well-addressed because of the insufficient and/or inaccurate documentation of earthen buildings; and notes that in some streets of the historic centre component, it is not possible to differentiate the authentic fabric from newer constructions, where new houses have been built, and where older ones have been reconstructed or restored using fired bricks which are covered with earthen render. This is particularly a problem in the Zoroastrian component.

In response to the ICOMOS Interim Report, the State Party clarified that restoration reports include requirements to describe the differentiation between authentic and newer fabric. These are kept in the ICHHTO Base archive. Three methods are suggested by the State Party to differentiate between authentic and new fabric: putting up signs displaying the authentic parts; installation of sign boards displaying the date of the *kahgel* plaster; and conducting field surveys to document layers of covered material within the structures before interventions occur. However, ICOMOS notes that the methods presented by the State Party are not yet applied; and that the reports and other information available in the ICHHTO Base are general rather than specific or detailed.

In addition, ICOMOS has noted some important discrepancies between the maps provided by the State Party, and the situation on the ground, especially for the shops facing Imam Khomeini Street which are mostly new but are indicated on the maps as being historic buildings. Also in the Zoroastrian component, new houses are indicated on the maps as historic buildings.

The State Party provided additional information in response to the ICOMOS Interim Report with maps for 'conservation and restoration', 'diversity of materials', and 'periodic map of constructions' (2 maps). However, ICOMOS notes continuing inconsistencies and/or lack of clarity with regards to the information conveyed by these maps.

In response to the ICOMOS Interim Report, the State Party also provided additional information explaining the historical practice in Yazd of using earthen plaster (*kahgel*) of mud and straw. This practice meets cultural and aesthetic purposes as well as providing thermal insulation and acting as a sacrificial layer to protect the structural elements of buildings.

ICOMOS notes the appropriateness of this traditional practice with regards to buildings that are built with traditional building materials that, in some cases, may be fired bricks. Rendering of fired brick buildings using earthen plaster is a long-standing traditional practice. However, this practice is not appropriate for new constructions built with modern materials, such as walls built with cement mortar, which is a widespread practice that can be seen on main streets.

ICOMOS considers that the authenticity of the nominated property cannot be reliably determined or monitored, and is vulnerable without clear and accurate identification and documentation of the historic buildings and urban fabric of the nominated property, including materials, age of the structures, and the state of conservation.

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ICOMOS considers that the conditions of integrity and authenticity have not been met at this stage.

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### Criteria under which inscription is proposed

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

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

This criterion is justified by the State Party on the grounds that Yazd has developed techniques and methods in using materials and building technologies and design as well as urban planning, to cope with the harsh desert environment; and that this influenced other cities and towns in the Central and Western Asian Region because of its location in the middle of the Silk and Spice Roads.

ICOMOS considers that these arguments are not supported by evidence that Yazd had a decisive influence on the evolution and promotion of earthen architecture, technology and urban planning within the Central and Western Asian regions. Earthen architecture was widespread in the Middle East for millennia before the establishment of the city of Yazd and exhibits a wide range of settlement patterns.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that Yazd bears witness to millennia-long traditions of living in the harsh desert environment. It is built entirely with earth and developed intelligent methods in creating pleasant micro-climates within buildings and districts, relying on water supplied from

qanats. Its built heritage includes houses, mosques, fire temples, synagogues, mausoleums, hammams, water cisterns, madrasehs and bazaars. It also includes a significant urban tradition developed from the 10<sup>th</sup> to 20<sup>th</sup> centuries, which influenced the development of other desert cities in Iran, based on the qanat system of water management, which could be called “Qanat Civilization”. Yazdi qanats are considered by specialists the most skillfully engineered in Iran.

Yazd is associated with the tradition of social organization by the *waqf* system which benefits communal facilities such as water cisterns, hammams and mosques. It is also associated with intangible traditions of commerce and crafts, multiculturalism and the peaceful cohabitation of the followers of Islam, Judaism and Zoroastrians, seen in their festivities.

ICOMOS agrees that Yazd demonstrates the use of construction systems and techniques to cope with the environmental conditions. However, no evidence was presented to support these as millennia-long traditions. ICOMOS does not consider that the arguments concerning “Qanat Civilization” are supported or appropriate, and notes that this was not used previously for other qanat properties inscribed on the World Heritage List.

ICOMOS finds that, whilst a notable feature of Yazd, the co-existence of communities from multiple religions (Islam, Judaism and Zoroastrianism) is not relevant for the justification of this criterion.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that Yazd is an outstanding example of architecture and urban planning for the hot arid climate of the Iranian desert. Its features include sunken courtyards which give access to underground spaces, wind-catchers, and thick earthen walls. On the urban level, each district still retains significant features such as partially-covered streets and different building types such as bazaars, water cisterns, hammams, tekiehs and hoseiniehs, and mosques. The skyline of the city is characterized by wind-catchers, domes and minarets and offers an impressive panorama from different viewpoints.

ICOMOS considers that whilst Yazd is the best surviving example of these features in Iran, it cannot be understood as representing a significant stage in human history. Therefore, the justification of this criterion by the State Party is not supported by relevant evidence.

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ICOMOS considers that this criterion has not been justified.

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Criterion (v): *be an outstanding example of a traditional human settlement, land-use, or sea use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;*

This criterion is justified by the State Party on the grounds that Yazd is an outstanding example of interaction between people and nature in a desert environment through intelligent management of the limited available resources by the qanat system and the use of earth in constructing buildings with sunken courtyards and underground spaces. Besides creating pleasant micro-climates and efficient resistance to earthquakes, it uses minimum amounts of materials, which provides inspiration for new architecture facing the sustainability challenges of today.

ICOMOS considers that this criterion is potentially appropriate given that Yazd is a rare example of a desert city, characterised by distinctive earthen architectural forms with specific cultural and historical associations. To sustain the proposed Outstanding Universal Value of the nominated property according to this criterion, it is necessary to articulate a clear list of attributes and expand on the inter-linkages between the built and natural environment, including the centrality of the qanat system in the development of the city. It would also be useful to explain how Yazd was able to sustain its long history and withstand several natural disasters. Specific qualities of the earthen construction, its seismic resistance, and the climatic characteristics of traditional architectural designs and urban arrangements need to be elaborated in more detail and supported with specialized technical studies.

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ICOMOS considers that this criterion has not been justified at this stage, but could be applicable based on further studies, documentation, and resolution of the issues of authenticity and integrity.

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ICOMOS considers that the nominated property could potentially meet criterion (v) through a substantial reformulation of the arguments, new information and analysis, and resolution of the issues raised about the authenticity and integrity of the nominated property.

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

The State Party identifies development pressures affecting the nominated property, including the commercial use of historic buildings and the creation of parking lots, especially in commercial streets. The need to provide infrastructure and services to the residents is a source of new development proposals.

Pressures that affect the quality of new buildings and repairs to historic buildings occur because of easy availability and use of non-local and modern building materials and contemporary building systems, and the lack of a skilled workforce. In some instances, the construction of modern buildings is causing some loss of character, particularly within the buffer zone.

Recent drought and decreasing levels of surface water have caused movement in underground levels, mainly in the buffer zone. After monitoring for one year, the State Party reports that no further movement has been recorded. Other environmental pressures include pollution caused by industrial development and the increased number of cars. This creates threats to fired and glazed construction and decoration materials, and less so to earthen materials. The change of function of factories within the historic city and moving industrial activities outside the city is helping to reduce these threats.

Floods and earthquakes have caused destruction to the nominated property throughout its long history. According to the State Party, floods are no longer a threat due to the construction of flood control systems and deliberate planting of trees.

Yazd has experienced a number of earthquakes in its history, with severe earthquakes occurring in 1824, 1844 and 1853. According to the State Party, the characteristics of the architecture of Yazd plays a role in reducing the risk from earthquake damage, due to the sabats (which function as buttresses), sunken courtyards and thick walls. The Iranian Cultural Heritage, Handicrafts & Tourism Organization (ICHHTO), endeavours to introduce consolidation techniques, reinforcement of structures and improvement of building materials.

Tourism is not a source of pressure for Yazd at present, and the State Party considers that this will not increase significantly in the future. There is a steady increase in visitor numbers, but it is estimated that only 10-20% of the potential capacity to host visitors has been reached. According to the sixth development plan for Iran from 2015 to 2020, Iran expects to receive 10 million tourists, but no more than 3.5% of them are expected to visit Yazd.

ICOMOS considers that development pressures caused by commercial activities, and the use of modern non-compatible materials by residents for construction, repairs and extensions, are the sources of greatest threat to the nominated property.

ICOMOS considers that it would be desirable that the State Party consider the integration of an Heritage Impact Assessment approach into the management system, so as to ensure that any programme or project regarding the property be assessed in relation to its impacts on the Outstanding Universal Value and its supporting attributes.

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ICOMOS considers that the main threats to the property are caused by development pressures from commercial activities, use of incompatible materials in the repair/extensions to historic buildings, and earthquakes.

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## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The nominated property consists of three separate components: a large central component, a smaller component in the south of the central zone (Zoroastrian District), and a component containing the Dolat-abad Persian garden to the northwest of the central component. The Dolat-abad garden is a component of the serial World Heritage property, The Persian Garden ((i) (ii) (iii) (iv) (vi), 2011). The three components cover an area of 195.76 ha. The buffer zone roughly aligns with an area known as the historic urban area as it had developed up until the mid-20<sup>th</sup> century. The buffer zone covers an area of 665.93 ha.

The boundaries of both the central and the southern (Zoroastrian District) components include buildings that are entirely modern and do not fully support the proposed Outstanding Universal Value of the property. Conversely, there are other historic buildings that are left out of these two zones, which could support the proposed Outstanding Universal Value of the property. ICOMOS therefore considers that the boundaries of these components require further review to add certain buildings and exclude others.

In a meeting with the ICOMOS Panel on 26 November 2016, the State Party explained that the delineation of boundaries of the central and Zoroastrian components are based on intangible and historical dimensions of the traditional districts. In the Interim Report, ICOMOS requested the State Party to support this with detailed explanation illustrated by the use of maps. In response, the State Party provided further explanation and maps as well as stating the criteria considered for identification of the property.

ICOMOS notes that the additional information submitted by the State Party partially addressed the query by providing the justification of boundaries of two neighborhoods using aerial photos. For the Zoroastrian district, the additional information does not resolve all the issues identified by ICOMOS in relation to the boundaries of the neighborhood. Despite the useful exchanges with the State Party, ICOMOS considers that a stronger rationale is needed for the proposed component boundaries of this nominated serial property.

The boundaries of the buffer zone are mostly adequately justified, including the area near Dolat-abad garden. While this boundary is drawn very tightly, it replicates the designation of the buffer zone used for the World Heritage

nomination of the 'Persian Garden'. Because this area is currently located outside the buffer zone, new developments in this area will not be controlled by ICHHTO, weakening the overall protection of the proposed values of the property.

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ICOMOS considers that the buffer zone near the Dolatabad Garden could be expanded, and the rationale for all the boundaries and buffer zones needs to be more strongly articulated (particularly for the Zoroastrian district).

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#### **Ownership**

Ownership in the Historic City of Yazd is mixed. While residential and commercial buildings make up the majority of the building stock of the city and are privately owned, religious and communal buildings are owned by non-governmental organizations and *waqf*, while public buildings are owned by governmental organizations including ICHHTO.

#### **Protection**

The Historic City of Yazd was listed as a national monument in 2005, which provides legal protection according to the Law for Protection of National Heritage (1930) and the Law for Establishing Iranian Cultural Heritage Organization (1979). The nominated property is also subject to laws and standards for the protection of historic cities.

ICOMOS notes that the nominated property enjoys the highest level of protection as a historic city on the national list through cultural heritage legislation and planning tools. According to the Master Plan of Yazd City (2016), the heights of buildings are determined by the number of storeys rather than by measurements: one storey for buildings in the nominated components, and 1-2 storeys for buildings in the buffer zone. However, ICOMOS notes that there is some confusion in the submitted plans as the heights of some buildings are marked as one-storey high but these are actually one storey above the ground floor (ie. two storeys).

ICOMOS notes that the majority of historic buildings within the property are privately owned and are managed and maintained by their owners under the supervision of ICHHTO. Consequently, the effectiveness of the legal protection can be undermined by lack of awareness of the private owners and a shortage of ICHHTO inspectors to supervise and control all the interventions made to the historic fabric (as per the legislation). This is manifested in the widespread practice of interventions carried out by residents and owners without effective supervision by ICHHTO, and the use of incompatible materials and techniques. For this reason, ICOMOS does not consider the legal protection to be fully effective.

In response to the Interim Report, the State Party submitted additional information on different awareness-raising and training workshops and activities carried out for different stakeholders by the ICHHTO Base.

ICOMOS notes that despite the awareness-raising activities led by ICHHTO Base staff, there is a need for training and capacity building focused on international best practices as defined by ICOMOS charters and recommendations with regards to the philosophy of conservation, degrees of intervention, values-based conservation and the safeguarding of authenticity and integrity.

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ICOMOS considers that the legal protection in place is appropriate but is not yet effective, due to the need to improve the awareness of the local communities and the capacity of ICHHTO staff.

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#### **Conservation**

The Historic City of Yazd has enjoyed a long history of conservation. This can be divided into five main periods, each with work on inventories, recording and research:

- 1930 to 1979: Individual grand monuments and buildings were registered in the national heritage list and conserved;
- 1981 to 1991: The vision changed to include the urban fabric and the whole city was addressed. The first comprehensive plans for the city were considered and rehabilitation for individual buildings was initiated;
- 1991 to 2001: Governmental organizations coordinated efforts regarding restoration, rehabilitation and reuse of historic buildings;
- 2001 to 2011: Yazd was registered as a city on the national heritage list, with a more inclusive approach and consideration of tourism requirements; and
- Recent years: Approaches have highlighted the role of local communities, with more participatory approaches in conservation projects and consideration for intangible heritage.

ICOMOS notes the importance of collaboration between ICHHTO and the Architectural Department of Yazd University and recommends further coordination on documentation, research and conservation aims for the nominated property.

The present state of conservation for the Historic City of Yazd as a whole is quite exceptional as it escaped destruction by modernization efforts, particularly in the last fifty years, due to its legal protection, the work of traditional institutions such as the *waqf*, and the preferences of the inhabitants of the city.

Almost all district centres and streets leading to them are in a good state of conservation. Some sabats and alleyways need minor repairs and revitalization, such as paving and lighting, which are presently under construction.

Historic urban squares (meydan) are in good condition and are regularly monitored. Some of them are subject to research, executive plans, and methodical and historical reconstructions.

Active rehabilitation and adaptive reuse are carried out for historic houses, hammams and other historic buildings, whilst cleaning qanats and reconstructing wind-catchers are executed under the supervision of ICHHTO. Key monuments are regularly monitored.

ICOMOS notes some important discrepancies between the maps provided by the State Party, and the state of conservation observed on the ground, including the locations of instances of the widespread practice of plastering modern structures with earth plaster, obscuring the differences between new interventions and authentic fabric. ICOMOS recommends that these issues be addressed to ensure the accuracy of maps and of the presentation of buildings.

ICOMOS notes the challenging state of conservation for the areas located around the main commercial streets (Imam Khumeyni and Qiam), due to traffic flow and the local practice of using incompatible modern materials such as cement and fired bricks for conservation interventions. This requires effective supervision from ICHHTO regarding the conservation and management of privately owned historic properties. There is also a need for raising public awareness about international best conservation practices.

ICOMOS notes that there is a need for guidelines for ICHHTO supervisors and local communities on how to maintain and conserve earthen houses, and how to differentiate between various intervention aims and levels within international standards of practice, such as the differences between conservation, restoration, renovation and reconstruction.

In response to the ICOMOS Interim Report, the State Party submitted a translation from Farsi to English of a text titled 'Summary of the Guidelines for Owners and Users of the Earthen Historic City of Yazd'. ICOMOS notes that these guidelines address specific interventions on facades, but that further guidance is needed to address the interiors of buildings in detail.

ICOMOS considers that special attention is needed to ensure the accuracy of maps and of the presentation of historic buildings on the ground; to build the capacity of ICHHTO Base staff and local communities; to increase the level of coordination with the University of Yazd; and to develop best practice guidelines for the conservation and maintenance of historic earthen houses.

## Management

Management structures and processes, including traditional management processes

The management of the nominated property is centralized in ICHHTO, which coordinates efforts with local and national authorities as well as non-governmental organizations, the traditional *waqf* system, and the local communities. ICHHTO has a number of policies that

underpin the management system for the nominated property.

Policy framework: management plans and arrangements, including visitor management and presentation

An action plan has been developed with short-term (two years), medium-term (five years), and long-term (ten years) actions. Sources and levels of finance include provincial budgets and state budgets as well as donations and *waqf* resources. ICHHTO is adequately staffed, and the staff have the required expertise across a wide range of disciplines. ICHHTO staff have access to training through international, national or local programs.

ICOMOS considers that the action plan is a valid framework that requires further development and more detailed planning, including management policies and mechanisms.

ICOMOS considers that the training of ICHHTO Base staff is good, but could be further extended to include philosophies of conservation, conservation of earthen buildings, and public awareness skills.

The State Party prepared a tourism plan in 2016, including a series of other plans with several objectives, especially keeping the rate of tourism constant. The nominated property is also part of a larger tourism plan, named the National Plan for Expanding Tourism Nationwide, organising guidelines, designs and tourism development projects at a national province level.

Involvement of local communities

ICOMOS notes that ICHHTO involves the local communities in its programs. However, further involvement is recommended, with particular attention being given to awareness-raising and provision of guidance on how to use, maintain and repair historic earthen buildings.

ICOMOS notes the risk preparedness that is in place with regard to mitigation of flood risks, and cooperation with Risk Management Organizations in risk-preparedness training. ICOMOS recommends further collaboration with Yazd University for seismic risk preparedness.

ICOMOS considers that the management system is generally adequate, but could be extended to include more detailed planning. Training of staff and capacity-building could be extended, including collaboration with the local university on seismic risk preparedness.

## 6 Monitoring

The State Party has outlined indicators to monitor the state of conservation of the property. These cover conservation and restoration; cultural and social aspects;

planning and sustainable development; urban health and hygiene issues; tourism; infrastructure; and urban services. These are aligned with the content of the management plan. ICHHTO is the responsible body for coordinating the monitoring with relevant agencies and stakeholders.

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ICOMOS considers that the monitoring measures for the property are adequate.

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## 7 Conclusions

ICOMOS considers that the Historic City of Yazd has a strong potential to meet the requirements for Outstanding Universal Value on the basis of criterion (v), but that Outstanding Universal Value has not been demonstrated, due to important issues of authenticity and integrity that need to be resolved. These include the pressing need for accurate documentation, and consistently-applied means for differentiating the age, materials and state of conservation of buildings within the nominated property.

While some areas of improvement have been identified, the comparative analysis is generally adequate and justifies the consideration of this property for inscription in the World Heritage List. However, further work on the documentation of the values of the property and articulation of the attributes are urgently needed, and could also allow the State Party to reformulate this nomination according to criterion (v).

ICOMOS has identified a few issues with the delineation of the boundaries of the central and southern components (particularly the Zoroastrian district). Currently, they are not adequate as they include buildings that do not support the nomination while excluding significant buildings. The delineation of the buffer zone could be adjusted to provide enhanced protection to the setting of the Dolat-abad garden which is currently exposed to development pressures. ICOMOS considers that capacity building actions are needed to ensure the effectiveness of the systems for protection, conservation and management.

ICOMOS considers that the main threats to the property are caused by development pressures from commercial activities, use of incompatible materials in the repairs/extensions to historic buildings, and earthquakes. The management system in place is generally adequate, although it could be improved by adding more detail, especially in relation to these key threats.

ICOMOS has identified a number of further recommendations to strengthen the capacity of ICHHTO and residents to better protect, conserve and manage the nominated property.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the examination of the nomination of the Historic City of Yazd, Islamic Republic of Iran, to the World Heritage List be **deferred** in order to allow the State Party, with the advice of ICOMOS and the World Heritage Centre, if requested, to:

- a) Substantially reformulate the nomination according to arguments relevant for criterion (v), including the provision of evidence that can demonstrate the specificities of the architectural style and techniques in creating pleasant conditions for urban life in a desert setting,
- b) Strengthen the ability of the nominated property to demonstrate its authenticity and integrity through accurate and detailed documentation of the urban elements, layouts and buildings; and resolving the important discrepancies that have been identified by ICOMOS between the maps and actual state of residential buildings in the city,
- c) Compile a clear list of attributes of the nominated property in relation to the reformulated justification of Outstanding Universal Value according to criterion (v),
- d) Revise the boundaries of the central and Zoroastrian components to incorporate the attributes of the proposed Outstanding Universal Value. This will involve both expansion of the boundaries (to ensure the inclusion of all significant historic buildings), and also some small and specific reductions (to exclude areas without attributes),
- e) Develop and implement conservation policies and management strategies to address the issue of plastering non-earthen and non-historic buildings with earthen plaster, obscuring the differences between authentic historic fabric and new interventions or new constructions, with the aim of meeting the requirements of authenticity,
- f) Deepen the level of detail in the action plan for managing the property, based on the need for decisions to be values-based; and develop heritage impact assessment processes for evaluation of the impacts on the Outstanding Universal Value of larger developments;

Any revised nomination should be visited by a mission to the site.

### Additional recommendations

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

- a) Undertaking analytical studies of the Historic City of Yazd, elaborating the relationships between the



intangible aspects of each district (including social, cultural and religious dimensions) and the tangible aspects (such as the qanats, water cisterns and religious structures),

- b) Considering extending the buffer zone in the area of the Dolat-abad garden to provide improved protection of its setting from the impacts of future development,
- c) Conducting research on risk preparedness for the property with regards to earthquakes,
- d) Developing guidelines for the use, maintenance and conservation of earthen historic buildings, with attention to interiors, that will assist private owners of historic buildings,
- e) Training ICHHTO staff on relevant conservation philosophies, and the impacts of different interventions on the integrity and authenticity of the nominated property;







Aerial view of the historic city of Yazd



Zia'ieh Madraseh



Kolombu and water cistern windcatcher



Malekzadeh House



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## Sacred Island of Okinoshima (Japan) No 1535

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### Official name as proposed by the State Party

Sacred Island of Okinoshima and Associated Sites in the Munakata Region

### Location

Fukuoka Prefecture  
Japan

### Brief description

Located 50km off the western coast of Kyushu Island between the Japanese Archipelago and the Korean Peninsula, the Island of Okinoshima bears witness to early ritual practices associated with maritime safety, which emerged in the 4<sup>th</sup> century AD and continued until the end of the 9<sup>th</sup> century AD, at a time of intense exchanges between the polities in the Japanese Archipelago, in the Korean Peninsula, and on the Asian continent. Incorporated into the Munakata Grand Shrine, the Island of Okinoshima continued to be regarded as sacred in the following centuries up until today.

### Category of property

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

## 1 Basic data

### Included in the Tentative List

5 January 2009

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

27 January 2016

### Background

This is a new nomination.

### Consultations

ICOMOS consulted its International Scientific Committee on Archaeological Heritage Management and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 6 to 12 September 2016.

### Additional information received by ICOMOS

ICOMOS sent a letter to the State Party on 7 October 2016 requesting additional information on the following points: the rationale for the selection of the components; the sources of information regarding the worship practices, their changes, the history of the shrines and their transformations, and the date of establishment of the Miare Festival; and the ongoing or planned development projects.

Following clarifications sought by the State Party and provided by ICOMOS, the State Party responded on 14 November 2016 and the information provided is integrated into the relevant sections of this report.

Following the ICOMOS World Heritage Panel, an Interim Report was sent to the State Party on 20 December 2016, explaining that the ICOMOS Panel had found promising the aspect of the nomination dealing with the Sacred Island of Okinoshima and its early rituals and requesting further information on the historical, cultural and political context and exchanges in which the early rituals on Okinoshima arose; details on the early rituals, their change and the performers of these rituals; details on the maritime routes, stopovers, vessels, destinations; and an additional comparative analysis focusing on similar ritual sites and sacred islands in the eastern Asian region.

On the request of the State Party, two skype meetings were held in January 2017 with a view to providing further explanation on the content of the Interim Report.

The State Party formally responded on 28 February 2017 and the additional information provided has been integrated into the relevant sections of this report.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

The nominated property of the Sacred Island of Okinoshima and Associated Sites comprises a series of eight component parts, which include the Island of Okinoshima and three islets in the vicinity of the island – Koyajima, Mikadobashira and Tenguiwa, forming the Okitsu-miya shrine; two components on the Island of Oshima, Okitsu-miya Yohaisho and Nakatsu-miya shrines; and two components on Kyushu Island, Hetsu-miya shrine, which concludes the system of shrines forming Munakata Taisha (or Munakata Grand Shrine), and the Shimbaru-Nuyama Mounded Tomb Group, forming the burial places of the members of the Munakata Clan.

The key element of this nomination is the Island of Okinoshima, which is located some 50km off the western coast of Kyushu Island between the Japanese archipelago and the Korean Peninsula.

A number of taboos abound on Okinoshima: no women are allowed on the Island, all visitors need to purify themselves through a ritual bathing (*misogi*), absolutely nothing can be taken from the Island, and visitors are prohibited to speak of anything they have seen or heard on the Island; restrictions on food and language also apply.

The Island of Okinoshima has yielded much evidence of votive offerings along the slopes of the southern side of the island. Archaeological campaigns have revealed different forms of worship and have allowed reconstruction of their chronology throughout the 4<sup>th</sup> to the 9<sup>th</sup> centuries AD: rocktop rituals (late 4<sup>th</sup>–early 5<sup>th</sup> century), rock-shadow rituals (late 5<sup>th</sup>–7<sup>th</sup> century), partial rock-shadow rituals (late 7<sup>th</sup>–early 8<sup>th</sup> century) and open-air rituals (8<sup>th</sup>–late 9<sup>th</sup> century). Research has brought to light 22 ritual sites and over 80,000 votive offerings, many of which are of exquisite workmanship and have been brought from overseas (Korea, China but also Sasanian Persia).

Okitsu-miya (component 1 to 4), Munakata Taisha  
The Okitsu-miya shrine includes the Island of Okinoshima itself with three additional islets or attendant reefs (Koyajima, Mikadobashira, Tenguiwa) which are part of the ritual approach, functioning as natural *torii* (ceremonial gates of access to Shinto shrines).

Okitsu-miya shrine includes two buildings: the main hall and the worship hall, erected in the close vicinity of open-air ritual sites.

On the northern part of the island is preserved a primeval forest which is revered as a shrine forest.

Oshima Island: Okitsu-miya Yohaisho (component 5) and Nakatsu-miya (component 6), Munakata Taisha  
On the Island of Oshima there exist two places of worship: Nakatsu-miya and Okitsu-miya Yohaisho.

At Nakatsu-miya shrine the goddess Tagitsuhime is venerated. The component includes the shrine complex as well as the Mitakesan ritual site, located at the top of Mount Mitakesan, and the path leading to it.

The orientation of Okitsu-miya Yohaisho would indicate that this place was created to worship the Island of Okinoshima.

According to the nomination dossier, at the Mitakesan site, open-air rituals were practiced between the 7<sup>th</sup> and 9<sup>th</sup> centuries, based on the evidence emerging through archaeology.

Links with Okitsu-miya would relate to the Grand Festival and the Miare Festival (a revival of medieval tradition), during which the three goddesses re-join at Hetsu-miya.

Hetsu-miya, Munakata Taisha (component 7)  
Hetsu-miya shrine is located on the main Island of Kyushu, near a river, on land which was once part of a

small sea islet. The place includes also a ritual archaeological site, Shimotakamiya, halfway between the Hetsu-miya shrine building and Mount Munakata: there, votive offerings similar to those found at Okinoshima's ritual sites and at the Mitakesan ritual site on Oshima are reported to have been discovered. However, no details about archaeological excavations and studies are illustrated.

The nomination dossier underlines that the rituals carried out at the Munakata Taisha were of state rather than local importance, as the nascent Yamato state is said to have contributed to sponsoring them to secure maritime routes and to recognise the role of the Munakata Clan in the region.

Shimbary-Nuyama Mounded Tombs (component 8)  
The last component includes a group of 41 funerary mounds built by the Munakata Clan on a plateau overlooking the sea islet and with a visual connection with Okinoshima. The tombs exhibit different typologies – key-hole shaped tombs, rounded tombs, and one squared tomb; they date back to the late 5<sup>th</sup> through to the 6<sup>th</sup> centuries. According to the nomination dossier, these tombs are indisputably associated with the chiefs of the Munakata Clan.

#### History and development

Extensive research on the Island of Okinoshima has revealed a wealth of archaeological discoveries attesting to early ritual practices associated with safety in maritime navigation between the 4<sup>th</sup> and 9<sup>th</sup> centuries AD. Recent investigations in the region have shed light on the emergence of this phenomenon of ritual practices in relation to maritime travel and exchanges between the polities in the Japanese archipelago and those on the Korean Peninsula and the eastern coast of the Asian continent.

Little was explained about this aspect in the nomination dossier; therefore ICOMOS sought further information through its Interim Report.

Additional information was provided by the State Party in February 2017 expanding on this aspect.

Similar discoveries as those recorded on Okinoshima have been made on other islands in the Seto Inland Sea as well as on the Korean Peninsula. This has contributed to a reconstruction of the maritime routes that were used during those centuries for long-distance trade and exchanges in the region, and the extent of those exchanges, from the type of objects and votive offerings found at those sites, and the ritual practices that accompanied the uncertainties of overseas travel.

Three different early maritime routes have been identified through archaeological investigations. The Munakata route and the Iki-Tsushima route, which could be considered two alternatives for a northern route; and the southern route, used from the 8<sup>th</sup> century due to changed circumstances in the Korean Peninsula and



technological advances in boat construction. The first part of all the routes was more or less the same and crossed the Seto Inland Sea and a number of ritual sites have been identified on several islands in this stretch of sea, including the World Heritage property of Itsukushima Shrine.

Archaeological evidence and documentary sources confirm that during the period in which votive offerings were made on Okinoshima, the polities of the Japanese archipelago were engaged in exchanges and contacts with polities in the Korean Peninsula and the Chinese territories. Such exchanges were accompanied by rituals related to safe navigation.

Boats heading to the Korean Peninsula and Chinese coasts navigating along the Munakata route would have exited the Seto Sea and sailed along the northern coast of Kyushu to cross the stretch of open sea from the Munakata region. An alternative route was the one crossing the ocean via the Iki and Tsushima Islands.

Until the 7<sup>th</sup> century, the boats in use were 'semi-structured boats' or junkozosen, while in the 8<sup>th</sup> century, 'structured' and larger boats, or kozosen, appeared. This technical advancement allowed for safer navigation on the ocean and the use of new maritime routes along the south of the Japanese Archipelago to reach the Chinese coast, at a time when the political situation on the Korean Peninsula impeded contacts between Japanese and Korean states.

Four types of rituals have been identified on Okinoshima: rock-top rituals (from the late 4<sup>th</sup> to early 5<sup>th</sup> century AD); rock-shadow rituals (late 5<sup>th</sup> to 7<sup>th</sup> century AD), partial rock-shadow rituals (late 7<sup>th</sup> to early 8<sup>th</sup> century AD) and open-air rituals (8<sup>th</sup> to 9<sup>th</sup> century AD).

In each phase, different types of objects were found from various provenances, shedding light on the changing relationships and contacts with other polities in the region and further afield.

For instance, changes in the political scene on the Korean Peninsula, the Chinese continent and in the Japanese Archipelago, including the spread of Buddhism into Japan in the 6<sup>th</sup> century, affected the exchanges and also the ritual practices.

Open-air rituals and associated sites are attested to on Oshima Island, on the top of Mitakesan Mountain, and on Kyushu Island at the Shimotakamiya ritual sites on the slopes of Mount Munakata.

From the late 9<sup>th</sup> century onwards, archaeological investigations have confirmed that rituals on Okinoshima were no longer performed.

The emergence of the Yamato court amongst competing regional polities pursuing the establishment of a centralised and institutionalised polity was accompanied by the restructuring of ritual practices and beliefs. In this

process, an important role appeared to be played by the Munakata Clan as overseers of one important maritime route to the Asian mainland, and a reconfiguration of rituals in the Munakata region seems to have taken place. An account of this is provided by two chronicles: the *Kojiki* (712 AD) and the *Nihonshoki* (720 AD), in which the myth of the three goddesses associated with the Munakata Clan and the names of Okitsu-miya, Nakatsu-miya and Hetsu-miya are mentioned.

Members of the Munakata Clan presided over the shrine compound until the 10<sup>th</sup> century, when the descendants of Munakata Daiguji inherited the role and carried it out until the 16<sup>th</sup> century, when the lineage was interrupted. The role of the Shrine declined significantly and the religious duties were carried out separately at Hetsu-miya by the *sha-ke* (12 priestly families) as expressed in the Daiguji family's records, amongst which was the *Munakata Ujimori kotogakian*, compiled in 1313. At Okitsu-miya and Nakatsu-miya, rituals were continued by the Ichi-no-Kai Kono and Ni-no-Kai Kono families.

Following the Meiji Restoration, the Munakata Shrine, as with all Shinto shrines, was placed under the management of the government and in 1901 the Shrine was ranked amongst the most important in Japan. In 1942 the Munakata Shrine Revival Association worked to renew the shrine compound and repair the buildings. In 1946 a religious corporation was created for the management of the shrine compound and in 1977 the name was changed to Munakata Taisha.

Archaeological research on Okinoshima was carried out on three occasions between 1954 and 1971; Tombs 1 to 6 were excavated between 1976 and 1980, while at the Mitakesan ritual site the first archaeological investigations date to 2010.

#### Hetsu-miya

The earliest record of the Hetsu-miya shrine buildings dates back to 1119 AD and subsequent reconstructions or repairs were also recorded; in 1675 the secondary and tertiary shrines of Hetsu-miya were moved to their present location, while its first visual representation appears in the *Tashima-no-miya shato koezu*, compiled between 1624 and 1644.

#### Nakatsu-miya

Nakatsu-miya is mentioned in the *Kojiki* and *Nihonshoki*, although the first record of the existence of the Mitake shrine and buildings dates back to the mid 16<sup>th</sup> century. In 1797, a drawing of the island and its shrine buildings appeared in the geographical record *Chikuzen-no-kuni*. The shrine building was rebuilt in 1928 and designated in 1971 as an Historic site as part of the Munakata Shrine Compound, and various interventions are documented after formal protection was granted.

#### Okitsu-miya Yohaisho

The records indicate that this place of worship dates back to the mid 18<sup>th</sup> century and slightly later for the building (1784 and 1797). The actual building is a

reconstruction dated 1933, which was further repaired in 1974, after it was designated an Historic site.

Okinoshima and Okitsu-miya

Historical records report that a guard was ordered to be stationed at Okinoshima to serve for a 50-day period.

The first record of the existence of the Okitsu-miya shrine buildings on Okinoshima dates back to 1644. The first visual illustration of Okinoshima and Oshima dates back to 1797. The current main hall and worship hall were reconstructed in 1932.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The State Party has conducted an extensive comparative analysis examining properties containing islands where the island itself is regarded as sacred or is an object of worship, and properties including archaeological evidence of ritual sites of indigenous religions, examining whether these sites exhibit evidence of changes in ritual practices. The comparison has been conducted worldwide and includes 18 World Heritage properties worldwide. Within the relevant geo-cultural region of East Asia, a further 18 properties have been examined, 17 of which are included on the World Heritage List and one, Chungmakdong site, is not. In Japan 21 properties, including sacred islands and mountains, have been analysed.

However, ICOMOS considered that this analysis required further deepening in relation to other ritual sites and, in particular, sacred islands in the region, including Japan but not limited to it.

ICOMOS noted that, with regard to the formation of peculiar Japanese forms of religious beliefs, the comparative analysis carried out in the nomination dossier recognises that Itsukushima Shinto Shrine (Japan, 1996, (i), (ii), (iv) and (vi)) exhibits a similar pattern of development and also enshrines one of the deities of the Munakatata Taisha. The additional information confirms that rituals related to safe navigation have been recorded also on this island at Mount Misen, therefore demonstrating a similar pattern of development in rituals.

However, the nomination dossier holds that Okinoshima would outrank Itsukushima because of the rich archaeological evidence found at Okinoshima. Additionally, the nomination dossier holds that the main value of Itsukushima resides in the architectural structures.

The sacred place of Sefa-utaki at the Gusuku Sites and Related Properties of the Kingdom of Ryukyu (Japan, 2000, (ii), (iii) and (vi)) is said to hold similarities as it was a place from where the sacred Island of Kudakajima was worshipped from afar, thereby exhibiting some

similarities with the nominated property. However, in this case the Island of Kudakajima was not part of the nomination.

ICOMOS considers that both sites show substantial similarities with the nominated property, and in both cases the justification refers to the development and survival of indigenous beliefs based on nature and ancestor worship that has survived up until today. In both cases the Outstanding Universal Value of these properties has been built around criterion (ii) and (vi) amongst other ones. Therefore, in ICOMOS's view, both properties illustrate values and cultural phenomena similar to those exhibited by the nominated serial property.

ICOMOS also noted that other islands in Japan claim a similar or analogous sacred status as Okinoshima, most notably Shikanoshima near Fukuoka, not far from Munakata; Enoshima near Tokyo; and Chikubushima in Lake Biwa near Kyoto. Among those islands, only Shikanoshima, the site of Shikaumi Shrine, has features similar to Okinoshima (a tripartite main deity, three distinct cult sites, sea-related rituals, and a very long history).

ICOMOS considered that the comparative analysis required deepening with regard to the closest comparatives, especially those related to early rituals and safe maritime navigation. However, the results of the comparison carried out so far pointed towards the relevance of Okinoshima only, in consideration of its richness in archaeological evidence and purported longer continuity of worship.

ICOMOS, in its Interim Report, asked the State Party to expand the comparative analysis with a focus on the East Asian region and other examples of ritual sites related to safe maritime navigation and of sacred islands, in order to ascertain whether Okinoshima may deserve consideration for the World Heritage List.

The State Party responded on 28 February 2017 expanding on the ritual sites that have been identified on islands in the Seto Inland Sea – Itsukushima, Takashima, Ourahama, Ujishima Kitanohama, Kojinshima and Obishima – and on sites along the Korean coast – Chonhejing on Wando Island, where the Silla conducted State rituals, Yondandon on Jeju-do Island, where rituals for safe navigation were performed, and Hyunbori on Ulleung Island. At all these sites, evidence suggests that rituals did not continue for as long as on Okinoshima. The closest comparator remains Chungmakdong site where Baekje-conducted state rituals were performed in which Yamato also participated.

ICOMOS considers that the additional information has substantially enriched the initial comparative analysis and has provided a much better context to understanding the emergence and development of the early rituals recorded on Okinoshima in a period of

intense maritime exchanges between Japanese, Chinese and Korean polities.

However, ICOMOS considers that the importance of the Munakata Clan within the emergence of a Yamato court-centred state and the stature assigned to, and progressively acquired by, the Munakata Shrine within a context of political and ideological restructuring of the powers and control over the territory, appears of national importance rather than global or regional. Therefore, the inclusion of the other components, which mainly reflect the high rank of this Clan at the time of early efforts to achieve a centralised state overseeing the polities of the Japanese Archipelago, and particularly component 8 – Shimbaru Nuyama Mounded Tombs Group, within the nominated property, does not appear justified.

ICOMOS therefore considers that the comparative analysis suggests that only Okinoshima Island may deserve consideration for the World Heritage List.

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ICOMOS considers that the comparative analysis justifies consideration of only Okinoshima Island for the World Heritage List.

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#### **Justification of Outstanding Universal Value**

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

- The series as a whole reflects a tradition of continued worship of the sacred Island of Okinoshima as it has evolved in a process of dynamic overseas exchanges, passed down to the present day and linked with a living tradition of offering prayers for maritime safety.
- The Island itself retains exceptional evidence of 500 years of different forms of worship, and this also holds true for Oshima, at Mount Mitakesan, and on the main Island of Kyushu. Okitsu-miya, Nakatsu-miya and Hetsu-miya continue to perform their function as worship shrines of Munakata Taisha.

ICOMOS noted that the arguments proposed to justify consideration of this property for the World Heritage List were not supported by sufficient evidence. Many aspects required further explanation and clarification.

In particular, ICOMOS noted that the purported continuity of worship was not proven, particularly when noting that worship practices ceased on Okinoshima in the 9<sup>th</sup> – 10<sup>th</sup> centuries AD.

For instance, the State Party mentions the reference to the shrine names in the *Nihonshoki* and *Kojiki* but this reference in written texts only provides evidence of the names of these shrines – which indeed remained unchanged – but not about their location.

ICOMOS therefore sought additional information in this regard in its first request for additional information. The State Party responded on 14<sup>th</sup> November 2016 providing a more detailed chronology, that integrates data from archaeological evidence and from written sources. This indicates that only the Hetsu-miya shrine is mentioned in written records since the 12<sup>th</sup> century, whilst the first record of the Okitsu-miya shrine dates back to the mid 17<sup>th</sup> century. The chronology also reports that the Hetsu-miya shrine was relocated in 1675, therefore suggesting that the present locations of these shrines may not necessarily coincide with past ones.

ICOMOS also notes that the nomination dossier and additional information report about the locations of enshrinement of the Munakata deities; however, it seems that differences exist among the written sources with regard to the places of enshrinement of three goddesses. Apparently, this matter was settled only in the 20<sup>th</sup> century.

The additional information provided by the State Party in November 2016 in response to the first ICOMOS queries do not dispel the interrogatives around the ways in which the continuity of worship can be understood; the establishment of the Munakata Shrine rather seems to suggest a restructuring of the sacred meanings and associated rituals.

Whilst the idea that the continuity of the religious importance of Okinoshima was favoured by changes and adaptation appears interesting, ICOMOS noted that further information was needed to ascertain whether the property could be considered exceptional as a witness to sacred island worshipping.

A number of other aspects appeared not sufficiently explained, e.g. the establishment of the taboos and restrictions, and the notion of 'state rituals' versus 'local rituals'.

An analysis of how worship and ritual practices changed and what role was played by the emergence of an imperial court-centred polity in this region of the Japanese archipelago was necessary, to place this phenomenon in its proper context and to achieve a better understanding of the reasons why worship practices based on votive offerings and conducted directly on Okinoshima ceased in the 9<sup>th</sup>–10<sup>th</sup> centuries AD.

Some further explanations were also necessary with regards to the gap in findings on Okinoshima for the period between the 6<sup>th</sup>–7<sup>th</sup> centuries, as this represents an interruption also of the purported continuity of ritual practices between the 4<sup>th</sup> and 9<sup>th</sup> centuries.

Additionally, ICOMOS found that, assuming that the remains found at Mount Mitakesan on Oshima and in elevated points in Kyushu (7<sup>th</sup>–9<sup>th</sup> centuries) demonstrate the worship of the Island from afar, therefore establishing continuity with the worship in

Okinoshima, this was not sufficiently proven. It could only prove that similar rituals were performed at these locations.

In fact, the nomination dossier and the additional information provided in November 2016 indicate that the first testimony of the worship of Okinoshima from afar is said to be the rock engraving at Oshima dating back to 1750 in relation to Okitsu-miya Yohaisho. The explanation provided in the nomination dossier relates to the difficulty of the priestly family, who were stationed at Oshima, to perform their worship obligations on Okinoshima. On the other hand, guards were ordered to be stationed at Okinoshima from 1639 onwards to control the distant view of the sea and watch over potential foreign approaches.

ICOMOS found that the continuity of worship between the phase of ritual practices on the Island and the worship of the Munakata deities was not ascertained, as too many interrogatives on how and why the rituals changed, what they implied in the different stages, and what were the meanings associated with these rituals, remain unexplained.

In summary, ICOMOS found that the nomination dossier and the additional information provided in November 2016 have not been able to demonstrate how and to what extent the change in early worship rituals of undefined entities or natural forces focused on Okinoshima, to venerating personified deities, expressed by the serial property exceptionally reflects universal processes. It rather appears that what is being celebrated through the series is the important role and rank of the Munakata Clan and, subsequently, of their shrine, at the time when the Yamato court was making efforts to establish an early centralised state in the Japanese Archipelago, which expresses national values.

On the other hand, ICOMOS has found very promising the aspect of the nomination related to the early rituals for safe maritime navigation, as the findings shed light on both early ritual and propitiatory practices and political-economic and cultural interchanges between the polities based on the Japanese archipelago and those on the Korean Peninsula and on the eastern shores of the Asian continent.

Therefore, ICOMOS in its Interim Report asked the State Party to provide further explanation on the maritime routes, other places where similar ritual sites have been found, and on the differences, similarities and possible linkages with rituals carried out at other places in the region.

The State Party responded on 28 February 2017 expanding in a substantial way on the historic-political and cultural context (see History and Development and Comparative Analysis sections in this report for more details).

The additional information provided in February also addresses the concerns that the taboos and restrictions seem to have been recorded only since the 17<sup>th</sup> century and not earlier. Therefore, their existence, although very interesting, does not seem to date back a long time.

On the basis of the additional information provided by the State Party, which was helpful in clarifying the historic-cultural context in which Okinoshima worship emerged, and elements of the Island and the sea forces cult, ICOMOS considers that the sacredness of Okinoshima appears to precede the establishment of the Munakata Taisha and the shrines on Oshima and on Kyushu Island, and that the focus remains on Okinoshima, the other shrines playing a role because of the existence of the Island and of its worship but they do not appear to bear exceptional universal value in themselves.

ICOMOS therefore considers that the justification proposed applies to Okinoshima only, with its attendant reefs, and not to the series as a whole.

### **Integrity and authenticity**

#### **Integrity**

The State Party holds that the nominated property fulfils the conditions of integrity under the different facets of the *Operational Guidelines*. It would include all attributes that reflect its proposed justification for inscription as a testimony of the formation of a cultural tradition based on the worship of a sacred island and transmitted to the present. The property is said to be of adequate size to ensure the complete representation of the processes related to its significance, and at all shrine sites forming Munakata Taisha, elements of early rituals and later rituals coexist. All components enjoy legal protection at the national level.

The attributes are said to be overall in good condition, although development has impacted on the Shimbaru-Nuyama Mounded Tomb Group.

The clarification on the rationale of the series provided by the State Party in November 2016 and on the inclusion of Component 8, the Mound Group, does not justify its inclusion, as it only illustrates the role of the Munakata Clan within the political realm of the Yamato court, thereby holding national significance for historic-political reasons.

The integrity of this component is also more affected than other ones by specific issues, including the post-Kofun period reworking of the landscape, and the presence of various roads, particularly one of national importance crossing the site from side to side.

The nomination dossier and the additional information provided in November 2016 and February 2017 have not clarified how the serial property as a whole could outstandingly reflect universal value, given that the

nominated series of Munakata Grand Shrine or Munakata Taisha are clearly closely related to the role played by the Munakata Clan in the political adventure of the Yamato Court as overseers of one of the maritime routes heading to the Korean Peninsula and therefore are related to national values rather than regional or global ones.

On the other hand, Okinoshima bears testimony to a worshipping tradition of a sacred island to propitiate safe long-distance seafaring which has been incorporated into more formalised forms of rites related to the worship of deities associated with the Munakata Clan.

The integrity of the Island of Okinoshima is limitedly impacted by the harbour and by two concrete facilities used by the fishermen.

Therefore, ICOMOS considers that only Okinoshima Island with its attendant reefs – Koyajima, Mikadobashira and Tenguwa – satisfies the conditions of integrity as required in the *Operational Guidelines*.

On the other hand, ICOMOS considers that the systems of shrines now forming Munakata Taisha encompass important views and other areas or attributes that are functionally important as a support to the property and its protection and may therefore be usefully included in the buffer zone.

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ICOMOS considers that the conditions of integrity have not been met for the entire serial property but can be considered to be met by Okinoshima Island alone with its attendant reefs – Koyajima, Mikadobashira and Tenguwa.

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#### Authenticity

The nomination dossier holds that the authenticity of the property is proved by a substantial body of evidence of archaeological research and by textual sources that demonstrate the authenticity of the ancientness of the ritual sites of Munakata Taisha, that would have originated from the early rituals on Okinoshima, and of the Mounded Tomb Group. These sources demonstrate the authenticity of the components as places of worship.

ICOMOS considers that the attributes of the property, particularly the archaeological remains on Okinoshima, demonstrate continuity for the Island only, particularly between the 4<sup>th</sup> and 9<sup>th</sup> centuries, with some gaps between the 6<sup>th</sup> and 7<sup>th</sup> centuries AD, and also attest to changes in ritual practices, partly clarified in the additional information provided in February 2017.

On the other hand, the attributes related to the other components are not able to reflect the 500 years of continuous worship as at Okinoshima, in that recorded remains do not cover this full span of time but are restricted to later centuries.

The textual sources as presented in the nomination bear witness to the recognition of the Munakata shrines in the

ancient chronicles of Japan compiled in the 8<sup>th</sup> century and the role of the Munakata Clan within the emerging centralized power of the Yamato court among other polities but not directly to the sacredness of Okinoshima.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity have not been met for the entire serial property but can be considered to be met by Okinoshima Island alone with its attendant reefs – Koyajima, Mikadobashira and Tenguwa.

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#### Criteria under which inscription is proposed

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

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

This criterion is justified by the State Party on the grounds that Okinoshima exhibits important interchanges among the different polities in east Asia between the 4<sup>th</sup> and the 9<sup>th</sup> centuries, because the many objects with a variety of origins deposited at Okinoshima attest to the many travels and exchanges undertaken in this period by the emerging Japanese state (Yamato period). The changes in ancient rituals reflect the nature of the process of dynamic exchanges that took place in those centuries and that substantially contributed to the formation of Japanese culture.

ICOMOS considers that this criterion may be reflected by Okinoshima in particular, with the wealth of votive offerings deriving from Korea, China and even from central Asia, but not for the other components of the nomination, which rather reflect the incorporation of the island into ritual practices associated with the three protective deities of the Munakata Clan and celebrating the role acquired by this Clan in the nascent Yamato court-centred state.

ICOMOS, in its Interim Report, requested additional information on the maritime routes, the existence of other ritual sites in the region related to safe navigation, and the similarities and differences in ritual practices that could support the justification for this criterion.

The State Party responded on 28 February 2017 expanding on the historic-political and cultural context in which the ritual practices associated with Okinoshima took place, on the maritime routes used in the different centuries, and on the exchanges between the Japanese, Chinese and Korean polities. This information revealed that a number of islands exist where ritual sites related to maritime safety have been recorded, both in the Japanese Archipelago and along the Korean peninsula. In the majority of the cases, these sites have not revealed the same density and time depth in the votive offerings found through archaeological investigations as at Okinoshima.

However, ICOMOS has noted that the research developed on Okinoshima and its historic-cultural context sheds light on important and original dynamics in the maritime exchanges, on the technologies being progressively made available, and on the uses and cultural/cult practices before the 1<sup>st</sup> millennium AD in the Japanese Archipelago and on the eastern Asian mainland.

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ICOMOS considers that this criterion has not been justified for the whole series but it is justified when only the Island of Okinoshima with its attendant islets – Koyajima, Mikadobashira and Tenguwa – are considered.

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

This criterion is justified by the State Party on the grounds that the property is an exceptional example of a cultural tradition associated with the worship of a sacred island that has evolved over time. Evidence of this is offered by the wealth of offerings that are found on Okinoshima in different locations, thereby attesting to the changes in rituals. The veneration of the Island and of natural features is said to have evolved into the worship of the three goddesses of Munakata, in three locations – at Okinoshima, Oshima and Kyushu Island – and this tradition continues to this day. The evidence of the role of the Munakata Clan in the overseas exchanges of the nascent Yamato court-centred state and who presided over the three shrines is provided by the Mounded Tomb group. The property also bears witness to the shift from worshipping natural forces to venerating personified deities associated with the Munakata Clan in shrines.

ICOMOS considers that the tangible evidence of the cultural tradition of island worshipping could be best illustrated by Okinoshima Island with the wealth of votive offerings found there attesting to these earlier ritual practices.

The State Party provided additional arguments to justify this criterion both in November 2016 and February 2017 and this has clarified why there is a gap in the archaeological evidence on Okinoshima between the 6<sup>th</sup> and 7<sup>th</sup> centuries, as well as the circumstances that brought about the cessation of ritual practices performed on the Island after the 9<sup>th</sup> century AD, related to political changes on the Korean peninsula, which was unified under Silla rule, reducing the exchanges between polities based in the Japanese Archipelago and on the mainland.

The State Party has also provided further explanation on the continuity of worship of Okinoshima in relation to the other locations from where Okinoshima, and its *kami* (mysterious forces inhabiting natural phenomena), was worshipped. The pattern of rituals led to the progressive differentiation of the *kami* of Okinoshima, into three different *kami*. This is reflected in the ancient

mythological written sources. The State Party has also expanded on the similarities between ritual practices held on Okinoshima, Oshima (Mount Mitakesan) and Kyushu (Shimotakamiya).

The additional explanation has contributed to clarifying that the worship of Okinoshima came to be embedded into rituals and worship practices that have evolved over time but seem to have maintained the sacred status of Okinoshima.

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ICOMOS considers that this criterion has not been justified for the whole series, but can be considered justified for the Island of Okinoshima and its attendant islets – Koyajima, Mikadobashira and Tenguwa.

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Criterion (vi): *be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that the Island is directly associated with the living tradition of praying for maritime safety, as a response to difficult overseas travels, and that Okinoshima bears witness to a spiritual and cultural tradition which survives until today and which was mentioned in the ancient chronicles of Japanese history *Kojiki* and *Nihonshoki*, which evolved into the cult of the Three Goddesses of Munakata. It tells much about how indigenous religious beliefs took shape in Japan. The Three Goddesses of Munakata came also to be worshipped in many Shinto shrines.

ICOMOS considers that the arguments presented to justify this criterion are more appropriate for criterion (iii). Additionally, ICOMOS considers that the mention of the three shrines of Munakata in the *Kojiki* and *Nihonshoki* cannot be considered as a record for the worship of the Island. Rather, it appears as a recognition of the importance of the Munakata Clan, in the context of the emerging Yamato state, when the chronicles were written.

The various festivals, rituals and events held at the nominated property are the result of recent revivals and reinterpretation of previous rites, and therefore cannot be considered attributes supporting a long-standing tradition and exceptional testimonies of the associative dimension of the nominated property.

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ICOMOS considers that this criterion has not been demonstrated, either for the whole series, or for Okinoshima Island.

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In conclusion, ICOMOS considers that only the Island of Okinoshima with its attendant reefs – Koyajima, Mikadobashira and Tenguwa – are found to meet criteria (ii) and (iii) and conditions of integrity and authenticity.

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### **Description of the attributes**

The entirety of the Island of Okinoshima, with its geomorphological features, the ritual sites with the rich archaeological deposits, and the wealth of votive offerings, in their original distribution, credibly reflect 500 years of ritual practices carried out on the Island; the primeval forest, the attendant islets of Koyajima, Mikadobashira and Tenguwa, along with the documented votive practices and the taboos associated with the island, the open views from Kyushu and Oshima towards the Island, altogether credibly reflect that the worship of the Island, although changed in its practices and meanings down the centuries, due to external exchanges and indigenisation, has retained the sacred status of Okinoshima.

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

The nomination dossier identifies four main areas of pressures: urban and infrastructure development, environmental pressures and natural disasters, and excess of visitation.

ICOMOS considers major threats are represented by the possible construction of offshore wind turbines, which in ICOMOS's view should be completely banned from any area inside the buffer zone of the nominated property, and by unregulated tourism (e.g. diving) and cruise ships. The nomination certainly may contribute to an increase in visitation or tourism pressures.

ICOMOS also considers that specific considerations are necessary for component 5, Okitsu-miya Yohaisho, which, due to its position close to the sea, is prone to sea-related disasters (high tides, typhoons, etc.), and for components 6 and 7, which are prone to a number of potential threats, including flooding and fire, although the most important is represented by the possibility of construction of wind turbines and other energy production facilities (e.g. a photovoltaic farm already exists in the plain on the Island of Kyushu, in the buffer zone).

The State Party provided additional information in November 2016 concerning projects for transport and energy infrastructure that have already been carried out or are under implementation. The most significant development projects concern the improvement of the Kanazaki fishing harbour in Munakata City and a new photovoltaic facility.

ICOMOS considers that it would be advisable that Heritage Impact Assessments be prepared for these projects and the results submitted to the World Heritage Committee before any decision is taken with regard to their final implementation.

ICOMOS considers that the main threats to the property are natural factors and potential development of energy infrastructure, especially offshore. Heritage Impact Assessments for planned major or potentially impacting

projects need to be developed and submitted to the World Heritage Committee and ICOMOS before any final decision is taken in their regard.

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## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The nominated serial property is 99 ha, its buffer zone is 79,363 ha, giving a total area of 79,462 ha.

On the basis of the considerations expressed in the section on integrity, ICOMOS considers that the current boundaries of the property are not satisfactory in that they include elements that do not seem to contribute to illustrating the proposed Outstanding Universal Value of Okinoshima as a sacred island.

In ICOMOS's view, the boundary of the nominated property should be reduced to cover Okinoshima Island with its attendant islets of Koyajima, Mikadobashira and Tenguwa, while the extant component parts could become contributing features within the current buffer zone.

Additionally, ICOMOS considers that the limit at the top of the mountain marking the south-eastern corner of the buffer should incorporate entirely the summit.

ICOMOS considers that the buffer zone can be considered overall adequate.

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ICOMOS considers that the boundaries of the nominated property can be considered adequate only if the serial property is confined to Okinoshima Island and the three neighbouring islets of Koyajima, Mikadobashira and Tenguwa, while those of its buffer zone are adequate.

### **Ownership**

The ownership is complex and is articulated as follows. Component 1, Okinoshima, is owned for the most part by Munakata Taisha (religious order) and in small part by a Fishermen's Cooperative; components 2,3,4, Koyajima, Mikadobashira and Tenguwa, belong to the National Government (reefs are managed by Munakata City); component 5, Okitsu-Miya Yohaisho, Munakata Taisha, is owned by Munakata Taisha; component 6, Nakatsu-Miya, belongs to Munakata Taisha and in part to Munakata City and Fukuoka Prefecture; component 7, Hetsu-Miya, is owned for the most part by Munakata Taisha and in small part by Munakata City and by individuals; and component 8, Shimbaru-Nuyama Mounded Tomb Group, is owned in part by Fukutsu City, and the remainder by Fukuoka Prefecture, a religious organisation, an agricultural cooperative and in small part by National Government and other individuals.

## Protection

The nominated serial property is designated as a group of sites under the Law for the Protection of Cultural Properties (Law n° 214/1950) and enjoys subsequent designations as an Historic Site “Munakata Shrine Compounds” (consisting of Okitsu-Miya, Okitsu-Miya Yohaisho, Nakatsu-Miya, Hetsu-Miya); in 1971, and then in 2013 and 2015, the forest on Okinoshima was designated as a National Monument “Okinoshima Primeval Forest”; since 1926, under the Law for the Preservation of Historic Sites, Places of Scenic Beauty and Natural Monuments (1919). Further forms of protection are enjoyed by individual components of the property under different legislation (e.g. the “Main Hall and Worship Hall of Hetsu-Miya”, designated in 1907 as a Specially Protected Building under the Law for the Preservation of Ancient Shrines and Temples (1897)).

Other important laws and regulations include the Landscape Act (2004), on which basis the Munakata City Landscape Plan, and Fukutsu City Landscape Plan have been developed and the Land Use regulation: City Planning Acts.

The preservation, management, repair and presentation of Cultural Properties is in principle the responsibility of the owner or managerial body of each site. When necessary the national and local government provide financial and technical assistance. For any alterations, permission must first be obtained from the Commissioner of Cultural Affairs. The proposed changes are submitted to the Subcommittee on Cultural Property of the Council of Cultural Affairs (established by the government, including several members of Japan ICOMOS) that submit a report to the Commissioner. The Commissioner will make a decision based on that report.

In terms of traditional protection, Okinoshima has been protected by Munakata Taisha (the owner) and by people who worship the sacred island. The cultural traditions and the religious taboos in place restrict access to the island and forbid damaging acts, promote maintenance, and form an effective complementary customary form of protection.

With regard to the buffer zone, its protection is ensured by careful zoning. The legal control is based on a combination of various laws and regulations that apply, depending on the existing use of the land in each zone.

In the Marine area, the management measures are based on the Fukuoka Prefecture Marine Area Management Ordinance (the major instrument which controls the installation of offshore structures), Natural Parks Act, and Fishing Ports Act.

In the Land area, land use restrictions are based on the City Planning Act, Natural Parks Act, Forest Act, and Act Concerning Establishment of Agricultural Promotion Areas. The major legal instrument is the Landscape Act (2004), developed in Munakata City Landscape Plan and Fukutsu City Landscape Plan (2014) and Landscape

Ordinances. The buffer zone is designated as a Priority Landscape Area.

ICOMOS considers that the legal protection in place is adequate and, in principle, the protective measures in place appear to be effective both for the serial property and the buffer zone.

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ICOMOS considers that the legal protection in place is adequate. ICOMOS considers that the protective measures for the serial property are adequate.

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## Conservation

### Components 1-4

Very few active conservation measures can be identified on Okinoshima. The main action is the regular maintenance of the path leading to the ritual site and then to the top of the Island. To prevent the process of erosion, a number of deviating channels have been built using crude concrete materials along the path leading to the Okitsu-miya shrine building: these will need to be better integrated into the environment in the future. The policy on the archaeological ritual sites is to let the vegetation grow, without cleaning for example the top of the boulders where the phase 1 rituals had taken place around stone altars.

The main conservation measures are linked to the wooden building and structures of the Okitsu-miya shrine and those leading to it. Maintenance work is regularly carried out on the main shrine, with a major restoration program planned in the near future.

### Component 5

The state of conservation of the shrine of component 5 is regularly monitored by Munakata Taisha and the local worshippers, and any repair needed is approved after expert advice by trained public specialists. There is private, local and national funding allocated for these repairs and for the general maintenance of the building. The local community is in charge of the cleaning of the site and its general maintenance on a daily basis.

### Component 6

Nakatsu-miya shrine is permanently monitored by Munakata Taisha and by the State. Daily repair of the buildings and maintenance of the tree cover is carried out by the local community at the request of the priest of Munakata Taisha. For more significant repairs or monitoring, specialists are employed. Funding is provided by Munakata Taisha, and local and national agencies. The everyday maintenance of the Mitakesan ritual site is carried out by the local community.

### Component 8

Active measures were taken in 2013 to prevent further collapse at tomb 25, by stabilizing and reconstructing the eroded slope. Tomb 30 might also be given this type of conservation measure soon. Monitoring of the high tomb 22 has also been carried out. The tombs that are positioned directly inside the large grain silo compound are taken care of appropriately, as after 35 years they



have still not been flattened. But aside from this, there does not appear to be a coordinated process for the restoration of the site on a long-term basis.

In the additional information submitted in November 2016, the State Party provided details of the conservation management plan for the Mounded Tomb Group (Component 8). This documentation points in the right direction to ensure its appropriate conservation and management as an archaeological site.

Archaeological research has been carried out extensively at Okinoshima and to a lesser extent at the other sites of worship. This research has yielded much information that has contributed to the understanding of the dynamics of exchanges, maritime routes and associated early ritual practices. However, many questions are still open with regard to the changes of the rituals, the abandonment of the direct worship practices on Okinoshima, and the implications of the changes from worshipping natural forces to worshipping deities enshrined in built shrines.

ICOMOS considers that research needs to be continued on Okinoshima and also at the other locations where evidence of rituals similar to those carried out on Okinoshima have been found, in Japan and neighbouring countries. This appears particularly important in order to further shed light on the polities ruling in the Japanese Archipelago, the Korean Peninsula and the eastern coasts of Asia, on the economic, political and cultural exchanges amongst them, and on the accompanying ancient rituals in a context of East-Asian emerging states and cultural-political self-awareness.

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ICOMOS considers that conservation actions have been undertaken for most of the components of the property. In some cases, the materials used could be more harmonised with the setting. Research programmes on maritime exchanges, navigation and related cultural and cult practices need to be continued and expanded within Japan and the neighbouring countries.

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## Management

Management structures and processes, including traditional management processes

The Management system will be based on a Preservation and Utilization Council, which will replace the current Promotion Committee established for the purpose of the nomination.

After inscription of the property, the State Party and the regional entities will create an overarching body, the Preservation and Utilization Council, which consists of the representatives of Munakata City and Fukutsu City and Fukuoka Prefecture. The Munakata Taisha and other owners, as well as the representatives of the residents in the buffer zone and of the local businesses, will coordinate and collaborate with the Preservation and Utilization Council. The national Agency for Cultural Affairs is expected to provide guidance and advice as

well as an ad-hoc Advisory Committee, encompassing experts, universities and ICOMOS Japan.

The Council will be in charge of coordinating the fulfilment of the "Preservation and Management Plan" that has been prepared as part of the nomination dossier.

Risk-preparedness has been addressed within the framework of the management.

ICOMOS considers that the role of Munakata Taisha and the other owners in the management system is not fully clear, as they seem not to be included in the Council.

ICOMOS further considers that the Council needs to be established and the roles and relationships with external entities need to be clarified.

Experts from Fukuoka Prefecture, Munakata City and Fukutsu City form the main staff core, in coordination with Munakata Taisha, in the short- and long-term management of the different components of the property. The Agency for Cultural Affairs (national) provides technical instruction on any repair or restoration work to be done on protected sites. There is no dedicated full-time staff responsible for maintaining the heritage of Okinoshima Island. In all, 15 administrative staff and 20 experts in Heritage (archaeology, history, architecture) are employed by the Prefecture, the two Cities and Munakata Taisha. In case of need, they can rely on a larger network of Heritage professionals at the research level (University) and national level. They attend on a regular basis training courses organized by regional and national institutions.

Policy framework: management plans and arrangements, including visitor management and presentation

A Comprehensive Preservation and Management Plan for the "Sacred Island of Okinoshima and Associated Sites in the Munakata Region" was adopted in January 2016 by Munakata City, Fukutsu City and Fukuoka Prefecture. This incorporates four Individual Preservation and Management Plans, for the different components: Preservation and Management Plan for Historic Site "Munakata Shrine Compounds"; Preservation and Management Plan for Natural Monument "Okinoshima Primeval Forest"; Preservation and Management Plan for Important Cultural Properties "Main Hall and Worship Hall of Hetsu-Miya, Munakata Shinto Shrine"; and Preservation and Management Plan for Historic Site "Tsuyazaki Mounded Tomb Group".

Management actions and the assessment of alterations are displayed in the individual plans. For each shrine and shrine building, the plans identify zones provided with specific regulations and conservation policies; evaluating whether reconstruction, refurbishment or removal, or relocation are permitted or not.

The management plan includes a detailed description of the risk-preparedness measures for the individual components.

The components included in the Munakata Taisha also enjoy a well-established form of traditional management under the Shinto religious order, which developed over time a set of traditional management processes, relying on different measures, including taboos. A large majority of them remain in place to this day: no access for women, ritual bathing for any man wishing to enter the Sacred Island, a ban on removing any item from the place etc. These taboos have been effective and their perpetuation by future generations should ensure the preservation of the open archaeological sites of the Sacred Island. At the other shrines, religious rules recommend access limitations in some areas, the ways in which ornamentation is positioned in the buildings etc. Minor repairs and everyday maintenance are fulfilled by craftsmen from the local community, using methods passed down from generation to generation.

#### Involvement of the local communities

At the local community level, not less than 26 different groups interested in heritage preservation have been listed in the Munakata region. They are responsible for keeping the different components clean or to highlight, through guided tours, the historical importance of specific sites.

ICOMOS considers that the management plan and its specific plans for each component is adequate and sufficiently detailed in its articulation to manage the different components. ICOMOS, however, considers it important that the management system gives due consideration to the potential increase in visitor numbers to the area and particularly to the island of Oshima and the waters around Okinoshima, as well as the potential impacts from cruise ships. The nomination process, in fact, will certainly attract attention and may result in undesirable patterns of visitation.

The management system should also ensure that mechanisms in place are effectively applied to avoid any further visual impacts from energy production facilities on the land and, more importantly, offshore.

ICOMOS considers that mechanisms to integrate an Heritage Impact Assessment approach and specific HIA processes, for major or potentially impacting projects, need to be envisaged and integrated into the management system.

ICOMOS considers that special attention is needed for managing the impacts of infrastructure facilities and towards the potential increase of visitors. In this regard, specific measures need to be identified, put in place and publicised to ensure responsible visitation.

In conclusion, ICOMOS considers that the management system for the property will be adequate when the role of each stakeholder is clarified in relation to the function

and tasks of the Council. Furthermore, ICOMOS recommends that the organisation of the management system is finalised and put in place. Specific measures to ensure that the values of the property are respected by visitors and tourism companies are needed. Mechanisms to integrate HIAs within the management system need to be developed and implemented.

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## 6 Monitoring

A monitoring system has been established identifying indicators related to the potential threats to be monitored periodically. Methods of measurement and frequency are in the Jurisdiction of Munakata Taisha, Munakata City and Fukutsu City (as owners), under the guidance of the Agency for Cultural Affairs through Fukuoka Prefecture.

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ICOMOS considers that the monitoring system is adequate.

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## 7 Conclusions

The nominated serial property of the Sacred Island of Okinoshima and Associated Sites comprises a series of eight component parts, which include the Island of Okinoshima and three islets in the vicinity of the island – Koyajima, Mikadobashira and Tenguiwa – forming the Okitsu-miya shrine; two components on the smaller Island of Oshima, Okitsu-miya Yohaisho and Nakatsu-miya shrines; and two components on Kyushu Island, Hetsu-miya shrine, which concludes the system of shrines forming Munakata Taisha (or Munakata Grand Shrine), and the Shimbaru-Nuyama Mounded Tomb Group, forming the burial places of the members of the Munakata Clan.

The property altogether is said to bear witness to a long cultural tradition of sacred island worship, documented by archaeological evidence, between the 4<sup>th</sup>–9<sup>th</sup> century AD and, at the same time, to the changes in rituals and worship, away from natural forces, represented by Okinoshima, to deities, represented by the three goddesses protecting the Munakata Clan; and to the complex interrelations between the establishment of a Japanese centralised state and of its ruling elites, and changes in rituals and worship, in a period of intense oversea exchanges with polities based on the eastern Asian mainland and Korean Peninsula.

The worship of the island is said to have continued up to the present day, intertwined with the veneration of the Three Munakata Goddesses, enshrined in Okitsu-miya, Nakatsu-miya and Hetsu-miya, places of worship mentioned in the ancient chronicles of *Kojiki* and *Nihonshoki*, compiled in the 8<sup>th</sup> century AD and therefore the State Party suggests that the continuity of worship has expanded throughout the centuries until the present day.

The State Party has nominated the serial property under criteria (ii), (iii) and (vi) because: 1) Okinoshima and particularly its archaeological ritual sites and abundant finds bear witness to important interchanges with polities based in east Asia as well as to changes in ritual practices reflecting the dynamic exchanges that took place in those centuries and contributed to the formation of Japanese culture; 2) the property would be an exceptional example of a cultural tradition associated with the worship of a sacred island as it has evolved over time; 3) the island is associated with the living tradition of praying for maritime safety and of a spiritual and cultural tradition that was already mentioned in ancient chronicles.

The nomination dossier is elegantly presented and well organised. However, ICOMOS found it necessary to receive additional information that could support the purported continuity of worship, in relation to the fact that the practice of direct offerings on the Island ceased around the 9<sup>th</sup> – 10<sup>th</sup> centuries AD, as well as on the historic political and cultural context of overseas exchanges between Japanese and neighbouring polities, which was not sufficiently addressed in the nomination dossier.

Clarifications were also sought on the rationale for the selection of the components of the series.

The State Party has fully harnessed the opportunities offered by the expanded dialogue and has provided substantial additional information on the historic, cultural context of the maritime travelling of proto-historic Japanese polities to neighbouring powers and on the role played by ritual practices. This work has revealed a complex pattern of ritual sites on several islands, both in the Japanese Archipelago and along the coasts of the Korean Peninsula as well as information on the available technologies for maritime navigation and their relation to maritime routes. In ICOMOS's view, these exchanges deserve further exploration as they shed light on a still under-studied period and may yield rewarding research results. Therefore, ICOMOS would suggest all parties involved continue this type of research. The State Party has also provided useful information that has contributed to better explaining how the worship of Okinoshima has come to be embedded within the cult of the Munakata Goddesses and has also enriched the comparative analysis, identifying a number of other islands and sites where ritual practices related to safe navigation were performed.

On the basis of the additional information provided and on the comparative analysis carried out by the State Party and complemented by ICOMOS, ICOMOS has concluded that only four out of the eight components nominated by the State Party deserve consideration for the World Heritage List: Okinoshima Island and the three attendant islets of Koyajima, Mikadobashira and Tenguwa. In the nomination dossier and in the additional information presented by the State Party, all arguments point toward the exceptionality of

Okinoshima. It is presented as a repository of exceptionally important information on early ritual practices and on the commercial, political and cultural exchanges during the centuries before the 1<sup>st</sup> millennium AD, between polities in East Asia and the Japanese Archipelago. It is also presented as an example of a sacred island, the sacred status of which has survived through the centuries, despite changes in practices and meanings.

The comparative analysis also suggests that the pattern of evolution of the Munakata Taisha does not appear dissimilar to many other Shrine complexes in Japan. Additionally, the Munakata Grand Shrine mainly reflects the important role played by the Munakata Clan as maritime route overseers, at the time when the Yamato Court was engaged in establishing a centralised state in the Japanese Archipelago, a status sanctioned through the mention of the Munakata shrines in the early Japanese chronicles dating back to the same period (8<sup>th</sup> century), therefore evoking values related to nation building rather than of global or regional significance. The Shimbaru-Nuyama Mounded Tombs Group, component 8, is clearly related to the Munakata Clan and therefore only reflects local and national significance, in the context of this nomination.

ICOMOS has found that Okinoshima, with the three attendant islets of Koyajima, Mikadobashira and Tenguwa, justifies criteria (ii) and (iii) but not criterion (vi), as most of the arguments presented are more related to criterion (iii), speaking about national values. On the other hand, the taboos and the rituals seem not to have been codified before the 17 – 18<sup>th</sup> centuries and appear therefore to be rather recent; the festivals and events appear to be recent revivals or reinterpretations of discontinued practices, which therefore cannot be considered attributes of a long-standing tradition and exceptional testimonies of the associative dimension of Okinoshima.

The Island of Okinoshima is properly protected and managed. In the series, the most problematic component appears to be the Shimbaru-Nuyama Mounded Tomb Group due to its state of conservation.

The management system needs to be strengthened by establishing the Preservation and Utilisation Council to replace the Promotion Council and by clarifying its role and relationships with external entities to ensure coordination, and a clear chain of responsibilities, so as to ensure any negative impacts from infrastructural development, particularly off-shore wind farms, or from increased presence of cruise ships, are properly managed.

Because of these considerations, ICOMOS recommends that the name of the property be modified to become "Sacred Island of Okinoshima".

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that only four of the eight components forming the nominated series of the Sacred Island of Okinoshima and Associated Sites in the Munakata Region, Japan, namely the Island of Okinoshima and the three islets, Koyajima, Mikadobashira and Tenguwa, be inscribed on the World Heritage List on the basis of **criteria (ii) and (iii)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

Located 50km off the western coast of Kyushu Island, the Island of Okinoshima is an exceptional repository of records of early ritual sites, bearing witness to early worship practices associated with maritime safety, which emerged in the 4<sup>th</sup> century AD and continued until the end of the 9<sup>th</sup> century AD, at a time of intense exchanges between the polities in the Japanese Archipelago, in the Korean Peninsula, and on the Asian continent. Incorporated into the Munakata Grand Shrine, the Island of Okinoshima continued to be regarded as sacred in the following centuries up until today.

The entirety of the Island of Okinoshima, with its geomorphological features, the ritual sites with the rich archaeological deposits, and the wealth of votive offerings, in their original distribution, credibly reflect 500 years of ritual practices held on the Island; the primeval forest, the attendant islets of Koyajima, Mikadobashira and Tenguwa, along with the documented votive practices and the taboos associated with the Island, the open views from Kyushu and Oshima towards the Island, altogether credibly reflect that the worship of the Island, although changed in its practices and meanings over the centuries, due to external exchanges and indigenisation, has retained the sacred status of Okinoshima.

**Criterion (ii):** The sacred Island of Okinoshima Island exhibits important interchanges and exchanges amongst the different polities in East Asia between the 4<sup>th</sup> and the 9<sup>th</sup> centuries, which is evident from the abundant finds and objects with a variety of origins deposited at sites on the Island where rituals for safe navigation were performed. The changes, in object distribution and site organisation, attest to the changes in rituals, which in turn reflect the nature of the process of dynamic exchanges that took place in those centuries, when polities based on the Asian mainland, the Korean Peninsula and the Japanese Archipelago, were developing a sense of identity and that substantially contributed to the formation of Japanese culture.

**Criterion (iii):** Okinoshima sacred Island is an exceptional example of the cultural tradition of worshipping a sacred island, as it has evolved and been passed down from ancient times to the present.

Remarkably, archaeological sites that have been preserved on the Island are virtually intact, and provide a chronological record of how the rituals performed there changed over a period of some five hundred years, from the latter half of the 4<sup>th</sup> to the end of the 9<sup>th</sup> centuries. In these rituals, vast quantities of precious votive objects were deposited as offerings at different sites on the Island, attesting to changes in rituals. Direct offerings on Okinoshima Island ceased in the 9<sup>th</sup> century AD, but the worship of the Island did not cease, evolving and coming to be embedded into worship practices associated with the Munakata Shrine.

#### Integrity

The sacred Island of Okinoshima, with its three attendant islets of Koyajima, Mikadobashira and Tenguwa, comprise all attributes necessary to illustrate the values and processes expressing its Outstanding Universal Value. The property ensures the complete representation of the features illustrating the property as a testimony to a worshipping tradition of a sacred Island for safe navigation, emerging in a period of intense maritime exchanges. This has passed down to this day, through changes in ritual practices and meanings but whilst still retaining the sacred status of Okinoshima. The property is in good condition; it does not suffer from neglect and is properly managed, although careful consideration of potential impacts from off-shore infrastructure and increased cruise ship traffic is needed.

#### Authenticity

A substantial body of archaeological investigation and research on the Island of Okinoshima bears credible witness to the Outstanding Universal Value of the property; the unchanged location of the ritual sites, their distribution, and the still-abundant undisturbed deposits of votive offerings provide opportunities for future research and increased understanding of the values of the property. Existing restrictions and taboos contribute to maintaining the aura of the Island as a sacred place.

#### Management and protection requirements

The property enjoys legal protection at the national level under several laws, designations and planning instruments; protection is also guaranteed by traditional practices, in the form of restriction of use and taboos that have proven effective over time until the present day.

The management system envisages an overarching management body, the Preservation and Utilization Council, which includes the representatives of Munakata City and Fukutsu City and Fukuoka Prefecture. The Council is tasked with coordination of and responsibility for the implementation of the "Preservation and Management Plan", which incorporates four individual management plans covering different parts of the property as well as the buffer zone. To ensure full coordination and implementation of the management tasks, the owners of the property need to be involved in the Council; the representatives of the residents in the buffer zone and of

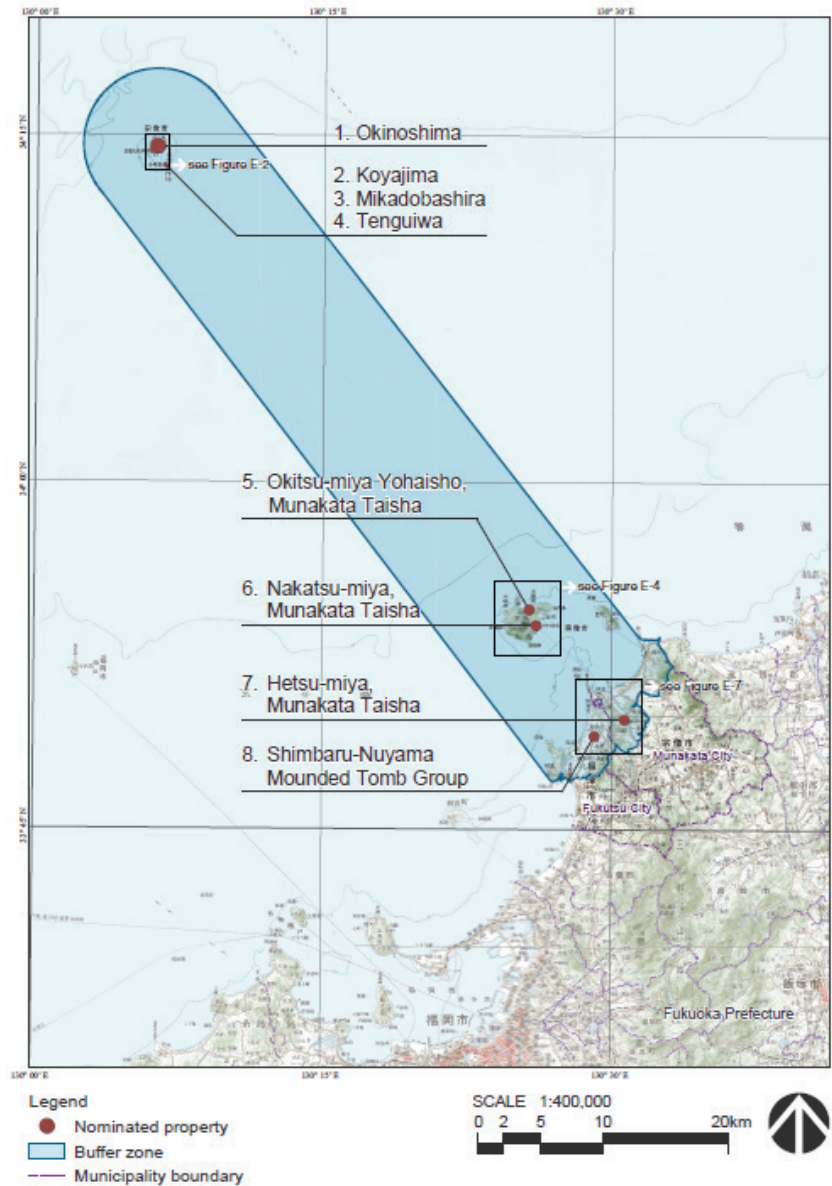
the local businesses will coordinate and collaborate with the Preservation and Utilization Council. The National Agency for Cultural Affairs provides guidance and advice as well as an ad-hoc Advisory Committee. Minor repairs and everyday maintenance are carried out by craftsmen from the local community, using methods passed down from generation to generation.

**Additional recommendations**

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

- a) Agreeing to the proposed change to the name of the property to become “Sacred Island of Okinoshima”,
- b) Establishing the Preservation and Utilization Council and including within it representatives of the owners of the property,
- c) Clarifying the role of the other stakeholders and the mechanisms to ensure their effective cooperation in managing the property,
- d) Stating that the construction of wind turbines, offshore or on land, will not only be “appropriately restricted” but will be totally forbidden within the entire property limits, including the buffer zone, as well as in areas outside the property where it would affect the visual integrity of the components,
- e) Setting up mechanisms to integrate an Heritage Impact Assessment approach into the management system,
- f) Developing specific HIAs for planned projects that may impact on the Outstanding Universal Value and the attributes of the property, and submitting their results to the World Heritage Committee and ICOMOS for review before any final decision is taken with regard to their approval and implementation,
- g) Confirming that the limit at the top of the mountain marking the south-eastern corner of the buffer zone, incorporates entirely the summit,
- h) Giving due consideration to the potential threats by increased unregulated visitation and cruise ships;





Map showing the location of the nominated properties



View of Okinoshima Island

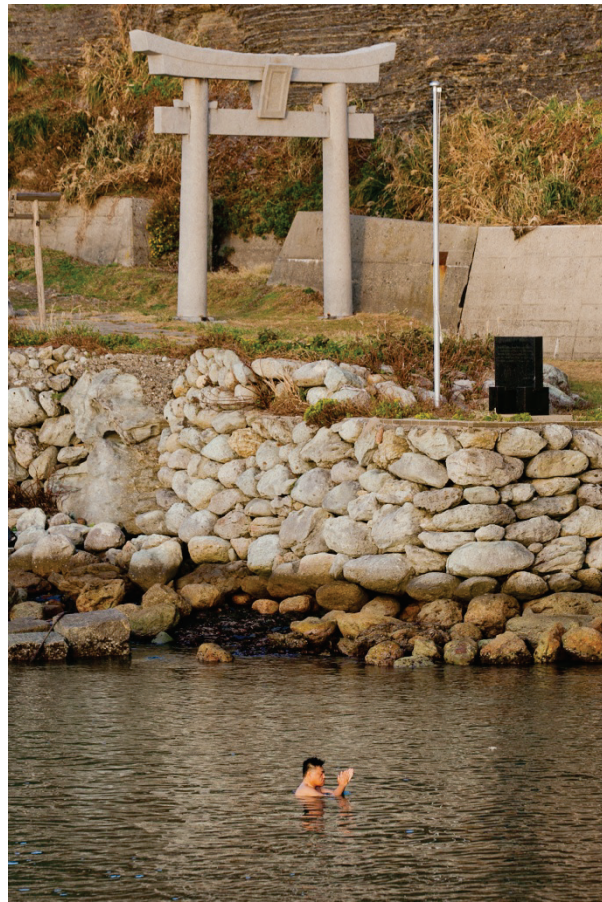


Shrine buildings in Okitsu-miya





Okinoshima primeval forest



Ritual purification



## **IV Cultural properties**

- A Africa**  
New nominations
  
- B Arab States**  
Nominations deferred by previous sessions of the World Heritage Committee
  
- C Asia – Pacific**  
New nominations
  
- D Europe – North America**  
New nominations  
Extensions  
Nomination deferred or referred back by previous sessions of the World Heritage Committee
  
- E Latin America - Caribbean**  
New nominations



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## Historic Centre of Sheki (Azerbaijan) No 1549

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### Official name as proposed by the State Party

Historic centre of Sheki with the Khan's Palace

### Location

Sheki city  
Azerbaijan

### Brief description

The historic town of Sheki is situated in the central North of Azerbaijan along the southern edge of the Greater Caucasian mountain range. Its historic centre, built as a reconstruction of an earlier town after mud floods in 1772, is characterized by a traditional architectural ensemble of houses with high saddle roofs. Located along important historic trade routes, the architecture was influenced by the building traditions of Safavid, Qajar and Russian rule origin. The Khan's Palace in the north-east of the town as well as the various merchant's houses reflect the wealth generated by silkworm breeding and trading of cocoons in the late 18<sup>th</sup> and 19<sup>th</sup> centuries.

### Category of property

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

In terms of the *Operational Guidelines for the Implementation of the World Heritage Convention* (July 2015), Annex 3, this is also an *inhabited historic town*.

## 1 Basic data

### Included in the Tentative List

24 October 2001

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

1 February 2016

### Background

This is a new nomination.

### Consultations

ICOMOS consulted its International Scientific Committee on Historic Towns and Villages (CIVVIH) and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 4 to 8 July 2016.

### Additional information received by ICOMOS

ICOMOS sent a letter to the State Party on 16 October 2016 requesting additional information with regard to the basis of Outstanding Universal Value, the approach towards the Comparative Analysis, the administrative arrangements for the management of the site and future prospects of development control. The State Party responded on 14 November 2016, addressing all issues that ICOMOS requested. These are integrated in the relevant sections below.

An Interim Report was sent by ICOMOS to the State Party on 23 January 2017

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

Sheki is located on the southern foot of the Greater Caucasus ridge and is divided into a northern and southern part by the Gurjana River. While its northern and earlier part is situated on higher land, the southern part lies within the river valley. The history of Sheki dates back at least two millennia but the current historic town of Sheki's oldest structures date to the year 1772. Almost thirty years after the establishment of the Sheki Khanate in 1743, the previous settlement was destroyed by flooding of the river Kish and the city was resettled and built at its new higher ground location at Gurjana River. It is for this reason that the city today appears homogenous in design and architectural style. The nominated area corresponds to the historic core of Sheki and covers an area of approximately 120 hectares. It is surrounded by a buffer zone of 146 hectares.

The historic centre of the relocated Sheki is its citadel in the upper north-east built in 1790 by Huseyn Khan. Within its gated garden area accessible via two gates lies the Khan's Palace, which is singled out in the title and concept of this nomination. Built in 1797 during the reign of Mammad Hasan Khan, the palace complex is composed of the Khan's residence and seat of power, mosque, bath, pantries, stables, barns and other service buildings. The main architectural structure of the Khan's palace was designed by the Persian architect Haji Zainal Abdul as a two-storey structure with a dominant front of stained glass windows. It is further characterized by artistic decoration, including paintings, stalactite niche decorations and decorated ceilings with floral patterns.

The city surrounding the citadel is located on steep terrain with narrow and often dead-ended roads. One main road, the major trade route, passes through the centre alongside the citadel and creates the key reference point of trading activities. The main trading areas are located

along this primary trade route in the vicinity of the Khan's Palace. The urban fabric is composed of traditional Sheki manor houses. Each of these is enclosed by a high abode wall and consists of a garden within the wall precinct and a brick and timber structured residential building, often placed in the centre of the garden. The houses all have deep verandas, so-called eyvans, facing in southern direction. The garden vegetation indicates the source of wealth of the city. Mulberry trees were the key nutrition for the silkworms bred in Sheki and their cocoons were sold and became source of the city's wealth. Sheki also became famous for embroidery products, very often silk embroidery.

Besides the manor houses, Sheki's public buildings encompass religious structures, identified in the urban fabric by the vertical lines of the mosque minarets, public baths and caravanserais. The city appears strikingly green from a distance while from a pedestrian viewpoint it is characterized by adobe brick walls and cobblestone plastered streets. Its overall impression is influenced by architectural language of Safavid and Qajar origin with later features relating to traditions from territories under Russian rule.

#### **History and development**

The founding date of a settlement under the name of Sheki is unknown but archaeological records date it to approximately 2,700 years of age. At its present location Sheki was constructed in 1772 following the destruction of the earlier Sheki by floods of the river Kish. This occurred approximately 30 years after establishment of the Sheki Khanate in 1743, which is said one of the most influential Khanates in the region. In its new location, the city soon prospered again through the wealth obtained along the trade routes, in particular through sericulture and the trading of cocoons. The Khan's palace built in 1797 and many manor houses are a direct expression of this wealthy environment.

However, the reign in the palace was short-lived as merely 18 years after its construction the Khanate was abolished by the Russian empire. Throughout the 19<sup>th</sup> century Sheki remained a feudal trade town with its management transferred by the Russian government to a military commandant. In 1834 a devastating fire destroyed 369 shops and one caravanserai in the central market area. Per historic records of 1836, Sheki was composed of 2,791 houses at the time with a population of 12,586 inhabitants. Sericulture blossomed during this century, especially after Sheki was designated as a centre to strengthen sericulture in Russia. In addition to silk production craftsmanship and trade were further expanded. In the second half of the century Sheki expanded further based on population growth with 17,945 inhabitants recorded in 1852 and 26,286 inhabitants in 1887.

On 5 May 1920 Soviet Power was established in Sheki. All major residential and public buildings as well as facilities for silkworm breeding and silk production were nationalized. In 1928 an additional silk production factory

was built, which then allowed for silk production with spinning machines. This drew an influx of labour from the surrounding regions and Sheki expanded yet another time. Multi-storey residential and public houses were built. In the 1980s the traditional bazaar was moved into a new complex for commercial activities.

The historic city was declared an architectural reserve in 1968. Unfortunately, in the late 20<sup>th</sup> century renovations, which did not comply with adequate international conservation standards, were undertaken, which negatively impacted the historic urban environment and partially changed its character as a traditional settlement.

### **3 Justification for inscription, integrity and authenticity**

#### **Comparative analysis**

The comparative analysis is drafted to compare the city within (1) its landscape setting, (2) its function as a khanate capital, (3) its architectural representation as a khanate capital and as (4) a settlement characteristic of sericulture. The additional information received at the request of ICOMOS added further material on Sheki's function and role as a major trade centre in its wider regional context.

In terms of the landscape setting it is said comparable to European highland towns such as Sarajevo (Tentative List), Bosnia-Herzegovina, Plovdiv (Tentative List), Bulgaria, or the City of Safranbolu, Turkey, inscribed on the World Heritage List (1994, criteria (ii), (iv) and (v)) without further qualification as to the specificities or differences of these cities and their respective landscape settings. To compare the function of Sheki as a khanate capital, the authors draw on other khanate capital cities including Shusha, Baku (inscribed on the World Heritage List as the Walled City of Baku with the Shirvanshah's Palace and Maiden Tower, Azerbaijan, 2000 under criterion (iv)), Lankaran, Guba and Ganja, all in Azerbaijan. It is argued that Sheki was special among the khanate capitals for its urban arrangement since it was not surrounded by fortified walls and its city centre did not consist of a square but was rather oriented along the main trade access. ICOMOS considers that these two features do not seem key attributes of the proposed Outstanding Universal Value and while these two aspects might differentiate Sheki, it remains unclear how these are functionally linked to its khanate capital function. ICOMOS further considers that while the comparative analysis was only undertaken at a national level, even an in-depth international comparison would not have strengthened the functional attributes of Sheki as a reference khanate capital.

In terms of its architectural representation as a khanate capital, Sheki is said to stand out among others in terms of the Khan's Palace. The comparative analysis reviews other khanate palace architecture including Shusha, Shamakhi, Ganja, Guba, Lankaran, all in Azerbaijan, and Tbilisi (on Tentative List of Georgia). It is concluded

by the authors that the palace of the Sheki khanate stands out for its simple ground plan, its rich decoration and wall paintings. ICOMOS considers that in comparing the Qajar elements of the palace architecture, several similar palaces in Iran should have been analysed and discussed. ICOMOS considers that it is not evident how the Sheki Khan's Palace can be said outstanding within a regional or even global comparison.

Sheki is finally compared in terms of its role as a centre of sericulture for which comparison in the initial nomination is drawn to the Tomioka Silk Mill and related sites, Japan, inscribed in 2014 under criteria (ii) and (iv). ICOMOS noted that the comparison of sericulture was limited solely to the industrial silk production facilities introduced under Russian rule but did not consider the impact of silkworm breeding on the urban typology and architecture of the city. Accordingly, ICOMOS in its request for additional information sought further explanation as to how the urban typology of Sheki could compare to other centres of sericulture.

In the additional information received on 14 November 2016, the State Party elaborated that sericulture in Sheki was more relevant in terms of trade and source of wealth but did not have a distinct impact on the urban and architectural typology. As the sericulture activities were limited to cocoon breeding and raw silk trade, these according to the State Party's response did not require fundamental structures, which affected the planning structure of the city. ICOMOS therefore considers that Sheki cannot be considered an exceptional architectural or urban testimony in relation to sericulture.

The additional information received at the request of ICOMOS rather suggested that Sheki should be considered an exceptional centre of trade along the north Eastern silk road sections. In considering this, ICOMOS noted that according to its thematic study on the Silk Road, Sheki does not seem located along the key branches identified as the likely sections to be considered for World Heritage nomination. In addition, ICOMOS considers that Sheki's architectural and urban testimony is quite homogenous following its construction in 1772 and hence when compared to much older settlements along the trade routes of the wider region, it shows comparatively few architectural references to cultural and trade exchanges along these trade routes.

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

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#### **Justification of Outstanding Universal Value**

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

- Sheki, an important historic trade city was influenced by different rulers including Safavids, Qajars and the

Russians Empire, which all influenced the features of architecture reflecting wealth of the trade activities;

- The city was the centre of the first and most powerful of a series of Khanates in Caucasus representing a new administrative system in the region;
- The principal economy of Sheki has been based on sericulture and silk production for which the city is a unique example favoured by its climatic condition and morphology.

ICOMOS considers that while Sheki was without doubt an important regional centre of trade, value interchange and sericulture, it has not been demonstrated that it surpassed in these aspects other centres along the historic trade routes in Eastern Europe and Central Asia. Functional and architectural features of khanate capitals are preserved in other historic centres and so are exceptional architectural expressions of Safavid and Qajar origin or influence in historic palaces. ICOMOS could not see potential for the Historic Centre of Sheki and the Khan's Palace to demonstrate Outstanding Universal Value at a global level or within the wider geo-cultural region.

#### **Integrity and authenticity**

##### **Integrity**

The property area proposed for the Historic Centre of Sheki with the Khan's Palace is inclusive of all elements reflecting its historic significance. The urban fabric has retained its traditional typology of neighbourhoods and much of the surrounding landscape. However, the landscape setting is affected by a few hotel complexes which have been developed and remains subject to further urban development pressures given that Sheki is surrounded by mountains in three directions and has limited opportunity to expand. Several hotels were also built within the historical and architectural reserve without respecting the surrounding architectural volumes and styles. In addition, these structures were inserted in key urban historic neighbourhoods and, at times, interrupt the functional and visual relations between the historic monuments. In the same manner, several new residential structures do not correspond to the surrounding architectural proportions, materials or designs.

ICOMOS notes that the percentage of historic structures within the property has been significantly reduced over time. A small percentage of architectural structures is in a very vulnerable condition, the majority of which is in a state of being abandoned or out of appropriate use. These structures are faced with challenges of decay, which might further reduce the integrity of the property in the future.

##### **Authenticity**

ICOMOS notes that while authenticity of design, structure and to some extent setting has been affected negatively, the city largely retains its urban typology and environment. It is noteworthy that Sheki has retained its traditional mechanisms for property maintenance and community involvement through neighbourhood representatives and a

council of elders. A majority of private residences and some public buildings have kept their traditional use and function.

However, several other important information sources of authenticity are lost. ICOMOS observed that past and ongoing structural and surface repairs and restorations do not pay respect to authenticity of material, substance or workmanship and, in several cases, design. These repairs are carried out with inappropriate materials including concrete and cement mixtures instead of traditional brick and adobe materials as well as plaster surfaces. These measures unfortunately change the visual appearance of the town's streetscape, in particular the repairs of the outer townhouse walls, which are so visually determining the appearance of Sheki to a visitor. In addition, these repairs are likely to reduce the traditional earthquake resilience of the original construction methods. ICOMOS therefore considers that the Historic Centre of Sheki with the Khan's Palace does not demonstrate the qualifying condition of authenticity as required by the Operational Guidelines.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity have been negatively affected by past and recent developments and restorations and are therefore not met.

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

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

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

This criterion is justified by the State Party on the grounds that the historic centre of Sheki exhibits an important interchange of cultural influences over two millennia. Its location on the Great Silk Road and the trade relations Sheki established promoted an exchange of goods and traditions, which had impacts on the architectural design of the town. In particular, its renewal with Qajar influences in the early 19<sup>th</sup> century and its expansion influenced by Russian architecture in the late 20<sup>th</sup> century.

ICOMOS considers that while the city was exposed to various cultural influences through the presence of traders, this would apply to any city located along the Great Silk Road or other important trade routes. ICOMOS considers that the architectural features reflect regional influences in line with the political regimes exerting power over the region at the time of construction. Very limited architectural references to an exchange of cultural traditions can be seen beyond these.

ICOMOS further considers that Sheki's architectural and urban testimony is very homogenous in result of its

construction within a few years following the earlier destruction in 1772. This implies that compared to older settlements along the trade routes of the wider region, it has less capacity to illustrate architectural references to cultural exchanges than cities which look back at millennia of trade exchanges along these very trade routes. ICOMOS considers that it has not been demonstrated how the interchange of cultural influences can be seen as outstanding when compared to other cities along important trade routes in the wider region.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that the urban layout of Sheki provides a testimony to the Sheki Khanate which is said the most powerful khanate in the Caucasus. This is illustrated by the division of the town into neighbourhoods, so-called mahallah, and the architecture of the Khan's palace and merchant houses. The nomination also indicates that the architectural testimony of the city illustrates the cultural traditional of silkworm breeding, cocoon trade and the production of embroideries.

ICOMOS considers that the urban typology illustrates clear influences of Islamic city design with clear division into neighbourhoods which have increasingly private character and often dead-end streets. However, ICOMOS reminds that this urban typology is not unique to khanates and has been recognized in exceptional ways in other cities already inscribed on the World Heritage List. ICOMOS considers that it is not demonstrated that the Sheki khanate produced architectural features or urban layouts which differ distinctively from other cities in the region and therefore could act as an outstanding testimony of khanates as such. ICOMOS further considers that Sheki's function as a Caucasus khanate capital was rather short-lived and ended after merely 18 years.

With regard to the ongoing tradition of sericulture, ICOMOS considers that it has not been demonstrated how the urban or architectural form can be said a unique testimony to sericultural traditions. ICOMOS in its request for additional information asked the State Party to further elaborate how Sheki's urban or architectural expressions could be considered a unique testimony of the tradition of silkworm breeding. In its response of 14 November 2016, the State Party indicated that the silk production was more essential as a basis of trade in the interlink of historic trade routes than for the urban or architectural testimony. Silk production at Sheki was limited to cocoon rising and sale of raw silk which both did not require special constructions for this purpose.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that the historic centre of Sheki is an outstanding architectural ensemble which had maintained its urban form since its construction in the late 18<sup>th</sup> century. The nomination further highlights that the urban and architectural typology is specific to the local building materials and local climatic conditions.

ICOMOS considers that both urban and architectural typology as well as building materials are typical for the wider region and cannot be judged as exceptional examples in Historic Sheki with its Khan's Palace. While the urban centre is unusual in its homogeneity as a result of the city's construction in a short span of time, it is by no means an exceptional type of architectural ensemble by typological means as defined under this criterion.

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ICOMOS considers that this criterion has not been justified.

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Criterion (v): *be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;*

This criterion is justified by the State Party on the grounds that from ancient times the economy of Sheki was based on sericulture, trade of cocoons and development of related types of handicrafts. This is said to be indicated by the predominance of mulberry trees in the orchards, high house attics and unique architectural adaptations to the local climatic conditions.

ICOMOS considers that silkworm breeding occurred in a number of cities along the Great Silk Road and mulberry trees therefore equally shape other cityscape. It is not demonstrated that functional relations of sericulture are evident in the urban or architectural characteristics of Sheki and ICOMOS considers that these are not demonstrated to be exceptional or outstanding in comparison with the wider region. Therefore, ICOMOS inquired in its request for additional information in which way the urban and architectural fabric can be said a unique response to the local climatic conditions and the functional needs of sericulture.

In its response of 14 November 2016, the State Party added that Sheki lies in a sub humid climate with minute amounts of rainfall in winter and moderate temperatures in summer. These climatic conditions are said ideal for the intensive planting of mulberry trees in the city, and broadleaved forests surrounding the city that feed silkworms and support their relatively short reproduction cycle of cocoons, lasting only 40-60 days. ICOMOS

considers that the key response to the climate indicated here, although fully relevant to the processes of silk production, relates to the growth of specific vegetation and not to an architectural response to climatic conditions. ICOMOS therefore considers that the city cannot be considered to meet this criterion.

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ICOMOS considers that this criterion has not been justified.

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In conclusion, ICOMOS does not consider that any of the criteria or the conditions of integrity and authenticity have been justified.

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

Rapid economic development of the Republic of Azerbaijan following its independence led to significant development pressures. These are visible mostly in the effects of urban growth and tourism facilitation, which have also affected the historic centre of Sheki. Several hotels built within the historical and architectural reserve do not respect the surrounding architectural volumes and designs. Some of these inappropriate developments or refurbishments are in prominent locations in the very heart of the historic centre, including near the central mosque and palace compound, which exacerbates the situation. Likewise, the setting of the town is disturbed by a few development projects. While the responsible management authority has prepared recommendations for the issuance of decisions on developments in the property and buffer zone, which were signed by the Minister of Tourism and Culture, the elaboration of a master plan for its future conservation and development control remains a crucial need.

Sheki is already a prime destination for domestic tourism and international tourism is on the rise. The above described hotel developments are results of negative tourism impacts which should by no means be repeated in the future. Sheki is also famous for its festivals. Two years ago, an amphitheatre, for the annual music festival and other city events, was constructed to the south-east of the citadel wall, clearly visible as it is located immediately next to the gate accessed from the main street. Although the structure was meant to be portable, it seems to have lasted ever since its first construction and its tarpaulin structures, subsidiary buildings painted in white and poorly designed white fences constitute negative visual impacts to the historic surroundings.

Sheki lies in a seismically active zone and regulations for new construction works require structures that withstand shocks of 8-9 on the Richter scale. Traditional buildings which combine timber and adobe brick structures are well equipped to withstand earthquakes, however, this ability is at times reduced by inappropriate restorations with concrete and other modern materials. Flooding is also a serious risk to the lower sections of the historic centre. When ICOMOS conducted its technical evaluation

mission, recent floods had just destroyed a bridge over the Kish River which disconnected a nearby village. While the historic centre is located on higher grounds and relatively safe from sudden floods, the outer areas of Sheki could face serious destructions. Emergency response plans are in place at a general level only, as floods are always anticipated but would benefit from stronger emphasis for heritage concerns. Although there are no reports of previous fires, the forested mountain slopes might be susceptible to wildfires which could threaten the town.

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ICOMOS considers that the main threats to the property are urban and tourist developments as well as earthquakes and floods.

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## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The nominated property covers approximately 120 hectares of the core of historic Sheki and includes 15 traditional neighbourhoods. In terms of legal protection, this area is smaller than the “Yukhari Bash” State Historical and Architectural Reserve, established in 1967, which de jure protects the property. However, the smaller boundaries cover the relevant elements that express the significance of historic Sheki and appear the best-preserved area of the larger reserve.

The property is surrounded by a buffer zone of 146 hectares. Like the property area, the buffer zone is also part of the “Yukhari Bash” State Historical and Architectural Reserve and enjoys the same level of legal protection. Towards the west, the buffer zone covers the historic neighbourhoods adjacent to the historic core. Upon ICOMOS inquiry whether its extension was sufficient in case of large scale future developments beyond the buffer zone, the State Party assured that high-rise developments could not be permitted due to the seismic activity in the area. ICOMOS notes that in case this regulation would change in view of technological advances, protection of the historic skyline would need to be considered in any future approval procedures.

On the other three sides the buffer zone ends at the foot of the mountain. The nomination dossier indicated that landscape regulations were developed reaching beyond the buffer zone for an area of 72 square kilometres. However, ICOMOS noted that these recommendations were not formalized in any legislative process and accordingly do not constitute a protective mechanism. ICOMOS considers that the forested mountain slope setting is an important feature of the cityscape and, as indicated in the nomination dossier, reflects on the significance of Sheki. It should therefore be formally protected from future development.

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In conclusion, ICOMOS considers that the boundaries of the nominated property are adequate in reflecting its

significance but that the buffer zone would need to be expanded to protect the wider landscape setting of the property.

### **Ownership**

The historic centre of Sheki and the Khan’s Palace belong to a diverse group of public and private owners. City walls, schools, kindergartens, factories and public offices within the property are registered as state property. The streets, squares, parks, graveyards, river outlets and 6 plots of lands with residential houses are property of the municipality. 5 public buildings are owned by private associations while 4 mosques and 1 madrasa belong to the religious property authority.

About 75% of the area of the historical and architectural reserve are privately owned, which includes a factory, newly built hotels, stores and shops and well as residential houses.

### **Protection**

The historic centre of Sheki and its Khan’s Palace are protected as the “Yukhari Bash” State Historical and Architectural Reserve under national legislation of the Republic of Azerbaijan entitled Law on the Protection of Historical and Cultural Monuments. The reserve was designated on 10 April 1998 and is listed under number 470-IQ. Per this legislation, the Ministry of Culture and Tourism is mandated as the executive authority for protection and site management.

On 19 January 2016, the reserve was further promised a National Reserve Status by presidential decree which aimed at increasing management capacity and public investments. The process of approval of this status and the associated “Plan of activities related to the development and protection of historical part of Sheki city”, as a means of implementation of this Presidential Decree by all relevant Ministries is still being finalized. It is supposed to contain a comprehensive list of actions to be implemented between 2016 and 2025.

In the additional information submitted by the State Party on 14 November 2016 at the request of ICOMOS, it was explained that by decision number 382 of 5 October 2016, the Cabinet of Ministers of the Republic of Azerbaijan approved the general rules on assigning special status to cultural institutions. Based upon the above described decision, the Ministry of Culture and Tourism has referred again to the Cabinet of Ministers and it is envisaged to receive the status of national reserve and increase the number of staff and wages accordingly starting from the beginning of 2017.

According to the legislation, the Ministry of Culture and Tourism is required to authorize any restoration, reconstruction or development project within the national reserve. The buffer zone is established in two protection levels, the so-called buffer zone surrounding the property at a distance of up to 200 meters and the much larger zone for terrain control. The buffer zone is legally part of the “Yukhari Bash” architectural reserve, while the zone

for terrain control remains without formal legal designation. The urban development of Sheki is regulated by the Urban Master Plan adopted in 2010. This Master Plan designates the historic part of Sheki as the "Yukhari Bash" State Historical and Architectural Reserve.

The nomination dossier justly refers to the importance of the natural setting of the nominated property and that the forested mountains play important role in perception of the site. For its protection, cooperation has been established with the Ministry of Ecology and Natural Resources as well as the Sheki Executive Power and the Sheki City Municipality. However, the recommendations issued towards the protection of the landscape do not yet enjoy binding character. The concerned mountain slopes are merely protected by the law on forest, which is very strict and does not allow cutting of the forest and building activity in the forest in general. However, it could be changed or exemptions could be approved by authorities which may not take heritage concerns into consideration. To ensure the protection of authenticity of setting, ICOMOS recommends putting in place heritage significance guided landscape protection tools.

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In conclusion, ICOMOS considers that the legal protection of the property is adequate. ICOMOS further considers that the protective measures for the buffer zone require to be strengthened to ensure the long-term protection of the wider landscape setting.

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### **Conservation**

Since 1967, several heritage inventories were undertaken to cover the historic centre of Sheki. According to the register approved by resolution No. 132 of the Cabinet of Ministers of Azerbaijan Republic on 2 August 2001, 26 single monuments in the historic reserve are also under individual protection. Following the state program adopted in 2013, a new inventory was conducted in the reserve territory. In this, 202 historic buildings were recorded and a proposal for inclusion of these buildings on the register of architectural monuments has been submitted to the Ministry of Culture and Tourism.

The state of conservation of the historic architectural and urban fabric is diverse. According to the nomination dossier out of 2,775 residential houses located in the "Yukhari Bash" State Historical and Architectural Reserve, less than half retain their historical integrity. About a quarter of the remaining architectural structures are either newly built or modified to the extent that their historical basis can no longer be recognized. Sheki Fortress is well maintained and Sheki Khan's Palace receives special care as it deserves, but some buildings of Russian period are neglected and need rehabilitation.

In principle, the scale of restoration and rehabilitation efforts undertaken within the nominated property in the last five years is impressive. However, restoration works are not always satisfactory as some structures are simply "over-restored". ICOMOS observed a clear lack of conservation policies and standards for historic Sheki. Several ongoing projects, including the rehabilitation of

important merchant houses are not adequate in terms of international conservation standards. For example, in the Dadanoves house, all windows and doors have been replaced without obvious reason, the property is extended to add new functions, the floor levels were raised, the ceilings were changed and cement mortar and rendering was used in various places. Likewise, restoration of the citadel walls, which due to building material character and seismic zone location need constant repair, is conducted based on extensive use of cement and at times unjustifiable reconstruction of details.

ICOMOS recommends that conservation guidelines need to be prepared for each type of historic building and that while this preparation is ongoing, conservation projects need to be consulted by trained specialists to ensure that international conservation standards are being observed. ICOMOS further recommends that such guidelines are integrated in a conservation master plan into which some of the policies and actions which are highlighted in the nomination dossier can be integrated as preconditions.

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In conclusion, ICOMOS considers that the state of conservation of historic Sheki has been affected by new buildings, rehabilitations and extensive restoration works. It is essential to prepare conservation guidelines to ensure future restorations are undertaken utilizing adequate materials and expertise.

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### **Management**

Management structures and processes, including traditional management processes

The overall mandate for management processes lies with the Ministry of Culture and Tourism of the Republic of Azerbaijan. Within the ministry responsibility has been delegated to the administration of the Sheki City "Yukhari Bash" State Historical and Architectural Reserve. However, due to their respective responsibility, two other institutions contribute to the management of the reserve, the Sheki City Executive Power and the Sheki City Municipality. The nomination dossier highlights several challenges which are currently encountered in the management of the reserve. The management team has too limited decision-making powers to ensure that all processes are in line with heritage concerns and, based on its double subordination under the Ministry of Culture and Tourism and the Sheki City Executive Power, it also faces difficulties in the smooth implementation of its managerial mandate. Lack of coordination of the two supervising bodies at times leads to contradictory policies for management processes. In addition, the reserve management team lacks shared premises in form of an administration building and is short of skilled staff which could guide good practice in reserve management.

As result of this situation, the management team, at present, is focused on the management of the citadel territory and the Khan's Palace. However, even in this context there are unclear subordinations between the reserve management and museums functioning within the

citadel territory. The financial resources of the team are very limited and capacity-building activities are not offered. ICOMOS considers that while the management team is highly dedicated to its tasks, it should be an urgent priority to strengthen its financial, professional and technical resources, to improve the quality of conservation and management practice.

Despite the location of Sheki in a zone of high seismic activity and dangers of serious floods, no comprehensive approach to risk management is at present available. The Management Plan for the property aims to integrate risk preparedness and mitigation measures for development in an emergency plan to strengthen preventive measures against possible disasters, especially earthquake and flooding.

Policy framework: management plans and arrangements, including visitor management and presentation

A comprehensive management plan was elaborated in the process of preparing the nomination dossier. This plan addresses the main problems and challenges the nominated site faces and offers concise information on general guidelines for its management and integrated conservation referring to relevant international legal and doctrinal documents. The management plan written in English by an international expert in consultation with the local authorities was not yet fully available in Azerbaijani at the time of the ICOMOS technical evaluation visit. ICOMOS observed active processes aimed at its due implementation. However, the management plan is not yet officially adopted or operational. ICOMOS considers that more time will be required until it can be implemented and recommends to establish and operationalize the foreseen Site Commission and Management Committee to drive this process.

In the additional information presented at the request of ICOMOS, the State Party reported that the Management Committee of the reserve was established under the Ministry of Culture and Tourism and its composition is approved at the level of 19 members representing various institutions. However, the Committee is considered to operate on a voluntary or honorary basis and no budget has been attributed to its work.

Sheki is a well-known tourism destination within Azerbaijan and is famous for its festivals. There are five different festivals every year. The amphitheatre stage integrated in the citadel for the facilitation of these festivals is not compatible with the historic environment. Its design is unacceptable as it diminishes the importance of the citadel and indeed hinders due perception of the site. It is necessary to remove the structure and prepare a more compatible proposal, which will be modest in design and at the same time easily portable to reassemble on an annual basis. While basic information leaflets and city guidebooks are available for visitors at the Sheki Khans Palace ticket office, their content is limited in terms of coverage of site values and differs from the emphasis of

the nomination dossier. The historic centre lacks signage and interpretation or information boards.

Involvement of the local communities

An opportunity for the management of the property is a variety of traditional stakeholders, who are very committed to contribute but do not presently play an active role. These include the religious authorities, Council of Elders, Artisans' Association, Representatives of traditional neighbourhoods (mehelles), representatives of the research institute "Azerbarpa", the Sheki Public Union, the Association of Family Recreation etc. These institutions have a very strong potential to play positive role in the management. The exceptional system of self-governance Sheki has preserved through the traditional neighbourhoods (mehelles) and their representatives, as well as the Council of Elders, who are very active in city management and organization of its life, should be formally linked to the management team.

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In conclusion, ICOMOS considers that the management team needs to be strengthened in mandate and resources and that the management plan should be officially adopted and implemented. ICOMOS further recommends building decision-making and management processes on the traditional governance structures, in particular the Council of Elders and the neighbourhood representatives.

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## 6 Monitoring

The monitoring arrangements of the property are overseen and implemented by the "Yukhari Bash" State Historical and Architectural Reserve Management Team. Prior to the currently presented nomination, no monitoring exercises have been documented. The present monitoring system is documented in the nomination dossier by means of a monitoring table of so-called indicators, periodicity and the location of records. However, the so-called indicators are rather areas of activity, many of which have no obvious relation to monitoring. ICOMOS considers that the general purpose and content of a monitoring system has not been well understood and is not addressed.

ICOMOS recommends that based on capacity building a monitoring system focused on both the state of conservation of the property and the implementation of the management plan should be developed.

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In conclusion, ICOMOS considers that a monitoring system needs to be elaborated.

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## 7 Conclusions

The Historic Centre of Sheki with the Khan's Palace is nominated under criteria (ii), (iii), (iv) and (v) considering values focused on the trade interchanges along major

trade routes, sericulture and trading of cocoons and its urban function and typology as a khanate capital. ICOMOS considers that while Sheki was without doubt an important regional centre of trade, value interchange and sericulture, it is not exceptional among other historic centres along the historic trade routes in the Caucasus. Likewise, functional and architectural features of khanate capitals are preserved in other historic centres as are exceptional architectural expressions of Safavid and Qajar origin or influence in historic palaces. ICOMOS could not see potential for the Historic Centre of Sheki with the Khan's Palace to demonstrate Outstanding Universal Value at a global or wider regional scale.

In its assessment of integrity and authenticity, ICOMOS is concerned that past and on-going structural and surface repairs and restorations did not pay respect to authenticity of material, substance or workmanship and, in several cases, design. In some repairs, inappropriate materials including concrete and cement mixtures were used. New architectural developments, predominantly for hotel functions, did not respect the volumes and proportions of the historic architectural fabric. ICOMOS considers that the conditions of integrity and authenticity have been affected by past and recent developments and restorations and are therefore not met.

The key threats faced by the property are urban and tourism developments as well as earthquakes and floods. ICOMOS considers that the forested mountain slopes are essential for the cityscape and reflect on the significance of Sheki. ICOMOS therefore recommends putting in place heritage significance guided landscape protection tools for these mountain slopes.

ICOMOS observed a lack of conservation policies and standards for historic Sheki. Several ongoing projects, including the rehabilitation of important merchant houses are not adequate in terms of scale, use of materials and technology. ICOMOS recommends that capacity-building measures are undertaken and conservation guidelines be developed. ICOMOS further recommends that such guidelines are integrated in a conservation master plan for the property and its buffer zone.

With regard to management, ICOMOS considers that while the responsible team is highly dedicated to its tasks, it should be strengthened by provision of adequate human and financial resources and training to improve the quality of conservation and management practice. ICOMOS observed active processes aimed at the implementation of the management plan prepared by an external consultant. However, it has not yet been officially adopted or operational. ICOMOS considers that more time will be required until it can be implemented and recommends to establish and operationalize the foreseen Site Commission and Management Committee to drive this process. ICOMOS also considers that the general purpose and content of a monitoring system has not been well understood and that at present no monitoring system exists on site.

ICOMOS noted that the Tentative List of Azerbaijan has not been updated since 2001. In the framework of the upstream process, ICOMOS would be interested, if requested, in assisting the State Party during any future review process aimed at identifying further heritage sites, which may have strong potential for demonstrating Outstanding Universal Value.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the Historic centre of Sheki with the Khan's Palace, Azerbaijan, should **not be inscribed** on the World Heritage List.

In the framework of the upstream process, ICOMOS would be interested, if requested, in assisting the State Party during any future review process of its Tentative List aimed at identifying further heritage sites, which may have strong potential for demonstrating Outstanding Universal Value.





  
THE MINISTRY OF CULTURE AND TOURISM  
OF THE AZERBAIJAN REPUBLIC

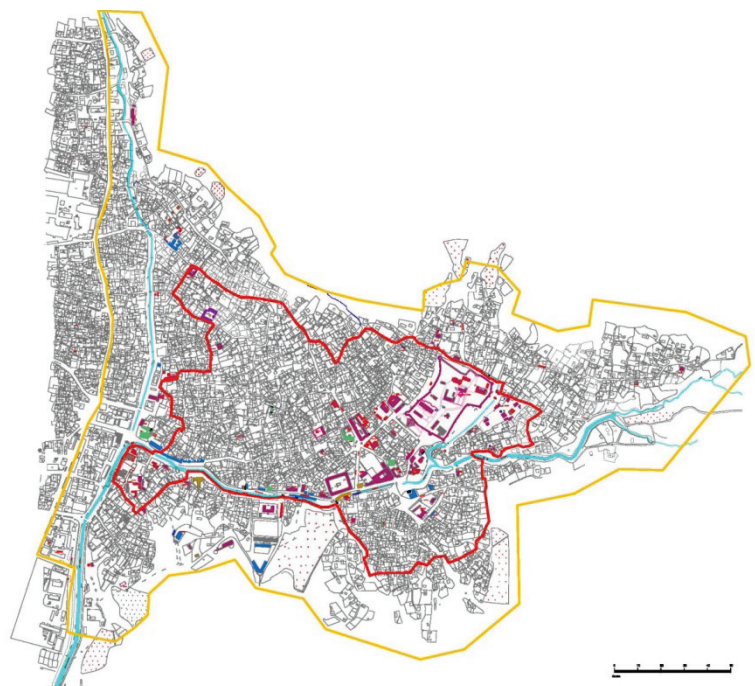
  
HISTORIC CENTRE OF SHEKI  
WITH THE KHAN'S PALACE  
"AZERBERPA" SRFI  
Telman Kerimli Sabina Hasiyeva  
Leyla Hanyuzova Ugar Ceylan  
Seyran Mammadov Makiya Gasayeva

I. IDENTIFICATION OF THE TERRITORY

1A. BOUNDARIES OF NOMINATED AREA

Scale	Date
1:500	2015

-  Proposed World Heritage Area
-  Proposed Buffer Zone



Map showing the boundaries of the nominated property



View of the city



South façade of the Khan's palace





Upper caravanserail. View on the yard



Residential houses



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# Kujataa Greenland: Norse and Inuit Farming at the Edge of the Ice Cap (Denmark)

## No 1536

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### Official name as proposed by the State Party

Kujataa Greenland: Norse and Inuit Farming at the Edge of the Ice Cap

### Location

Greenland, Municipality of Kujalleq  
Denmark

### Brief description

Kujataa is a sub-arctic farming landscape located in the southern region of Greenland. The nominated property consists of five components, which together represent the demographic and administrative core of two farming and hunting cultures: a Norse Greenlandic culture from the late 10<sup>th</sup> to mid-15<sup>th</sup> centuries, and a European-Inuit culture from the 1780s to the present. Despite their differences, these two cultures and the specific environmental and climatic conditions of this part of Greenland have created a cultural landscape based on farming, grazing and marine mammal hunting in a marginal environment for farming. The landscape represents the earliest introduction of farming to the Arctic, and the Norse expansion of settlement beyond Europe.

### Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a serial nomination of 5 *sites*.

In terms of the *Operational Guidelines for the Implementation* of the World Heritage Convention (July 2015) paragraph 47, it is a *cultural landscape*.

## 1 Basic data

### Included in the Tentative List

29 January 2003

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

27 January 2016

### Background

This is a new nomination.

At the request of the State Party, ICOMOS participated in upstream consultations on 11 May 2015. Based on review

of drafted text for sections 1 and 3, ICOMOS provided comments on the justification for Outstanding Universal Value and the overall robustness of the proposal.

### Consultations

ICOMOS consulted its International Scientific Committees on Archaeological Heritage Management, on Cultural Landscapes, and several independent experts.

Comments about the evaluation of this property were received from IUCN in November 2016. ICOMOS carefully examined this information to arrive at its final decision and recommendations; IUCN also reviewed the presentation of its comments included in this ICOMOS report. IUCN's will include the full comments as provided to ICOMOS in its evaluation book 41COM.INF.8B2.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 12 to 18 September 2016.

### Additional information received by ICOMOS

A letter was sent to the State Party on 17 October 2016 requesting further information about the environmental and climatic conditions that support subarctic farming; the strategy used to select the components and how each component specifically contributes to the proposed Outstanding Universal Value; the operations of the 'Steering Group' and its relation to the 'Management Group'; update on mining, energy and infrastructure developments; planning for tourism and interpretation; and the status of the Executive Order on Cultural Heritage Protection.

An Interim Report was provided to the State Party in January 2017 summarising the issues identified by the ICOMOS World Heritage Panel. Further information was requested in the Interim Report, including: concise text and maps that show the sequencing of human uses of the larger landscape of southern Greenland (including the locations of all Norse farming sites, marine mammal hunting and fishing sites and Thule Inuit occupation sites); the specific and necessary contribution of each of the five components of the serial property to the proposed Outstanding Universal Value; clarification of the attributes of the Inuit farming phase; further development of the comparative analysis to add known Viking sites in other countries; more detail on the potential impacts of future mining development; the possibility of establishing buffer zones for some or all of the components; and availability of needed expertise and financial resources of tourism planning. ICOMOS also queried whether the name of the property should be revised in order to more clearly communicate the two cultural/historical periods of farming.

Additional information was received from the State Party on 14 November 2016 and 22 February 2017 and has been incorporated into the relevant sections of this evaluation report.

## Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description of the Serial Nomination

Kujataa is the modern Greenlandic name for the area known to the Norse as Eystribyggð, in the south west of Greenland. The wider landscape is characterised by the ice cap, high mountains, wilderness and deep fjords that shelter the Kujataa lowlands that have a local climate that makes farming possible.

The State Party has nominated this serial property as an 'organically evolved' cultural landscape, with both relict and continuing dimensions. The nominated property consists of five components concentrated around the central part of the Norse Greenlandic settlement of Eystribyggð. The five components have been selected in order to represent the full suite of attributes associated with the Norse Greenlandic culture, including monumental architecture with historic buildings, farm structures and dwellings, particularly at Qassiarsuk and Igaliku. These same areas have also been the focus of the later and continuing phase of Inuit farming.

#### 1. Qassiarsuk (113.42 km<sup>2</sup>)

This component is the centre of the area's population and is characterised by higher population densities and intensive land uses due to its relatively favourable conditions for farming. It has been thoroughly surveyed and contains 38 registered Norse Greenlandic archaeological sites, including 24 farm sites and the remains of Brattahlíð, the settlement of Eiríkr rauði (Erik the Red) and his wife Tjodhildr (barns, church, dwellings, and irrigation). Structures associated with the revival of sheep farming in the early 20<sup>th</sup> century and current farming operations, fields and grazing areas are found in this component, including three listed buildings that date from the 1920s and 1930s. There are 11 sheep farms within the boundary of the component, and the house of the first modern sheep farmer in Greenland, Otto Fredericksen. There are Thule Inuit sites in this component, and the only known Palaeo-Eskimo site in the nominated property. Because it is across the fjord from the airport at Narsarsuaq, Qassiarsuk has a higher number of visitors than other components.

The additional information received from the State Party explains that this component is included because of the high density of both Norse and Inuit farms, and the associations with Eiríkr rauði and other important historical figures; but also due to its rich and unusual cattle-based Norse farms that chronologically span the entire settlement period. The presence of two churches (including an early turf church) that served large congregations demonstrates Norse societal wealth. It also contains the clearest known example in Greenland of vertical transhumance (shieling).

#### 2. Igaliku (82.87 km<sup>2</sup>)

Igaliku is a small sheep farming settlement, with numerous summer houses. There are 5 sheep farms within this component. Norse Greenlandic remains of the religious, domestic and agricultural infrastructure associated with the diocese of Greenland from the 12<sup>th</sup>-14<sup>th</sup> centuries are found in this component (17 sites). The episcopal manor (Gardar) was the largest settlement of Norse Greenland, and sites include remains of the cathedral, a large byre (said to have sheltered close to 150 head of cattle) and dwellings. The fields are amongst the most expansive and actively farmed, and provide a clear illustration of the farmland created on the fertile soils of the fjord. Modern farming was introduced in the late 17<sup>th</sup> century in this component. The settlement includes dwellings from the 19<sup>th</sup> century to today (53 listed buildings), showing the evolution of styles and materials over time, including the use of the prized Igaliku red sandstone. There are four registered Inuit archaeological sites in this component. Burial grounds have been documented, including Thule burials, modern Christian burials and early 19<sup>th</sup> century burials that suggest a transition between traditional Inuit and Christian traditions. There are some facilities for tourists at Igaliku.

The additional information received from the State Party explains that this component is included because it contains the largest and most fertile agricultural land in Greenland. A complex irrigation system is found at Gardar, the cathedral, manor-centred settlement pattern and important seat of the Norse bishop of Greenland (Christendom's westernmost episcopal see in the Middle Ages). Igaliku is also the first site of historical Inuit farming, and contains important Inuit stone houses.

#### 3. Sissarluttoq (3.39 km<sup>2</sup>)

The name of this component means 'poor landing site' and it is perched within a steep landscape setting, with good conditions for growing hay. This is the smallest of the five components and it features a single Greenlandic Norse farmstead that is particularly large and well preserved. It consists of over 40 domestic and farm structures (dwellings, animal pens, byres and stores), set within a relatively isolated plain on a high plateau, surrounded by grazing areas. A number of Norse dry stone ruin structures are present, demonstrating this specific building technique. There are no Inuit sites or Inuit farming attributes in this component, and no post-medieval elements other than some fences and two huts built in the 1970s. Access to this component is not easy due to its location.

The additional information received from the State Party explains that this component is included because it is the single most well-preserved Norse farm in Greenland. It is considered by the State Party to be unique, and features uncultivated meadows and summer pastures.

#### 4. Tasikuluulik (Vatnahverfi) (75.42 km<sup>2</sup>)

This large component is located along the southern coast of the fjord. Its Norse place name Vatnahverfi

means 'lake district', and includes the small plain of Igaliku Kujalleq (Höfða), which has a major Norse Greenlandic church farm. Several large glaciers, ice and Katabatic winds are found further inland from this component, creating a very dynamic landscape formed by the build up of deposited sediment known as the *Sandur* of Tasikuluulik (which might contain archaeological sites under the shifting dunes). Further west is an area with many lakes and dense scrub woodland which features a number of small- to medium-sized farm sites. Andreas Egede from Igaliku was the first to settle in Igaliku Kujalleq in 1934, but farms were not established in the inland part of Tasikuluulik until the 1980s. This is the best researched component in terms of archaeological documentation and excavation, which commenced in the 19<sup>th</sup> century. There are no Thule Inuit sites, 19 Norse archaeological sites, 6 farms, and one listed historic building (1946) within the boundary of the component.

The additional information received from the State Party explains that this component is included because it is the location of Greenland's longest rural road connecting sheep farms, and its inland/lakeside settlement and small/medium sheep and goat grazing farms. The name Vatnahverfi is the only district name to survive from medieval times. It demonstrates use of woodland resources and winter pastures.

#### 5. Qaortukuloq (Hvalsey)

This component is located in the transition zone between the inner and outer fjords and contains 11 Norse sites, and 2 Thule Inuit sites. This area contains good grazing land, but is less productive for hay making, and farm sizes tend to be smaller than in the other components. Hvalsey ('whale island') is located in this component and is the most iconic Greenlandic Norse site within the nominated property. It includes a large dry stone church, the best-preserved Norse ruin in Greenland, and a number of other structures (16 registered structures occur within the site of Hvalsey). Researchers speculate that the surrounding farms supported the important status of Hvalsey. There is no modern settlement at Hvalsey, although there is sheep grazing. There is a jetty, which allows easy access to the site by boat.

Also located within this component is Upernaviarsuk, the location of a current Greenland government research and training centre for farming. This location is important in the history of the revival of farming in the 18<sup>th</sup> century. The first farming activities since the Norse occurred here in 1780, by Anders Olsen and his Inuit wife Tuperna, before moving to Igaliku. The foundations of their dwellings are legible and provide evidence of the cultural adaptations to the environment, and to farming by the European colonists and Inuit people. There are also a number of Thule burials, evidence of 20<sup>th</sup> century farming, and fields for growing crops and grazing.

The additional information received from the State Party explains that this component is included because it completes the property's set of Norse and Inuit

settlement layouts and farming practices. It provides evidence of horizontal transhumance. Hvalsey is Greenland's single largest and best preserved Norse ruin, and was the site of a church wedding in 1408, the last known sign of the Norse in Greenland.

#### History and development

The State Party has explained that the cultural history of Greenland is characterised by a series of in-migrations of different cultures interspersed by long periods when there were no people in parts of, or even the entire of Greenland. In general, Greenland's cultural landscape is comprised of several key phases of cultural history starting with the Palaeo-Eskimo hunter-gatherer peoples of North American origins (the Arctic Small Tool Tradition of the Saqqaq and Independence I-II; and Greenlandic Dorset cultures) from 2400 BC. Norse settlers arrived in southern Greenland from 1000 AD; and the Thule Inuit period can possibly be traced from at least the 13<sup>th</sup> century; and modern farming of the landscape was introduced from the late 18<sup>th</sup> century by European/Inuit peoples.

Understanding the cultural histories for Greenland is essential for appreciating the distinctiveness of the land uses of Kujataa. There are seven sites that provide evidence of Palaeo-Eskimo occupation of the nominated property from the 3<sup>rd</sup> millennium BC. These sites share similarities with those elsewhere in Greenland and in Canada.

From the 10<sup>th</sup> century AD, Norse colonists from Iceland led by Eiríkr rauði (Erik the Red) settled in this area for a period of approximately 500 years. The Norse settled in two main parts of Greenland. The larger Eastern settlement (Eystribyggð) is the focus of Kujataa; and the Western settlement (Vestribyggð) was located further north, along Greenland's west coast. From the 13<sup>th</sup> century, Norse Greenlandic settlements had their own bishop, ecclesiastical and secular administrations, and trade networks. This was the extreme edge of Norse settlement, yet their disappearance from Greenland in the 15<sup>th</sup> century has not yet been well explained.

Thule Inuit peoples have lived in Greenland from at least the 13<sup>th</sup> or 14<sup>th</sup> century onwards, and in Kujataa from at least the 15<sup>th</sup> century (although the State Party has advised that there has been little scientific dating applied to Thule archaeological sites). This is an under-researched aspect of the area's history. It is possible that there was a substantial period of co-existence of Norse and Thule Inuit peoples in Greenland (up to 250 years, according to the State Party). This raises interesting, but currently unanswered questions about their interactions and influences, and the potential continuities between the two separate periods of farming at Kujataa. There are different phases of Thule Inuit occupation proposed by the State Party, responding to different climatic conditions and resources over time. In general, the Thule Inuit sites demonstrate a high degree of mobility and seasonal movements, with a very high dependence on marine resources, especially seals. From the 16<sup>th</sup> century, trading

with European explorers, traders and missionaries also became an important component of Thule Inuit life. In the 18<sup>th</sup> century epidemics of European diseases such as small pox also affected Thule Inuit settlement patterns. The Greenland Inuit of today trace their ancestry directly from the Thule Inuit, along with Scandinavian and European elements and traits.

The period of Inuit farming covers the time period from the late 18<sup>th</sup> century to the present. The nominated cultural landscape represents two periods of settlement and subsistence based on a combination of farming, grazing and hunting of marine mammals (particularly seals): the Norse Greenlandic culture which occupied this area between the late 10<sup>th</sup> century and mid-15<sup>th</sup> century; and the Inuit culture which has farmed in this area from the 1780s to the present. While these cultures are distinct, and a period of several centuries separates them, the State Party argues that they share their reliance on animal husbandry, farming and marine mammal hunting within a marginal environment. For this reason, the State Party asserts common land-use patterns across these periods of time, giving the landscape its distinctive character. The State Party explains that the farming landscape bears witness to both cultures and to the continuities that have allowed modern farming to develop from a 'medieval mould'. Both cultures depended on their knowledge of the climate, and on their ability to utilise the extensive marine resources.

The State Party has identified the tangible and intangible attributes of each period of cultural history, and also shared attributes that include the landscape setting, home fields and meadows, flora and pastureland, domestic livestock, dependency on marine and other wild natural resources, and landscape settlement patterns.

The Norse Greenlandic population possibly reached 2,000-3,000 people at its peak. Its settlements were substantial, and included a well-established ecclesiastical and secular administration centred on the selected components of Kujataa. The settlements relied on a unique mix of animal husbandry. Like other Norse cultures, cattle were a focus of subsistence, but there were also sheep, goats, horses and pigs, all augmented significantly by seal hunting and long-range walrus and polar bear hunts. The Norse traded tusks and hides, live polar bears and possibly gyrfalcons. The reasons for the end of the Norse Greenlandic settlement are unclear, and are the subject of debate. Norse Greenlandic history and cultural traditions are richly recorded in the Icelandic sagas.

Danish-Norwegian trading posts, and Moravian missions were established in western Greenland from 1721 and encouraged gardening of vegetables. The first trading post in Kujataa was established at Qaqortoq in 1775. After a gap of 300 years, farming was introduced again in 1783, by an Inuit woman, Tuperna and her Norwegian husband, Anders Olsen with a few cattle and goats. Their farm was at the location of the former Norse Greenlandic bishop's residence at Igaliku (after an earlier effort at

Upernaviarsuk in 1781); and a community became established which combined farming/gardening, grazing of sheep, goats and cattle, and traditional Inuit hunting of marine mammals. Specialised sheep farming was introduced to Kujataa in the early 20<sup>th</sup> century at Qassiarsuk. With the increased successes of sheep grazing, cattle and goat numbers declined in the 20<sup>th</sup> century, and there were no cattle in Greenland at all between 1975-1998. Small numbers of cattle have been re-introduced since that time in order to establish a local supply of fresh milk (although some beef herds have been reintroduced in the past decade). In 2014, the total head of cattle within the nominated property was 45.

Today, most of the 50 farming families in Kujataa trace their ancestry to Tuperna and Anders Olsen and identify as Inuit. The State Party estimates that the nominated property contains 61% of all sheep in Greenland, 31% of all cattle, and 77% of all horses. The modern sheep farms produce about 75% of the mutton consumed in Greenland and contribute to the efforts to improve food security.

The environmental factors that support agriculture are specific to this area and are crucial to understanding the historical patterns and phases of the landscape. These include the location in the fjord, availability of fertile soil and the climate (which has varied through time). There is a contrast between the cultivated and uncultivated lands that underlines the specific balance of these factors.

As noted previously, the hunting of marine mammals and fishing were essential to both phases of farming cultures, especially the abundant populations of seals hunted on the summer drift ice from the outer fjords.

The State Party explains that on one side were Norse farmers that over time became hunters and sealers; and on the other were Thule Inuit hunters that over time became farmers. According to the State Party, while the seasonal hunting took place throughout the wider coastal areas and fjords, the resources were brought back to the farms. There are therefore scarce tangible attributes that directly relate to this key subsistence activity. The farms were – and still are – the focal locations for the distinctive lifeways of the two farming cultures in this area.

### **3 Justification for inscription, integrity and authenticity**

#### **Comparative analysis**

The Comparative Analysis is presented in two parts: the internal comparison with sites within Greenland; and external comparison including World Heritage and Tentative Lists properties and other areas throughout the world with comparable attributes and/or cultural histories.

The additional information received from the State Party reports that there are more than 550 sites associated with the Norse Eastern Settlement, and that these are found throughout southern Greenland. The internal

comparison compares the nominated components of Kujataa with other areas according to the range and preservation of Norse Greenlandic site types (such as churches, large estates, monumental architecture, feasting halls and farms); the Norse Greenlandic settlement densities; landscape types (coastal plains/strips, inland valleys, inner and outer fjords); the state of preservation and visibility of Norse Greenlandic archaeological sites; the existence of historical sources; the number of modern farms; and the number of listed historic buildings. The five components are compared with other Kujataa areas, as well as Vestribyggð, which is other main settlement area of the Norse Greenlanders in Greenland.

The State Party finds that the nominated property represents the full range of attributes associated with farming cultures in Kujataa within a coherent landscape/area that formed a centre of Norse Greenland, and subsequently the core area for modern farming. The selected components contain a strong representation of Norse Greenlandic archaeological sites, and a superior capacity to demonstrate central sites, large estates with churches and other monumental architecture. For example, the churches at Hvalsey and Gardar are the most monumental and well-known Norse Greenlandic ruins; and there are several exceptional examples of feasting halls.

Because of the specific ecological characteristics of Kujataa, this area is also the richest in relation to the modern period of farming in Greenland. This is demonstrated by the additional information provided by the State Party containing maps that show all Inuit sheep farm locations from 1906, and current farm localities.

The external comparison looks at properties on the World Heritage List and on the Tentative Lists according to several dimensions, including: farming landscapes in the subarctic, sea mammal hunting traditions, farming landscapes in marginal environments and modern farming at high latitudes. Accordingly, the State Party compares the nominated property with World Heritage properties: L'Anse aux Meadows National Historic Site in Canada (1978, criterion (vi)); the Agricultural Landscape of Southern Öland in Sweden (2000, criteria (iv) and (v)); Vegaøyan – the Vega Archipelago in Norway (2004, (criterion v)); and St Kilda, in the United Kingdom (a mixed property inscribed for cultural criteria (iii) and (v) in 2005). Outside the World Heritage List, a number of areas were included in the comparative analysis, including: Norway's Lofoten Islands (Tentative List); the Minusinsk Basin in southern Siberia; Okhotsk culture; and the South Island of New Zealand. In the additional information provided by the State Party, further comparisons are also made with the Danish Tentative List property Aasivissuit-Nipisat, Inuit Hunting Ground between Ice and Sea (nominated in 2017); the transnational Tentative List property of Viking Monuments and Sites (Denmark, Germany, Latvia, Norway); and the Canadian Tentative List property of Quttinirpaaq. While all of the compared examples have

points of similarity to Kujataa and are associated with either Inuit or Norse cultural histories, the State Party demonstrates that the coincidence of both in the context of sub-Arctic farming is distinct; and that none of the compared examples have the same combination of land uses and cultural histories.

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ICOMOS considers that the revised comparative analysis justifies consideration of this property for the World Heritage List and has identified both the specificities of the nominated property and the distinctions that can be drawn with other areas. ICOMOS also considers that the comparative analysis has offered a rationale for the selection of the five components, and that continuing work on a sequenced understanding of all phases of human history in southern Greenland is desirable.

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### **Justification of Outstanding Universal Value**

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

- Together the five components represent an outstanding example of human land use and settlement in the arctic based on two distinct farming cultures based on animal husbandry and marine mammal hunting – Norse Greenlandic culture (10<sup>th</sup>-15<sup>th</sup> centuries) and an Inuit culture (from 18<sup>th</sup> century to the present);
- The Norse Greenlandic culture in this area represents the earliest introduction of farming to the Arctic, and is the first European settlement in the 'New World';
- The cultural landscape has been shaped by grazing in both historical periods, in an environment that is marginal for farming;
- The landscape represents a comprehensive range of sites of Norse Greenlandic culture, including examples of monumental architecture.

ICOMOS considers that this justification is appropriate; and that the serial approach is justified on the grounds that a range of farming sites and settlements are needed to represent the cultures that have contributed to the cultural landscape (including the Thule Inuit hunters). ICOMOS does not consider that the conceptualisation of the two major cultural-historical periods as demonstrating a 'continuity' or 'symbiosis' is necessary, since it is the uses by diverse cultures and their interactions with the environment at different time periods that lends distinctive interest and importance to the cultural landscape.

### **Integrity and authenticity**

#### **Integrity**

The integrity of the nominated property is based on the inclusion of a range of farming landscape elements that ensure that the property contains all the elements

necessary to convey the proposed Outstanding Universal Value.

ICOMOS considers that the components of the serial nomination include key attributes of the Norse and current farming systems; and that each also illustrates different facets of the land use patterns, landforms and cultural histories. Some juxtapose modern and Norse farms (eg. Igaliku); while others are relict archaeological landscapes where grazing occurs (eg. Hvalsey).

ICOMOS considers that although the nominated property is fragmented, it is large enough to include sufficient representation of the landscape and archaeological attributes related to the proposed Outstanding Universal Value; and that processes associated with Norse settlement and modern farming are exhibited within the boundaries of the five components. The nominated components are of sufficient size to sustain continued agricultural uses.

ICOMOS considers that the condition of the attributes is satisfactory, and that while there are a range of potential threats, these are adequately managed at present. However, the range and scale of proposed mining, energy and infrastructure development projects in this area of southern Greenland adds to the potential threats on the ability to retain the integrity of the serial property.

ICOMOS considers that the integrity of the whole series has been justified through the Additional Information provided by the State Party. The integrity of the individual components that comprise the series has been demonstrated, but are vulnerable, particularly in light of the potential for nearby and large-scale mining, energy and infrastructure projects and the lack of full protection for the buffer zones. This adds vulnerability to the attributes of the property.

#### Authenticity

The authenticity of the nominated property is based on the pastoral character of the landscape, which was introduced from the 10<sup>th</sup> century AD, the archaeological evidence of Norse Greenlandic settlement and farming found at a number of sites within the nominated components; and the form, materials and design of farm buildings and monumental architecture from both historical periods. ICOMOS considers that the settlement patterns of the Norse landscape are legible in and between the selected components; but that the post-18<sup>th</sup> century landscape is less clearly visualised, especially in terms of the relationships between parts and elements of the landscape. Further research, mapping and interpretation is recommended.

Conservation of architectural attributes has aimed to ensure their structural stability; and most archaeological sites have not been modified by human activity since their abandonment. Detailed historical documentation supports the authenticity of many attributes.

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ICOMOS considers that the authenticity of the whole series has been justified; and that the authenticity of the individual sites that comprise the series has been demonstrated.

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In conclusion, ICOMOS considers that the conditions of authenticity and integrity of the whole series has been justified. For individual sites, the conditions of integrity and authenticity have been met, although their integrity could become vulnerable due to the future impacts of mining, energy and infrastructure projects; and the lack of full protection for the buffer zones.

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#### Criteria under which inscription is proposed

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

*Criterion (v): be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;*

This criterion is justified by the State Party on the basis of the unique farming traditions that have developed in southern Greenland. Although marginal for farming, Kujataa's relatively mild climate has allowed the development of settlements based on farming and hunting during two major historical periods (including the present period), resulting in a distinctive and vulnerable cultural landscape.

ICOMOS considers that the phases of Norse Greenlandic and European-Inuit settlement have resulted in a remarkable and distinctive cultural landscape based on land use practices within a specific ecological niche that could support farming and pastoralism when complemented with the hunting of marine animals. The specific climatic conditions that allowed two different cultural traditions to develop land use, settlement and subsistence within this extreme setting have allowed the Inuit farming landscape to reveal and visualise the earlier Norse settlements in an exceptional way.

The State Party identifies a number of Thule hunter-gatherer sites as attributes within the nominated property, but the links to the proposed justification of Outstanding Universal Value are not well made. Given the importance of the Thule Inuit within the sequence of cultural histories of Greenland, ICOMOS considers that the understanding of the nominated property as a cultural landscape would be enhanced if this aspect were better tied into the overall narrative in relation to the human adaptation to environmental conditions, and the Inuit shift to more sedentary land use patterns and lifestyles. ICOMOS also notes that the Thule Inuit sites are archaeologically important and deserving of conservation and inclusion in interpretation in their own right, and welcomes the State Party's interest in



continuing to encourage research into this aspect of the past.

Based on advice from IUCN, ICOMOS also notes that the nominated area contains significant geological features. The Gardar Province contains an important record of one of the earliest known rifting events, and a well preserved record of intrusive and volcanic igneous sequences that have been researched by geologists for over a century. While the State Party has not proposed the consideration of criterion (viii), these important natural values should nevertheless be recognised and well managed within the nominated property.

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In conclusion, ICOMOS considers that criterion (v) has been justified and the conditions of authenticity and integrity have been met.

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#### **Description of the attributes**

The attributes of the property are: the structures and archaeological sites and artefacts associated with the Norse settlement of Kujataa; the home fields of the farms, pasturelands and meadows; vegetation patterns associated with farming and grazing; the landscape settings (including landforms and ecological characteristics) of the five components; historic routes and roads; Inuit farming houses and associated buildings (listed historic buildings). The State Party has also identified a wealth of intangible attributes of the potential Outstanding Universal Value of the property, including language, historical place names, ecological knowledge, crafts and seasonal rituals and activities.

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

Agriculture, tourism and mining are the key economic drivers for the southern region of Greenland, and part of Greenland's efforts to achieve greater autonomy.

Agricultural practices are integral to the proposed values of the nominated property, but can also pose pressures through overgrazing and through the impact of farming activities on archaeological resources such as Norse stone structures. Government authorities have recently introduced new requirements that prevent winter grazing throughout the region in order to reduce erosion and improve the health of the flocks. Otherwise, sheep move freely through the grazing lands, but do not seem to have a significant direct impact on the archaeological resources.

ICOMOS considers that the attributes of the current farming landscape could be vulnerable to future intensification of agriculture, including the move to larger farms and larger flocks to improve their economic viability (this was confirmed by the State Party as possible future change). Introduction of new crops is also possible in the future, but without much analysis of the impacts on the attributes of the potential Outstanding Universal Value. The Additional Information provided by the State Party

indicates that the limited extent of arable land in Kujataa precludes major extension or reorganisation of farming land. Continued intensification (fertilisation, irrigation, draining of meadows) can be expected, as well as an increase in the number of smaller plots. These are considered unlikely to affect the existing home field layouts. There is therefore some awareness by the State Party about these issues, but more specificity about the attributes that should be maintained in contexts of change should be incorporated into the management system for the nominated property.

The environmental conditions of the nominated property are considered fragile. Natural processes of erosion are evident throughout the nominated property, including coastal areas and mountain areas. In some cases, archaeological evidence could be uncovered through erosion. This requires ongoing processes of survey and monitoring of the condition of archaeological sites.

The State Party notes that environmental pressures due to climate change can be observed throughout the property. Sea level rise, coastal erosion, and increased temperatures are recognised, and there are different climate scenarios for the effects on precipitation. The greatest potential pressures are those that could impact on the viability of agriculture and the length of the growing season. The State Party has also recognised the potential impacts on the preservation of archaeological materials and historic buildings, and notes the possible future need for irrigation systems.

While the nominated property is exempt from mining by the Government of Greenland, mining is a significant economic activity and is expected to contribute significantly to future employment. Additional information provided by the State Party explained that mining concessions now surround most of the components following the relinquishing of mining concessions that formed a necessary part of the World Heritage nomination process. These are exploration rather than exploitation licenses and no mining activity is current, with the exception of the 'TaNbREEZ project' (within 5 km of component 5) and 'Kvanefjeldet' (20 km from component 5) which are undergoing Environmental Impact Assessment. The State Party is confident that there will no impacts on the nominated components, and the views of the Steering Group of the Kujataa World Heritage project will be sought.

The most imminent future pressure is likely to arise from the exploration of numerous areas near to the nominated components; and the possible exploitation of a rare earth and uranium mine associated with the Ilimaussaq intrusive complex, located approximately 15-20 km from the Qassiarsuk, Sissarluttoq and Qaqortukuloq components. Some stakeholders have voiced concerns about the impacts include uranium contamination of grazing areas and on the health and safety of residents and visitors. The project is subject to assessments of the impacts on health and the environment, and the economic viability of the project has not yet been demonstrated.

ICOMOS considers that Environmental Impact Assessment processes are often inadequate for assessing the impacts of proposals on the cultural values of World Heritage properties, and strongly recommends the urgent development of 'Heritage Impact Assessment' processes for these and other proposed mining and development projects.

ICOMOS also notes that such mining projects can require significant infrastructure works beyond the mining areas themselves. For this reason, the identified projects are inevitably sensitive given that they are near the nominated property, and represent potential projects of significant scale and economic value.

Infrastructure development inside and surrounding the nominated property has the potential to impact on its values. According to the additional information received from the State Party, currently planned projects include a new water supply system for Igaliku (2017); waterworks for Qassiarsuk (2017); road and bridge construction to connect Narsarsuaq with Qassiarsuk, and Igaliku with Sissarluttoq; extension of the Qorlotorsuaq hydropower plant (12 km east of the nominated area), including a dam, road access and small harbour (2017-2018); and a new airport 6 km north of Qaqortoq that will support tourism to the nominated property as well as movements within Greenland (2018-2020). A renewable energy pilot project was initiated on the northern outskirts of Igaliku in 2016, with modifications to the locations and size of wind turbines made to minimise visual impacts. Smaller projects include building modifications, and new houses, particularly at Igaliku.

The Greenland government and Kujalleq municipality have demonstrated some capacity to identify and address the impacts of infrastructure projects and take mitigating actions. A major transmission line was buried several years ago in Hvalsey to protect the visual integrity of the nominated property; and a proposed renewable energy project at Igaliku has recently been moved to a much less visible location.

ICOMOS considers that it would be desirable that the State Party consider the integration of a Heritage Impact Assessment approach into the management system, so as to ensure that any programme or project regarding the property be assessed in relation to its impacts on the Outstanding Universal Value and its supporting attributes. All major projects that could impact on the series should be communicated to the World Heritage Committee in line with paragraph 172 of *Operational Guidelines for the Implementation of the World Heritage Convention*.

Currently visitor impact is minimal, as well as transport infrastructure. Most tourists are dependent on tour operators for access to the nominated components. In the future, visitor numbers are expected to increase, and new/improved infrastructure such as roads, wharves and visitor services might be required at Igaliku, Kujalleq, Qassiarsuk and Sissarluttoq. The Government of Greenland as decided to build a new airport at Qaqortoq;

and regional visitor centres are being considered. An independent organisation is being established to operate and staff the regional visitor centres, but this is not yet in place. The Municipality has established and funded a destination management company (Destination South Greenland) to support product development.

ICOMOS considers that the long-term management of tourism could be considered in more depth, and give more attention to the interpretation programs, and to the social and cultural pressures that could arise.

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Aside from the ongoing environmental pressures (including those associated with climate change), ICOMOS considers that the main threats to the property are mining and infrastructure development, and intensification of agriculture; and that greater attention and detailed planning is needed for the area's tourism management.

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## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The boundaries of the five components have been drawn utilising the low tide mark, and follow topographic features (rivers, lakes and occasionally contour lines). Key attributes are included within these boundaries. While the boundaries are arbitrarily drawn to allow a representative set of components to be included, ICOMOS has no specific concerns with the boundaries provided.

The additional information provided by the State Party confirms that the process of developing the World Heritage nomination involved the relinquishing of mining concessions in some areas. ICOMOS considers that this is a pragmatic rationale, but that the boundaries are not legible on the ground in all cases, and do not fully include associated waterways.

In the submitted nomination, no buffer zones were established for the components of the serial nomination. The State Party had justified this on the basis that each component has been drawn in order to include all necessary attributes of the cultural landscape; and that all boundaries have been established at least 100m away from any known archaeological sites. The system of legal protection creates protective zones around many of the attributes. The legislation for Cultural Heritage Protection and Conservation establishes a zone of protection of 20 metres for all ancient monuments (which allow agricultural cultivation within 2 metres from a monument). Municipal planning mechanisms provide wider protection zones around 'cultural heritage areas' such as the ruin groups at Sissarluttoq and Hvalsey. No agricultural activities are permitted in these areas other than summer sheep grazing. Important ruins in Qassiarsuk and Igaliku also have protection zones provided through municipal planning mechanisms. ICOMOS also notes that the

'blanket protection' for heritage resources in Greenland applies to all areas outside the drawn property boundaries.

Based on exchanges with ICOMOS, in February 2017 the State Party established a buffer zone around component 1, and another buffer zone, which encompasses components 2, 3, 4 and 5. The establishment of the buffer zone provisions is implemented through the new Municipal Plan for the Kujalleq Municipality (2017-2018), utilising the land management regulatory framework. The Kujalleq Municipality has also recognised complementary requirements to ensure the continued integrity of farming landscapes and agricultural and pastoral land uses.

ICOMOS welcomes the State Party's decision to establish buffer zones for the components of the serial property due to the potential for significant pressures in the nearby areas. However, the information provided by the State Party clearly shows that there are mining exploration licenses throughout the newly applied buffer zones, raising serious concerns about the ability of these buffer zones to act as an added layer of protection to the nominated property (*Operational Guidelines*, par. 104). More work is needed on the protection measures for the buffer zones, including clear objectives that are tied to the ability of the Outstanding Universal Value of the nominated serial property to be sustained.

ICOMOS considers that the boundaries of the nominated property and the recently established buffer zones are satisfactorily delineated, but that there is insufficient protection provided to the buffer zones. The existence of mining exploration licenses throughout most of the buffer zone areas is of particular concern; and ICOMOS questions whether there will be future conflicts between mining and agricultural/pastoral uses that support the continuing cultural landscape. Continued work to clarify the permitted land uses and specific protective mechanisms in the buffer zones is needed.

#### **Ownership**

There is no private ownership in Greenland, and all land is owned by the Government of Greenland. There is a system of allotments of land that legally permit use of public lands for private purposes for specified periods of time. All ancient monuments pre-dating 1900 are owned by the Government of Greenland and administered by the Greenland National Museum and Archives. Some buildings within the nominated property are privately owned.

#### **Protection**

A number of legal protection mechanisms apply to the nominated property: Heritage Protection Act (Act no. 11, 19 May 2010) on Cultural Heritage Protection and Conservation; Executive Order on Cultural Heritage Protection (approved in July 2016, and entered into force on 1 August 2016); the Museum Act (Inatsisartut Act no. 8, 3 June 2015); and the Planning Act (Act no. 17, 17 November 2010). In addition to protection of material

cultural heritage, the Museum Act protects immaterial (intangible) culture heritage in accordance with the 2003 UNESCO Convention on the Safeguarding of the Intangible Cultural Heritage (ratified by Denmark in 2009).

A number of legal mechanisms apply for the protection of natural heritage, agriculture and grazing, mineral resources activities, construction, development, sanitation and public roads, large-scale construction projects, use of hydropower, harbour and cruise ship passenger taxes, and tourism.

Mining approvals are subject to strict legal and policy requirements through the Mineral Resources Act (7 December 2009). Exploitation licence applications are subject to Environmental Impact Assessment and Social Impact Assessment (each with public hearing and consultation requirements); and must have an impact mitigation plan. The Greenland National Museum and Archives can require archaeological investigations.

The Heritage Protection Act creates protection for ancient monuments, historic buildings and historical areas. All ancient monuments in the property are protected by the Greenland Parliament Act on Cultural Heritage Protection and Conservation. Listed buildings within the property are protected by Greenland laws and municipal planning. Because property is not privately owned, activities and constructions require permits to the Kujalleq municipality or the Greenland Government. The Greenland National Museum and Archives is the responsible authority and provides advice to owners. Demolition is prohibited and alterations are controlled.

Protection of the landscape and natural attributes is provided by a wide range of laws and planning regulations, including the Acts on Preservation of Natural Amenities, Environmental Protection and Catchment and Hunting; and there are laws pertaining to the different land uses within and outside the nominated property. The Nature Protection Act (Act no. 29, 18 December 2003) provides for the management of landscape values and the sustainable use of natural resources, including agriculture. However, the coordination of so many legal mechanisms is not straightforward. ICOMOS therefore considers that the Executive Order on Cultural Heritage Protection (July 2016) provides the essential for the overall protection of the proposed World Heritage property.

ICOMOS notes that changes to the status of Greenland (2008-2009) have resulted in increased autonomy and responsibility, as well as added pressure to the budget.

ICOMOS considers that the legal protection in place is adequate.

#### **Conservation**

The Norse archaeological resources within the nominated components have been inventoried for almost a century; and the most well-known sites such as Hvalsey and Gardar have been recorded in detail, including the location of each stone so that any that fall can be replaced.

Modern technologies of recording have assisted this detailed recording. Active conservation measures include survey, recording, stabilisation and some anastylosis oriented at sustaining the integrity and legibility of the elements.

The State Party acknowledges that research about the sites within the property is ongoing, and that there is still much to learn about them. The efforts to record and document Palaeo-Eskimo and Thule Inuit sites has been less systematic. Many historic structures have been inventoried, but work is continuing on both the recording and assessment of significance. Some adaptive reuse of historic buildings has occurred.

The inventorying of landscape features is less comprehensive. For example, there are unanswered questions about the antiquity of some road alignments. Landscape features, such as roads, field patterns, landforms and sight lines are maintained by the farmers.

ICOMOS considers that the state of conservation of the archaeological sites is good, although natural processes of erosion are a continuing pressure; excavations at Hvalsey in the 1930s have disturbed the ruins of the dwellings and other farm structures and reduced the readability of these attributes. Occasionally, dry stone structures collapse; as a precautionary approach, archaeologists record the location of each stone, allowing them to be repositioned when collapses occur. Maintenance of ruins involves stabilising stone walls in order for them to remain legible.

The condition of the 19<sup>th</sup> and 20<sup>th</sup> century historic structures is generally good (Qassiarsuk and Igaliku). Many of these are lived in which supports their conservation.

The condition of the landscape (landscape patterns, range of landscapes, relationship between historic structures and modern buildings) is generally good, due to the continued use for agriculture.

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ICOMOS considers that while active conservation actions and maintenance are needed on an ongoing basis, the state of conservation of the attributes of this nominated property is good. ICOMOS recommends that inventorying activities be expanded to include historic landscape features.

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## **Management**

Management structures and processes, including traditional management processes

A Steering Committee has been established with representatives from the Government of Greenland, the Greenland national Museum and Archives, Kujalleq Municipality, village councils, sheep farmers, the Danish Agency for Culture and the tourism industry.

ICOMOS considers that the current basis for the Steering Committee rests on relatively informal understandings between its members. Its roles and responsibilities could be formalised and conflict resolution procedures should be developed.

Day to day management is the responsibility of a local secretariat, headed by a site manager and park rangers. Staffing levels and expertise available seem adequate, particularly for the Norse archaeological sites; however, additional staffing capacity and expertise in tourism management is desirable. Archaeological investigations and recording are undertaken by archaeologists under permit by the Government of Greenland (National Museum and Archives); and work on historic structures is done under the direction of the government heritage architect. Academic institutions are encouraged to carry out archaeological research.

Financial resources are provided annually by the Government of Greenland, Kujalleq Municipality and Danish Agency for Culture and Palaces. Overall, the financial resources for conservation work and maintenance are modest, raising questions about whether there is sufficient secure funding for conservation and maintenance works (especially urgent issues). Conservation projects are dependent on third party funding sources; and some capital for infrastructure projects seems depending on developer contributions. An 'agricultural consultancy service' is provided by the Government of Greenland to advise farmers. The State Party is considering the introduction of admission charges for visitor access to tourism sites and/or specific taxes for tourism.

There are no particular threats associated with natural disasters in this part of Greenland, and risk preparedness is focused on fire response and sea rescues.

Policy framework: management plans and arrangements, including visitor management and presentation

The Management Plan was developed by a working group with representatives from the key Greenland and local government authorities, and sets out agreed objectives. Currently, various decision-making bodies have authority for certain aspects of the nominated area, and implements these through individual plans. Coordination is therefore a central issue. There are Actions Plan planned for each of the five components for ruin preservation and agricultural development. A site manager is expected to be employed in 2017.

Additional information provided by the State Party outlines relevant provisions of the National Tourism Strategy (2016-2020). It aims to enhance tourism to Greenland by reduced airfares and improved infrastructure, marketing training and development of new visitor centres. New harbour developments and airport planning are part of this Strategy, with the aim of doubling tourist air traffic by 2040.

The Tourism Strategy of the Kujalleq Municipality (2015-2020) has a focus on improved coordination and branding initiatives. The focus of the branding is on the Arctic Vikings and agro-tourism. Agro-tourism is being developed through web-based marketing between the farmers' cooperative Icelandic farm holidays and Visit Greenland (the national tourism board). The World Heritage nomination is an important objective for enhancing tourism to the area in each of these strategies. Improved transportation access, security and weather warning systems are part of the implementation of improved tourism. One or more visitor centres are envisaged, along with trails and farm tourism.

Visitor access to the nominated property is challenging. Most visitors arrive via cruise ships that dock at Qaqortoq or the airport at Narsarsuaq, and then access other areas by boat or helicopter. Other than the wharf at Hvalsey, the wharves are designed for transportation ships rather than the smaller boats typically used for visitors. Disembarkation can require jumping or use of steep ladders. Improving these small ports for visitors is planned. The existing visiting cruise ships come from the east coast of the United States or western Europe (about 20 in 2016), but this is likely to increase in the future.

In general, visitor management is not clearly organised. For example, there are few locations that have basic visitor services such as first aid, restrooms and water. The State Party has indicated that a visitor centre could be developed in the future; this is supported in principle, but plans should be communicated at an early stage to the World Heritage Committee in line with paragraph 172 of *Operational Guidelines for the Implementation of the World Heritage Convention*.

Interpretation is minimal and varies in quality. Efforts are made to guide visitors along paths to avoid impacts on archaeological sites or conflict with farming activities. Brattahlid (Qassiarsuk) has interpretive structures including a church, an Inuit winter house and a long house; but there are questions about the accuracy of the Inuit winter house and the archaeological resources are minimally interpreted. There is some interpretation in the church at Igaliku. Interpretation panels are provided at Gardar and Hvalsey, but none are not provided at Igaliku Kujalleq, Sissarluttoq or Upernaviarsuk (although something is planned at these locations).

There are three local museums near the nominated components. There is a privately established community museum at Narsarsuaq with a World Heritage exhibition; and there are public museums at Narsaq and Qaqortoq, both with Norse artefacts in their collections. In general, there is little opportunity for visitors to gain a deeper understanding about the significance of the property or to experience the cultural traditions of the living community. The government of Greenland is considering consolidating visitor activity in visitor centres in each region, and the one for the municipality of Kujalleq would be located in Qaqortoq. This could provide an opportunity for improved interpretation, but the plans are currently undefined.

Accommodation for visitors within the nominated property is limited. Narsarsuaq and Igaliku have modest hotel/hostel accommodation, while Qaqortoq has a wider range of hotels. The most common accommodation is in tents or guest house rooms in farms, sometimes as part of a package.

#### Involvement of the local communities

The population within the components of the nominated property is small, and it appears that the engagement of local people in the nomination and management processes are good.

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ICOMOS considers that the management system for the overall serial property is adequate, although the resources for implementation could be increased, and additional mechanisms are needed for sustained and direct engagement with authorities responsible for mining approvals and monitoring.

ICOMOS considers that the management plan provides a sound framework for decision-making, together with the operation of the Steering Committee, but that coordination amongst relevant organisations should be strengthened.

ICOMOS recommends that a higher priority be placed on further elaboration of tourism management planning; including the enhanced engagement of local people in interpretation.

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## 6 Monitoring

The State Party has indicated that monitoring arrangements were introduced in 2016 in order to generate some baseline data for the ongoing monitoring arrangements. Key indicators for measuring the state of conservation of archaeological sites, historic buildings, farming lands and tourism levels have been identified, along with the timing/frequency and responsibilities of various Greenland and municipal authorities.

ICOMOS notes that the monitoring system is yet to be fully implemented; and suggests that the monitoring arrangements for tourism developments and impacts need further elaboration (in association with the further development of tourism management planning).

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ICOMOS considers that the monitoring arrangements are satisfactory, but recommends that they be more explicitly focused on the attributes of Outstanding Universal Value.

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## 7 Conclusions

The extraordinary cultural landscape of Kujataa is comprised of dramatic natural features and processes that have shaped the layers of Norse Greenlandic and modern European/Inuit farming traditions. This is a compelling testimony of continuity and discontinuity of

settlement and highly adapted land uses by different cultures over a long expanse of human history. Cultural histories of in-migrations of Palaeo-Eskimo cultures, Norse farmers, Thule Inuit hunters and Inuit farming communities have developed in this very marginal farming landscape through a mix of farming, grazing and hunting of marine mammals. All of these cultural traditions have also contributed to the cultural landscape which is distinctive for its two cultural histories of farming and pastoralism.

From the 10<sup>th</sup> century AD, Norse colonists from Iceland led by Eiríkr rauði (Erik the Red) settled in this area for a period of approximately 500 years. The Norse settlement of Eystribyggð is the focus of Kujataa, and from the 13<sup>th</sup> century, Norse Greenlandic settlements had their own bishop, ecclesiastical and secular administrations, farms and trade networks. The disappearance of the Norse from Greenland in the 15<sup>th</sup> century is not well understood.

Thule Inuit peoples have lived in Greenland from at least the 13<sup>th</sup> or 14<sup>th</sup> century, and in Kujataa from at least the 15<sup>th</sup> century; and in the late 18<sup>th</sup> century Inuit families began farming in the same locations that had formed the nucleus of the Norse settlements centuries before. Inuit farming continues today.

Farming and grazing traditions by Norse and Inuit peoples have involved adaptations to the arctic conditions, deep understanding of the environmental context, and the ability to locate fertile land to grow grass and identify grazing areas. In Norse times, the cattle herds would graze in the hills and would return to the pens during the winter months. During those months, they would winter graze in the farm surroundings and would consume grass produced at the farm. This is apparent based on the types of archaeological structures and the natural setting. That tradition remains strong even though its genesis stems primarily from the revival of farming in the 18<sup>th</sup> century, and the successful professionalization of farming operations in the 19<sup>th</sup> and 20<sup>th</sup> centuries. The setting remains evocative of the harsh environmental conditions and the relationship with the fjord for transportation and hunting.

ICOMOS considers that the comparative analysis is comprehensive in its consideration of other subarctic farming areas and Norse sites, and that Additional Information provided by the State Party has explained the basis for the selection of the five components. Continued work to understand the inter-related components of the cultural landscape contributed by all phases of human history in southern Greenland is strongly encouraged.

ICOMOS finds that the nominated cultural landscape meets criterion (v) and has a strong potential to meet the requirements of Outstanding Universal Value. ICOMOS considers that the requirements of authenticity and integrity of the whole series have been met. The authenticity and integrity of the individual components that comprise the series have been demonstrated, but

the integrity could become vulnerable due to nearby and large-scale mining, energy and infrastructure projects.

While the two primary historical periods are significant and legible, the appreciation of Kujataa as a cultural landscape could continue to be improved. Moving beyond a thorough description of sites, ruins, buildings and other attributes to an understanding of the functioning of these historical landscapes and the inter-relationships between the elements is needed to see them as parts of several systems of land use and settlement. ICOMOS considers that the State Party has the knowledge and capacity to do this, and urges this further work as a matter of priority.

ICOMOS considers the landscape to be vulnerable now and into the future. Aside from the ongoing environmental pressures (including those associated with climate change), ICOMOS considers that the main threats to the property are mining and infrastructure development, and the potential for future intensification of agriculture. Greater attention and detailed planning for the area's tourism management is also a priority.

ICOMOS also considers that all major projects that could impact on the series should be communicated to the World Heritage Committee in line with paragraph 172 of *Operational Guidelines for the Implementation of the World Heritage Convention*. It will be essential in the future for all projects to be evaluated through Heritage Impact Assessments on the contribution of each of the component sites to Outstanding Universal Value. It is for this reasons that clearly defined monitoring indicators relating to the attributes of Outstanding Universal Value are so essential for all component sites.

ICOMOS considers that the delineation of the boundaries of the nominated property and the recently established buffer zones are adequate; but that there is insufficient protection provided to the buffer zones, especially in light of the existing mining exploration leases throughout these areas. Continued work to clarify the permitted land uses and specific protective mechanisms in the buffer zones is urgently needed.

ICOMOS considers that the legal protection of the property is sufficient, other than the continuing uncertainties about the legal protection of the buffer zones. While active conservation actions and maintenance is needed on an ongoing basis, the state of conservation of the attributes of this nominated property is satisfactory. The management system for the overall serial property is adequate, although the resources for implementation could be increased, and additional mechanisms seem necessary for sustained and direct engagement with authorities responsible for mining approvals and monitoring.

ICOMOS considers that the management plan provides a sound framework for decision-making, together with the operation of the Steering Committee, but that coordination amongst relevant organisations should be strengthened. A higher priority should be placed on

further elaboration of tourism management planning; including the enhanced engagement of local people in interpretation.

In the additional information received in February 2017, the State Party, at ICOMOS's request, suggests that the name of property could be changed from 'Kujataa - A Subarctic Farming Landscape in Greenland' to 'Kujataa Greenland: Norse and Inuit Farming at the Edge of the Ice Cap'.

mining approvals and monitoring in the management system for the serial property,

- f) Incorporating important geological heritage values of the property into the interpretation and management system,
- g) Further developing tourism management planning for the property;

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the nomination of Kujataa Greenland: Norse and Inuit Farming at the Edge of the Ice Cap, Denmark, be **referred back** to the State Party in order to:

- a) Further clarify the permitted land uses and provide specific protective mechanisms in the buffer zones (including protection from mining exploration and extraction in these areas);

### Additional recommendations

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

- a) Developing and implementing 'Heritage Impact Assessment' as a matter of urgency for development proposals (including mining exploration and extractions), and changes to agricultural land uses (such as moves to larger farms and changes to farming practices and crops),
- b) Ensuring that all major projects that could impact on the Outstanding Universal Value of the series are communicated to the World Heritage Committee in line with paragraph 172 of *Operational Guidelines for the Implementation of the World Heritage Convention*,
- c) Continuing to improve the understanding of the different cultural/historical periods of settlement and use of this area by improving the mapping of hunting resources; survey, archaeological research and documentation of Palaeo-Eskimo and Thule Inuit sites; inventorying of historic landscape features; and enhanced recognition and presentation of intangible cultural heritage of the area,
- d) Further developing the management system to address the ways in which changing agricultural land uses can ensure the conservation of the agricultural and pastoral landscape attributes of the serial property,
- e) Developing and implementing mechanisms for direct engagement with authorities responsible for









A subarctic farming landscape



Igaliku Kullajeq plain with Norse ruins and modern buildings



Norse bishop's tithe barn in Igaliku



Ruins of main dwelling at Hvalsey



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## Taputapuātea (France) No 1529

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### Official name as proposed by the State Party

Taputapuātea

### Location

Island of Ra'iatea  
Leeward Islands  
French Polynesia

### Brief description

Taputapuātea on Ra'iatea Island is at the centre of the "Polynesian Triangle," the last part of the globe to be settled by humans. On a point projecting into the lagoon that surrounds the island is Taputapuātea, a political, ceremonial, funerary and religious centre, part of a complex of sacred spaces called *marae*. Two forested valleys that contain traces of ancient settlements are included in the property, as well as a portion of lagoon and coral reef and a strip of open ocean beyond. A break in the coral reef faces the Taputapuātea *marae* complex. Named Te Ava Mo'a, this sacred pass allows access from Taputapuātea to the ocean, and so to the other islands of Polynesia.

### Category of property

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

In terms of the *Operational Guidelines for the Implementation of the World Heritage Convention* (8 July 2015) paragraph 47, it is also a *cultural landscape*.

## 1 Basic data

### Included in the Tentative List

31 May 2010

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

22 January 2016

### Background

This is a new nomination.

### Consultations

ICOMOS has consulted its International Scientific Committees on Cultural Landscapes and on Archeological Heritage Management and several independent experts.

Comments about the evaluation of this property were received from IUCN in November 2016. ICOMOS carefully examined this information to arrive at its final decision and its March 2017 recommendation; IUCN also reviewed the presentation of its comments included in this ICOMOS report. IUCN's will include the full comments as provided to ICOMOS in its evaluation book 41COM.INF.8B2.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 12 to 21 September 2016.

### Additional information received by ICOMOS

On 3 October 2016, ICOMOS sent a letter to the State Party, requesting additional information on restoration works. The State Party answered on 7 November 2016 and communicated to ICOMOS the details of the investigations and restoration activities carried on the *marae* during the 20<sup>th</sup> century and a discussion of the integrity and authenticity of the *marae* in light of these studies and works. This additional information has been incorporated into the relevant sections below.

On 19 December 2016, ICOMOS sent to the State Party an interim report requesting additional information on the justification for inscription and on the protection of the property.

A response by the State Party was sent on 21 February 2017. This additional information has been incorporated into the relevant sections below.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

Ra'iatea Island is at the centre of the "Polynesian Triangle," a vast section of the Pacific Ocean dotted with islands, the last part of the globe to be settled by humans. The nominated property Taputapuātea is a cultural landscape and seascape on Ra'iatea. At the heart of the property is the Taputapuātea *marae* complex, a political, ceremonial, funerary and religious centre. The complex is positioned between the land and sea on the end of a peninsula that juts into the lagoon surrounding the island. *Marae* are sacred ceremonial and social spaces that are found throughout Polynesia. In the Society Islands, *marae* have developed into quadrilateral paved courtyards with a rectangular platform at one end, called an *ahu*. They have many simultaneous functions.

At the centre of the Taputapuātea *marae* complex is *marae* Taputapuātea itself, 44 m wide by 60 m long and paved with slabs of basalt. On the east side, its *ahu* is a long low narrow platform composed of basalt rock and coral slabs set on end and filled with blocks of coral and basalt. Inside the *ahu* are two smaller earlier versions, one built around the other. A banyan tree grows from the

south end of the *ahu* platform. *Marae* Taputapuātea is dedicated to the god 'Oro and it is the place where the world of the living (Te Ao) intersects the world of the ancestors and gods (Te Pō). It also expresses political power and relationships. The *marae* complex was at the centre of a network among the line of Tamatoa chiefs that connected Taputapuātea to other islands in eastern Polynesia. The building of outrigger canoes and ocean navigation were key skills in maintaining this network.

Other *marae* are also part of the complex. The courtyard of *marae* Hauviri, located on the edge of the lagoon, is surrounded by a low wall constructed during a 1995 restoration. Its *ahu* faces the lagoon directly. A large standing stone in the middle of this *marae* is Te Papa Tea o Rueda, the setting for ceremonies that mark the investiture of chiefs. Three other named *marae*, ō-Hiro, 'Ōputeina and Tau'aitū, are linked to lesser ranked families. Natural features include the former location of a spring named Ro'itōmōana; a hill, Matarepētā, that overlooks the complex; and a small beach, Taura'a-tapu, where arriving outrigger canoes made landfall. Recent constructions are also present: Papa Te Fa'atau Arōfa, a rock platform built in 1995 to display offerings, and a commemorative rock placed in 2007. Non-ceremonial recent constructions at the edge of the complex include a recreational beach, parking lot, toilets, and a caretaker's house.

A traditional landscape surrounds both sides of the Taputapuātea *marae* complex. The *marae* complex looks out to Te Ava Mo'a, a sacred pass in the reef that bounds the lagoon. Atāra *motu* is an islet in the reef and a habitat for seabirds. Ocean-going arrivals waited here before being led through the sacred pass and then formally welcomed at Taputapuātea. On the landward side, 'Ōpo'a and Hotopu'u are forested valleys ringed by ridges and the sacred mountain of Tea'etapu. The upland portions of the valleys feature older *marae*, such as *marae* Vaeāra'i and *marae* Taumariari, agricultural terraces, archaeological traces of habitations and named features related to traditions of gods and ancestors. Vegetation in the valleys is a mix of species, some endemic to Ra'iatea, some common to other Polynesian islands and some imported food species brought by ancient Polynesians for cultivation.

### History and development

Human expansion into eastern Polynesia began in the 9<sup>th</sup> or 10<sup>th</sup> century AD, with populations spreading out from established settlements on Tonga and Samoa to the Cook Islands, the Society Islands (including Ra'iatea), the Southern Islands, the Marquesas, Hawaii, Rapa Nui (Easter Island) and finally 300 years later, the islands of Te Aotearoa (New Zealand). The adoption of the double hulled outrigger canoe allowed these ocean-going voyages; each canoe able to carry 40 to 60 people plus livestock (pigs, dogs, chickens and rats) and plants that could be transplanted on the new islands to grow food.

The most important social spaces in Polynesia are called *marae*, sacred places that have political, ceremonial,

funerary and religious functions. *Marae* themselves were dynamic constructions, restored or changed in response to changes in status of the clan attached to them. The *marae* Taputapuātea has seen at least two stages of construction from the 14<sup>th</sup> to the 18<sup>th</sup> centuries, with the *ahu* being expanded greatly. This *marae* is dedicated to the god 'Oro and it is also the place of interface and communication between the human world (Te Ao) and the world of gods and ancestors (Te Pō).

The rise in the importance of Taputapuātea among the *marae* on Ra'iatea and in the wider region is linked to the line of Tamatoa *ari'i* (chiefs) and the expansion of their power. Taputapuātea was the centre of a political alliance that brought together two widespread regions encompassing most of Polynesia. The alliance was maintained by regular gatherings of chiefs, warriors and priests who came to meet at Taputapuātea. This alliance arose in the 17<sup>th</sup> to 18<sup>th</sup> centuries and broke apart some years before James Cook arrived in 1769.

Late in 18<sup>th</sup> century, Europeans made contact with the Polynesians. Captain James Cook was brought to Taputapuātea by the navigator-priest Tupaia. Members of Cook's crew have left descriptions of the *marae* complex. Missionaries arrived in the early 19<sup>th</sup> century, rupturing the ancient patterns. Chiefs and their families moved away from 'Ōpo'a to the north part of the island. With the *marae* complex effectively abandoned, vegetation grew up and covered the point where the complex sits. A coconut plantation was put in place in the 1920's along the shoreline, including some trees in the parts of the *marae* complex.

The following paragraphs are based on additional information supplied by the State Party in February 2017. The first signs of a renaissance of Polynesian culture appeared in the 1960s with a revival of folk dance and music. The expansion of international tourism provided an opportunity to present these traditions on a regular basis. A number of cultural organizations were founded in the 1970s throughout French Polynesia to promote language, oral traditions, music, dance and the arts. The Tahitian language was taught more widely and a pan-Pacific arts festival in 1972 began to renew ties among people from different parts of Polynesia who were experiencing similar revivals. Around this time, the first pilgrimages began with people from other parts of Polynesia coming to Taputapuātea. In 1976, the first modern long distance canoe voyage took place, the double hulled canoe Hōkūle'a was navigated without instruments from Hawai'i to Tahiti to Taputapuātea. More voyages from other islands were made in the 1980s, and in 1995 a grand gathering of ocean canoes converged on Ra'iatea, with people from Hawai'i, New Zealand, the Cook Islands and Tahiti being greeted with formal ceremonies at Taputapuātea. Festivals and gatherings at Taputapuātea have continued at intervals during recent years, recovering past practices and transmitting knowledge to new generations.

The first restorations at *marae* Taputapuātea were in 1968; at this time several large trees were removed, with effort concentrated around the *ahu* to prevent tree roots from breaking up the structure. More coconut trees were cleared in the wider complex in the mid 1990s and other *marae* were restored in preparation for the great reunion.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The State Party has grounded the comparative analysis on the following categories: *marae* on other islands in French Polynesia; cultural landscapes in the Pacific; cultural sites of Oceania; sacred and agricultural landscapes in the world; sites that represent systems of power; agricultural landscapes; and monumental sites in the Pacific and worldwide.

The State Party compares the cultural landscape at Taputapuātea with other landscapes that feature *marae* in French Polynesia: the Papeno'o Valley of Tahiti (Windward Islands), *marae* Maha'iatea à Papara (Tahiti, Windward Islands), the valley of 'Opunohu on Mo'orea Island (Windward Islands), Mavea and Mata'ire'a on Huahine Island (Leeward Islands), Anaa Island in the archipelago of Tuamotu and the Vitaria ceremonial site on Rurutu Island in the Austral archipelago. The State Party concludes that Taputapuātea is the only "international" *marae* complex as it alone was at the centre of an alliance that brought together a wide swath of French Polynesia, Rarotonga and Te Aotearoa (New Zealand).

ICOMOS considers that none of the comparatives illustrate the same degree of religious, social and political functions as do the *marae* at Taputapuātea, nor do they have the same depth of oral tradition attached to them. Moreover, Taputapuātea is the seat of the oldest chieftom on the Society Islands. Several *marae* on other islands are also named Taputapuātea; these were founded by local chieftains as expressions of their descent from and linkage to the original Taputapuātea on Ra'iatea.

The State Party also compares Taputapuātea to World Heritage properties in the Pacific region. Two other sites where the original occupants of the place maintain a spiritual connection to the landscape are Tongariro National Park in New Zealand (1990, extended in 1993, criteria (vi), (vii) and (viii)) and Uluru-Kata Tjuta National Park in Australia (1987, extended in 1994, criteria (v), (vi), (vii) and (viii)). Chief Roi Mata's Domain, Vanuatu (2008, criteria (iii), (v) and (vi)), is an inscribed Melanesian cultural landscape. The State Party also compares the property to Nan Madol: Ceremonial Centre of Eastern Micronesia, inscribed on the World Heritage List and on the World Heritage List in Danger (2016, criteria (i), (iii), (iv) and (vi) for the Federated States of Micronesia. Monumental properties compared include Rapa Nui National Park, Chile (1995, criteria (i), (iii) and (v)), and

the mixed property Papahānaumokuākea, United States of America (2010, criteria (iii), (vi), (viii), (ix) and (x)).

Sacred landscapes worldwide that are considered for comparison include Mount Wutai, China (2009, criteria (ii), (iii), (iv) and (vi)), and Sacred Sites and Pilgrimage Routes in the Kii Mountain Range, Japan (2004, criteria (ii), (iii), (iv) and (vi)).

ICOMOS notes that some comparisons are not a good fit, such as monumental archaeological sites like Stonehenge, a site for which there is no surviving record of the rituals that occurred there. Taputapuātea is a location of continuing importance to a living culture, rather than a place with only archaeological vestiges. ICOMOS notes that comparisons could also have been made with sites that are places of pilgrimage today or that were places of pilgrimage during antiquity.

ICOMOS notes that the Pacific region is under-represented in the system of World Heritage properties. Inscription of Taputapuātea would help to fill a thematic and regional gap.

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

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#### Justification of Outstanding Universal Value

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

- Taputapuātea carries an exceptional testimony of 1000 years of the *mā'ohi* civilization;
- The archaeological vestiges of Taputapuātea offer an eminent example of the *marae*, a sacred and ceremonial space constructed by the *mā'ohi* people from the 14<sup>th</sup> to the 18<sup>th</sup> century;
- Taputapuātea is a landscape connected to Polynesian myths of the founding of the world, it is the common root of their lineage.

ICOMOS considers that this justification is largely appropriate. In the view of ICOMOS, the significance of the last point is seen in how Polynesians from outside Ra'iatea hold Taputapuātea as the centre of their world.

#### Integrity and authenticity

##### Integrity

The property contains all the elements necessary to express Outstanding Universal Value. The buffer zone is adequate and does not contain any elements that should be in the nominated property. The property does not suffer from the adverse effects of development or neglect.

The State Party explained that this cultural landscape is an exceptional example of the juxtaposition and continuity of the ancient (traditional) and modern (contemporary) values of the *mā'ohi* people and their relationship with the

natural landscape. The spatial distribution of different types of archaeological remains reflects social stratification and functional divisions of landscape, demonstrating longstanding and sophisticated organisation of the land.

The State Party argues that the forests of the upper valleys are anthropogenic, containing numerous species brought by ancient Polynesian settlers, and that these have changed little since they were abandoned in the early 19<sup>th</sup> century.

ICOMOS notes that the natural forces of disturbance and change that affect the composition of species in the upland forests are more aggressive than the State Party claims, meaning that few parts of the forests exist in the state that they did two centuries ago when under active cultivation. In this sense, the forests cannot truly be considered to be anthropogenic. The mix of species present in the forests is common on many Polynesian islands. IUCN notes that the vegetation formations of the property and the historical introduction of plants are key to the cultural landscape.

The nomination dossier states that no archaeological excavations have been conducted on any archaeological sites other than the *marae*, which have seen some small excavations and restoration. The integrity of the property is complete in this respect.

#### Authenticity

The descriptions and arguments presented in the nomination dossier are based on credible and objective information that confirms authenticity of the major physical attributes of the property. Intangible sources and oral traditions of the *mā'ohi* people are both diverse and mutually supportive. There is a convergence between the oral knowledge and documentary sources based on testimonies left by early explorers and missionaries. In sum, these factors provide evidence that the information is genuine. Efforts by the community to gather knowledge related to the property and to transmit traditional knowledge in recent years have strengthened the authenticity of the cultural landscape. Some *marae* at the *marae* complex of Taputapuātea have been restored, but the layout of the complex and most of the materials themselves are original.

ICOMOS notes that the restoration of *marae* Hauviri that occurred in 1995 rebuilt a low exterior wall, joining it to the *ahu*. The State Party in the additional information letter admits that it is not known if this is a form that had existed in the past. The exterior wall may have been removed by the time that the *ahu* had been built in its current state. Furthermore, recent research in the typology of *marae* suggests that the restored form at Hauviri could have antecedents among the *marae* of the Leeward Islands. The State Party is aware of the debate over this restoration and has conducted workshops with residents of the local community to gauge their opinion, which at present is divided about the appropriateness of the restoration.

ICOMOS considers that the restoration of *marae* Hauviri seems to have been rushed and did not stop to consider alternatives to the form that was chosen. Nevertheless, it does not affect the authenticity of the *marae* or of the overall property.

ICOMOS notes that past use of cement mortar to repair cracks in some stones at *marae* Taputapuātea is not authentic. Nor is the use of coral lime mortar at Hauviri.

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

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#### Criteria under which inscription is proposed

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

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

This criterion is justified by the State Party on the grounds that Taputapuātea carries an exceptional testimony of 1000 years of the *mā'ohi* civilisation. This history is represented by the *marae* complex of Taputapuātea at the seashore, anthropogenic forests and the variety of archaeological sites in the upland valleys. It reflects social organization with farmers who lived in the uplands and warriors, priests and kings settled near the sea. It also testifies to their skill in sailing outrigger canoes across long stretches of ocean, navigation by observation of natural phenomena, and transformation of newly settled islands into places that provided for the needs of their people.

ICOMOS considers that the attributes of the cultural landscape illustrate in an exceptional way the history of settlement in the Eastern Pacific by Polynesians and the territorial, social and religious organisation of these people. However, the characterization of the forests as anthropogenic is too strong, the forest present today is not the same forest that was under cultivation in the past. Nevertheless, species of anthropic origin are present in the forests and these species support this criterion.

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ICOMOS considers that this criterion has been justified.

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

This criterion is justified by the State Party on the grounds that Taputapuātea provides eminent examples of *marae*: temples with cult and social functions built by the *mā'ohi* people from the 14<sup>th</sup> to the 18<sup>th</sup> century. *Marae* were the points of intersection between the world of the living and that of the ancestors. Their monumental form reflects competition for prestige and power among the *ari'i* chiefs. *Marae* Taputapuātea itself is a concrete expression of the paramount alliance formed by its line of chiefs and the cult of worship associated with it, as stones were transported to other islands to found other *marae* with the same name.



ICOMOS considers that the *marae* form an outstanding architectural ensemble illustrating the structure of *mā'ohi* society and the core teachings of *mā'ohi* culture. In particular, the *marae* complex of Taputapuātea expresses the power and prestige of the *mā'ohi* people and the network of alliances in the 17<sup>th</sup> and 18<sup>th</sup> centuries that connected this place with other Polynesian islands.

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ICOMOS considers that this criterion has been justified.

Criterion (vi): *be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that Taputapuātea is a remarkable Polynesian associative cultural landscape. The natural attributes of the property are elements of this landscape, along with the *marae*. The place-names, cosmology, mythology and history of these places are key expressions of the values of this cultural landscape. This knowledge is held by the local community and shared with Polynesians who come in pilgrimage to the ancestral home of *mā'ohi* civilization.

ICOMOS considers that as the ancestral homeland of Polynesian culture, Taputapuātea is of outstanding significance for people throughout the whole of Polynesia, for the way it symbolises their origins, connects them with ancestors and as an expression of their spirituality. These living ideas and knowledge are embedded in the landscapes and seascapes of Raiatea and particularly in the *marae* for the central roles that they once performed.

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ICOMOS considers that this criterion has been justified.

While not proposed by the State Party, ICOMOS considers that the property could also have justified criterion (v): *be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;*

In its interim report dated 19 December 2016, ICOMOS invited the State Party to propose arguments for criterion (v). In additional information received on 21 February 2017, the State Party declined the invitation noting that an argument for criterion (v) had been considered during the drafting of the nomination dossier. The idea was abandoned for three reasons, 1) it was considered to be a poor fit to the attributes of Ra'iātea; 2) long distance navigation does not strictly constitute a "use" of the sea according to the criterion and 3) because an argument for criterion (v) would repeat many of the points made to support criterion (vi).

Therefore, ICOMOS does not suggest this criterion.

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ICOMOS considers that the nominated property meets criteria (iii), (iv) and (vi) and the conditions of authenticity and integrity.

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### Description of the attributes

*Marae* Taputapuātea is at the centre of the property with its paved court, *ahu* and banyan tree, surrounded by the other attributes of the *marae* complex. *Marae* Hauviri stands at the edge of the lagoon. It is surrounded by a low wall constructed during the 1995 restoration. A large standing stone, Te Papa Tea o Ruea, is in the middle of this *marae*. Other *marae* that are part of this complex are ō-Hiro, 'Ōputeina, Tau'aitū and two other unnamed *marae*. Standing stones and other platforms made of basalt rock are present as well. Two recent constructions are a rock platform built in 1995 called Papa Te Fa'atau Arōfa and a commemorative rock placed in 2007. Natural features include the location of a spring named Ro'itōmōana, now covered by sediment; a hill, Matarepētā, that overlooks the complex, and a small beach, Taura'a-tapu, where arriving outrigger canoes made landfall. Natural landscape attributes of the property include the sacred mountains Tea'etapu and 'Ōrofātiu, the valleys 'Ōpo'a and Hotopu'u, the forests, the peninsula where the Taputapuātea *marae* complex is located, portions of the lagoon, reef and open ocean, the islet Atāra *motu* and the pass Te Ava Mō'a through the reef. The other attributes of the property are the upland *marae*, horticultural terraces, archaeological sites and named features.

## 4 Factors affecting the property

Much of the Taputapuātea *marae* complex is affected by wave action, particularly during storms. Cyclones create large waves in the lagoon both from the north and from the north-east (from open ocean through the pass Ava Mo'a). Evidence of storm surges and resulting saline (hydromorphic) soils extend as far as 100 m inland. These hydromorphic soils are loose and do not offer adequate support to *ahu* slabs or other constructions built upon them.

Currently, there is a relative rise of sea level of the order of 20 cm per 100 years. However, the nomination dossier does not fully acknowledge the effects of this on the Taputapuātea *marae* complex.

IUCN notes that the impact of invasive alien species, both plants and animals, is a threat to the biodiversity, the landscape and the seascape of the property.

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ICOMOS considers that the main threats to the property are storm surges and waves, sea level rise and invasive alien plants and animals.

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## 5 Protection, conservation and management

### Boundaries of the nominated property and buffer zone

The nominated property covers 2,124 hectares, of which 1223.14 ha are on land and 901.19 ha are on water. The

buffer zone covers 3363 ha, with 1,448.23 ha on land and 1,914.59 ha on water.

The land portion of the property is bounded by the ridgetops of the two valleys 'Ōpo'a and Hotopu'u and includes their entire watersheds. Where the ridges descend to the waterline, the boundary extends out to include the coral reef that surrounds the island and a further 300 metres beyond into the open ocean. The small islet, Atāra *motu* is included within the lagoon portion of the property.

The nominated property is 'buffered' by the following areas: the upper outer slopes of the mountains and ridges that form the land boundary of the property, and the lagoon, reefs and open ocean on either side of the sea portion of the property. One other small island at north end of the reef, Motu Iruru, is in the buffer zone. The boundary of the buffer zone follows a contour line well below the ridges that define the land boundary of the proposed property extending to the outer sea coast and reef near the peninsulas which define the nominated property. Nothing falls into the buffer zone which should be in the nominated property. Because of the distinctive pattern of ridges, peninsulas and bays, the buffer zone protects against visual intrusions into the nominated property. The only exception is the view from the reef and Ava Mo'a toward the buffer zone on either side of the property, but these are distant views and any building in the buffer zone or outside it is unlikely to have a marked visual impact.

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ICOMOS considers that the boundaries of the nominated property and of its buffer zone are adequate.

#### **Ownership**

French Polynesia owns the *marae* complex of Taputapuātea, which is under the control of Service de la Culture et du Patrimoine, and the Domaine d'Aratā'o, which is under the control of the Service de Développement rural. The Domaine is an agricultural estate in the upper half of the 'Ōpo'a valley whose lands are leased to farmers.

Within the nominated property, 52.5% of the terrestrial area is privately owned, and 47.5% is public land. In the buffer zone, 90% of the terrestrial area is private, and 10% is public land. There is no mention in the nomination dossier of who owns the sea portion of the property.

#### **Protection**

Only the Taputapuātea *marae* complex is classified as heritage, protected in 1952 under the *Arrêté* n°865 a.p.a. Additional information received indicates that a decree signed by the president of French Polynesia dated 16 February 2017 classified the *marae* complex of Taputapuātea as an historical monument. The law n°2015-10 voted in November 2015 in French Polynesia instituted the Code du Patrimoine de la Polynésie Française, will be mobilized in 2016 and 2017 to improve the protection of all the sites of the nominated property. This law gives also protection to sites on private land.

The area which is now the nominated cultural landscape was first identified in 1994 as a landscape for natural protection under the Code de l'aménagement (the town and country planning law) as a provisional Zone de Site Protégé (ZSP), a basic legislative measure for protecting wide areas of land and sea. This appears to have been the result of a series of severe rainstorms which had led to many landslides and loss of life. The ZSP contained measures which allowed for restrictions on building on steep private land. This first ZSP proposal seems never to have come into force.

A new ZSP was proposed in 2015 to cover the nominated property and buffer zone of the Taputapuātea cultural landscape and would provide protection for the cultural resources and planning guidance for future development. The process to create the ZSP has begun and it includes an extensive consultative study. Additional information received in February 2017 indicates that it is predicted to come to a conclusion between July 2018 and July 2019. The State Party also notes that while the final zoning and rules for each zone may differ from what has been proposed, it is unlikely that the boundaries of the ZSP will change as they are based on the attributes of the cultural landscape.

Following a question from ICOMOS in the interim report, additional information from the State Party states that the existing small scale industries in the property already have operating permits and would have zoning approval under the proposed ZSP. The State Party noted that the quarry is a small operation that produces on average one truck load of stone each day. The nearby asphalt plant is regularly monitored. These small industries in the Hotopu'u valley are not visible from the shore road or the lagoon. Trees and vegetation are proposed to be planted to hide the vanilla greenhouse in the 'Ōpoa valley from the coast. Further industrial developments will not be allowed.

ICOMOS notes that the proposed ZSP is contested by some landowners and officials of the local community who wish to see the World Heritage property restricted in area to include only the Taputapuātea *marae* complex and possibly the Te Ava Mo'a pass through the reef.

ICOMOS recommends that the procedure to establish the Zone de Site Protégé should be monitored and reported on.

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ICOMOS considers that the legal protection and protective measures for the property are adequate. ICOMOS recommends that the establishment of the Zone de Site Protégé be completed as scheduled.

#### **Conservation**

The first research study on the *marae* and archaeology of Ra'iātea was done in the 1920s and 30s by K.P. Emory of the Bishop Museum in Hawaii. More excavations were carried out at the Taputapuātea *marae* complex in the 1960s, along with the first conservation interventions.

The following interventions have taken place at the Taputapuātea *marae* complex. *Marae* Taputapuātea had the facades of its *ahu* recorded in 1968. In 1994-95, trees were removed from the courtyard area and the paving stones were reset. *Marae* Hauviri had its *ahu* restored in 1968, and 1994-95 saw the removal of trees, removal of sand from the courtyard, repair work on the sea facing side of the platform and the building of the low side walls. *Marae* Tau'aitū had repair to the seaward side of the platform and its paving was levelled. Rock slabs of its *ahu* were replaced on the seaward side. *Marae* 'Ōputeina had its *ahu* restored in 1968 and its platform on the sea facing side repaired in 1994-95. As a result of this work, all of these *marae* are now in a good state of conservation.

Inventories of archaeological sites in the upland portions of the property have also been undertaken since the 1990s. These have recorded terraces for horticulture, habitations and upland *marae* and associated structures. It should be noted that some private landowners have not allowed access for survey. Oral traditions and cultural knowledge concerning the property were inventoried during the preparation of this nomination.

The present state of conservation is generally good, although there are some issues. Relevant conservation issues include long-term sea-level rise and its effects on the *marae* complex, archaeological site management in the Domaine d'Aratā'o and upper valley, the landscape plan for the Taputapuātea *marae* complex (a draft of this plan was shared with ICOMOS during the mission visit; it has not been adopted yet), and site conservation policy as an element of the overall management of the property.

At the Taputapuātea *marae* complex, the seaward-facing *marae* have external ledges in the tidal zone that have been extended and reconstructed in the early 1990s and provide some protection for their *ahu*. However, the sediments on either side of the projecting ledges may be eroding and exposing more of the *ahu* and *marae* to erosion. This should be monitored.

A large proportion of the Taputapuātea *marae* complex is prone to wave action, particularly in storms. ICOMOS notes that cyclones have a circulating wind pattern and as they pass the winds will veer between all points of the compass. Cyclones do and will create large waves in the lagoon both from the north (a wave fetch of 20 km or more) and from the north-east (sea swells and tidal waves from Te Ava Mo'a). The seaward end of *marae* Hauviri has evidence of sediment being driven up to 1 m high over the surrounding wall of the *marae*. A low sand ridge has been constructed inland and parallel to the shore running from the high ground beside *marae* Hititai to the inland end of *marae* Hauviri. The crest of this ridge is 1 m above the high water mark. Although this work is undocumented, its purpose is to prevent waves from the north advancing across the site area. It has been a successful intervention in this respect and serves as a route for visitors across the site. However, it only protects against waves and surges from the north. At present, there is no equivalent protection for waves from other directions. ICOMOS notes

that other raised sand ridges are proposed in the new draft landscape management plan for the *marae* complex.

As a result of past storm surges, saline (hydromorphic) soils have formed in areas that were inundated with seawater. They are found across portions of the site and extend right up to the seaward face of the *ahu* of *marae* Taputapuātea itself. The main problem identified is the soft texture of the hydromorphic soils into which the *ahu* slabs are inserted. These soils are being continually re-worked by coconut crabs. To date, it does not appear that wave action has damaged or caused the collapse of the slabs. However, it is acknowledged that the soft soils will not support them and that the slabs need monitoring of their degree of tilt.

ICOMOS recommends that research on the coastal geomorphology and sediment transport by wave action be undertaken. Threats to the coastline and measures to protect the Taputapuātea *marae* complex should be identified. Interventions could include the construction of protective offshore sediment bars or 'rakes' of coral fragments, planning for restoration of seaward faces when they are damaged, including wave protection in the landscape planning and building protection for the seaward face of Taputapuātea *marae* complex. Sea level rise should be included as a factor in this research.

ICOMOS observes that conservation of the upland archaeological sites takes a conservative approach with an emphasis on retaining stable vegetation in the vicinity of sites.

ICOMOS notes that the creation of teams to undertake regular monitoring and maintenance of the property is a point in the current Action Plan to improve the management of the site (see the Management section below).

ICOMOS recommends that training in the policies and practice of conservation and restoration of archaeological sites and the *marae* are needed. The adoption of a policy and/or manual for restoration is desirable.

ICOMOS recommends that the draft landscape management plan for the Taputapuātea *marae* complex be approved.

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ICOMOS considers that the state of conservation is generally good. Issues include landscape protection of the *marae* complex against the effects of waves and storm surges.

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## Management

Management structures and processes, including traditional management processes

A management committee for the property has been in place since 2012 and it meets at least 4 times a year. A three person secretariat is proposed to manage the property in concert with a staffed bureau and the steering committee. Expert staff of the Service de la Culture et du Patrimoine would provide advice and support. Current

plans allow for funding for two full time ranger staff on site who are based at the SCP building, there will also be local cultural staff and some specialist staff for specific purposes such as monitoring and survey.

Policy framework: management plans and arrangements, including visitor management and presentation

Since its creation, the management committee has worked towards creating and implementing a management plan for the property and a formal plan was adopted on 14 December 2015. The plan aims to preserve the sites of memory that testify to the ancient *māo'hi* civilization, protect the *marae*, preserve the terrestrial and marine environments of the cultural landscape and seascape and preserve and transmit traditional knowledge and skills. It identifies the boundaries of the property and the buffer zone, the issues at play in the property and the pressures they exert upon the values of the property, issues related to governance, zoning and prescriptions to preserve the cultural landscape. It also includes a three-year Action Plan which began in 2016 with four goals: 1) to improve governance, 2) to strengthen management of the property, 3) to promote and enhance the cultural landscape and 4) to consolidate and share knowledge about the property including oral history. The Action Plan considers matters such as sources of funding, effects of climate change on the property, the available expertise of both professionals and the local community and key indicators for measuring the ongoing conservation.

ICOMOS notes that the following components of the Action Plan remain to be completed including:

- Visitor surveys (underway)
- Coral reef health and ecology (underway)
- Landscape management plan for *marae* complex (draft now completed)
- Coastal geomorphology of the *marae* complex, measures to mitigate sea level rise
- Ecological management of the Domaine and upper valley, monitoring of long-term ecological change.

To date, there are no interpretation or wayfinding signs for the Taputapuātea cultural landscape. About 20,000 visitors come to Ra'iatea each year, which is unlikely to increase in the short term. An increase in school groups from French Polynesia to visit the valley and the Taputapuātea *marae* complex is anticipated. The draft landscape management plan for the Taputapuātea *marae* complex includes the construction of new paths to guide visitors and provision for visitors to view the *marae* without trespassing onto their sacred spaces.

Additional information received from the State Party in February 2017 describes the current state of tourist facilities on Ra'iatea and nearby Taha'a island. There are two hotels on Ra'iatea and 18 family run pensions or hostels with a total of 123 rooms to rent. A similar number are on Taha'a a short boat ride away. In 2016,

27,000 tourists came to the island, resulting in a 48% occupancy rate for the hotels and 37% for the pensions. The State Party estimates that numbers will increase by 30% by 2022 and that this can be accommodated by the current infrastructure. Plans are in place to train islanders in guiding, catering, accommodation and artisan crafts. The State Party desires to create a sustainable tourism that creates jobs and benefits the community as a whole.

There is currently no set plan to control the ecological processes and invasive plants of the valleys, although various measures are being considered for the Domaine d'Aratā'o and the terrestrial natural zone (the upper parts of Hotopu'u valley and the buffer zone). Specific invasive species are noted in the management plan that can be targeted such as the Moluccan albizia (*Falcatia*), the Strawberry Guava (*Goyavier de Chine*), Java Plum (*Pissetache*) and wild pigs, but no specific actions to control them are presented. The use of parts of the Domaine d'Aratā'o for low-intensive agriculture and subsistence is a management measure that will provide some control of invasive species (including pigs) and could also provide a model to demonstrate the ancient agriculture of the valley.

ICOMOS and IUCN recommend the creation of a plan for the ecological management of the property with special attention paid to the Domaine d'Aratā'o, the reef and lagoon, the effects of invasive alien species and the monitoring of long-term ecological change.

Involvement of the local communities

A community association, Na Papa e Va'u, exists to support the nomination of the property. The elders who hold the traditional knowledge about the property are honorary members. Knowledge about the property is taught in the primary schools and a Polynesian heritage section is taught at the local college. An aspect of the Action Plan is the training of local residents in management procedures, the maintenance and conservation of archaeological sites and skills for visitor guides.

There is broad support for the World Heritage nomination within the local community, although as noted above, some landowners and officials oppose the creation of the Zone de Site Protégé. They wish to see a smaller World Heritage site that does not encompass the whole cultural landscape but rather just the Taputapuātea *marae* complex and possibly the Te Ava Mo'a pass through the reef. Additional information received in February 2017 indicates that the State Party has increased its efforts to communicate with all of the residents of the property and the nearby region.

ICOMOS notes that the final parts of the management system are being put into place such as hiring the secretariat and enshrining their authority in law. ICOMOS considers that the main risks and pressures that face the property are being properly addressed and that adequate

processes and procedures to respond to them should be a result of the management planning.

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ICOMOS considers that the final pieces of the management system are being put into place for a complete system of management for the property. ICOMOS encourages the State Party to complete the Action Plan, continue to strengthen the governance and management of the property and undertake a plan for the ecological management of the property.

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## 6 Monitoring

The nomination dossier describes the monitoring regime for the attributes of the cultural landscape. Specific indicators are given for each of the structures at the Taputapuātea *marae* complex. On the landscape level, indicators are given for views of the landscape, for plants and animals and for archaeological sites. These will be observed on a biannual, annual or semi-annual basis. This monitoring scheme is new so that a full reporting cycle has not yet been completed.

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ICOMOS considers that the monitoring system for the property is adequate.

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## 7 Conclusions

ICOMOS considers that the comparative analysis justifies consideration of this property for the World Heritage List; that the nominated property meets criteria (iii), (iv) and (vi) and conditions of integrity and authenticity. The main threats to the property are effects from storm surges and waves, compounded by sea level rise and the risks of inadequate protection. The boundaries of the nominated property and of the buffer zone are adequate.

ICOMOS considers that the legal protection and protective measures for the property are adequate. ICOMOS recommends that the establishment of the Zone de Site Protégé be completed as scheduled. ICOMOS considers that the state of conservation and the monitoring system are adequate. The management system for the property is not yet fully developed, but the pieces are being put into place for a complete system of management for the property.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that Taputapuātea, France, be inscribed on the World Heritage List as a cultural landscape on the basis of **criteria (iii), (iv) and (vi)**.

## Recommended Statement of Outstanding Universal Value

### Brief synthesis

Taputapuātea is a cultural landscape and seascape on Ra'iātea Island. Ra'iātea is at the centre of the "Polynesian Triangle," a vast section of the Pacific Ocean dotted with islands, the last part of the globe to be settled by humans. At the heart of the property is the Taputapuātea *marae* complex, a political, ceremonial, funerary and religious centre. The complex is positioned between the land and sea on the end of a peninsula that juts into the lagoon surrounding the island. *Marae* are sacred ceremonial and social spaces that are found throughout Polynesia. In the Society Islands, *marae* have developed into quadrilateral paved courtyards with a rectangular platform at one end, called an *ahu*. They have many simultaneous functions.

At the centre of the Taputapuātea *marae* complex is *marae* Taputapuātea itself, dedicated to the god 'Oro and the place where the world of the living (Te Ao) intersects the world of the ancestors and gods (Te Po). It also expresses political power and relationships. The rise in the importance of Taputapuātea among the *marae* on Rai'ātea and in the wider region is linked to the line of Tamatoa *ari'i* (chiefs) and the expansion of their power. Taputapuātea was the centre of a political alliance that brought together two widespread regions encompassing most of Polynesia. The alliance was maintained by regular gatherings of chiefs, warriors and priests who came from the other islands to meet at Taputapuātea. The building of outrigger canoes and ocean navigation were key skills in maintaining this network.

A traditional landscape surrounds both sides of the Taputapuātea *marae* complex. The *marae* complex looks out to Te Ava Mo'a, a sacred pass in the reef that bounds the lagoon. Atāra *motu* is an islet in the reef and a habitat for seabirds. Ocean-going arrivals waited here before being led through the sacred pass and formally welcomed at Taputapuātea. On the landward side, 'Ōpo'a and Hotopu'u are forested valleys ringed by ridges and the sacred mountain of Tea'etapu. The upland portions of the valleys feature older *marae*, such as *marae* Vaeāra'i and *marae* Taumariari, agricultural terraces, archaeological traces of habitations and named features related to traditions of gods and ancestors. Vegetation in the valleys is a mix of species, some endemic to Ra'iātea, some common to other Polynesian islands and some imported food species brought by ancient Polynesians for cultivation. Together, the attributes of the property form an outstanding relict and associative cultural landscape and seascape.

**Criterion (iii):** Taputapuātea illustrates in an exceptional way 1000 years of *mā'ohi* civilisation. This history is represented by the *marae* complex of Taputapuātea at the seashore and the variety of archaeological sites in the upland valleys. It reflects social organization with farmers who lived in the uplands and warriors, priests and kings settled near the sea. It also testifies to their skill in sailing

outrigger canoes across long stretches of ocean, navigation by observation of natural phenomena, and transformation of newly settled islands into places that provided for the needs of their people

**Criterion (iv):** Taputapuātea provides eminent examples of *marae*: temples with cult and social functions built by the *mā'ohi* people from the 14<sup>th</sup> to the 18<sup>th</sup> century. *Marae* were the points of intersection between the world of the living and that of the ancestors. Their monumental form reflects competition for prestige and power among the *ari'i* chiefs. *Marae* Taputapuātea itself is a concrete expression of the paramount alliance formed by its line of chiefs and the cult of worship associated with it, as stones were transported to other islands to found other *marae* with the same name.

**Criterion (vi):** As the ancestral homeland of Polynesian culture, Taputapuātea is of outstanding significance for people throughout the whole of Polynesia, for the way it symbolises their origins, connects them with ancestors and as an expression of their spirituality. These living ideas and knowledge are embedded in the landscapes and seascapes of Raiatea and particularly in the *marae* for the central roles that they once performed.

#### Integrity

The property is a relict and associative cultural landscape with attributes that are tangible (archaeological sites, places associated with oral tradition, *marae*) and intangible (origin stories, ceremonies and traditional knowledge). It is an exceptional example of the juxtaposition and continuity of the ancient (traditional) and modern (contemporary) values of the *mā'ohi* people and their relationship with the natural landscape. It contains all the elements necessary to express outstanding universal value. The buffer zone is adequate and does not contain any elements that should be in the nominated property.

#### Authenticity

Credible and objective information confirms authenticity of the major physical attributes of the property. Intangible sources and oral traditions of the *mā'ohi* people are both diverse and mutually supportive. There is a convergence between the oral knowledge and documentary sources based on testimonies left by early explorers and missionaries. In sum, these factors provide evidence that the information is genuine. Efforts by the community to gather knowledge related to the property and to transmit traditional knowledge in recent years have strengthened the authenticity of the cultural landscape. Some *marae* at the *marae* complex of Taputapuātea have been restored, but the layout of the complex and most of the materials themselves are original.

#### Management and protection requirements

The Taputapuātea *marae* complex has been protected since 1952 under French Polynesian law and it has recently been classified as a historical monument. A protective and planning system, called a Zone de Site Protégé, is being put into place that would cover the whole

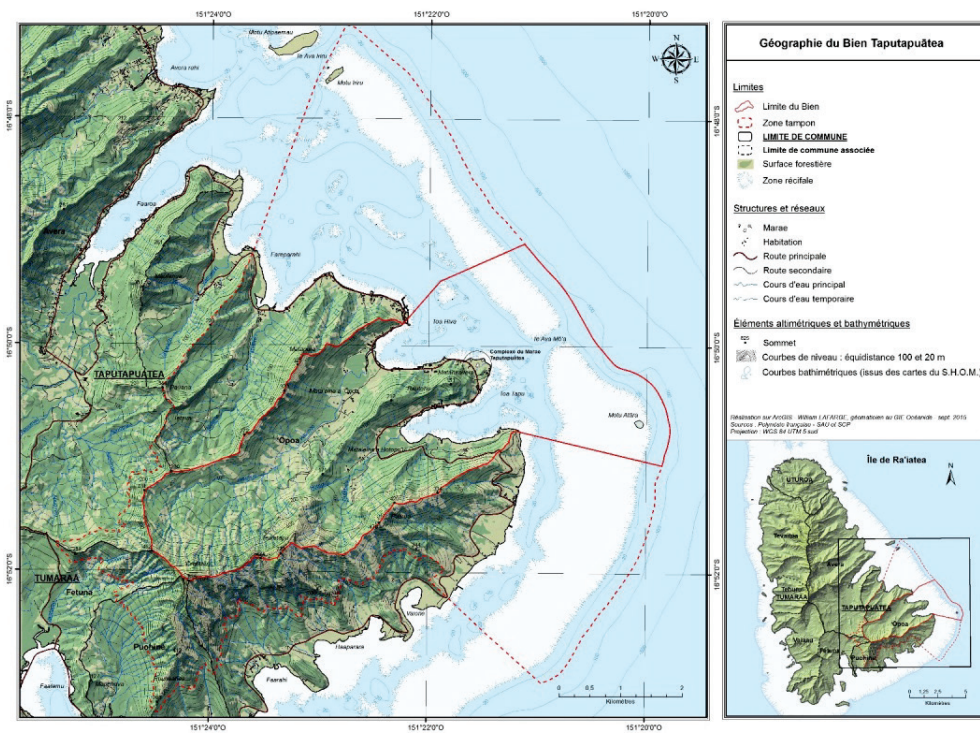
of the property and the buffer zone. A steering committee has guided management of the property since 2012. This committee is creating the permanent management structure for the property and a management plan was adopted in 2015. The plan will preserve the sites of memory that testify to the ancient *mā'ohi* civilization, protect the *marae*, preserve the terrestrial and marine environments of the cultural landscape and seascape and preserve and transmit traditional knowledge and skills. A three person secretariat will manage the property in concert with a staffed bureau and the steering committee.

#### Additional recommendations

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

- a) Approving the draft landscape management plan for the Taputapuātea *marae* complex,
- b) Completing the remaining points specified in the Action Plan including the visitor survey, a study of the health of the coral reef and ecology, a study of coastal geomorphology of the *marae* complex, measures to mitigate sea level rise, ecological management of the Domaine and upper valley, and monitoring of long-term ecological change,
- c) Training in the policies and practice of conservation and restoration of archaeological sites and the *marae* and adopting a policy and/or manual for restoration,
- d) Completing the establishment of the Zone de Site Protégé to cover the buffer zone of the property as scheduled,
- e) Undertaking research on the coastal geomorphology and sediment transport by wave action. Threats to the coastline and measures to protect the Taputapuātea *marae* complex should be identified and interventions proposed. Sea level rise should be included as a factor in this research;

ICOMOS and IUCN recommend the creation of a plan for the ecological management of the property with special attention paid to the Domaine d'Aratā'o, the reef and lagoon, the effects of invasive alien species and the monitoring of long-term ecological change.



Map showing the boundaries of the nominated property



Aerial view of the Te Ava Mo'a pass, motu Atāra and Taura'a-tapu landing beach



View of the marae Taputapuātea complex





Terrace of dwelling (site 36)



Te Papa Tea o Ruea, stone of inauguration of Hui Ari'i Tamatoa



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# Caves and Ice Age Art in the Swabian Jura (Germany)

## No 1527

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### Official name as proposed by the State Party

Caves and Ice Age Art in the Swabian Jura

### Location

Districts of Alb-Donau and Heidenheim  
Federal State of Baden-Württemberg  
Germany

### Brief description

Modern humans first arrived in Europe 43,000 years ago during the last ice age. One of the areas where they took up residence was the Swabian Jura in southern Germany. Excavated from the 1860s up to the present day, six caves, located only a few kilometres away from each other, have revealed layers of the Aurignacian period, dating from 43,000 to 33,000 years ago. Among the items found at these sites are carved figurines, musical instruments and items of personal adornment. The figurines depict species of animals who lived in that ice age environment - cave lions, mammoths, birds, horses, cattle and fish. Other figurines depict creatures that are half animal, half human and there is one statuette of a female form.

### Category of property

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

## 1 Basic data

### Included in the Tentative List

15 January 2015

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

13 January 2016

### Background

This is a new nomination.

### Consultations

ICOMOS has consulted its International Scientific Committee on Archaeological Heritage Management and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 30 August to 2 September 2016.

### Additional information received by ICOMOS

On 22 August 2016, the State Party sent a letter to ICOMOS describing potential development projects in the area surrounding the nominated property and the buffer zone.

On 27 September 2016, ICOMOS sent a letter requesting additional information regarding these proposed developments, their potential effects and approval processes. The State Party answered on 20 October 2016 and this additional information has been incorporated into the relevant sections below.

On 19 December 2016, a further letter was sent to the State Party as an interim report from ICOMOS containing requests for evidence for manufacture of ivory figurines and adornments within the caves, an update on proposed wind power developments, a discussion of tourism management and a different name for the property. The State Party answered on 23 February 2017. This additional information has been incorporated into the relevant sections below.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description of the Serial Nomination

The serial nominated property comprises two components, each component including three caves. The first component part is 271.7 ha and its buffer zone of 766.8 ha; the second component part is 190.4 ha and 391.9 for its buffer zone. The total nominated area is 462.1 ha, and 1158.7 for the buffer zone.

#### Ach Valley (component 1)

This component is composed by 3 km of valley floor and the sloping sides of the valley up to the edge of the adjacent tableland. The Ach River has a wide valley floor, up to 500 m across, and the valley's sides rise 130 m to the surrounding uplands. The setting of the Ach valley is primarily rural with farms in the valley floors and forests on the valley slopes. There are roads and utilities that cross the property and a railway line. This component gathers three caves, which are Geißenklösterle, Sirgenstein and Hohle Fels.

Geißenklösterle is the westernmost cave in this component. The opening faces west and the main dome of the original cave has collapsed. Excavations have taken place in a bay to the side of the dome and a passage still filled with sediment branches off this bay. It is estimated that a large proportion of the archaeological deposits in this cave remain intact and unexcavated. Deposits in Geißenklösterle range in age from the Middle Palaeolithic (Mousterian) to the Mesolithic. Finds from the Aurignacian layers include animal figurines carved from mammoth ivory, pendants of mammoth ivory and animal teeth and three flutes made from ivory and bird bones. These objects range in age from 41,000 to 35,000 years ago.

Sirgenstein Cave has its entrance part way up from the valley floor. A narrow entrance leads to a long high-domed passage. Excavations took place in the early 20<sup>th</sup> century, the original extent of archaeological deposits is not known but it is thought that some undisturbed sediments still exist. Deposits in Sirgenstein Cave range in age from the Mousterian to medieval times. Finds from the Aurignacian layers include ornamental beads made from mammoth ivory dated to between 35,000 and 39,000 years ago.

Hohle Fels is the easternmost cave in the Ach valley. From the entrance, a 20 m long corridor opens into a very large cavern, roughly 25 m wide, 30 m long and 30 m high. Excavations have taken place in the corridor and the portion of the main cavern closest to the entrance. It is likely that large areas of undisturbed sediments still exist in the cavern. Deposits from Hohle Fels range in age from the Middle Palaeolithic to recent times. Finds from the Aurignacian layers include mammoth ivory figurines of animals, one small human statuette - the "small lion man" - and one female statuette - the "Venus of Hohle Fels." The Aurignacian layers date to between 43,000 and 32,000 years old.

#### Lone River (component 2)

This component is located in the valley of the Lone River. It includes 3 km of valley floor and the sloping sides of the valley up to the edge of the adjacent tableland. The Lone valley is narrower than the Ach, its floor is less than 200 m wide for most its length in this component, widening out to 500 m in places. The valley slopes rise 30 m to the surrounding uplands. The setting of the Lone valley is rural with farm fields in the valley floor and forests on the valley slopes. There are roads and utilities that cross the property. The caves in this component are Bockstein, Hohlenstein Stadel and Vogelherd; and the Vogelherd Archäopark interpretative centre is also included in this component.

Vogelherd Cave is the easternmost cave in this component. Originally, it had three entrances with corridors through the rock that connected them. It has been fully excavated and no undisturbed deposits are left. The backdirt from the 1930s excavations has been recently re-excavated with modern methods, adding to the finds from this cave. Deposits from Vogelherd Cave range from the Middle Palaeolithic to the Neolithic. Finds include the largest collection of animal figurines from any of the caves in this region, most carved from mammoth ivory with one from a horse patella. Many different ice age animals are represented, cave lions, mammoths, wild cattle, wild horses, water fowl and fish. One anthropomorphic figurine has been recovered, pieces of two flutes and several beads and pendants of mammoth ivory. Radiocarbon dates from Vogelherd Cave range from 40,600 to 35,000 years ago.

Hohlenstein Stadel Cave is also part of a cave/rockshelter complex. Its entrance faces north and the cave is narrow but deep, extending 50 m into the rockface with small side bays and passages. Some undisturbed deposits are thought to still exist in front of the cave and in the interior. Deposits from Hohlenstein Stadel Cave range from the Mousterian of the Middle Palaeolithic to the Magdalenian

period. Finds include the figurine called the "Lion Man", carved from mammoth ivory. The Aurignacian layers at Stadel Cave date from 42,000 to 35,000 years ago.

Bockstein Cave is the westernmost cave in this component. It is part of a complex of caves and rockshelters on the Bockstein massif. This cave is 16 m deep and 9 m wide. An artificial entrance was enlarged in the 1880s and the original entrance, filled with sediment, was discovered and excavated in the 1950s. This entrance is called Bocksteintörle and it may still contain undisturbed deposits. The main Bockstein Cave has been completely excavated. Deposits from Bocksteintörle range from the Middle Palaeolithic to Neolithic periods. Finds include stone and ivory pendants, but no figurines. The Aurignacian layers date from 36,000 to 34,000 years ago.

ICOMOS notes that in places, the nomination dossier uses confused wording or makes inaccurate statements. In several parts of the dossier, descriptions or comparisons are made which mix chronological periods, archaeological cultures and taxonomy, for example on page 33, "While the topmost layers contained finds from the Middle Ages and the Metal Ages, the lower horizons yielded finds which date back to the Aurignacian and the time of Neanderthal man." There are a series of speculations about religious significance associated with the 'Lion Man' figurine from Hohenstein Stadel Cave and the other animal figurines. Pending future research, suggestions about religious behavior at the caves are unsubstantiated.

#### History and development

The rocks of the Swabian Jura were formed 200 million years ago and are largely calcareous. This has allowed karst topography to develop as acidic rainwater seeped into the ground, dissolving the rock and forming water systems that ran underground. Eventually the water found a new path down through the rock and the passages drained, becoming dry caves. Where these caves intersect modern valleys, the erosion and downcutting of surface rivers has cut through the rock passages, giving access to them from the surface. Once an opening was formed, sediment could be deposited and the cave began to fill. If a cave was inhabited by animals or humans, the materials they brought into the cave were added to the sediment deposits.

This has happened in both the Ach and Lone valleys where the cave entrances are found in the valley slopes and the caves themselves have layers of soils deposited through the ages that contain archaeological materials. Although there is a great range of time represented in these caves, the focus of the nomination is on those deposits in the six caves from the Aurignacian period.

The Aurignacian tradition in Europe dates from 43,000 to 33,000 years ago and features several distinctive stone tool forms such as flint blades and bladelets and the specialized cores used to make them. There is also evidence for symbolic communication in the form of carved beads, decorative pendants and portable or parietal (i.e. made on a rock face) figurative art.

Over 30 separate excavation projects have taken place at the six caves, some projects have lasted for many years. Investigation of the caves began in 1861 at Hohlenstein Stadel Cave with a search for cave bear bones. A few years later, the archaeological deposits were recognized for what they were and new excavations began at Hohle Fels in 1871 and at Bockstein Cave in 1879. In the early 20th century excavations took place at Sirgenstein, Vogelherd, Bockstein, and Hohlenstein Stadel Caves. In the late 20<sup>th</sup> century excavations took place at Geißenklösterle and Hohle Fels. Since 2000, more work has taken place at Geißenklösterle Hohle Fels, Vogelherd and Hohlenstein Stadel Caves, although Hohle Fels is the only cave with a current program of excavation.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The State Party uses the UNESCO study of 2010, titled *Human Evolution: adaptations, dispersals and social development* (HEADS), as a reference point to frame the comparative analysis.

Comparisons are made with palaeolithic properties without art on the World Heritage List and on Tentative Lists. These sites, such as the Lake Turkana National Parks in Kenya (1997, extension in 2001, criteria (viii) and (x)) or Emergence of Modern Humans in South Africa (Tentative list), provide direct evidence of the stages of human evolution. Some also feature stone tools. In contrast, the caves in the nominated property do not feature Aurignacian era human fossils, but do have stone tools and other works by humans including works of figurative art and musical instruments.

Another category of comparison is with properties on the World Heritage List and on Tentative Lists with palaeolithic engravings, paintings in caves or on rock faces. Of these, only the Decorated Cave of Pont d'Arc, known as Grotte Chauvet-Pont d'Arc, Ardèche in France (2014, criteria (i) and (iii)) dates to the Aurignacian period from 37,000 to 33,000 years ago. Thus, the oldest paintings on the walls of Chauvet Cave are not as old as the oldest figurine from the nominated property.

Comparisons are made with other sites with similar cultural background that are not inscribed nor on Tentative Lists. There are other Aurignacian sites in Europe with stylized engravings, some of which are identifiable as animal or human in form, some not. Some sites have abstract symbols, such as El Castillo in Spain and Grotta di Fumane in Italy that are equivalent in age, or even possibly older than the sites in the nominated property. A female figure interpreted as a dancer has been found at Stratzing in Austria which dates from 36,000 to 34,000 years ago. None of these comparative sites have the quantity of art objects, variety of forms represented, nor the same degree of realism in their art objects as at the nominated property.

Caves and Ice Age Art in the Swabian Jura feature naturalistic figurines that represent the animals of the local environment and the oldest female figurine, the oldest therianthrope (half human, half animal) figurines and the oldest musical instruments yet found in the world. More flutes have been found at these caves than anywhere else. The portable art is found in greater numbers and a wider variety of forms than at any other place with Aurignacian archaeology.

ICOMOS notes that more attention could have been given to the significance of the much older engraved patterns on ochre and ostrich eggshell at Blombos (more than 70,000 years ago) and Diepkloof (around 60,000 years ago) in South Africa. While these patterns are not figurative art, their significance has been under-valued. For example, two pieces of ochre have been found at Blombos with the same engraved crosshatched design with horizontal scribing, and some elements of that design appear on the Aurignacian lion figurine from Vogelherd Cave.

ICOMOS notes that each of the two components contributes features relevant to the comparative analysis.

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

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#### Justification of Outstanding Universal Value

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

- It represents a unique concentration of archaeological sites with some of the oldest figurative art and some of the oldest musical instruments worldwide;
- Together with the artefacts and the surrounding landscape, they form an outstanding early cultural ensemble that helps to illuminate the origins of human artistic development and spiritual/religious cognition and behaviour;
- The long and highly productive tradition of research at these sites has had a significant influence on the understanding of the Upper Palaeolithic in Central Europe; and
- The caves were places where this art was made and used, and where these musical instruments were made and played.

The State Party argues that even if in the future older finds are made elsewhere, the nominated property will undoubtedly remain a uniquely outstanding and comprehensive record of the creative capabilities amongst humans in the Palaeolithic of Europe.

ICOMOS concurs with this view, and therefore considers that the justification is appropriate.

Moreover, ICOMOS considers that a serial nomination is appropriate because the figurines and musical instruments have been found in caves in each of the components. Omitting one of the components would omit significant examples of musical instruments or portable art.

ICOMOS notes that while two of the caves have not produced figurines, these were excavated before modern archaeological methods were adopted and any fragments of figurines that may have been present may not have been recovered at that time. Carved pendants and items of personal adornment as well as significant Aurignacian deposits have been found at all six of the caves included in this series.

ICOMOS notes that the nomination dossier did not provide evidence to substantiate the claims that the caves were workshops (“ateliers”) where the figurines and objects of adornment were made. The additional information received from the State Party in February 2017 indicated that in the caves that were excavated with modern methods (i.e. water screening), many thousands of chips and splinters of ivory were recovered as well as pieces that show the all of the stages of bead production. In the Hohle Fels cave, a preform of a flute was found. Thus, there is direct evidence for the manufacture of beads and a musical instrument in the caves and indirect evidence for the carving of figurines.

### **Integrity and authenticity**

#### **Integrity**

The nominated property includes all six caves in the region that have had excavations of significant Aurignacian deposits, including the four caves containing figurative art objects and musical instruments, and their landscape setting.

ICOMOS notes that the quarry in the buffer zone near Schelklingen is not visible from any of the caves.

The State Party proactively notified ICOMOS in August 2016 of two proposed wind power developments near the Lone Valley component of the property that could affect the visual integrity of the property. The additional information received in February 2017 indicates that one of the developments (Öllingen-Setzingen) has been rejected by the responsible authority, the district administration of Alb-Donau-Kries on 1 February 2017. While a decision on the second development (Teichhau I + II) has not yet been made, the State Office for Cultural Heritage Baden-Württemberg has made the same objections as it had to the first development. The State Office expects that the second development will also be rejected.

ICOMOS supports the non-approval of the Öllingen-Setzingen wind power development and recommends that the Teichhau I + II development also be non-approved by the responsible authority. In addition, any new development projects near the property should be

subjected to Heritage Impact Assessments and should be submitted to the World Heritage Committee for consideration in accordance with paragraph 172 of the *Operational Guidelines*.

ICOMOS considers that all elements necessary to express the values of the property are included in the nominated boundary; and that the nominated area includes sufficient consideration of the setting of the caves in relation to the topography and vegetation of the Lone and Ach valleys, including the limestone cliffs, valley floors and adjacent uplands.

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ICOMOS considers that the integrity of the whole series has been justified; and that the integrity of the individual sites that comprise the series has been demonstrated.

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#### **Authenticity**

The authenticity of the nominated property is supported by the presence of stratified geological deposits in the caves that have served to protect the archaeological layers until their excavation, and the surrounding landforms that contain the caves.

Systematic archaeological research has been undertaken on these sites for more than a century and documentation is ongoing. The archaeological evidence gained from these excavations underpins the authenticity of the nominated property. Several caves have unexcavated deposits and there are other caves within the property that have not yet been investigated, providing the basis for future research. The current research plan includes only the ongoing excavations at Hohle Fels and test excavations at Sirgenstein Cave.

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ICOMOS considers that the authenticity of the whole series has been justified; and that the authenticity of the individual sites that comprise the series has been demonstrated.

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ICOMOS considers that the conditions of integrity and authenticity of the whole series have been justified; and for individual sites, the conditions of integrity and authenticity have been met.

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

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

Criterion (i): *represent a masterpiece of human creative genius;*

This criterion is justified by the State Party on the grounds that the caves and their surroundings were the habitat of early modern *Homo sapiens*, and represent the places where early art and musical instruments were made and used. The figurative art objects and musical instruments are among the oldest found anywhere in the world.

ICOMOS considers that a distinction exists between the objects of art and the places where they were found. While the portable art objects and musical instruments

can be said to be masterpieces, the same cannot be said of the caves where they were found. The nominated property provides an exceptional testimony to the origins of art and music among humans, but that does not mean that the caves themselves are masterpieces. In this sense, Caves and Ice Age Art in the Swabian Jura are different from other inscribed properties that have paintings or engravings on their walls, where the art is an integral part of the place. As well, arguments related to the origins of religious or spiritual behavior are not well developed and this aspect is not considered to be part of the Outstanding Universal Value of the property.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that the deposits in the caves have preserved cultural remains from the Aurignacian period, including the figurines and musical instruments. The landscape, caves and finds represent a unique and exceptional example of an early cultural tradition and an extinct culture.

ICOMOS considers that the nominated property provides an exceptional testimony to the culture of the first modern humans to settle in Europe north of the Alps. One exceptional aspect of this culture that has been preserved are examples of carved figurines, objects of personal adornment and musical instruments. The art objects are among the oldest yet to be found in the world and the musical instruments are the oldest that have been found to date worldwide.

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ICOMOS considers that this criterion has been justified.

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ICOMOS considers that the serial approach is justified and ICOMOS considers that the selection of sites is appropriate.

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ICOMOS considers that the nominated property meets criterion (iii) only and the conditions of authenticity and integrity.

#### **Description of the attributes**

The attributes of the property are the remarkable cluster of caves in this part of the Swabia Jura that provide evidence of modern human settlement (Geißenklösterle, Sirgenstein, Hohle Fels, Vogelherd, Bockstein and Hohlenstein Stadel caves) and the landscape setting of these caves. The artefacts and excavated materials housed in the Archäologisches Landesmuseum Baden-Württemberg (Stuttgart), Urgeschichtliches Museum (Blaubeuren), Ulmer Museum (Ulm), Museum Universität Tübingen, and Archäopark Vogelherd (Niederstotzingen) are also associated with the values of the nominated property.

## **4 Factors affecting the property**

Development pressures include proposals to erect wind power generators in the vicinity of the valleys that would affect the viewshed from the property. A proposed addition to a cement factory south of the Ach valley component would have a high chimney that may also affect viewsheds from caves in that valley.

In the Ach valley, there may be development pressure from the towns at either end of the property and from expansion of the infrastructure (roads, rail) that services these towns. A new train station may be built at the edge of the property.

Construction of additional visitor infrastructure (an information centre with accessible washrooms) is also planned for the Ach valley, which may affect the attributes of the property.

Potential threats also exist from mining, karst processes, earthquakes, flooding and forest fires.

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ICOMOS considers that the main threats to the property are visual impacts from nearby development, especially wind power installations. Current and future wind power proposals will have to be followed closely by the managers of the property. While visitor pressure is not a current threat, it is likely that visitation will increase and will need monitoring.

## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The boundaries of the two components of the nominated property follow natural topographical features (contour lines and ridgetops) and human-created features on the modern landscape (streets and paths). Some arbitrary boundary lines connect these other features.

The buffer zone includes the immediate setting of the nominated property. The boundaries of the buffer zone are clearly delineated.

The buffer zone for the Ach valley component includes urban portions of the towns of Blaubeuren and Schelklingen at either end of the component, as well as nearby uplands and side valleys. Other than the urban areas, most of the buffer zone is rural and forested, except for one quarry beside Schelklingen and a pharmaceutical factory at the south edge of Blaubeuren. ICOMOS notes that the quarry in the buffer zone near Schelklingen is not visible from any of the caves.

The buffer zone for the Lone valley component includes portions of the valley floor at either end of the component, as well as nearby uplands. It is rural and mostly forested with a few farm fields. There are no residents in the Lone valley component or its buffer zone.

ICOMOS notes that other caves have been found with archaeological deposits within the proposed boundaries, but these have not yet been investigated or have not yielded any examples of Aurignacian art or personal adornment.

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ICOMOS considers that the boundaries of the nominated property and of its buffer zone are adequate.

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### **Ownership**

Ownership of the proposed property is split between the Federal Republic of Germany, the Federal State of Baden-Württemberg, municipalities and private landowners. The intention is to increase the amount of land in public hands by purchasing private land surrounding Sirgenstein cave and private land near Hohlenstein Stadel cave.

### **Protection**

In the Federal Republic of Germany, the responsibility for the care and preservation of cultural monuments is assigned to the individual states. The nominated property is located in the State of Baden-Württemberg. Therefore, the Cultural Heritage Protection Act of Baden-Württemberg (1972) is the main legal enforcement to ensure the protection of the state's cultural heritage. All of the property and buffer zone is covered by this act.

As well, an intertwining network of accompanying legal enforcements has been implemented. ICOMOS regards the legal protection as effective at the highest possible level.

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ICOMOS considers that the legal protection in place is adequate.

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### **Conservation**

Comprehensive monitoring of the caves and the surrounding landscape started in 2014. The caves and their entrance areas have been recorded by three-dimensional documentation methods (laser scanning and photogrammetry). 3D documentation of each cave is planned to be repeated at regular intervals (5–10 years). Each cave is also annually monitored by conventional photographic documentation.

On a larger scale, the landscape around the caves (which constitutes the entire property and the buffer zone) is documented by aerial photography every 3 to 5 years.

Metal grilles have been installed to protect areas with original sediments at Geißenklösterle, in Hohle Fels and in Hohlenstein Stadel Cave. Where original sediments are still present beside former excavation units, physical protection is provided by stone packing (at Geißenklösterle and Hohlenstein) or sandbags (at Hohle Fels).

Currently, ongoing excavations are taking place only at Hohle Fels.

All conservation measures function within a strategy of protecting the caves and the landscape and at the same time keeping them at least partly open to the public.

ICOMOS recommends that the balance between knowledge gained from excavation and conservation of the deposits in the property must be kept in the future.

All parts of the property are well-maintained and the condition and visual integrity of the nominated property and its significant features are good, supported by an active conservation program set out in the management plan.

ICOMOS notes that the steep path leading up to Bockstein cave is difficult to access in wet weather. This area should be remediated to provide easier access.

ICOMOS notes that the backdirt from the early excavations at Sirgenstein and Bockstein caves is of potential significance. Vogelherd cave was also the scene of early excavations and recent re-excavation of its backdirt has produced more finds including fragments of Aurignacian figurines. The backdirt from Sirgenstein and Bockstein caves may have the same research potential. It should be protected, monitored and considered for future research.

ICOMOS recommends that the development of a unified documentation database be prioritized that includes data on the sites, the finds and information for all excavations.

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ICOMOS considers that the state of conservation of the property is satisfactory.

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### **Management**

Management structures and processes, including traditional management processes

The property is administrated by the Ministry of Finance and Economics Baden-Württemberg as the supreme monument protection authority, by Department 21 – Regional Planning, Construction Law and Cultural Heritage in the Regional Administrative Council of Stuttgart – as the senior monument protection authority; by the State Office for Cultural Heritage in the Regional Administrative Council of Stuttgart as the responsible state wide expert authority; and the lower monument protection authorities (Municipal Administration Herbrechtingen, the District Administration Heidenheim, Administrative Cooperation Langenau and the District Administration Alb-Donau District).

The officials make decisions regarding protective measures and implement them through legal provisions within administrative processes. They authorise and supervise conservation measures and current research projects within the property; promote documentation and publication of the findings; and support the scientific collaboration of various institutions.



Policy framework: management plans and arrangements, including visitor management and presentation

The management plan for the nominated property was prepared in mutual agreement of all representatives of the townships and municipalities, the District of Heidenheim and the Alb-Donau District, the Ministry of Finance and Economics Baden-Württemberg, the State Office for Cultural Heritage, the University of Tübingen, the regional museums and information centres, the local associations that are related to the sites or prehistoric archaeology, as well as other stakeholders with scientific, tourism, communal and communicational tasks and interests.

The management plan strikes a balance between conservation, research, tourism and the demands of all those who live and work in the area of the nominated property. It applies equally to both components of the property and actions are described up to the year 2020. Activities in the plan address the domains of coordination, credibility, conservation, capacity building, cooperation, communication and communities.

The State Party describes a total budget for personnel at the State Office for Cultural Heritage of approximately €6,180,000 in 2015. A dedicated manager for this property has been appointed and several staff who also serve two other World Heritage properties in Baden-Württemberg. In addition, there is an expenditure of approximately €565,000 for research conducted by the University of Tübingen and the State Office for Cultural Heritage between 2013 and 2015. An additional €1,000,000 will be spent by both the state and the municipalities for public relations work and the extension of the existing visitor information system.

ICOMOS notes that the management plan was in place at the time of the nomination; and considers that it provides a stable basis for the development of an effective management system. A number of measures listed in the management plan have already been initiated or realised. The excellent balance between research and conservation is noteworthy. The existing visitor facilities are a good basis for the further development of a visitor guidance and information system.

Risks from natural disasters including flood, fire, and earthquakes are considered in the management plan.

Visitor facilities, visitor management, and presentation of information to the public are included in the management plan.

Additional information provided by the State Party in February 2017 describes the visitor information system, noted above, that is being put into place to provide barrier-free information about the property to the public and promote a gentle sustainable tourism. A goal of visitor management is to distribute tourists across the property and within the surrounding region so that no one part of the property is overwhelmed. Hiking trails are planned

across the property with information signs and activity stops in areas between the caves. An additional information point is planned near Hohle Fels in the Ach valley component. The Urgeschichtliches Museum in Blaubeuren and Archäopark Vogelherd are the primary visitor facilities. Each currently sees an annual attendance of 30,000 to 40,000 people and neither is near its maximum capacity. Museums in Stuttgart, Ulm and Tübingen also display artifacts from the property and serve to further disperse the visitor load. If regular monitoring shows an impact from increased visitation, the State Office for Cultural Heritage is prepared to take action to mitigate the effects.

Involvement of local communities

ICOMOS notes that there is wide support for the nomination from the local communities. There are several local associations in the regions of both component parts that are involved and supportive. A large number of volunteers support these associations, reflecting the appreciation of the cultural heritage by the local population. Tourism marketing stakeholders play an active part in the development of sustainable tourism strategies, and are involved in the management system.

ICOMOS concludes that the management system provides a good basis for the conservation and effective protection for the archaeological remains.

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ICOMOS considers that the management system for the serial property is adequate.

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## 6 Monitoring

Key indicators for monitoring include the stability of the cave ceilings and cave walls, the state of erosion of sediments in and around the caves, the state of preservation of archaeological sites in the region, population development, and change of use of areas used for agriculture and forestry to areas of settlement and commerce. Surveys of these indicators will take place annually, every 5 or 10 years, depending on the indicator.

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ICOMOS considers that the monitoring system for the property is adequate.

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## 7 Conclusions

The Caves and Ice Age Art in the Swabian Jura have preserved archaeological deposits with cultural remains from the Aurignacian period, including figurines, objects of personal adornment and musical instruments. The landscape, caves and finds represent a unique and exceptional example of an early cultural tradition and an extinct culture. ICOMOS considers that the comparative analysis justifies consideration of this property for the World Heritage List; that the nominated property meets criterion (iii) and the conditions of integrity and

authenticity. The serial approach is justified and the selection of sites is appropriate.

ICOMOS considers that the main threats to the property are visual impacts from nearby development, especially by wind power installations. Current and future wind power proposals will have to be followed closely by the managers of the property. While visitor pressure is not a current threat, it is likely that visitation will increase and will need monitoring.

The boundaries of the nominated property and of its buffer zone are adequate. The legal protection in place and the state of conservation of the property are satisfactory. The resources devoted by the State Party are satisfactory to ensure the best possible management of the sites, including protection, conservation, research and public outreach. The management system for the overall serial property and the monitoring system for the property are adequate.

In the additional information received in February 2017, the State Party, at ICOMOS's request, suggests that the name of property could be changed from "Caves with the oldest Ice Age art" to "Caves and Ice Age Art in the Swabian Jura," which would avoid use of the superlative "oldest."

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the Caves and Ice Age Art in the Swabian Jura, Germany, be inscribed on the World Heritage List on the basis of **criteria (iii)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

Modern humans first arrived in Europe 43,000 years ago during the last ice age. One of the areas where they took up residence was the Swabian Jura in southern Germany. Here, ancient peoples lived in and among a series of caves which are now archaeological sites. Excavated from the 1860s up to the present day, these six caves have revealed a long record of human presence and an earlier Neanderthal presence before that. The focus of this property are the caves with Aurignacian layers, which date from 43,000 to 33,000 years ago. Among the items found at these sites are carved figurines, musical instruments and items of personal adornment. The figurines depict species of animals who lived in that ice age environment – cave lions, mammoths, birds, horses, cattle and fish. Other figurines depict creatures that are half animal, half human and there is one statuette of a female form.

Caves and Ice Age Art in the Swabian Jura represents a unique concentration of archaeological sites with some of the oldest figurative art and the oldest musical instruments yet to be found worldwide. Together with the

artefacts and the surrounding landscape, they form an outstanding early cultural ensemble that helps to illuminate the origins of human artistic development. The long and highly productive tradition of research at these sites has had a significant influence on the understanding of the Upper Palaeolithic in Europe.

**Criterion (iii):** Caves and Ice Age Art in the Swabian Jura provides an exceptional testimony to the culture of the first modern humans to settle in Europe. Exceptional aspects of this culture that have been preserved in these caves are examples of carved figurines, objects of personal adornment and musical instruments. The art objects are among the oldest yet to be found in the world and the musical instruments are the oldest that have been found to date worldwide.

#### Integrity

The property includes all six caves in the region that have had excavations of significant Aurignacian deposits, including the four caves containing figurative art objects and musical instruments and their landscape setting. All the elements necessary to express the values of the property are included in the property boundaries. The property includes sufficient consideration of the setting of the caves in relation to the topography and vegetation of the Lone and Ach valleys, including the limestone cliffs, valley floors and adjacent uplands.

#### Authenticity

The authenticity of the property is supported by the presence of stratified geological deposits in the caves that have served to protect the archaeological layers until their excavation and the surrounding landforms that contain the caves. Systematic archaeological research has been undertaken at these sites for more than a century and documentation is ongoing. The archaeological evidence gained from these excavations underpins the authenticity of the property. Several caves have unexcavated deposits and there are other caves within the property that have not yet been investigated, providing the basis for future research.

#### Management and protection requirements

The Cultural Heritage Protection Act of Baden-Württemberg (1972) is the main legal enforcement to ensure the protection of the property. The property is administered by the Ministry of Finance and Economics Baden-Württemberg and other branches of state, regional and municipal governments. A dedicated manager has been appointed to oversee the property. A management plan and monitoring system is in place. Activities in the plan address the domains of coordination, credibility, conservation, capacity building, cooperation, communication and communities. The managers of the property should continue to ensure and maintain a balance between knowledge from excavation and conservation of the archaeological deposits. A documentation database should be developed to include

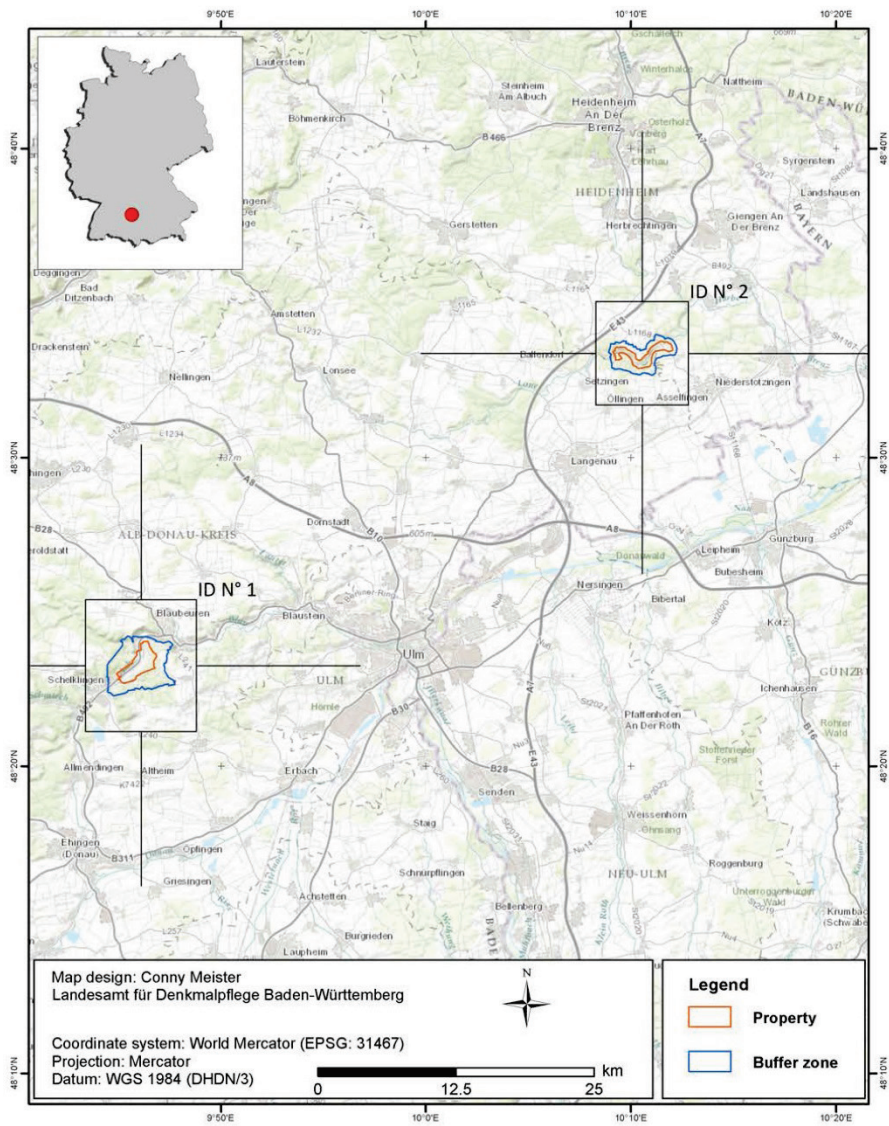
data on the caves, the finds and all excavations that have taken place.

**Additional recommendations**

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

- a) Ensuring and maintaining a balance between knowledge from excavation and conservation of the deposits in the property,
- b) Improving the steep path leading up to Bockstein cave as it is difficult to access in wet weather. This area should be remediated to provide easier access,
- c) Ensuring the protection and monitoring, and consider the future research potential of the backdirt from the early excavations at Sirgenstein and Bockstein caves (these might have a similar research potential as the recently re-excavated backdirt of Vogelherd cave),
- d) Developing a documentation database that includes data on the sites, the finds and information for all excavations,
- e) Non approving the Teichhau I + II wind power development. In addition, any new development projects near the property should be subjected to Heritage Impact Assessments and should be submitted to the World Heritage Committee for consideration in accordance with paragraph 172 of the *Operational Guidelines*;





Map showing the boundaries of the nominated properties



View of the rock formation Bruckfels with the Geißenklösterle



Southwest entrance of Vogelherd Cave



The 'Lion Man' figurine from Hohlenstein Stadel Cave



Fragment of bone flute





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# The Venetian Works of Defence between 15<sup>th</sup> and 17<sup>th</sup> Centuries (Italy, Croatia, Montenegro) No 1533

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## Official name as proposed by the State Party

The Venetian Works of Defence between 15<sup>th</sup> and 17<sup>th</sup> Centuries: *Stato da Terra* – western *Stato da Mar*

## Location

Italy

Municipality of Bergamo, Lombardia  
Municipality of Peschiera del Garda and Municipality of Venezia, Veneto  
Municipality of Palmanova, Friuli Venezia Giulia

Croatia

City of Zadar, Zadar County  
Šibenik-Knin County  
City of Hvar, Split-Dalmatia County  
City of Korčula, Dubrovnik-Neretva County

Montenegro

Municipality of Herceg Novi  
Municipality of Kotor  
Municipality of Ulcinj

## Brief description

The expansion and power of the Republic of Venice reached its greatest extent in the 15<sup>th</sup> century through extensive commercial networks protected by defensive fortifications located throughout the *Stato da Terra* (protecting the Republic from other European powers to the northwest) and the *Stato da Mar* (protecting the sea routes and ports in the Adriatic Sea to the Levant). The introduction of gunpowder led to significant shifts in military techniques and architecture that are reflected in the design of fortifications – termed *alla moderna*. Three States Parties have collaborated to identify 15 components spanning more than 1000 km between the Lombard region of Italy and the eastern Adriatic Coast. Together, these represent the defensive works of the *Serenissima* between the 15<sup>th</sup> and 17<sup>th</sup> centuries, the most significant period of the longer history of the Venetian Republic; and demonstrate the transition of *alla moderna* defences, which were to feature throughout Europe.

## Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a transnational serial nomination of 15 *sites*.

## 1 Basic data

### Included in the Tentative List

Italy

City of Bergamo: 01/06/2006

Fortress Town of Palmanova: 01/06/2006

The Venetian Works of Defence between 15<sup>th</sup> and 17<sup>th</sup> centuries: 09/10/2013

Croatia

Zadar – Episcopal Complex: 01/02/2005

The Historic Town of Korčula: 29/01/2007

The Venetian Works of Defence between 15<sup>th</sup> and 17<sup>th</sup> centuries: 25/11/2013

Montenegro

The Venetian Works of Defence between 15<sup>th</sup> and 17<sup>th</sup> centuries: 11/02/2014

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

27 January 2016

### Background

This is a new nomination.

Several of the components of the transnational serial nominated property are within or adjacent to other World Heritage properties (with diverse justifications of Outstanding Universal Value): Venice and its Lagoon (Italy, 1987, (i), (ii), (iii), (iv), (v) and (vi)) (components 3-6); Stari Grad Plain (Croatia, 2008, (ii), (iii) and (v)) (components 10-11); The Cathedral of St James in Šibenik (Croatia, 2000, (i), (ii) and (iv)) (component 9); Natural and Culturo-Historical Region of Kotor (Montenegro, 1979, (i), (ii), (iii) and (iv)) (components 13-14).

### Consultations

ICOMOS consulted its International Scientific Committee on Fortifications and military heritage and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the transnational serial nominated property from 11 to 22 September 2016.

### Additional information received by ICOMOS

A letter was sent to the States Parties on 17 October 2016 requesting further information on the rationale for the selection of the 15 components, and in particular, why the full extent of the Venetian trade network and fortifications is not represented by sites in additional States Parties. A comprehensive list of all Venetian defences was requested (within and beyond the three participating States Parties) to allow the context of the selection to be better understood. ICOMOS also requested updated information about the International Coordination Group; and about the basis for including the geomorphological context as a basis for

justifying the specific contributions of selected components in framing the potential Outstanding Universal Value of the serial property.

An Interim Report was provided to the State Parties in January 2017 summarising the issues identified by the ICOMOS World Heritage Panel, focusing on continuing concerns with the selection of the series, insufficient justification for including examples from the 15<sup>th</sup> century, the need for the scope of the nomination and comparative analysis to include consideration of *alla moderna* fortifications located beyond the territories of the three States Parties, and the desirability of working with the States Parties to develop a nomination strategy for a wider transnational proposal (possibly in several stages). ICOMOS offered to cooperate with the three States Parties to develop this nomination further but acknowledged its difficulty in doing so within the timeframe of the current evaluation cycle.

Consultation meetings occurred between ICOMOS and representatives of the three States Parties to discuss these matters on 24 November 2016 and 15 February 2017.

The States Parties provided Additional Information on 14 November 2016 and 28 February 2017, and the information provided has been incorporated into this report.

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

10 March 2017

## **2 The property**

### **Description of the Serial Nomination**

The expansion and power of the Republic of Venice reached its greatest extent in the 15<sup>th</sup> century through extensive commercial networks protected by defensive fortifications located throughout the *Stato da Terra* or *Terraferma* (protecting the Republic from other European powers to the northwest) and the *Stato da Mar* or *Domini da Mar* (protecting the sea routes and ports in the Adriatic Sea to the Levant).

The introduction of gunpowder led to significant shifts in military techniques and architecture that are reflected in the design of fortifications – termed *alla moderna* (bastioned system). The components of this serial nomination have been selected to demonstrate the transition and operations of *alla moderna* defences, laying the foundations of military culture that would spread through Europe in the late 17<sup>th</sup> century. Firearms dramatically changed military strategies toward siege techniques. Attacks could occur across a greater distance, changing the relationships between cities and countryside. The forts needed defence lines to protect the walls – and used ditches, water barriers and huge clearings, and later, underground tunnels. Military architecture shifted from earlier square/round towers that protected medieval walls of Venetian towns, to lower rounded towers, reinforced at their bases by robust earth

works and bastions, seen as strong characteristic of *Serenissima* expertise in military architecture. Urban structures altered to accommodate new types of buildings and lay-outs, and new uses of urban areas.

In the Additional Information provided by the three States Parties, the entire extent of the Venetian defences is conceptualised in three major parts: the *Stato da Terra*, the western *Stato da Mar* (encompassing the defences of Venice itself); and the Levante *Stato da Mar* which included the coastlines and routes of the Eastern Mediterranean. This nomination covers the first two of these parts, and is comprised of fifteen components in Italy, Croatia and Montenegro located across more than 1000 km between the Lombard region of Italy and the eastern Adriatic Coast. The components have been selected to represent the defensive works of the *Serenissima* between the 15<sup>th</sup> and 17<sup>th</sup> centuries, the most significant period of the long history of the Venetian Republic. The nomination has a focus on the significance of the *alla moderna* fortifications, as it was in the Republic of Venice that bastion fortifications emerged.

Along with Venice, the components include the two capitals of the western sections of the *Stato da Mar* in the Adriatic Sea (Zadar and Kotor); and maritime fortresses along the route to the Eastern Mediterranean and the Levant. For the *Stato da Terra* there are three urban fortresses in diverse landscape contexts. There are also two shipyards for the construction and repair of war galleys and fortifications to protect them, including an arsenal with three of its advanced works commanding the pass and channel of the lagoon (Venice), and a boat hangar with wharfs (Hvar). There are also two peninsular walled towns – one dating from the 15<sup>th</sup> century (Korčula), and the other from the 16<sup>th</sup> century (Zadar); a walled town with a citadel (Kotor), three citadels each with a torrione (dungeon) (Hvar, Herceg Novi, Ulcinj) and finally a sea fort (Šibenik).

Most of the components have multiple elements including arsenals, channels, enclosures, and various forms of fortresses. The components extend from Bergamo, the point of defence on the northwest border of the Republic; to Palmanova which protected the northeast border; to Zadar, the administrative centre and capital of Dalmatia; to the fortified city of Ulcinj in the far south of the *Golfo di Venezia*. The total area of the components is 420.91 ha, and the buffer zones cover a total of 72,005.64 ha.

1. Fortified city of Bergamo (Italy) – 119.61 ha, with a buffer zone of 446.07 ha

This is the westernmost component – the ‘western gate’ of the Republic of Venice and defensive outpost to protect the *Stato da Terra*. Set in a hilly landscape of steep relief, Bergamo is a fortified city with an extremely distinctive ‘near-vertical’ form. Elements include the hill fortification, city walls, four gates, ramparts, St Vigilio Fort and St Domenico Fort, an urban fortress and citadel and associated urban fabric. This component is proposed as representative of the power of the *Serenissima*, and the only hill fortification in the series.

2. Fortified city of Peschiera del Garda (Italy) – 36.67 ha, with a buffer zone of 143.85 ha

This component of the *Stato da Terra* acted as the ‘hinge’ between the City of Venice and its territories further to the west beyond the Mincio River (such as Bergamo). It is a fortified city, located in relation to the lake and river systems (and termed a ‘freshwater’ fortification). It consists of the city walls (5 ramparts in a ‘pentagon’ plan) with two gates, canal and associated urban fabric. Two million tourists visit this component each year.

3. – 6. Defensive System Venice (Italy)

Four components of the defences of Venice have been included to represent the centre of the whole defensive network. The components are distributed along the sensitive accesses to the Venice Lagoon. These include the Arsenale (31.69 ha), the Fort of Sant’Andrea (3.06 ha), the Poveglia Octagon (0.27 ha) and the Alberoni Octagon (0.25 ha). These four components are part of the existing World Heritage property of Venice and its Lagoon; and the very large buffer zone for these four components is the boundary of the existing World Heritage property (70,148.32 ha). Venice was the centre of the Republic’s power and the headquarters of the defence system. It was located at the central point between the *Stato da Terra* and the *Stato da Mar*. Its defences were directed toward the sea, and protected the key access points to the ports in order to defend the city.

The Arsenale was the centre of the Republic’s military logistics. It is a well conserved ensemble of impressive size and of many buildings, including a shipyard and arms factory that continue to function today. The arsenal, once surrounded by a watertight wall, is subdivided into three separate land areas: the 19 warehouses in the north, now used for research laboratories and services; the old arsenal (west) which includes the most valuable heritage buildings, now the property of the Italian Navy; and the southern part where the foundries, rope factory (370 m in length) and artillery hangars are located. This area is used during the Venice Biennale (500,000 visitors over a period of 6 months).

Fort of Sant’Andrea is located at the mouth of the Lido, the most strategically important place within Venice, and protected the northern entry to the Lagoon. It is an exceptional designed by Michele Sanmicheli in the early 16<sup>th</sup> century. Today, it is restored and open to occasional group tours. A new public/private partnership project will allow links through the city and improve visitor access.

The Poveglia and Alberoni Octagons mark channels in the Lagoon. These are two of five preserved octagons in Venice, none of which is accessible. From 1571, the Octagons were built along the southern channel of the lagoon. The Octagons are inert structures built of brick and filled with earth, with sloping sides, a diameter of approximately 60 metres and a height of approximately 6 metres. These structures are of contributory interest as part of the larger complexes of defences of Venice’s lagoon.

7. City Fortress of Palmanova (Italy) – 193.73 ha, with a buffer zone of 296.27 ha

Located at the eastern border of the *Stato da Terra*, Palmanova is a city fortress with a nine-pointed star plan, set within plains. This city was important for defence from Ottoman attacks from the east and from Austria. This is the only ‘new town’ included in the serial nomination, widely recognised as the ‘ideal fortified city’. Its elements include the three concentric city walls (two Venetian, and one French) with bastions, ravelins and lunettes; and the associated urban elements, barracks and powder magazine. Today, there are many projects for building conservation and adaptive reuse.

8. Defensive System of Zadar (Croatia) – 11.19 ha, with a buffer zone of 240.45 ha

Zadar (Zara) was the administrative centre of the *Stato da Mar*, capital of Venetian Dalmatia, and a hub of the maritime routes in the *Golfo di Venezia* between Venice and Corfu. Zadar allowed Venice to control navigation and protect the Republic from pirates. The city was the military and administrative seat for Dalmatia. It is located on a peninsula, which was fortified. Its elements include the city walls with bastion and an external fort. While many changes have affected the fortifications, they are extremely significant. The peninsula attack front still conserves the extraordinary accumulation of superimposed walls and structures: the trace of the ancient wall with its monumental land gates with niches, the Medieval front, the Renaissance ramparts and two formidable bastions, the Forte hornwork and so on. This component demonstrates *alla moderna* military architecture.

9. Fort of St Nikola, Šibenik-Knin County (Croatia) – 0.85 ha, with a buffer zone of 523.79 ha

Located on a rocky islet, the fort was the first defence and nerve centre for the coastal city of Šibenik in the *Stato da Mar*, rich in resources and raw materials (including its medieval salt pans). Šibenik was a highly prized and safe port which came under Venice’s rule from 1412. The Fort has a triangular plan and is an excellent example of a new work (single fort) built to *alla moderna* requirements, and cleverly incorporates the rock of the island into the structure. The buffer zone aligns with the ‘Kanal Luka’ area which is a category (v) protected area within IUCN’s classification scheme. An interpretive trail is proposed that will link the fort with a regional nature park.

10.- 11. Defensive System of Hvar (Croatia)

The island of Hvar was a strategic centre in the *Stato da Mar*. Its bay is protected by a natural barrier of islands. There are two nominated components at Hvar, including the Fortica Fortress (1.44 ha) and the Arsenal with built quay of port with many military buildings (1.37 ha). There is a buffer zone of 36.52 ha. The Fortica complex – with its hairpin access path, four torriones (each bearing a Venetian lion) and with porticullised posterns – stands along a crest to cover the town below demonstrates the period of transition to artillery in the Venetian context.

The citadel is a structure of hybrid appearance, due in part to the explosion of the powder magazine in 1579, Napoleonic and Austrian modernisations and more recent tourism development modifications. Although Hvar was fortified in medieval times, the increasing pressures from the Ottoman fleet created the need for *alla moderna* defences. Currently, there is a conservation project underway, supported by archaeological investigations.

12. Fortified City of Korčula (Croatia) – 3.86 ha, with a buffer zone of 59.24 ha

Capital of the island of the same name, the fortified *Stato da Mar* city of Korčula is famous for its white stone and for the layout of its central street. The States Parties consider that Korčula is one of the most well preserved fortified medieval and renaissance urban complex in the Adriatic. It is included in the serial nomination to represent the early transition period in the 15<sup>th</sup> century, and is classified as a 'garrison city'. Its location functioned as the 'southern gate' for Venice, the last operational port for the naval trade with the Levant, and defence for the area bordering the Republic of Dubrovnik. Its elements include the city wall, a number of circular, semi-circular and square towers, city gate, port, arsenal and associated urban elements (including a cistern and a bridge).

13. Forte Mare, Herceg Novi (Montenegro) – 0.07 ha, with a buffer zone of 5.68 ha

This fortress allowed control and defence of the entrance to the Boka Bay, one of the Mediterranean's finest natural ports. It is located within a sea cliff on an outcrop of bare rock rising from the water. Reshaped from an earlier fort structure, this single-element component is the best preserved of the defences of Herceg Novi. It is a compact structure, approximately 40 metres by 20 metres overlooking the sea and the town, with four successive steps on the slope and separated from the *intra muros* by a ditch.

It is located within the buffer zone of the World Heritage property of the Natural and Culturo-Historical Region of Kotor. Today, the Island and small town have significant levels of tourism, and the Fortress has 22,000 visitors per year. Like several other components in Montenegro, Herceg Novi was affected by the severe earthquake of 1979.

14. City of Kotor (Montenegro) – 16.32 ha, with a buffer zone of 99.19 ha

The counterpart to Herceg Novi in protecting the Boka Bay, the fortified city of Kotor was protected from the sea and the land. The most protected port of the Adriatic, and former capital of the *Albania veneta*, Kotor occupied an important strategic position within the *Stato da Mar*. It is located within the World Heritage property of the Natural and Culturo-Historical Region of Kotor; and the elements include the perimeter walls with 5 bastions, 11 platforms and 3 gates, and associated buildings and urban elements. Affected by a severe earthquake in 1979, it is today known as the pearl of the Adriatic, and has very heavy levels of

tourism, including large numbers of tourists that visit via cruise ships.

15. Fortified City of Ulcinj (Montenegro) – 0.54 ha, with a buffer zone of 6.26 ha

This fortified city is located at the southernmost tip of Venetian defensive system on Eastern Adriatic coast and was the first naval checkpoint for passage toward Venice. The elements include the perimeter walls and two entrance gates. The town was occupied relatively briefly by Venice (1404-1571) before falling defensively into the hands of the Ottomans. The city was badly affected by the 1979 earthquake, but today there is a conservation program in collaboration with the École de Chaillot in Paris. There are many hotels built in this area, including unsympathetic buildings and a private elevator outside the cliff.

### History and development

The cult of St Mark spread throughout the Venetian Lagoon from the 8<sup>th</sup> century, and the 'Most Serene Republic of Venice' (or *Serenissima*) was established from at least 900. It existed for a millennium until its fall to Napoleon in 1797. The Venetian Republic was centred on its prosperous capital and its lagoon, and included expansive land and sea networks. Venice became a major maritime power from the 10<sup>th</sup> century, and from that time, its influence and trading networks extended along the Dalmatian Coast, to the Mediterranean Sea and the Levant. By the late 15<sup>th</sup> century, the Republic of Venice reached its maximum extent. This was made possible by a vast trading network of fortified cities, commercial towns and ports. The maximum expansion of the *Stato da Terra* was achieved by 1484, and the *Serenissima* became the largest, richest and most populated Italian state.

This transnational serial nomination focuses on the defensive innovations of the Venetian Republic from the 15<sup>th</sup> to the 17<sup>th</sup> centuries. The States Parties have identified three chronological periods that span the period from the 15<sup>th</sup> to the 17<sup>th</sup> centuries. From the 15<sup>th</sup> century, the Venetian Republic was divided into two states: the *Stato da Terra* (central and north-east Italian regions); and the *Stato da Mar* (including the full extent of the eastern Adriatic Sea and routes in the eastern Mediterranean). The consolidation of the *Stato da Terra* and the *Stato da Mar* was achieved through a series of wars and power shifts that are summarised in the nomination dossier.

The first of the historical periods described by the States Parties was a phase of transition from older defensive works to the *alla moderna* at the end of the 15<sup>th</sup> century, demonstrated by the selected fortified towns of Korčula and Kotor. Expansion of the Venetian Republic was a response to threatening advances from several directions. The *Stato da Terra* expanded to incorporate new areas, including the Lombard cities and the land of the Valle Camonica; and the defence of coastal settlements and sea routes.

The second was a phase of experimentation in the 16<sup>th</sup> century, and the spread of technically more advanced military structures, demonstrated by the selected fortified

towns of Bergamo and Ulcinj, the defensive system of Hvar and the Fort of St Nikola. During this century, military planning and architecture became well organised and more scientific. New elements were introduced – bastions, walls and moats – as well as internal geometries. At this time, the defences were organised into an inter-connected system as part of an overall territorial strategy. By the end of the 16<sup>th</sup> century, the defence network was in place, supported by highly centralised organisation.

The third was a phase of consolidation and completion in the 17<sup>th</sup> century, demonstrated by the selected fortified cities of Zadar and Peschiera del Garda, and the city fortress of Palmanova.

The history of each component is outlined in the nomination dossier. Although many of the selected components were fortified at earlier historical periods, the Venetian defences were unlike the earlier designs. The effects of the introduction of gunpowder shifted the means of military engagement and defence, stimulating entirely different approaches to the design and operation of defensive structures and complexes.

ICOMOS notes that important sites and sections of the *Stato da Mar* that extend into the Eastern Mediterranean are outside the scope of this transnational serial nomination. The protection of the outposts of the Venetian Republic in the Levant were significant in the development of the trade routes for the *Serenissima*, and are illustrated by a number of notable examples including walled towns, citadels, sea forts, and island strongholds located beyond the territories of the three States Parties.

In the Additional Information received during the evaluation of this nomination, the three States Parties have clarified that the Venetian Defences of the 15<sup>th</sup>-17<sup>th</sup> centuries can be conceptualised in three major sections, the *Stato da Terra*, the parts of the *Stato da Mar* that occur in the Adriatic Sea (known historically as the *Golfo di Venezia*), and a third important section in the Eastern Mediterranean. The current nomination consists of sites that can represent the first two of these systems, comprising what the States Parties consider to be the physical, logical and functional 'heart' of the overall defensive system. This clarification is reflected in the changes to the title of this nomination proposed by the States Parties in February 2017, that is to say to change the original title "The Venetian Works of Defence Between 15<sup>th</sup> and 17<sup>th</sup> centuries" to "Venetian Works of Defence Between 15<sup>th</sup> and 17<sup>th</sup> centuries: *Stato da Terra* – Western *Stato da Mar*".

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The comparative analysis for this transnational serial nomination has been further developed through the exchanges and additional information provided to ICOMOS by the States Parties. For a serial nomination,

the comparative analysis must first establish the context in which the proposed justification for Outstanding Universal Value can be considered; and must then clearly justify the inclusion of each selected component.

The States Parties compare the nominated transnational serial property with a wide range of properties on the World Heritage List, including those that focus on fortifications, fortified/walled cities, and some cultural routes. Each of these is compared in relation to the historical period, and a range of other characteristics: unitary planning of the system on three levels (urban, military, civil); permanence of figurative repertoires/Venetian social models; presence of examples of *alla moderna* architecture; typological variety of defence architecture, representation of a cultural/commercial itinerary of international importance; evidence of exchanges between western and eastern cultures; and readability of the system at micro and macro scales.

World Heritage properties noted as relevant comparisons include: the Fortifications of Vauban (France, (i) (ii) (iv), 2008); the Old Town of Corfu (Greece, (iv), 2007); La Fortaleza and San Juan National Historic Site in Puerto Rico (USA, (vi), 1983); Kunta Kinteh Island and Related Sites (Gambia, (iii) (vi), 2003); and the Forts and Castles, Volta, Greater Accra, Central and Western Regions (Ghana, (vi), 1979). The States Parties conclude that there are no other properties that meet the identified conditions as well as the nominated property. While some similarities are recognised, the application of different criteria and justification of Outstanding Universal Value is noted by the States Parties.

The States Parties have also examined potentially similar properties on Tentative Lists, and noted some interesting parallels with properties in Brazil, Spain, Ukraine and Greece. There is also a brief outline of *alla moderna* architecture in Europe, and other fortification systems in other Italian States. ICOMOS considers that this analysis is sufficiently comprehensive.

The next stage of the comparative analysis is to justify the focus of the nomination on the *Stato da Terra* and the *Stato da Mar* within their wider historical context. ICOMOS initially considered that the comparative analysis of the nomination needed to be augmented to include sites outside the territories of the participating States Parties, such as those occurring in Greece (including the Peloponnese, Aegean islands and Crete), Cyprus, Slovenia and Albania.

This gap was partially addressed by the Additional Information provided by the States Parties, by placing the chronological context of the nominated components alongside those from the wider network such as Candia, Heraklion, Negroponte, Morea, Naxos, Methoni, Koroni, Corfu, Zakynthos, Rhodes, Mytilini, Famagusta and Nicosia. Throughout this analysis, the importance of the Adriatic Sea (known also as *Golfo di Venezia*) is

emphasised in the factors that led to the innovations in defensive architecture and strategies.

On the basis of the exchanges with ICOMOS, the States Parties have outlined a possible way forward by clarifying and specifying the scope of the nomination to include two of the three major geographic segments that can express this stage in human history and the characteristics of *alla moderna* defensive design. It is proposed that this nomination should extend from the *Stato da Terra* to the Western *Stato da Mar* (centred on the Adriatic Sea), leaving open the potential for a future nomination of important examples from the Levant *Stato da Mar* (centred on the Eastern Mediterranean). The States Parties suggest the two sections represented by the nominated sites were under the control of the *Serenissima* for a longer period than the eastern *Stato da Mar* (Eastern Mediterranean/Levant).

Given the large and transnational character of such a nomination, and differences in the geo-cultural and historical contexts of these three major segments, ICOMOS considers this to be a viable strategy.

In addition to the scoping of the larger geo-cultural and historical context of this nomination, the final crucial stage of the comparative analysis is required to provide comparative information about all Venetian defensive works of the 15<sup>th</sup> to the 17<sup>th</sup> centuries that justifies the selection of them, including the specific and necessary contribution made by each of the 15 components to the proposed Outstanding Universal Value of the serial property. In the Additional Information provided by the States Parties, a summary table shows a total of 31 sites that were analysed in the three States Parties: 18 in Italy; 8 in Croatia; and 5 in Montenegro.

The States Parties argue that the 15 components have been chosen because of their ability to represent a number of important characteristics of Venetian defensive works: typological variety; chronology (according to three identified historical stages from the 15<sup>th</sup> to 17<sup>th</sup> centuries); the roles played by individual sites as a part of a commercial network; architectural/design importance; variety of geomorphological contexts; and ability to represent both the land and sea forts. The state of conservation has also been taken into account.

Ratings are given for each of these, but the choices do not seem to have been made to ensure that these 'chronological/typological' variables are not duplicated and there is little clarity about how these characteristics relate to the proposed criteria.

ICOMOS considers that these factors are relevant (depending on which criteria are considered), but overall, the large set of factors used to determine the selection has resulted in a confusing picture of why the components of the series are included.

In addition, the States Parties have classified four types of sites: fortified cities (Bergamo, Peschiera del Garda,

Kotor, Ulcinj); city fortress (Palmanova); defensive systems for the City of Venice, Hvar and Zadar; and single forts (Forte Mare of Herceg Novi, Fort of St Nikola). The States Parties assert that the 15 components are the most significant sites within these classifications, but ICOMOS considers that there is insufficient explanation of why some of these types are represented by one example, while others have several.

Detailed descriptive reasons are given by the States Parties for the inclusion of the fifteen nominated components. Part of the justification for the selection of the components rests on the diversity of geomorphological settings of these different components – from mountains (Bergamo), lakes (Peschiera del Garda), plains (Palmanova), peninsula (Zadar), islands (Korčula, Hvar) and the Lagoon of Venice itself. ICOMOS considers this information to be useful in understanding the challenges of designing and operating the system of defences.

The States Parties have explained that the aim is not to entirely reconstruct the Venetian commercial network, but to portray the defences through a selection of assets which can communicate the operation of a system, and illustrate its complexities. They have sought to represent the two territorial spheres (*Stato da Terra* and *Stato da Mar*), the three historical phases, the different defensive functions, and the plurality of types. The selection has also sought to include sites that demonstrate the extent of the Venetian Republic – from its northwest border (Bergamo), to its northeast border (Palmanova), the centre of Dalmatia (Zadar) and the extent to the far south (Ulcinj).

ICOMOS understands that the approach might have aimed to select the best-preserved examples from each of the three countries. However, this has created a confusing rationale overall.

ICOMOS finds that the rationale for the inclusion of the 15<sup>th</sup> century in the scope of the nomination is not well-established. ICOMOS does not disagree with the arguments by States Parties that many important historical and geo-political shifts occurred in the 15<sup>th</sup> century, laying the pre-conditions for the innovations that followed. However, ICOMOS finds that the defensive works of the 15<sup>th</sup> century cannot themselves demonstrate these shifts, and do not demonstrate the substantial changes and influences of the *alla moderna* defences (for example, Korčula). For this reason, ICOMOS considers that the comparative analysis and other information provided by the States Parties support consideration of Venetian defensive works from the 16<sup>th</sup> and 17<sup>th</sup> centuries, but not sites that wholly or mostly reflect the approaches commonly applied in the 15<sup>th</sup> century (or earlier).

In conclusion, ICOMOS considers that the internal selection of the comparative analysis has not sufficiently justified the specific and necessary inclusion of each component. ICOMOS considers that there are some aspects, which could be considered duplicated, and

others only thinly represented. For example, in the case of Venice (Italy), it is not clear why two out of the five octagons are chosen (rather than one of them or all of them); why the Arsenals at Venice and Hvar have been included given the focus of the proposed Outstanding Universal Value; or why the Fort of Sant'Andrea is chosen, but the Fort of San Felice (Chioggia) is omitted, given the importance of its strategic position. In the case of other components, the factors seem to be duplicating other examples (such as the several examples of sea forts and *torrione* citadels), or weakly demonstrating their supposed role in the serial nomination (such as the Octagons in Venice). Venice's Fort of Sant'Andrea typologically overlaps with Fort of St Nikola at Šibenik-Knin County (Croatia) which is superior in conceptual quality; and the Fortified City of Korčula (Croatia) and Fortified City of Ulcinj (Montenegro) duplicate the typological contribution of Zadar and primarily demonstrate historical periods other than the 16<sup>th</sup> and 17<sup>th</sup> centuries. Finally, some components have issues with integrity that raise questions about their inclusion (as discussed below).

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ICOMOS considers that the comparative analysis and the Additional Information provided justifies consideration of this transnational serial property for the World Heritage List on the basis of the importance of the development of *alla moderna* defensive solutions in the 16<sup>th</sup> and 17<sup>th</sup> centuries; but that the comparative analysis does not justify the selection of all of the nominated components.

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#### **Justification of Outstanding Universal Value**

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

- Located around the former 'Golfo di Venezia' (Adriatic Sea), the epicentre of influence of the Republic of Venice, the selected components trace a 'defensive line' and represent the evolution and extent of Venetian military culture, from the period of experimentation to the expression of *alla moderna* solutions;
- The Venetian 'imprint' reflected by these components demonstrates the construction methods, design and technological solutions of the architects and military engineers engaged by the *Serenissima*;
- While the period of highest development of the *alla moderna* military architecture occurred in the 16<sup>th</sup> and 17<sup>th</sup> centuries, the 15<sup>th</sup> century established the conditions for the later innovations such as the expansion of the *Stato da Terra* and the *Stato da Mar*, and the discovery of gunpowder that established the conditions for the later innovations;
- The selected components demonstrate the role of military technicians, architects and engineers in the making of a well organised and complex defensive machine.

The serial approach is justified by the States Parties on the basis of the ability of the 15 components to mark the 'line' of defences; and to demonstrate the phases and

breadth of Venetian *alla moderna* military architecture. The components also represent different geographic realities in terms of their landscape settings and roles within the larger system (being either close to or distant from the 'centre' for example).

ICOMOS considers that the focus of this nomination on the innovation of the *alla moderna* military architecture is an appropriate basis for the transnational serial nomination; but that the inclusion of the 15<sup>th</sup> century in the scope of the nomination is not justified. ICOMOS also considers that the focus on the work and careers of particular military individuals is a contributory rather than central basis for the proposed Outstanding Universal Value. ICOMOS stresses that the selection of the components is fundamental to the ability of the proposed Outstanding Universal Value to be demonstrated.

ICOMOS considers that the serial approach is justified given the large expanse of the Venetian defences during this historical period. However, ICOMOS considers that the comparative analysis has not justified the inclusion of all the proposed components (as explained above).

#### **Integrity and authenticity**

##### **Integrity**

The States Parties argue that the integrity of the nominated property is supported by the legibility of the logic of the defensive system, and that the selected components fully demonstrate the proposed Outstanding Universal Value of the serial property. Also mentioned is the typological variety, the visual integrity, the existence of appropriate boundaries and buffer zones and protective measures.

ICOMOS notes that the three States Parties have clarified the scope of the serial nomination covering the *Stato da Terra* and the sections of the *Stato da Mar* located in the Adriatic Sea. However, ICOMOS considers that the integrity of the serial property is not yet well-established for all fifteen components because the cases made for their inclusion are vary in their strength.

ICOMOS also considers that the integrity of some components is stronger than for others, due to the placement of boundaries, past unsympathetic developments and tourism pressures.

There are some issues regarding integrity for some components of the State Party of Croatia. At Zadar, 20<sup>th</sup> century conflicts have damaged some elements and there is an intrusively sited carpark (there are discussions to remove this and restore the wet ditch). There are also poorly sited and backfilling of *torriones* to create carparks at Korčula, as well as poor quality improvements and past conservation works that have weakened the authenticity and integrity of this component such as arbitrary restoration of the parapets on three towers, and cement elements to support tourism activities. Hvar has been impacted by concreted gazebos established on the artillery terraces and

a range of tourism uses of the citadel that are not oriented toward an understanding of its history and heritage.

There are also some issues regarding integrity for some components of the State Party of Montenegro. Herceg Novi features some intrusive commercial facilities such as a closed night club and an open air cinema (with a large permanent screen). Ulcinj has inappropriately sited panoramic hotels and elevator to the ramparts. Kotor is subject to heavy tourism pressure, visually intrusive urban development, and a hydroelectric plant placed in front of the Riva bastion.

While there are ongoing efforts by the States Parties to address a number of these issues and pressures, they indicate the need for strong management and protection at the level of each component.

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ICOMOS considers that the integrity of the whole series is justified for some of the nominated components; and that the integrity of the individual sites that comprise the series is variable and vulnerable, due to past and present development and tourism pressures.

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#### Authenticity

Understanding of the history of the nominated components is supported by extensive archival materials, including documents, architectural drawings and maps, and wooden models. The phenomenon of *alla moderna* military architecture is intensively studied, and a number of the components have been studied in exemplary detail (such as the studies of the fortifications at Kotor and Bergamo).

Given the strategic locations of the components, ICOMOS considers that it is not surprising that many changes have occurred to most of them, including damage through different periods of conflict from the Napoleonic, Austrian and Ottoman periods and the conflicts of the 20<sup>th</sup> century. Impacts are also observed from over-zealous conservation projects, which have removed evidence of other layers of history.

As discussed above, ICOMOS considers that because of various past restorations and intrusive developments, the authenticity of the individual components of the series is variable.

- Hvar Arsenal and Wharf (Croatia): through various transformations, there are few remaining authentic elements associated with the proposed Outstanding Universal Value of this property (such as the décor of the two facades of the Arsenal and the cobblestone surface of the wharfs).
- Fortified City of Korčula (Croatia): the building complex has undergone radical alterations of poor quality such as arbitrary re-building of machiolated battlements on three towers, torriones backfilled with earth, and interior and jointing with cement for tourism-related alterations. Overall, these impacts on the authenticity of this component results in a relatively minor testimony to the Venetian fortifications than other nominated components.

- Forte Mare, Herceg Novi (Montenegro): studies and conservation works are commencing to address the challenging impacts on the authenticity of this component caused by conversion of the casemates into a night club (now disused), and an open-air cinema on its terrace with a permanently illuminated screen that can be seen from many vantage points.
- Ulcinj (Montenegro): in addition to the damages caused by the 1979 earthquake, and redundant and intrusive tourism elements, all of the parapets and powder magazines were altered under the Ottomans, resulting in relatively fewer authentic Venetian fragments than other components. Many of the Venetian elements are located in the buffer zone, rather than inside the property boundary (casemate bastions and powder magazine). ICOMOS notes that it is not possible to link these areas because the urban fortifications are non-continuous to the east and the west, leaving two different zones of interest.

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ICOMOS considers that the authenticity of the whole series has been justified; but that the authenticity of the individual sites that comprise the series is variable due in part to past damages and poor restoration interventions.

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In conclusion, ICOMOS considers that the integrity and authenticity of the series is justified for a reduced set of the nominated components; and that the integrity and the authenticity of the individual sites that comprise the series are variable due in part to past damages and poor restoration interventions.

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#### Criteria under which inscription is proposed

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

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

This criterion is justified by the States Parties on the grounds that the property demonstrates continuous interchanges between the Republic of Venice and other geo-cultural areas through commercial networks developed by the trading power of Venice between the east and west, from the period of maximum expansion in the 15<sup>th</sup> century, to its gradual decline in influence at the end of the 17<sup>th</sup> century.

ICOMOS considers that the linking of different geo-cultural European regions in the 15<sup>th</sup> to 17<sup>th</sup> century through the trade power of the Republic of Venice was an experience of intercultural exchange; and that the defensive works through this vast distance demonstrate the transfer of the *Serenissima's* influence and capacities. Furthermore, the defensive works had later and widespread influence. However, ICOMOS observes that the sites of defensive structures and works are not presented as tangibly embodying these intercultural processes. This characteristic is therefore assumed



rather than explicitly demonstrated by the nominated components and in the arguments presented by the States Parties; raising questions about whether the serial property of defensive constructions is itself illustrative of this aspect of the historical significance of the Republic of Venice. The ways in which the individual components can themselves exhibit these historical processes of cultural interchange are not explicitly demonstrated.

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In conclusion, ICOMOS considers that this criterion has not been demonstrated.

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

This criterion is justified by the States Parties on the grounds that the selected components provide an exceptional testimony of *alla moderna* military culture which evolved within the Republic of Venice, involving vast territories and interactions. Together the components demonstrate a network or system, which had civil, military, urban dimensions, demonstrating Venice's innovative management models.

The States Parties have delineated three chronological stages spanning the 15<sup>th</sup> to the 17<sup>th</sup> centuries; and as discussed previously, ICOMOS does not consider the first of these – the phase of transition from older defensive works to the *alla moderna* in the 15<sup>th</sup> century – to be relevant to the arguments put forward for criterion (iii). However, the Venetian Works of Defence provide an exceptional testimony of the *alla moderna* military culture, which evolved within the Republic of Venice in the 16<sup>th</sup> and 17<sup>th</sup> centuries, involving vast territories and interactions. Together the components demonstrate a defensive network or system for the *Stato da Terra* and the western *Stato da Mar* centred in the Adriatic Sea or *Golfo di Venezia*, which had civil, military, urban dimensions that extended further, traversing the Mediterranean region to the Levant.

ICOMOS therefore considers that this criterion can be demonstrated by focusing on the importance of the 16<sup>th</sup> and 17<sup>th</sup> centuries, and selecting the sites, which most clearly exhibit attributes of these historical developments. When combined with arguments for criterion (iv), and taking into account issues of authenticity and integrity at the level of the individual components, ICOMOS has found that this criterion can be demonstrated for six of the nominated components (as listed below, in the conclusion for criterion (iv)).

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ICOMOS considers that this criterion has not been demonstrated for the whole nominated series, but is justified through a more focused chronological range and associated selection of components.

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

This criterion is justified by the States Parties on the grounds that the components present an exceptional example of the *alla moderna* fortified system (bastioned system) built by the Republic of Venice following changes that were introduced following the increased use of firearms (artillery). Characteristics of the *alla moderna* system include the technical and logistic abilities, modern fighting strategies and new architectural requirements.

ICOMOS considers that this criterion could be used for the *alla moderna* defences of the Republic of Venice; however, not all of the selected components could be included according to this rationale, since it is the innovations from the 16<sup>th</sup> and 17<sup>th</sup> centuries that are of most significant in this regard (rather than all three periods identified in the nomination dossier).

Based on the exchanges with the States Parties and with specialists in this field, ICOMOS considers that a scientifically supportable nomination for the *Stato da Terra* and the western *Stato da Mar* can be sustained based on the following six components:

- City Fortress of Palmanova (Italy): an ideal new city
- Fort of St Nikola at Šibenik-Knin County (Croatia): a sea fort
- Defensive System of Zadar (Croatia): a peninsular fortified city
- Fortified City of Peschiera del Garda (Italy): a fortified city in a lake-river context
- City of Kotor (Montenegro): a fortified complex between sea and mountain over a long historic period
- Fortified City of Bergamo (Italy): a later fortified hill complex

On the basis of these components, the Venetian Works of Defence present the characteristics of the *alla moderna* fortified system (bastioned system) built by the Republic of Venice following changes that were introduced following the increased use of firearms. Together, the six components demonstrate in an exceptional way the characteristics of the *alla moderna* system including its technical and logistic abilities, modern fighting strategies and new architectural requirements within the *Stato da Terra* and the western portions of the *Stato da Mar*.

ICOMOS considers that all the other nominated components should be excluded because they do not contribute to the proposed Outstanding Universal Value in specific and/or necessary ways. The only exception could be the future inclusion of the nominated component of Forte Mare, Herceg Novi (Montenegro) as a counterpoint to Kotor in this series following the completion of current studies and significant adjustments to its boundary to incorporate it into the perimeter of the urban fortifications from which it is detached; and to include it among all the other fortifications of the 'mouths' (together with Kotor). However, this is clearly an ambitious and much longer-term possibility and ICOMOS considers that it cannot be included in the serial property in its current formulation at this stage.

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ICOMOS considers that this criterion has not been demonstrated for the whole series, but is justified through a more focused selection of six components occurring in the territories of the three participating States Parties.

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ICOMOS considers that the serial approach is justified on the basis that a system cannot be represented by a single site or complex.

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ICOMOS considers that criteria (iii) and (iv) are demonstrated for a series comprised of six components; but that the remaining components should be excluded.

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#### **Description of the attributes**

The attributes of the Outstanding Universal Value of this transnational serial property are the earthworks and structures of fortification and defence from the Venetian Republic in the 16<sup>th</sup> and 17<sup>th</sup> centuries. Strongly contributory to these are the landscape settings, and strong the visual qualities of the nominated components; as well as urban and defensive structures from both earlier (Medieval) and more recent periods of history (such as the Napoleonic and Ottoman period modifications and additions) that allow the nominated components to be truthfully presented and for the tactical coherence of each military site in its final state to be recognised.

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

Because the selected components of this serial nomination occur across great expanses of land and water, the factors are variable in their type and severity.

Development pressures arise from the need to adapt urban structures in many of the components, although this is strictly controlled in most cases. Traffic management is a continuing challenge in many of the urban components. ICOMOS is aware of urban development projects near to the component boundary at Zadar; and a proposal for a funicular or tunnel and elevator for Kotor which should be subject to rigorous Heritage Impact Assessments. ICOMOS considers that it would be desirable for the States Parties to further develop the existing framework for Heritage Impact Assessment, so as to ensure that any programme or project regarding the transnational serial property is assessed in relation to its impacts on the Outstanding Universal Value and its supporting attributes.

Visitor pressures vary greatly (as discussed in the Management section of this report), but are very significant in some of the components, particularly in the summer season. This is evident in Peschiera del Garda, Kotor, Hvar and Korčula, and in Venice's Arsenale during the Biennale. Palmanova and Fort San Nikola in Šibenik have much more modest tourism levels that are anticipated to grow; and some elements such as the Octagons in Venice have virtually no visitors.

Large volumes of cruise ships and cargo ships create various pressures for several of the components (particularly for Kotor). Wave action from cargo ships is a factor for a number of the elements located on the sea (Fort of Sant'Andrea in Venice).

The pressures of natural forces, flooding and rising sea levels are significant for some components, most obviously for Venice, but also Kotor, Zadar and Hvar. The risks from earthquakes are significant for the components in Croatia and Montenegro.

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ICOMOS considers that the main threats to the property vary across the components, but that visitor pressure, earthquakes and rising sea levels are of particular concern.

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### **5 Protection, conservation and management**

#### **Boundaries of the nominated property and buffer zone**

Because the selected components are located in three States Parties, and in some cases, are aligned with existing boundaries of protected areas or World Heritage properties, the rationales for the delineation of boundaries and buffer zones are diverse. In some cases, these could be more clearly explained and justified; and there are some inconsistencies across the full series, such as the exclusion of sea waters and/or features of earlier/later periods of fortifications.

For most of the components, ICOMOS considers that the delineation of boundaries is appropriate, although has identified issues for several components (Ulcinj and Venice's Arsenale).

ICOMOS considers that the logic of the delineation of the buffer zones of several properties could be improved in light of the proposed Outstanding Universal Value.

- For Peschiera del Garda, Hvar and Kotor, it would be desirable to integrate later period fortifications into the buffer zones in order to recognise the tactical coherence of each military site in its final state;
- Furthermore, for Hvar, the buffer zone should be extended to incorporate the high point above the nominated component in order to fully protect the visual integrity;
- For Zadar, the buffer zone should be expanded to the other side of the port in light of the various impacts on its visual integrity, including from nearby real estate projects;
- For Kotor, it would be desirable to include some area of the sea waters adjacent to this component in the buffer zone.

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ICOMOS considers that the boundaries and buffer zones are generally adequate, but could be improved/adjusted for several of the components of the nominated serial property.

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### **Ownership**

#### **Italy**

The State Party has provided detailed overviews of the ownership arrangements for each of the components in Italy. The nominated components occur in four different municipalities, and most of them have a mixture of ownership arrangements that can be broadly understood according to five categories: public domain (national defence purposes); inalienable state property; public property (including various regional or municipal bodies); ecclesiastical property; and private property (particularly in the urban areas).

#### **Croatia**

The State Party has provided detailed overviews of the ownership arrangements for each of the components in Croatia. The nominated components occur in four different municipalities, and most of them have a mixture of ownership arrangements. Most elements of public property belong to the respective cities, although there are some elements that are the property of the State (such as the Glass Museum at Zadar). Private property ownership also occurs in each of the components.

#### **Montenegro**

The State Party has provided detailed overviews of the ownership arrangements for each of the components in Montenegro. The nominated components occur in three different municipalities. The components exhibit a mixture of public ownership (by the local councils), ecclesiastical ownership of certain components, and private ownership.

### **Protection**

Each of the three States Parties establishes measures for legal protection at national and regional/local levels, as well as through relevant legal texts.

#### **Italy**

The seven components in Italy are protected by the 'Cultural and Landscape Heritage Code' (2004) which establishes the national regulation framework; and each is further protected by regional and municipal Territorial Plans and local protection measures that regulate urban transformations. Protection measures within the Cultural and Landscape Heritage Code regulate conservation works, and protection of significant landscape elements. Environmental protection is provided for the Italian components through the Draft Law regarding Protected Areas (1991); and regulation of protected areas occurs through the implementation of the European Ecological Network (Natura 2000) and various Italian Directives for flora and fauna.

#### **Croatia**

The five components are protected by the 'Act on the Protection and Preservation of Cultural Property', and inscription in the Register of Cultural properties. Each is

further protected by local protection measures that regulate urban transformations. The Environmental Protection Act and the Nature Protection Act regulate environmental protection; and there is a Strategy and Action Plan for the Protection of Biological and Landscape Diversity.

#### **Montenegro**

The three components are protected by the 'Law on the Protection of Cultural Property' and subordinate ordinances. The 'Law on Spatial Planning and Construction' and local protection measures that regulate urban transformations. Environmental protection is achieved through the Environment Law and Nature Protection Act.

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ICOMOS considers that the legal protection in place is adequate.

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### **Conservation**

The state of conservation is one of the parameters taken into account in selecting the components of this nomination. Due to the impacts of historical processes since the 17<sup>th</sup> century, and conservation interventions, there are different issues across the fifteen components, and the state of conservation varies. These are detailed site by site in the nomination dossier.

For the most part, the selected components have been the focus of specialist interest and research, although the detailed site documentation could be improved for a number of the components. The fifteen components vary in their state of conservation. Many exhibit an exemplary state of conservation (Peschiera del Garda, Palmanova, Bergamo); and others are current subject to conservation projects and specialist studies. Some specific issues noted by ICOMOS include:

- Fort of Sant'Andrea, Venice (Italy), has been affected by widespread subsidence, sinking by 80cm into the lagoon, which has made it necessary to close most of the firing openings and the raising of the level of the inner courtyard. The fort is currently being restored.
- Zadar (Croatia): while many changes have affected the fortifications, these are extremely significant. The bastions of the port front need to be restored, to remove the structures backing on to the flanks and to rationalise car parking. As noted above, the ditch has been backfilled, and a major real estate project is planned in front of the Forte. ICOMOS notes that the management of the restoration process is of a high standard, with a full stone-by-stone record of the perimeter, and detailed archaeological support for all restorations.
- Fort of St Nikola, Šibenik-Knin County (Croatia): while demonstrating a satisfactory state of conservation, local desires to find an ancient gate on the bastioned front lead to some recent uncontrolled digging behind the underground powder magazine and in the side of the south-west bastion. ICOMOS considers that archaeological studies are needed as

a priority to preserve traces of all periods of the fort's active life.

- Hvar Fortica (Croatia): as noted earlier, the complex changes create challenges for the legibility of this component (eg. the explosion of the powder magazine in 1579, Napoleonic and Austrian modernisations, and tourism adaptations). ICOMOS considers that more intensive study and documentation is needed.
- Hvar Arsenal (Croatia): ICOMOS notes the exemplary archaeological investigation that has shown that there was never a wet dock inside. Restoration is currently underway.
- For many of the components in Croatia and Montenegro, there is remaining damage from the 1979 earthquake (for example, at Kotor the upper parts of the remarkable fortifications have not been restored).
- Forte Mare, Herceg Novi and Ulcinj (Montenegro): although there have been impacts on authenticity arising from poorly sited tourism facilities and conservation works, the Montenegrin Crown Prince has supported initiatives in collaboration with the École de Chaillot (France) that includes support for traditional materials and trades and training.
- In addition, at Forte Mare, Herceg Novi (Montenegro), the state of conservation is impacted by buildings backing onto the structure on the outside and dense concealing vegetation.
- Palmanova (Italy): the successive states of fortification are not well interpreted; for example, 19<sup>th</sup> century interventions (French and Austrian) are buried under the fortress, but their original forms should be rediscovered and incorporated into the presentation and interpretation.
- Peschiera del Garda (Italy): currently some alterations are being made to the parade ground between the cathedral and the castle, with a partial excavation of the ancient port.

One common issue is that past conservation interventions have had a tendency to return some of the fortifications to a chosen past 'original state' without sufficient value placed on the importance of other historical periods, such as the Napoleonic or Ottoman features or modifications. Recent work has provided strengthened conservation planning at some of the component sites. For example, ICOMOS considers that the transnational cooperation for this nomination could create further opportunities such as those that have commenced at Herceg Novi and Ulcinj to pool expertise in best practice conservation approaches that could benefit all of the selected components (and other historic fortifications in the three States Parties).

The transnational Management Plan details a number of planned conservation projects for the nominated components.

ICOMOS considers that the state of conservation of the nominated components is adequate; although an overall conservation strategy, based on specialist expertise in

Venetian *alla moderna* defensive structures, would be a useful tool for the National and International Coordination Teams.

## Management

Management structures and processes, including traditional management processes

Management of the transnational serial property is organised at transnational, national, regional and local levels of responsibility and activity. A transnational Memorandum of Understanding was signed in December 2015, and provides coordination between the three States Parties. It establishes the International Coordination Team, which takes responsibility for coordination activities between the three States Parties; and implementation and regular updating of the Transnational Management Plan. The International Coordination Team is supported by National Coordination Groups in each country, made up of relevant national, region and local authorities.

At the national levels, the management systems are established by relevant legal frameworks; and the States Parties have outlined the financial resources and the sources of expertise and training for the conservation of the selected components. Because management planning for each individual component seems variable, the role of the Transnational Management Plan and the active engagement of the International and National Coordination Groups are critically important.

Policy framework: management plans and arrangements, including visitor management and presentation

An overarching transnational Management Plan has been developed by the three States Parties. It contains a useful analysis of the strengths, weaknesses, opportunities and threats for each of the components, and establishes some shared management objectives including, importantly the need to rebuild and enhance the cultural ties between the assets involved in the network. Strategies for conservation and a framework for heritage impact assessment is outlined, and 33 current projects and actions (7 at the network level) are summarised.

Risk Preparedness is provided by the States Parties for the risks of natural disasters – these vary across the fifteen components, due in part to their diverse geographic contexts. While seismic risk is not high for most of the components, devastating earthquake damage occurred to the components in Montenegro in 1979, and all States Parties have emergency plans in place for seismic impacts. The fire risk is generally not high, although Bergamo is located near forested areas subject to occasional forest fires. The States Parties have Forest Fire Prevention Plans in place, where relevant.

The States Parties have established monitoring and planning actions in relation to the risks of rising sea levels and water damage, landslides and flooding from heavy

rainfall for the components located in coastal areas or on waterways. The States Parties recognise the potential for damage from the docking of large ships (eg. Zadar), or the wave action caused by power boats (eg. Fort of Sant'Andrea in Venice). ICOMOS acknowledges the complexity of developing solutions to these pressures and risks, and stresses the need for adequate Heritage Impact Assessment processes within existing decision making procedures.

Not all of the nominated components have site-level management plans (or, if there are some protected area management plans, land use plans or territorial planning documents, these are not specifically addressed to the Outstanding Universal Value of the selected components). ICOMOS considers this to be needed due to the complex pressures and high levels of tourism pressure that many of them currently experience. For Kotor, there is an existing World Heritage Management Plan that has relevant provisions for the visual and other impacts of the development of nearby urban areas. However, this has not been developed with the specificities of the Outstanding Universal Value of the Venetian defences, and so does not fully address the long-term conservation of the attributes of this nominated property.

Data about tourism flows to the nominated components is not uniformly available, although overall national figures are provided in the Management Plan. According to the States Parties, the current situation with visitor numbers is mixed:

- Some of the nominated components are already experiencing extremely high visitor numbers (Peschiara del Garda, Hvar, Kotor) – as an example, the mission expert was advised that at times, Kotor receives five liners of up to 1000 tourists per day;
- Some of the nominated components have moderate visitor levels (Palmanova, Fort San Nikola in Šibenek), and local authorities are interested in strategies that will increase tourism interest;
- Some of the nominated properties have well-developed tourism, but not to the fortifications (Bergamo); or even almost no visitors at all (such as the components in Venice, despite heavy levels of tourism in other parts of the city).

The States Parties acknowledge that, due to the perceived economic benefits, local authorities aim to increase levels of tourism – especially for the components with relatively modest current visitor numbers. This is not unusual, but ICOMOS is concerned that the needed sustainable visitor management arrangements that could handle these increases (or even the current situation in some instances) is not in place.

The States Parties also acknowledge that tourism planning and promotion varies across the fifteen nominated components, and that long-term strategies are needed for some of them. The nomination dossier identifies objectives for each component for the next 3, 5 and 10 years.

ICOMOS considers that the current and desired future visitor pressures constitute a significant challenge for which the management system is not well equipped. ICOMOS therefore considers that an urgent priority is needed on visitor management issues in a number of components. The States Parties plan to carry out tourism carrying capacity studies. ICOMOS considers this work to be urgently needed.

#### Involvement of the local communities

The Management Plan for the transnational serial property has increased community participation and awareness as one of its objectives. Support for cultural industries is a related policy response. In 2016, the States Parties funded a project aimed at developing awareness across the network for school-age children; and a network project in the planning phase is focused on Venetian cuisine and wine heritage.

The States Parties have identified numerous examples of active measures to support local community involvement in the conservation, management and presentation of the nominated components. For example, transfer of the Fort of Sant'Andrea to the community has enabled a public/private partnership to establish a large municipal public garden; at Palmanova, citizen groups are very active in supporting conservation and presentation including the dedicated voluntary work of the Regional Civil Security Centre, job creation initiatives, expert voluntary work of speleologists and costume historians, and the involvement of universities and architecture schools; at Bergamo, the process of developing the World Heritage nomination has stimulated citizen activity which includes job creation initiatives, private philanthropy, gardens run by social cooperatives in the ditches, and school projects; and at Herceg Novi, public meetings, workshops and children's programs are planned for community awareness and engagement in the Forte Mare.

ICOMOS has concerns about the existing management of visitor pressures, and about the long-term ability for the nominated components to withstand the desired increases in visitor numbers and for visitors to have an appropriately presented experience of the proposed Outstanding Universal Value of these sites. While ICOMOS considers that the overarching transnational management system is adequate, there is some urgency to develop and implement management plans for each component that are clearly based on the proposed Outstanding Universal Value of the serial property. Research and planning for sustainable tourism management is also an urgent priority.

## 6 Monitoring

The States Parties propose a monitoring system based on the system of DPSIR (Driving forces, Pressures, States, Impacts and Responses). Key indicators have then been developed for each of the components.

ICOMOS notes that this overarching system covers the most sensitive aspects of the state of conservation of the components of the nominated property; but that the ability to collect data for each of them is not fully established at this stage. ICOMOS considers that the specific factors affecting the conservation of each component could be used to develop these further, particularly for the components that are subjected to high visitation levels, sea erosion and so on.

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ICOMOS considers that the monitoring arrangements represent a useful starting point for the transnational serial property, but that these could be deepened through the work of the International Coordinating Team.

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## 7 Conclusions

The extensive and innovative defensive and trade networks established by the Republic of Venice and this period are clearly important in human history and worthy of representation in the World Heritage List. However, the specific challenge is to determine which sites should be selected in order to do this. ICOMOS has had the benefit of useful exchanges with the three States Parties that have clarified some of the issues and questions, and has consulted experts in this field.

The transnational serial approach is justified, since it is the importance of the network, which demonstrates the potential for Outstanding Universal Value and outweighs the specific significance of any of the component sites. That the three States Parties have undertaken this work is commendable.

On the crucial question of the selection of the components, ICOMOS considers that the nomination should focus on the Venetian fortifications that demonstrate the *alla moderna* innovations, acknowledging that the territory of the *Serenissima* was indisputably the near-exclusive setting of the genesis of the bastioned system during the Renaissance. It is this subject alone that should be highlighted in order to demonstrate the Outstanding Universal Value of this transnational nomination. On this basis, ICOMOS considers that a more precise rationale can be related to the criteria presented in order to establish a set of components which is specifically justified and necessary (as required by the *Operational Guidelines*).

There is a rich scholarship and transnational expertise in this aspect of human history. Because the entire extent of the defensive works of the Venetian *Serenissima* during this period and the encoding of the *alla moderna* solutions would involve the consideration of locations beyond the territories of the three States Parties, they have proposed that the scope of the this nomination is focused on two of the three major geographic segments that can express this stage in human history and the characteristics of *alla moderna* defensive design – including the *Stato da Terra* to the Western *Stato da Mar* (centred on the Adriatic Sea). This leaves open the potential for a future nomination of

important examples from the Levant *Stato da Mar* (centred on the Eastern Mediterranean). Given the large and transnational character of such a nomination within the implementation of the World Heritage Convention, ICOMOS considers this to be a viable way forward.

ICOMOS considers that in order for this strategy to be successfully applied, a rigorous analysis of the selected components in relation to the criteria for Outstanding Universal Value is required. This is needed in order for this nomination to meet the *Operational Guidelines* requirements for serial nominations to justify the specific and necessary reason for the inclusion of each component. ICOMOS does not consider that all of the nominated components have met this requirement. ICOMOS therefore considers that the integrity of the series as a whole is not demonstrated for all the components, but that it is demonstrated for a reduced series of components.

Through a more rigorously applied comparative process, ICOMOS considers that criteria (iii) and (iv) are demonstrated; and that the following six components should be inscribed from the *Stato da Terra* and Western/Adriatic Sea *Stato da Mar*:

- City Fortress of Palmanova (Italy): an ideal new city
- Fort of St Nikola at Šibenik-Knin County (Croatia): a sea fort
- Defensive System of Zadar (Croatia): a peninsular fortified city
- Fortified City of Peschiera del Garda (Italy): a fortified city in a lake-river context
- City of Kotor (Montenegro): a fortified complex between sea and mountain over a long historic period
- Fortified City of Bergamo (Italy): a later fortified hill complex

Applying the requirements of the *Operational Guidelines* for serial properties, ICOMOS considers that all the other components of this property should be excluded. The reasons vary and are described throughout this report, but in general, these are considered to be because they duplicate the typological contributions made by the six components supported for inscription by ICOMOS. In the longer term, the only exception could be the future inclusion of the nominated component of Forte Mare, Herceg Novi (Montenegro) as a counterpoint to Kotor in this series, following the completion of current studies and significant adjustments to its boundary to incorporate it into the perimeter of the urban fortifications from which it is detached; and to include it among all the other fortifications of the 'mouths' (together with Kotor). However, this is an ambitious and longer-term possibility and ICOMOS considers that it cannot be included in the serial property in its current formulation at this stage.

At the level of the individual components, ICOMOS considers that while the authenticity and integrity is variable across the fifteen nominated components, each of the six listed above are able to satisfy these requirements. ICOMOS also considers that the boundaries and buffer zones to be adequate for these components, some

adjustments have been identified that could be made to further strengthen the protection.

ICOMOS considers that the legal protection of the components that comprise the serial nomination is adequate; and that an effective transnational coordination mechanism is in place. The transnational Management Plan is broadly scoped, providing an overarching collection of works and activities. At the level of the individual components, management plans and policies are urgently needed to provide decision making based on the proposed Outstanding Universal Value of the serial property. ICOMOS considers the role of the transnational Management Plan and the active engagement of the International and National Coordination Groups to be critically important.

ICOMOS has concerns about the existing management of visitor pressures; about the long-term ability for the nominated components to withstand the desired increases in visitor numbers; and for visitors to have an appropriately presented and meaningful experience of the Outstanding Universal Value of these sites. Research and planning for sustainable tourism management are therefore also urgent priorities.

ICOMOS considers that the current levels of tourism pressure are extreme for some of the nominated components, and has major concerns about their future, following potential inscription in the World Heritage List. Each nominated component must have visitor management plans that are effective, sustainable and implemented by all relevant authorities and organisations.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that only six of the fifteen components forming the nominated series of the Venetian Works of Defence between 15<sup>th</sup> and 17<sup>th</sup> centuries: *Stato da Terra* – western *Stato da Mar*, Italy, Croatia, Montenegro, namely the Fortified City of Bergamo, the Fortified City of Peschiera del Garda and the City Fortress of Palmanova (Italy), the Defensive System of Zadar and the Fort of St Nikola at Šibenik-Knin County (Croatia), and the City of Kotor (Montenegro), be inscribed on the World Heritage List on the basis of **criteria (iii) and (iv)**.

### Recommended Statement of Outstanding Universal Value

#### Brief Synthesis

The Venetian Works of Defence between 16<sup>th</sup> and 17<sup>th</sup> centuries: *Stato da Terra* – Western *Stato da Mar* consists of six components of defensive works located in Italy, Croatia and Montenegro and spanning more than 1000 km between the Lombard region of Italy and the eastern Adriatic Coast. Together, they represent the defensive works of the *Serenissima* between the 16<sup>th</sup> and 17<sup>th</sup> centuries, the most significant period of the longer

history of the Venetian Republic; and demonstrate the designs, adaptations and operations of *alla moderna* defences, which were to feature throughout Europe.

The introduction of gunpowder led to significant shifts in military techniques and architecture that are reflected in the design of fortifications – termed *alla moderna*. The organisation and defences of the *Stato da Terra* (protecting the Republic from other European powers to the northwest) and the *Stato da Mar* (protecting the sea routes and ports in the Adriatic Sea to the Levant) were needed to sustain the expansion and power of the Republic of Venice.

The expansive territory of the *Serenissima* was indisputably the near-exclusive setting of the genesis of the *alla moderna* or bastioned system during the Renaissance; and the extensive and innovative defensive networks established by the Republic of Venice are of exceptional historical, architectural and technological significance. The attributes of the Outstanding Universal Value include earthworks and structures of fortification and defence from the Venetian Republic in the 16<sup>th</sup> and 17<sup>th</sup> centuries. Strongly contributory to these are the landscape settings, and strong the visual qualities of the six components; as well as urban and defensive structures from both earlier (Medieval) and more recent periods of history (such as the Napoleonic and Ottoman period modifications and additions) that allow the serial components to be truthfully presented and for the tactical coherence of each military site in its final state can be recognised.

**Criterion (iii):** The Venetian Works of Defence provide an exceptional testimony of the *alla moderna* military culture, which evolved within the Republic of Venice in the 16<sup>th</sup> and 17<sup>th</sup> centuries, involving vast territories and interactions. Together the components demonstrate a defensive network or system for the *Stato da Terra* and the western *Stato da Mar* centred in the Adriatic Sea or *Golfo di Venezia*, which had civil, military, urban dimensions that extended further, traversing the Mediterranean region to the Levant.

**Criterion (iv):** The Venetian Works of Defence present the characteristics of the *alla moderna* fortified system (bastioned system) built by the Republic of Venice following changes that were introduced following the increased use of firearms. Together the six components demonstrate in an exceptional way the characteristics of the *alla moderna* system including its technical and logistic abilities, modern fighting strategies and new architectural requirements within the *Stato da Terra* and the western portions of the *Stato da Mar*.

#### Integrity

Together, the six components of Venetian Works of Defence within *Stato da Terra* and the western portions of the *Stato da Mar* portray the needed attributes of Outstanding Universal Value of this transnational heritage, including their typological variety, visual integrity and state of conservation. The inscription of this serial property recognises the potential for a future nomination of examples that can represent in an exceptional and

complementary way, the applications of the *alla moderna* technologies through the extent of the Venetian Republic in this period of history in the eastern or Levante *Stato da Mar*. The state of conservation of the individual components is generally good, although their integrity is variable, and in some cases vulnerable, due to past and present development and tourism pressures. Although some further expansions could be made to the buffer zones (particularly for the components in Zadar and Kotor), the boundaries of the six components are appropriate.

#### Authenticity

The Venetian Works of Defence within *Stato da Terra* and the western portions of the *Stato da Mar* and the phenomenon of *alla moderna* military architecture have been extensively studied, supported by extensive archival materials, documents, architectural drawings, maps and models. Because of their purposes and locations, many changes have occurred to the selected components, including damage through different periods of conflict from the Napoleonic, Austrian and Ottoman periods and the conflicts of the 20<sup>th</sup> century.

#### Management and Protection requirements

Legal protection of the components of the Venetian Works of Defence within the *Stato da Terra* and the western portions of the *Stato da Mar* has been established at national and regional/local levels in each of the three States Parties. The frameworks for legal protection include cultural heritage and environmental protection laws. In Italy, the three components are protected by the 'Cultural and Landscape Heritage Code' (2004) which establishes the national regulation framework for conservation works, including the protection of significant landscape elements; and each is further protected by regional and municipal Territorial Plans and local protection measures that regulate urban transformations. In Croatia, the two components are protected by the 'Act on the Protection and Preservation of Cultural Property', and inscription in the Register of Cultural properties; as well as local protection measures that regulate urban transformations. In Montenegro, the selected component is protected by the 'Law on the Protection of Cultural Property' and subordinate ordinances; and the 'Law on Spatial Planning and Construction' and local protection measures that regulate urban transformations.

Management of the transnational serial property is organised at transnational, national and local levels of responsibility and activity. A transnational Memorandum of Understanding (December 2015) provides coordination between the three States Parties and establishes the International Coordination Team responsible for coordination, implementation and regular updating of the Transnational Management Plan. Shared heritage management objectives, a framework for heritage impact assessment, and a summary of current projects are provided by the Transnational Management Plan. Risk Preparedness is established by the States Parties for the risks of relevant natural disasters, including earthquakes,

forest fires and sea level rise. Due to the complex pressures and high levels of tourism at some of the components of this serial property, site-level Conservation and Management Plans are needed, including visitor management plans and tourism carrying capacity studies.

The International Coordination Team is supported by National Coordination Groups in each country, made up of relevant national and local authorities. The financial resources and the sources of expertise and training for the conservation of the components of this serial property have been outlined. An overarching system of monitoring has been established, but could be expanded by the work of the International Coordinating Team, particularly in relation to visitor pressures.

#### Additional recommendations

ICOMOS further recommends that the States Parties gives consideration to the following:

- a) Agreeing to the proposed changes to the name of the serial property to remove the 15<sup>th</sup> century from the title to become "The Venetian Works of Defence between 16<sup>th</sup> and 17<sup>th</sup> Centuries: *Stato da Terra* – western *Stato da Mar*",
- b) Developing and implementing the framework for 'Heritage Impact Assessment' as a matter of urgency for development proposals (including those related to tourism management and access),
- c) Ensuring that all major projects that could impact on the Outstanding Universal Value of the series are communicated to the World Heritage Committee in line with paragraph 172 of *Operational Guidelines for the Implementation of the World Heritage Convention*,
- d) Ensuring that conservation planning for each component retains evidence of the modifications to the fortifications in all historical periods, rather than removing evidence unrelated to the Venetian Republic,
- e) Reviewing and modifying the buffer zones to integrate later period fortifications in order to recognise the tactical coherence of each military site in its final state (particularly for Peschiera del Garda and Kotor) and to support the future valorisation of a military pedagogy at the serial components,
- f) Expanding the buffer zone protection of the component at Zadar in light of the potential impacts of nearby developments,
- g) Expanding the buffer zone protection for Kotor in order to incorporate an area of sea water,
- h) Developing and implementing management plans for each component based clearly on the Outstanding Universal Value of the transnational serial property,



- i) Continuing efforts to relocate intrusive and redundant elements within the serial components, such as the intrusive car parking Zadar; and visually intrusive urban and industrial developments (Kotor). These objectives should be included into the site management plans, subjected to Heritage Impact Assessments and monitored,
- j) Developing and implementing the proposed Tourism Carrying Capacity study as an urgent priority,
- k) Developing as an urgent priority visitor management plans that allow sustainable tourism and high quality visitor experiences,
- l) Developing a transnational values-based conservation strategy, based on specialist expertise in Venetian *alla moderna* defensive structures as a tool to assist the National and International Coordination Teams,
- m) Continuing to develop monitoring arrangements through the work of the International Coordinating Team;
- n) Submitting to the World Heritage Centre and ICOMOS by 1 December 2019 a report on the implementation of the above-mentioned recommendations, for examination by the World Heritage Committee at its 44<sup>th</sup> session in 2020;

ICOMOS further recommends that the Forte Mare of Herceg Novi, Montenegro, be considered in the future as an extension of the current property when the studies and conservation works to address the impacts on the authenticity of this component caused by poorly sited tourism facilities would be completed.

ICOMOS would be ready and willing to discuss these recommendations with the States Parties, if requested.





Map showing the location of the nominated properties



Aerial view of the fortified city of Bergamo (Italy)



Aerial view of the city-fortress of Palmanova (Italy)



Aerial view of Peschiera del Garda (Italy)



Aerial view of the peninsula of Zadar (Croatia)



Aerial view of fort St Nikola, Šibenik (Croatia)



Aerial view of Kotor (Montenegro)

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## Tarnowskie Góry (Poland) No 1539

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### Official name as proposed by the State Party

Tarnowskie Góry Lead-Silver-Zinc Mine and its Underground Water Management System

### Location

Tarnowskie Góry Municipality  
Zbrostawice Commune  
District of Tarnowskie Góry  
District of Bytom  
Silesia Voivodeship  
Poland

### Brief description

Tarnowskie Góry Lead-Silver-Zinc Mine and its Underground Water Management System is located in Upper Silesia, in southern Poland, some 180km southeast of Wrocław. The nominated property includes the entire underground mine with its dewatering system, featuring 50km of main drainage tunnels and 150km of secondary drainage system, developed in the 15-16<sup>th</sup> centuries and further extended in the 18<sup>th</sup>-19<sup>th</sup> centuries. Above-ground the following elements, connected to the part below-ground via shafts, are included: Friedrich Mine Adit Portal and Ditch (Southern Adit System); God Help Adit Portal and Ditch (Northern Adit System); the Adolph Shaft Waterworks with remains of a 19<sup>th</sup> century steam-powered water-pumping station; the 19<sup>th</sup> century Mining Landscape featuring surface mining topography; the Silver Mountain and Washing Tip; the Original Site of Friedrich Mine; and finally the Municipal Park, exemplifying a post-mining recreational park designed for a previously-mined area. Overall the property is said to be the largest and most significant historic underground lead-silver-zinc mine in Poland.

### Category of property

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

It does include in its area three confined landscapes but the property as a whole is not nominated as a cultural landscape in the sense of the *Operational Guidelines for the Implementation of the World Heritage Convention*.

## 1 Basic data

### Included in the Tentative List

1 February 2013

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

28 January 2016

### Background

This is a new nomination.

### Consultations

ICOMOS has consulted TICCIH and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 29 August to 4 September 2016.

### Additional information received by ICOMOS

ICOMOS sent a letter to the State Party on 14 October 2016 requesting additional information on the rationale for the nomination, the boundaries, the legal protection, the development project and the progress on the management system and plan.

The State Party responded on 14 November 2016 with additional information and it has been incorporated into the relevant sections of this evaluation report.

An interim report was sent to the State Party on 20 December 2016, requesting additional information on the justification for inscription, the comparative analysis, the documentation and the protection of the property.

The State Party replied on 22 February 2017 providing substantial additional information that has been incorporated into the relevant parts of this report.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

The nominated property is located in Silesia, one of the main central European mining regions, with a long mining tradition based on coal, which is still extracted from the basin near Katowice, and the mining of non-ferrous minerals, at Tarnowskie Góry.

The nominated property comprises the whole underground system of the mine with its adits, shafts and galleries as well as the water management system. The largest part of the property is located underground, while above ground only a few surviving structures and features have been included in the nomination. The nominated property is formed of eight elements – Underground workings, Friedrich Mine Adit Portal and Ditch, God Help Adit Portal and Ditch, Adolph Shaft Waterworks, Mining landscape, Silver Mountain and Washing Tip, Original site of Friedrich Mine, and the Municipal Park.

ICOMOS has requested additional information on whether the nomination needs to be considered a series or one single site, due to the way in which it has been presented.

The State Party responded on 14 November 2016, stating that the property needs to be understood as one single property, the underground system being completed by the above-ground mining topography highlighted by characteristic areas. These areas are described below.

In October 2016, ICOMOS also requested the State Party to provide some 3D models in order to understand the whole system of the underground portion of the property.

The State Party provided some hand-drawn tri-dimensional sketches that allowed for some visualisation of the underground system.

#### The mining region

The mining basin covers some 50sqkm, featuring a relatively low deep stratigraphy (10-50m) and horizontal orientation. The minerals were abundant and with high concentrations of metal. The mineralogical forms are lead and silver sulphide, with 85% lead in content, and zinc carbonate. The ore lodes are embedded in calcareous soil, made of dolomite strata interspersed with clay strata. Due to the geological structure of the region, ore lodes occur and extend horizontally rather than vertically. These geological features give rise to relatively superficial underground aquifers and a tendency to retain water.

These factors have facilitated the exploitation of the more superficial strata of the lodes through small vertical and superficial shafts but have made difficult the deepening of the mining extraction once the superficial lodes were exhausted. No deep adits were required, anyway, and, in any case, they could not have been built, due to the insufficient slope gradient between the mines and the discharge water-streams (this aspect is detailed in the historic development section).

#### Underground area (A1)

The underground area is comprised of the Friedrich Mine and its main drainage system as well as an extensive network of ore extraction workings, that was located more superficially and was exploited in the first phase of the mining exploitation (16<sup>th</sup>-17<sup>th</sup> centuries).

The water management system is formed of individual adits that were opened in different eras at increasing depths, that were later connected by the 'Friedrich Deep' and the 'Central system'. This is formed of two main systems: the Southern Adit System, which discharges water into the Drama River through the Friedrich Deep Adit; and the Northern Adit System that discharges water into the Stola River through the God Help Adit. These two main adits also serve as entrance/exit points for the system. Overall, the length of the Friedrich Mine reaches 50km in total.

The adits opened in the 18<sup>th</sup>-19<sup>th</sup> centuries were larger in section and longer. Their drainage during construction and

operation was achieved by steam engines that were initially imported from the UK. None of these survive.

#### The Friedrich Mine Northern (Central) Adit System

The system comprises adits and levels that intersect the ground at a more superficial level than the Southern Adit System. This was created between 1785 and 1807 to respond to the need for a more efficient drainage system, based on gravity rather than on horse-driven mills, which proved insufficient due to the depth of the ore lodes to be exploited (30-50m). The creation of this system required much energy to pump up the underground water and could be achieved only by using eight steam engines (adapted from the Newcomen and Boulton & Watt engines). These were moved from shaft to shaft and during operation were protected by temporary wooden shelters, no traces of which survive to this day.

The water drained through pumping in the Northern Adit System was channelled to be used for fire prevention purposes, from 1797 from the Reden and Machine shafts and from 1835 from the Kaehler Shaft, which is still in use. Surface features associated with the underground drainage system are Angel, Viper, God Bless, Heinritz, Reden, Kaehler and Frederike shafts, and God Help Adit with its Portal and ditch.

#### The Friedrich Mine Southern Adit System

It was built between 1821-1834 and was the deepest drainage for the mine. The main adit is 17km in length. The system was built by digging a series of vertical shafts that were connected at the bottom by progressive excavation in both directions away from the shaft. This system facilitated pumping and speeded the formation of the tunnel system. Steam engines were moved from one shaft to another as required. The key element of the Southern Adit System was the Friedrich Mine Deep Adit that connected the Adolph Shaft with the Drama River. This adit was further extended by creating a second drainage system built throughout the 1860's and completed in the 1880's.

Features of this drainage system include: Peace Shaft; Bohr Shaft, which connects with the above-ground feature Bohr Shaft mound; Adolph and Machine Shafts, which still contain pumping works and are connected with the surface feature Adolf Shaft Waterworks; Help Happiness Shaft, which emerges at the surface in the homonymous mound; and four additional adit shafts (Adit engine shaft n. 22, n.17, n.13 and n. 5), identified as surface attributes within the surface part of the property.

The major surface elements of this drainage system include the Friedrich Mine Adit and Ditch, and Adolph Shaft Waterworks.

#### Surface areas

##### Friedrich Mine Adit Portal and Ditch (A2)

The Friedrich Mine Adit Portal is the main discharge point (50,000 cubic m per day) for the main Friedrich Mine Deep Adit and discharges water into the homonymous Ditch. The architecture of the portal, built in limestone and



marble, exhibits Prussian neoclassical features and character.

The Friedrich Mine Adit Ditch was excavated in 1821 to carry the water discharged by the Adit into the Drama River. This has a very shallow river gradient, therefore, to ensure that this watercourse could receive the water from the mine, the ditch runs parallel to the river for around one kilometre in order to create a sufficient surface flow for the water and to discharge also in winter, when the river usually freezes.

#### God Help Adit Portal and Ditch (A3)

The Portal is located in the north-western part of the property; it discharged water pumped by a steam engine. The external architecture of the portal is a reconstruction dating back to 2000, but inside there is a stretch of masonry wall built in 1652 when the initial adit was constructed, and then extended as a parallel structure in the late 18<sup>th</sup> century. The Portal discharged water into the homonymous ditch, which channelled water into the Stola River after a 500m run.

#### Adolph Shaft Waterworks (A4)

This facility includes the structures built in the 1870's to supply water from the Friedrich Mine Deep Adit to the Upper Silesian Industrial Region (24km south of Tarnowskie Góry). Machine halls and water pumping infrastructure, including stationary steam pumping engines, cast iron pipelines, and a brick-lined steam condensation cistern survive. On the surface, two Malakoff towers, the boiler house with a Lancashire-type boiler (out of nine), and coal railway survive as witness to this technological enterprise.

#### Mining Landscape (A5)

This feature comprises a shaft, mounds, and open earthworks featuring a topography shaped by humans attesting to the intense exploitation of silver and lead ores in the 16<sup>th</sup> century, and, later in the 19<sup>th</sup> century, for stone quarrying.

#### Silver Mountain and Washing Tip (A6)

This expansive surface area bears witness to the large exploitation of lead and silver superficial ore lodes in the late 15<sup>th</sup>-16<sup>th</sup> centuries and, later, of zinc ore, with a high density of hummocks and mounds or 'pingi' resulting from the mine spoil.

The Friedrich Mine Washing Tip is a large mining tailing heap created by the separation process of the silver, lead and zinc ores from the dolomitic bedrock. Its size bears witness to the scale of the Friedrich Mine operation and to the activity carried out at the Central Washer in which all washing activities were centralised by the Prussian State.

#### Original site of the Friedrich Mine (A7)

This site contains archaeological evidence of the early development of what was to become the Friedrich Mine under the state-led mining enterprise at the turn of the 18<sup>th</sup>-19<sup>th</sup> centuries: Rudolphine shaft; Abraham Machine

shaft, where the first British-imported steam engine was used (1788 – not surviving); Heinitz Machine shaft, where a British-imported Newcomen machine was employed (not surviving); Kunst shaft, where a horse-driven mill operated (1785); Antonia and Erdmann shafts; as well as water ditches.

#### Municipal Park (A8)

This urban park (22 ha) was created at the beginning of the 20<sup>th</sup> century by rearranging and beautifying an area characterised by hummocks, shaft mounds, and pits: an artificial lake was created and trees, shrubs and greenery planted. The main mound was turned into a landmark by positioning a gazebo on its top and other leisure facilities were added. The park has been subsequently enlarged to its present size.

### History and development

The nomination dossier identifies two major phases of development of the property as a mining area.

In "Phase 1" (from around the mid 15<sup>th</sup> to early 17<sup>th</sup> century), Tarnowskie Góry became one of the richest ore-fields, principally for lead after the discovery of massive lead-silver deposits in the late 15<sup>th</sup> century. In terms of lead output, Tarnowskie Góry dwarfed its nearest rivals as deposits at Tarnowskie Góry-Bytom yielded, within some five levels of production, more than those in Goslar by 8-10 times. At that time, an almost insatiable demand for lead had been triggered by an invention in the chemical extraction of silver from copper ores, that required lead as a smelting agent. This breakthrough in the latter part of the fifteenth century brought European silver output over the next century to unprecedented levels; at the same time, Polish lead was used in the smelting of lead-deficient silver deposits of 'New Spain', prior to mercury-based amalgamation that had almost wholly superseded it by the early 1560's. This phase of mining activity at Tarnowskie Góry gave an important impetus to the general economic and social development of Europe in the 16<sup>th</sup> century. Then, by the early 17<sup>th</sup> century, the mining activity stagnated as the ore field became exhausted and deeper ore lodes were difficult to exploit, and definitively ceased during the Thirty Years War (1618-48).

The "Phase II" of mining (from 1784 to 1910) covers the period corresponding with the Prussian state-led industrialisation process that began in the second half of the 18<sup>th</sup> century. A strategic support to this process was given by the production of zinc: Tarnowskie Góry, along with other Silesian mines, came to dominate world output throughout much of the 19<sup>th</sup> century until the closure of the mine, in 1933.

Upon ICOMOS' request, in February 2017 the State Party provided additional information, particularly on the water supply system.

The establishment of the Royal Friedrich Mine and the opening of the Northern Drainage System caused the lowering of the water table and dried up the wells (36)

used in the town. In 1797 a system was put in place integrating one mining shaft (Reden Shaft) with a Boulton & Watt steam-engine. This was further adapted in subsequent years following the modifications to the mining and water management system throughout the 19<sup>th</sup> century, with subsequent relocation and replacement of steam-engine machines. In 1903 the steam-engine was supplanted by gas works to operate the waterworks.

Since then, conservation efforts have been undertaken locally to ensure that the mining heritage is protected, preserved and known about.

The water supply system has been upgraded over the course of the 20<sup>th</sup> century; the Staszic Waterworks continued to supply water to Upper Silesia until 2001.

### **3 Justification for inscription, integrity and authenticity**

#### **Comparative analysis**

The comparative analysis has been carried out by comparing the nominated property with 20 properties already on the World Heritage List and related to mining throughout the world, with 11 properties inscribed at the time on the Tentative Lists, with 6 other properties not included on the Tentative Lists, and finally with 8 mining properties within Poland.

The comparison is based on the following factors: geo-cultural region, theme, minerals, period key values and attributes, similarities, and differences, and is carried out through an analysis of the features of each example.

The comparison concludes that the nominated property stands out due to its vast and extremely accessible underground water management system applied in an unusually challenging environment, which combined the dewatering purpose with the supply of potable and industrial water to the towns and productive districts in the vicinity; the system was to become one of the largest public water supplies.

ICOMOS considers that the comparative analysis could have been limited to the properties, inscribed or not on the World Heritage List, that were relevant for the nominated property on the basis of the values and attributes they express.

ICOMOS considers that the comparative analysis does not point towards the exceptionality of Tarnowskie Góry in respect to its comparators already inscribed on the World Heritage List. With regard to the water management system, other regions exhibit highly developed adit systems in which the length of single adits is comparable with the length of the totality of the network in the nominated property: the Ernst August Adit in Mines of Rammelsberg, Historic Town of Golsar and Upper Harz Water Management System, Germany (1992, extension in 2010, criteria (i), (ii), (iii) and (iv)), is 35km long; the Great County Adit in Cornwall and West Devon Mining

Landscape, United Kingdom (2006, criteria (ii), (iii) and (iv)), is 61km long and drains 50 copper and tin mines; the Freiberg Adit in the Mining Cultural Landscape Erzgebirge/Krušnohoří, Tentative List of Germany/Czech Republic, exhibits important similarities that would have merited discussion.

With regards to the mining site, the comparative analysis could have included additional sites, not included on the World Heritage List nor on the Tentative Lists, e.g. Derbyshire Soughs and other lead mining areas in the United Kingdom (Yorkshire, Durham, Scotland – Killhope, Wanlockhead, Leadhills) that, although smaller-scale, preserve extensive remains above and below ground.

ICOMOS notes that the aspect of water supply, and the claimed innovative nature of the system conceived in Tarnowskie Góry, has not been addressed by the comparison and therefore its potential global significance has remained unspecified. In this regard, the comparative analysis should look at properties encompassing attributes such as networks of water towers, steam engines and other pumping systems, filtration plants, reservoirs, dams, aqueducts, in order to establish whether the nominated property would justify consideration as an outstanding example, in terms of conception, technology used and surviving tangible evidence, of a public water supply system set up to exploit drained water.

In its Interim Report, ICOMOS asked the State Party to provide an augmented comparative analysis that considers also the aspects of the water supply and the adaptation of the steam engine system.

The State Party supplemented the comparative analysis by examining waterworks and related pumping systems.

The expanded comparative analysis examines briefly traditional water supply systems, concluding that they are not relevant comparators. It then examines waterworks based on steam-powered pumping stations and affirms that no steam-powered waterworks integrated into a mining context have been identified in the world. On the other hand, pumping stations were in use in Britain, Germany, Poland and the United States, and much less commonly in France.

The State Party provides specific comparisons with: Ir.D.F. Woudagemaal - D.F. Wouda Steam Pumping Station (Netherlands, 1998, (i), (ii) and (iv)) built in 1920 to prevent flooding in Firesland; Hydraulic Engineering and Hydropower, Drinking and Decorative Fountains in Augsburg (Germany, Tentative List), developed between the 15<sup>th</sup> and 20<sup>th</sup> centuries, and the Cruquius Pumping Station in Amsterdam, a 19<sup>th</sup> century pumping station used to drain the Haarlemmermeer Lake.

The State Party recognises that examples of first generation pumping-stations are confined to Britain, whilst second generation pumping stations can be found in several European cities and one also survives in Poland – the Zawada Historic Waterworks Station, Karchowice.

This is said to support the interpretation of Tarnowskie Góry under this perspective.

However, the State Party claims that no property has been found that was planned and used by combining mineral extraction, dewatering and water supply by the use of steam engines.

ICOMOS notes that the comparative analysis shows that the use of the steam-engine in mining contexts was frequent in Britain but also in France (e.g. Anzin) as well as for water supply, both in Britain and Paris (Gros Caillou and Chaillot, 1781). The comparative analysis shows also that for the second-generation steam pumping engines, these were rather widespread, although not in use. Therefore ICOMOS considers that a further search could be done to reach more conclusive results.

With regard to the purported uniqueness of the combination of a steam-powered pumping station in a mining and water supply context, ICOMOS considers that determining uniqueness is not the aim of a comparative analysis, which rather should determine whether a property is exceptional in relation to other comparable ones, and also in relation to their level of integrity and authenticity.

So far, the comparative analysis has not succeeded in demonstrating that Tarnowskie Góry could be said to be exceptional as an example of a dewatering system, the use of now-disappeared steam-engines, and a water supply system.

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

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#### **Justification of Outstanding Universal Value**

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

- Tarnowskie Góry made a significant contribution to global lead and zinc production. The lead extracted in the mines of the nominated property dominated the world supply and, before mercury-based technology was developed, it was used for the extraction and processing of silver in the mines of 'New Spain'. In the 19<sup>th</sup> century until the 1930's Tarnowskie Góry mine became a key supplier of zinc;
- The underground hydraulic system is a masterpiece of human genius as it reflects a consistent and 3-centuries-long pursuit of dewatering the underground mining spaces. The system of channels was further improved by the transfer and adaptation of steam engines to pump water during construction and operation of the tunnels and subsequently to supply potable and industrial water to support city life and Prussian industrial development;
- Four years after the closure of the mining (1933), efforts to conserve the water management system were initiated and continue today.

ICOMOS considers that this justification could be only partially applicable to the nominated property, particularly when it concerns the first period of exploitation of the mine (15<sup>th</sup> – 17<sup>th</sup> centuries) of which no evidence is documented and presented by the nomination dossier or the additional information. The claims, therefore, are not supported by sufficient tangible evidence. Additionally, the comparative analysis has highlighted the similarity of Tarnowskie Góry with other mining properties and regions. With regards to the development of the water management system, ICOMOS notes that all mining properties had to face the problem; however, the specific geomorphological conditions of an almost flat mining area and a rather superficial water table, caused substantial technical challenges for the mining and triggered inventive solutions, initially based on the gravity system and later improved with the use of the steam engine.

The use of the steam engine could also be important from an historical perspective. However, very little physical evidence of this use survives; additionally, further information and comparison are necessary on this aspect of the nomination to assess the potential of the nominated property to justify consideration for the World Heritage List.

ICOMOS has requested additional information in this regard in its December 2016 Interim Report. The State Party replied providing a detailed description of the machines used, their location and relocation, but it remains a fact that none of these machines survive, with the exception of the early 20<sup>th</sup> century steam-engine at Adolph Shaft.

The conservation efforts, although worthy of praise, cannot be considered unique or exceptional in a global perspective.

The exploitation of the dewatering network to supply water to the towns and the industrial district of Upper Silesia is a specificity of the nominated property that could potentially deserve consideration, but only on the grounds of the results of an augmented comparative analysis based on additional research and additional information, and a photogrammetric survey and 3D modelling, which can provide further information.

ICOMOS requested additional information on the above in the Interim Report. The State Party replied providing an augmented comparative analysis which has been discussed in the previous section and explaining that 3D modelling has been ongoing since 2015, although no draft of this work has been presented and only a few schematic sections of the Adolph Shaft have been provided. However, they do not contribute to clarifying how the whole dewatering and water supply system worked and what survives of it to this day.

## Integrity and authenticity

### Integrity

ICOMOS considers that overall the nominated property contains all the elements that are necessary to express its significance as an historic mining site. For the most part, it does not suffer from uncontrolled threats, although the lack of knowledge of the underground system dating back to the first phase (16<sup>th</sup>-17<sup>th</sup> century) does not allow for an assessment of the integrity of this part. On the other hand, the 19<sup>th</sup>-20<sup>th</sup> century portion is known for the most part and its integrity may be considered acceptable. The pumping station and related facilities at Adolph Shaft express their function and significance.

However, for the purpose of the nomination, ICOMOS considers that an expanded explanation and illustration of its different elements and how they work appears necessary to assess whether those attributes adequately express the proposed justification for inscription.

In its first letter sent in October 2016, ICOMOS requested that 3D illustrations be provided in order to ensure the clear representation of the nominated property and its functioning, especially in its underground part.

The State Party responded in November 2016, providing 3D illustrations that were helpful in clarifying the relationships among the different elements and the rationale for the definition of the nominated property.

The surface features, on the other hand, present an uneven degree of integrity but mostly survive as archaeological remains or landscape features. Only through systematic archaeological investigations could these vestiges be able to convey their significance.

### Authenticity

The nomination dossier states that the cultural value of the nominated property is reliably conveyed by the following aspects: form and design of the mining features below and above ground, exhibiting the interchange and adaptation in technology; material and workmanship demonstrating the evolution of the technology, as well as the use and function, based on reliable sources of information, including archival documentation; location and setting, expressed by the flat landscape, and the reciprocal location of the above-ground features.

ICOMOS considers that only a few of the surviving attributes of the nominated property can support the proposed justification for inscription and these do not appear sufficient, at this stage, to justify consideration of this property for the World Heritage List. The lack of archaeological investigations prevents the use of the surviving vestiges as reliable sources of information on the claimed values; in some cases, the justification for inscription refers to earlier periods (e.g. in the case of the water supply system) but the surviving attributes date to a later era.

Overall, the features presented in the nomination dossier can be considered generally authentic in terms of location, function, materials, workmanship and form, but the lack of investigation on their substance, construction phase, and specific roles, limits their potential to support the claimed justification for inscription and of the selected criteria.

In its Interim Report, ICOMOS requested additional information on what survives from the two most relevant phases of the nominated property.

The State Party responded in February 2017 clarifying that the mining underground system dating back to the 15<sup>th</sup> – 17<sup>th</sup> centuries poses serious challenges in terms of documentation due to safety reasons and therefore the key attributes of the property include the underground and above-ground mining/water management technical structures dating from the 18<sup>th</sup> to the 20<sup>th</sup> centuries.

ICOMOS notes that the underground mining and water management system combined with the water supply system developed in the second phase of use of the mine appear to be key to supporting the proposed justification for inscription because the surface and technological structures do not appear to have survived to an adequate level of integrity.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity have not been met in terms of their ability to express adequately and credibly the proposed justification for inscription. However, careful documentation and investigation may increase their capacity to demonstrate at least some aspects of the proposed justification.

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### Criteria under which inscription is proposed

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

*Criterion (i): represent a masterpiece of human creative genius;*

This criterion is justified by the State Party on the grounds that the lead-silver-zinc mine and its underground water management system represents a masterpiece of mid-16<sup>th</sup> to mid-19<sup>th</sup> century underground hydraulic engineering, as an outstanding solution to two major problems related to mining: removing the water from mining chambers and tunnels; and overcoming depletion of the aquifers and the lowering of the water table caused by permanent subtraction of underground waters. Initially based on technology established in Saxony and Bohemia relying on animal power, the dewatering process was improved through the importation from Great Britain of steam engines in the late 18<sup>th</sup> century, later adapted locally. The system demonstrates human creative genius in turning the unwanted presence of water in the mines into an opportunity to supply water to towns and industries.

ICOMOS considers that the challenge of dewatering underground mines has to be faced everywhere and strategies to solve these problems have been developed in all mining regions, as a number of properties related to mining and already inscribed on the World Heritage List demonstrates. The results of the undertaking to overcome specific geomorphological conditions do not suffice, in ICOMOS' view, to justify the use of this criterion in this case.

The transfer of British steam engine technology to the region is interesting but does not demonstrate *per se* human creative genius, in that the technology was invented elsewhere and only transferred and later adapted to be used in Upper Silesia and Tarnowskie Góry. The use of these machines was limited to the dewatering during the construction operation. Finally, no original steam engines or other structures related to their use survive from that era.

While the use of drained water to supply towns and industrial districts appears an interesting aspect of the property, the comparative analysis has not considered other public water supply systems for civic or industrial purposes, therefore has not demonstrated that this represents a masterpiece of human creative genius in technology development.

Finally, the nominated property does not exhibit any monumental landmark that could justify the reference to this criterion.

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ICOMOS considers that this criterion has not been demonstrated.

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

This criterion is justified by the State Party on the grounds that the nominated property exhibits key and pioneering technical interchanges between this region, continental Europe and Great Britain. Huge amounts of lead were yielded each year by the mines in Tarnowskie Góry and this was exported as far as Thuringia, Hungary, Tyrol, the Erzgebirge and even to New Spain (Mexico), before the technology based on mercury was invented. The lead from Tarnowskie Góry boosted the revitalisation of silver ore processing and thus contributed to the economic development of Europe and the export of silver to China. Later, the discovery of zinc in ore lodes in the region, made Germany the most important producer of this metal.

Technologies were transferred from Saxony, Bohemia, Hungary and Great Britain to Silesia. The steam engines available at the time were first imported and then imitated and this led to the establishment of the German steam engine manufacturing industry, which made an important contribution to mining.

ICOMOS notes that this justification is based on two major strands: the contribution of the nominated property to the global economy of silver and, later, of zinc; and the importation and adaptation of steam engine technology for improved dewatering of mines and supply of water to towns and industries.

ICOMOS considers that, although the historical arguments proposed in relation to the role played by Tarnowskie Góry in the European and global metal trade cannot be denied, only a little tangible evidence survives within the nominated property attesting to the technological transfer and adaptation of the mining and dewatering techniques from other regions in the underground network of tunnels, chambers, and adits, and no mining-related technological facility or machine survives from any of the main mining periods. The relics of the earlier phase (15<sup>th</sup>-16<sup>th</sup> centuries) consist of thousands of pits, now mostly overgrown by forests, and of some adits incorporated and reworked into the system built during the second phase of operation of the mine (late 18<sup>th</sup>-19<sup>th</sup> century); the superficial underground network is said to be little known, awaiting a comprehensive archaeological study. No physical evidence of the steam-engine technology transfer survives from the 18<sup>th</sup> or early 19<sup>th</sup> century period.

The machinery that still exists in Adolph Shaft Waterworks relates to the water supply and dates back to a later period (late 19<sup>th</sup> and early 20<sup>th</sup> century). In the absence of a comparative analysis that examines this system in relation to earlier and contemporary systems built elsewhere, this complex cannot be seen as an outstanding testimony to an important interchange of human values.

The additional comparative analysis provided by the State Party in February 2017 does not appear conclusive at this stage.

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ICOMOS considers that this criterion not has been justified at this stage.

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

This criterion is justified by the State Party on the grounds that the nominated property bears witness to the wider technological and industrial culture of Silesia and of the 500-year-old multicultural mining tradition of the area.

In the 19<sup>th</sup> and early 20<sup>th</sup> centuries, at the peak of Tarnowskie Góry's contribution to the global production of zinc and lead, several commemorative and recreational parks were created by adapting post-mining areas and at the same time preserving their features. Pride for the mining past still influences the culture of the region and nurtures the commitment for its conservation and communication.

ICOMOS considers that little evidence overall seems to survive of the past mining operation at the nominated property. Almost no mining, processing or washing facilities can be found, the water management system is preserved in the underground shafts, chambers and tunnel network, the central Washery does not survive and only the tailing heap gives the sense of the scale of the operation. With such little tangible evidence, it is difficult to maintain that the property reflects in a unique or exceptional way a mining cultural tradition.

ICOMOS notes that the nomination dossier cites the 1528 Polish mining law that stipulated three official languages and the existence of a distinct mining culture, but it does not demonstrate how it could be unique or exceptional.

ICOMOS also notes that the nomination dossier refers to the long-standing dedication to conserving the property. It is debatable that heritage practices could be considered a cultural tradition; however, its application in this case does not appear to be unique and it cannot be said to be of Outstanding Universal Value.

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ICOMOS considers that this criterion has not been demonstrated.

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

This criterion is justified by the State Party on the grounds that Tarnowskie Góry is a unique technical complex that combines mining operations and water supply development in the Silesian context between the 16<sup>th</sup> and the early 20<sup>th</sup> centuries, attested by a network of 50km of main drainage tunnels and 150km of a secondary drainage system of tunnels, shafts, extensive mined chambers, integrated with substantial remains of a public water supply system. The site demonstrates a significant achievement in responding to the geomorphological environment and creating a permanent gravitational free flow. The technological transfer and adaptation of pumping systems from Saxony and Bohemia and later from Great Britain allowed for the development of an extremely effective system for dewatering the underground areas and on its subsequent adaptation to supply water for civic and industrial purposes.

ICOMOS considers that the comparative analysis has highlighted similarities with other properties on the World Heritage List with regards to the water management system and has not succeeded at this stage to demonstrate how the nominated property could be considered an outstanding example of a water management system in a Central European mining environment. On the other hand, the specificity of the adaptation of the dewatering system to create a public water supply, and of its surviving features, requires

further exploration in terms of comparative analysis as well as in terms of careful documentation and illustration.

The Interim Report by ICOMOS pointed out the above difficulties and requested additional information and an augmented comparative analysis.

The response provided in February 2017 by the State Party has been discussed in previous sections and, although very informative, has not been conclusive in supporting the justification of this criterion.

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ICOMOS considers that this criterion has not been justified at this stage.

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In conclusion, ICOMOS does not consider that the criteria have been justified at this stage.

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

The nomination dossier reports that potential threats may derive from urbanisation pressures, given that the area is densely populated (the nominated property includes only 10 inhabitants but 61,000 people live in the buffer zone). Tarnowskie Góry is still an important railway hub and this causes pressures in terms of transportation infrastructure upgrading. Other threats mentioned by the nomination dossier relevant for the nominated property are related to localised structural instabilities and fractures of the bedrock, the risk of flooding, and the lack of ventilation (relevant to visitation).

A risk preparedness strategy has been prepared for the nominated property and the planning system incorporates measures that are meant to prevent development pressures. However, due to the possible changes of land uses and provisions, the proponents have envisaged an additional layer of protection.

ICOMOS requested additional information on development projects. The State Party replied in November 2016 explaining that the property is not threatened by any large-scale projects.

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ICOMOS considers that the main threats to the property are the structural weaknesses of the bedrock for the underground part, and urbanisation and development pressures for the above-ground areas.

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#### **5 Protection, conservation and management**

##### **Boundaries of the nominated property and buffer zone**

The boundary of the nominated property (area A1), of which underground structures are 1,330.70 ha, the surface of 342.06 ha, giving a total of 1,672.76 ha, coincides with the limits of the underground part as it is

shown on the map of its proclamation as a "National Historic Monument" (2004). The area of the buffer zone is 2,774.35 ha.

The underground part is completed by two surface areas extending beyond the exit gates of the drainage systems, namely the two junction channels with the part of the associated river (areas A2, Friedrich Mine Adit and A3, God Help Adit).

The other five areas proposed on the surface (A4, A5, A6, A7 and A8) are directly related to the underground part and within its surface projection (A1).

ICOMOS requested some clarification on the rationale for the development of the boundaries and the State Party responded in November 2016 explaining that these are based on: spatial distribution of attributes and their conditions, legal protection in place and land-use regulations, and land ownership division.

ICOMOS considers that overall the boundaries of the nominated property are acceptable, with possible expansion to be considered for area A5 that could be joined to area A4.

However, the additional information provided by the State Party on the above-ground mining topography being included within the boundaries of the property may require the need for some clarification.

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In conclusion, ICOMOS considers that the boundaries of the nominated property and of its buffer zone are adequate, although some clarification may be necessary with regards to the above-ground part of the property. The buffer zone is adequate for the purpose.

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### **Ownership**

The underground system is owned by the State Treasury and is managed partly by the Tarnowskie Góry Land Lovers Association since 1954 and partly under the responsibility of the Silesian Voivodeship Board.

Above-ground structures and land are in different ownership: state, private and mixed (public and private).

The buffer zone has different owners.

### **Protection**

The legal basis for the protection of the underground and above-ground features of the nominated property are the Act on the Protection of Monuments and Guardianship of Monuments (2003), under the Register of Monuments (1955, 1966) and later as a National Historic Monument, and under the Nature Conservation Act (2004).

According to the nomination dossier and the draft management plan, the majority of areas and buildings of the property are legally protected but not all of them enjoy legal protection yet.

A procedure for entry onto the Register of Monuments was opened for the Adolph Shaft Waterworks (item 3.1) in 2015 and for the municipal park (item 3.6) in 2013. It is planned to establish formal legal protection for the following attributes: the mining landscape of Silver Mountain (3.3) and Mining landscape (19<sup>th</sup> century, 3.2), the original site of the Friedrich Mine (3.5), and the Friedrich Mine Adit Portal and Ditch (1.9,1.10) and God Bless Adit Portal and Ditch (2.9). The documentation needed to activate the protection process has been prepared. Several buildings and areas are listed on the Municipal Inventory of Historic Monuments: this is not a form of legal protection, but it is an important element of the overall monument protection system.

ICOMOS requested additional information on the state of legal protection and the State Party replied in November 2016 explaining that for areas A2 and A3, procedures to establish protection have been put in place, while for areas A5 and A7, they are expected to begin in the near future and will be finalised by early 2018.

Minerals and mine workings are legally administered on the basis of the Geological and Mining Law (Act 196/2015, as amended). Since January 2015, tourist tours of the Historic Silver Mine and Black Trout Adit in Tarnowskie Góry are subject to mining supervisory authorities due to the entry into force of a new Geological and Mining Law and Act.

The buffer zone is currently covered by the protection of a Natura 2000 designation, although the additional information submitted in November 2016 clarifies that the buffer zone does not coincide precisely with the Natura 2000 designation.

ICOMOS requested further clarification on the above in its December 2016 Interim Report.

The State Party responded in February 2017 by providing the details of the provisions of the Natura 2000 designations, which appear to be adequate to provide the required added layer of protection.

An additional level of protection is envisaged for each surface feature in order to protect the landscape values of the property due to the natural variability of planning documents and increasing development pressures and urbanisation. Their objectives are: maintaining valuable view interconnections and views to and from the monument; preserving sites with high scientific and research potential and areas in which use is significant to the nominated property and its protection; selecting elements of post-mining landscape and sites which bear strong community and symbolic significance and which are important to the local community.

In its additional information provided in November 2016, the State Party explained that the additional layer of protection is based on local regulations and control of the use of the land (no development is allowed in these zones).

ICOMOS in its Interim Report asked for some clarification and more detailed information on the nature and provisions of the additional level of protection and when it will enter into force.

The State Party responded that these protective measures will be integrated into the planning system as soon as the property is inscribed on the World Heritage List.

ICOMOS does not consider this response to be satisfactory, as it does not clarify what mechanisms are in place that will ensure the implementation of these measures into the planning instruments. Additionally, ICOMOS recalls that protection mechanisms for a buffer zone should be in place at the moment the property is inscribed.

ICOMOS considers that all attributes and associated elements within the nominated property or located in the buffer zone should enjoy legal protection at the national level. In this regard, ICOMOS considers that it would be helpful if the State Party could provide additional information on the progress made in warranting legal protection to all attributes.

ICOMOS has requested updated information in this respect in its Interim Report.

The State Party responded that progress is being made with regards to the legal protection of the attributes not yet covered by legal protection.

With regard to the effectiveness of protective measures, ICOMOS considers that the system in place in Poland is conceived to ensure that protection and conservation of protected monuments is achieved.

Considering that not all the relevant features of the nominated property are currently legally protected, ICOMOS considers that the protective measures will be effective when all will be covered by legal protection at the national level.

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In conclusion, ICOMOS considers that the legal protection in place is not fully adequate as not all features included in the nomination are covered by legal protection. ICOMOS considers that all features that are proposed as attributes expressing the proposed Outstanding Universal Value must be protected according to the national law in force. ICOMOS considers that the protective measures for the property will be effective when all features relevant to express the significance of the property will be covered by legal protection at the national level. Protective mechanisms for the buffer zone not covered by the Natura 2000 designations need to be clarified and implemented.

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### **Conservation**

The nomination dossier gives a descriptive account of the state of conservation of the property attribute by attribute. These descriptions are then summarised in tables. The

property is said to be in a satisfactory state of conservation, apart from a few elements in poor condition which are the object of a conservation programme.

A synthetic but comprehensive account of previous conservation actions has been provided in the nomination dossier.

The state of conservation of the underground parts of the property, as regards the 19<sup>th</sup> and 20<sup>th</sup> centuries (A1), is generally good and even excellent (large drainage galleries, wells, etc.).

The landscape areas of the nominated property appear to be in a stable condition, partly as remains of heaps and abandoned wells preserved and protected without subsequent intervention (A5, A6 Washing Tip, A6 Segiet forest and quarry), partly as vestiges of restructured mining landscapes for symbolic and/or use purposes as a recreational park (A7 and A8).

ICOMOS considers that overall the state of conservation of the property can be considered acceptable. However, ICOMOS notes that a substantial part of the underground property, dating back to the first phase of operation, is not documented or well known. Therefore, ICOMOS considers that a thorough and systematic programme of archaeological investigations and of tri-dimensional geometric survey is indispensable, both for documentation and conservation purposes. This should extend also to the second phase of operation of the mining, dewatering and water supply system, as an essential knowledge base to understand the values and attributes of the system and to ensure its proper management.

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In conclusion, ICOMOS considers that a systematic campaign of 3D documentation of the underground system is needed for scientific but also conservation purposes. Additionally, a comprehensive programme of archaeological research is necessary, also with regard to the articulation of the values of the nominated property, currently not sufficiently illustrated and related to the surviving features of the property.

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### **Management**

Management structures and processes, including traditional management processes

A group of partners facilitated the nomination; this includes the Tarnowskie Góry Land Lovers Association (TGLL Association) which is the manager of the two underground heritage sites of the Angel Shaft and Black Trout Adit and their provisions for tourists. It owns and manages the Museum associated with the underground complex. This association is in the process of taking over the ownership of the Adolph well pumping station, managing its old machines and making it a space accessible to visitors. Another partner is the Municipality of Tarnowskie Góry, which maintains the park sites (Municipal Park, Kunszt Park and Washing Tip Cultural Park) and accompanies the TGLL Association. There is



also the National Heritage Office, the World Heritage Directorate as well as the Water Company. The group also involves other municipalities concerned, public management bodies such as the Forest Service and the Conservancy of natural areas, as well as various academics, in a personal capacity. The Voivodeship seems to have been only recently linked to the project.

ICOMOS was informed that a Steering Committee bringing together all partners involved in the management and conservation of the property is being set up. A project to develop a co-management or engagement charter, to be signed by all partners as a commitment to the conservation and enhancement of the property while respecting its heritage values, in case of inscription, is also underway.

ICOMOS requested additional information about the status of the management plan and of the management system. The State Party responded that a property management plan coordination team has been set up involving the municipality of Tarnowskie Góry and the president of the Association TGLL. The management plan was formally adopted by all relevant parties on 7 November 2016.

A Steering Committee is envisaged and includes 12 key stakeholders. It has a consultative-advisory nature and it is planned that it will meet once per year to take strategic decisions where needed and to supervise the implementation of the management plan.

ICOMOS observes that the Association TGLL has been carrying out remarkable work for the conservation and valorisation of the nominated property for 40 years. This work has been crucial for the preservation of the nominated property.

ICOMOS however also considers that the steering structure being set up will certainly assist the coordination among all the actors involved and the management of the property as part of a wider territory and will be a key factor in promoting sustainable development.

ICOMOS further considers that the idea of a co-management charter is very interesting, even beyond World Heritage, as coordination and partnership are crucial elements for any successful and site-based development and promotion, and encourages the partners to take this path as soon as possible.

ICOMOS finally notes that despite the involvement of individual scholars, a solid and systematic research programme needs to be developed and carried out, including a rigorous 3D survey and archaeological investigations.

The management system envisages a risk preparedness strategy articulated into two strands: risk preparedness in time of peace and in time of war.

Policy framework: management plans and arrangements, including visitor management and presentation

The management plan (2016-2020) in preparation, as declared in the nomination dossier, is provided in draft form in an annex to the nomination dossier. It is structured in three parts: Conservation Management Plan (CMP), Interpretation and Tourist Access Strategy (Plan), and Risk Preparedness Strategy. The CMP determines the Positive and negative factors that have affected the property in the past, distilled into Issues that are each accompanied by strategic policies. The Conservation Management Plan defines an Action Plan in which Strategic objectives are displayed in Actions, with lead co-ordinator, and time frame. For monitoring purposes, it defines quantitative and qualitative indicators.

The additional information provided in November 2016 includes the finalised version of the Management Plan, which was adopted on 7 November 2016, when the cooperation agreement among all parties involved was also signed, formally establishing the Steering Committee.

Involvement of the local communities

Local communities seem to be deeply involved in the nomination through the Association TGLL.

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ICOMOS considers that the management system set up appears adequate, although establishing a scientific committee advising the Steering Committee would greatly assist in developing the necessary research programme of the archaeological mining features and landscape. The Management Plan has been adopted and integrates a comprehensive risk preparedness strategy.

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## 6 Monitoring

The conservation of the property is monitored by the Pumping and Water Management Company for the drainage system and by the Management Association (TGLLA) for parts open to the public under the control of the Municipality of Tarnowskie Góry (delegation of public property) and technical services of the Silesian region (Mines, Conservation of Historic Monuments, Environment). Monitoring is carried out by the Regional Forest Services and the Municipality of Byton for Segiet, and by the municipality of Tarnowskie Góry for the others.

A comprehensive monitoring system has been prepared within the Management Plan, submitted in its finalised version in November 2016.

ICOMOS considers that the monitoring system could be considered overall adequate but should also include indicators to measure the effectiveness of management.

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ICOMOS considers that the monitoring system could be considered adequate but it would benefit from the inclusion of indicators for the assessment of management effectiveness.

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## 7 Conclusions

The main focus of this nomination is the underground area of the Lead-Silver-Zinc Mine of Tarnowskie Góry, and its water management system. The property is located in Upper Silesia, some 25km north of Katowice and 180km southeast of Wrocław. It includes elements connected with the mining underground: shafts and a large network of levels and excavation chambers; elements connected with the dewatering network: adits and shafts; elements connected with the water supply system: Adolph Shaft Waterworks and other underground and surface workings.

The nomination is proposed as one single property, the unifying element being the underground network of tunnels and adits that connects the above-ground individual features.

The property is located in one of the three major historic mining regions in Central Europe – Upper Silesia, the Harz and the Erzgebirge – all sharing notable reciprocal similarities in terms of geology and abundance of non-ferrous ores, the use of extensive hydraulic systems to drain the mines, and a common history of technological, social and cultural exchanges.

The main aspect underlying this nomination, according to the State Party, is represented by the constant technical challenge encountered throughout the historic development of lead-silver-zinc mining in Upper Silesia; that is, the fight against water. This constant threat predominated over all the other technical problems and was won by a strategy consistently pursued at Tarnowskie Góry for some 300 years, through constant innovation and adaptation of the latest European mining technology and skills, not only from Central European mining centres, but from Britain too. This prolonged effort led to the foundation, between the late 18<sup>th</sup> and early 19<sup>th</sup> century, of a public water supply system. This is said to be a rare combination representing an exceptional example of how mining provided the technology for the development of a large-scale public water supply system based on the steam-powered pumping of groundwater.

While this justification is interesting, ICOMOS observes that the physical evidence supporting such an important interplay is scanty in comparison with other similar properties, also when the water management system is considered. The past history of mining activity at a heritage site may be reflected by several examples of spoil heaps, pit heads, adits or pumped shafts, pumping and winding machinery, chimneys/engine houses, surface dressing/sorting/washing plants for the minerals,

provision of baths for the miners, housing (of higher or lower quality), miners' libraries and institutes, industries that use the mineral, or clays, and other related activities.

At Tarnowskie Góry, it seems that almost no above-ground structure, machinery or other mining devices survive from any of the mining phases, the mining heritage being limited to the network of tunnels, chambers, shafts and adits, the only exception being represented by Adolph Shaft Works where elements of the technical pumping system dating back to the early 20<sup>th</sup> century survives in situ.

The documentation in the nomination dossier is essentially formed by historic drawings but no geometric survey or tri-dimensional model of the actual extent of the underground system is presented to support the proposed arguments.

Documentation in this regard has been requested from the State Party, who responded on 14 November 2016 by submitting useful hand-drawn sketches to illustrate the underground mining system.

The dossier itself admits that little is known about the underground mining system related to the 16<sup>th</sup> century; however, ICOMOS notes that not much is presented either for the 19<sup>th</sup> century underground system.

Additionally, the comparative analysis, extensive with regard to the mining properties included and fair in its assessment, fails to demonstrate how Tarnowskie Góry would justify consideration for the World Heritage List as a mining site with its mining water management system.

The adaptation of the water management system with its pumping devices to supply water to the towns and the industrial district of Upper Silesia, and its role in boosting the Prussian industrial revolution in the late 18<sup>th</sup>-early 19<sup>th</sup> centuries, is today represented by the structures at Adolph Shaft and its Waterworks, which date back to the late 19<sup>th</sup> and early 20<sup>th</sup> centuries, so somewhat later than the period of significance (late 18<sup>th</sup>-early 19<sup>th</sup> centuries).

No comparative analysis was initially carried out with regard to this aspect of the property; however, the State Party provided an augmented comparison in February 2017, which has been found incomplete and not conclusive. Therefore, although interesting, the potential of the nominated property for inscription on the World Heritage List remains at this stage unclear.

The property has been presented under four criteria (i), (ii), (iii) and (iv). At this stage, none of the criteria appear demonstrated, and for some the property does not seem to exhibit the potential for future justification. Some aspects of the nominated property might warrant future exploration through a deepened description and documentation and an augmented comparative analysis, to assess whether and how the property can be seen to be an outstanding example of a mining site for non-

ferrous material that could be exploited thanks to an ingenious water management system which was also used for water supply purposes.

In terms of protection, not all features included in the nominated property enjoy legal protection, although procedures are underway to warrant protection status to a number of them.

Management has been carried out for several decades mainly by the Association TGLL and by the body responsible for the water supply (today the Veolia company). A steering committee was established on 7 November 2016 to ensure coordinated management through a World Heritage management plan approved on the same date.

ICOMOS considers further work is needed in order to demonstrate whether this property may justify consideration for the World Heritage List.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the examination of the nomination of Tarnowskie Góry Lead-Silver-Zinc Mine and its Underground Water Management System, Poland, to the World Heritage List be **deferred** in order to allow the State Party, with the advice of ICOMOS and the World Heritage Centre, if requested, to:

- a) Re-scope the nomination by focussing on the underground mining and water management system and water supply, and by considering the potential of other attributes, currently outside the nominated property, to make a robust case for World Heritage Listing,
- b) Deepen the description of the nominated property and of its attributes, particularly those illustrating the integration of dewatering with supplying water, also through 3D drawings based on rigorous survey,
- c) Expand the comparative analysis to verify what other properties survive of early water supply based on the steam engine. Such a comparison needs to consider the surviving attributes in the comparators;

Any revised nomination should be visited by a mission to the site.

### Additional recommendations

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

- a) Finalising and implementing the legal protection of all the structures above and below ground within the boundaries of the nominated property as well as those that, although in the buffer zone, are said to support the value of the nominated property,

- b) Setting up a multidisciplinary scientific committee as an advisory body to the Steering Committee, to assist in scientific and research programmes,
- c) Confirming that the change of ownership of the pumping station at Adolph Shaft will not alter in the medium- to long-term the quality and regularity of the extraction of the water necessary to conserve the underground chambers,
- d) Developing a complete scientific programme of 3D laser-scanning and modelling of the accessible part of the underground network, including the pumping station at Adolph Shaft with its underground ensemble,
- e) Developing an archaeological investigation programme with a focus on the underground element of phase I, to the extent this is possible, and of phase II, with a particular focus on the mining landscape,
- f) Considering the extension of area A5 to join area A4;







Friedrich Mine Washing Tip



'Black trout' route



Single wooden pole supports



Adolph Shafts





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## Orheiul Vechi (Republic of Moldova) No 1307

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### Official name as proposed by the State Party

Orheiul Vechi Archaeological Landscape

### Location

Trebujeni Municipality

Orhei district

Republic of Moldova

### Brief description

Orheiul Vechi Archaeological Landscape is comprised of two promontories above a long stretch of high calcareous cliffs within a gorge created by the River Răut, on the edge of the Eastern Moldovan plateau. The property exhibits traces of millennia-long human and religious settlements. Archaeological sites attest to the way this area has been settled starting in Palaeolithic times and almost continuously between the Neolithic and the 17<sup>th</sup> century. Important relics of human occupation include archaeological remains of fortified settlements of the Geto-Dacian civilisation (4<sup>th</sup>-3<sup>rd</sup> centuries BC) reflecting contacts with the Greek world. From late antiquity through to the medieval period, the area was inhabited by local settled and migratory tribes. At the beginning of the 14<sup>th</sup> century, when the area was part of the Tatar Mongolian kingdom, a town grew up: archaeological remains of the baths have been excavated and preserved. Between the 15<sup>th</sup> and 16<sup>th</sup> centuries the fortified Moldovan town of Orhei took its place and a complex of medieval rock-hewn monasteries was carved in the high river cliffs. The town was abandoned in the 16<sup>th</sup> century but remains of its walls and ditches still shape the landscape. The property also includes the villages of Butuceni and Morovaia, with their vernacular architecture. The archaeological remains as a whole are said to reflect the strategic importance of the gorge as the crossroads of communication routes between east-west and north-south in south-eastern Europe.

### Category of property

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

In terms of the *Operational Guidelines for the Implementation of the World Heritage Convention* (July 2015) paragraph 47, it is also nominated as a *cultural landscape*.

## 1 Basic data

### Included in the Tentative List

30 November 2007

### International Assistance from the World Heritage Fund for preparing the Nomination

A request for International Assistance to prepare a revised nomination was submitted by the State Party in 2012. ICOMOS and ICCROM noted that the request did not mention the ICOMOS recommendations for the revision of the nomination and recommended the proposal be returned to the State Party for reformulation. The request was not approved by the International Assistance Panel due to insufficient funding and lack of priority.

### Date received by the World Heritage Centre

28 September 2015

### Background

A nomination of this property under a slightly different name – The Cultural Landscape of Orheiul Vechi – was submitted by the State Party in January 2008 for evaluation as a mixed property under criteria (v) and (vii). Following its evaluation process, ICOMOS recommended the nomination be deferred “in order to allow the State Party to establish whether the property, within a more confined site within the gorges, has the capacity to demonstrate outstanding universal value through:

- a) Carrying out further analysis of the results of archaeological excavations of sites, and of the carved monasteries and churches to establish their individual and overall significance;
- b) Providing further comparative analysis to establish how the archaeological sites and carved monasteries and churches, as an entity, relate to other sites in their geo-cultural region and on the World Heritage List.”

In 2009, the property was then withdrawn by the State Party and not discussed by the World Heritage Committee at its 33<sup>rd</sup> Session.

In September 2015, the State Party submitted a revised nomination for Orheiul Vechi Archaeological Landscape which is the subject of the present ICOMOS evaluation.

### Consultations

ICOMOS consulted its International Scientific Committees on Cultural Landscapes and Archaeological Heritage Management, as well as other independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 8 to 14 August 2016.

### Additional information received by ICOMOS

On 19 October 2016, ICOMOS sent a letter to the State Party requesting additional information on the rationale adopted to define the boundaries of the nominated property; on the measures adopted to counteract the

outlined threats and on any development, including quarrying activity, within the property or its buffer zone. The State Party replied on 16 November 2016 and its response is incorporated into the relevant sections of this report.

On 19 December 2016, an Interim Report was sent to the State Party informing it of the preliminary assessment of the ICOMOS Panel of this nomination and requesting additional information on the comparative analysis, arguments that could support criterion (ii), as criterion (v) was found difficult to be demonstrated, the state of approval of management and development plans, and protection zoning.

The State Party replied on 20 February 2017 with substantial additional information, which is dealt with in the relevant sections of this report.

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

10 March 2017

## **2 The property**

### **Description**

The nominated property is located in central eastern Moldova, along the winding gorges that the River Răut has formed in the Sarmatian limestone plateau, some 14km upstream of its confluence with the Nistru (Dniestr) River.

The property presented in this revised nomination dossier is much reduced in size (539.127ha) compared to the previous nomination and includes two limestone promontories – the Butuceni and the Peștera promontories – and the Mașcăuți slope and two corresponding river meanders.

In this revised nomination, only the villages of Butuceni and Morovaia are still included in the boundaries of the nominated property, whilst Trebujeni now falls into the buffer zone (6085.57ha), which completely encircles the Orheiul Vechi cultural-natural reserve (4420.946ha).

The deep gorges carved by the meandering river into the limestone plateau produced a favourable micro-environment for humans to settle, to defend themselves from external aggressions and from the cold north-easterly winds. The wider landscape features a variety of natural and man-made ecosystems, due to the specific hydrology, pedology and climate of the area.

The property exhibits a sequence of archaeological remains located in different sites. They comprise 25 settlements, 7 fortifications, two medieval towns, 6 cemeteries, bearing witness to the presence in the area of different civilizations, from the Palaeolithic and Neolithic periods to the Geto-Dacian remains, to the Tatar-Mongol Golden Horde ruins, to the Moldavian Town of Orhei, as well as some 177 caves used for religious or residential purposes, overall covering a span of time of

30,000 years, in a natural context of peculiar geomorphologic formations which convey remarkable scenic qualities.

Only parts of the archaeological remains have been excavated.

The sites mentioned above are found on the Peștera and Butuceni promontories and the Mașcăuți slope, and will be described accordingly.

### **Peștera promontory**

Multi-layered archaeological remains are found on the Peștera promontory between the villages of Trebujeni and Butuceni, in an area measuring 2,000m x 800m. The promontory formed a natural fortification, which has been adapted and used by human groups in different periods. The site is protected on its northern, eastern and southern sides by the waters of the Răut River and the steep cliffs of Sarmatian limestone, while access from the west is now blocked by the remains of earthen fortifications and ditches.

Archaeological evidence attests to human presence in the Palaeolithic period and to almost continuous human settlement from the Neolithic through to the 17<sup>th</sup> century.

The most important archaeological remains that have been found on the promontory are those of the medieval town of the Golden Horde, Șehr al-Cedid (the New Town), dating from the 1330's-1360's, and the Moldovan medieval town of Orhei, dating from the end of the 14<sup>th</sup> to the middle of the 16<sup>th</sup> centuries. A rural market town/village - Peștera - succeeded the abandoned town and the promontory was completely abandoned sometime in the 17<sup>th</sup> century.

Most of the archaeological remains are preserved below ground although some structures have been excavated or conserved and are today visible on the surface, such as the town walls of Orhei, remains of monumental stone buildings from the 14<sup>th</sup> century town, and remains of a 15<sup>th</sup> century church.

Finds from the site reflect trade from the east.

### **Șehr al-Cedid**

The town developed under the sphere of influence of the Golden Horde Khanate, following the Tatar invasion of the region after 1241.

In February 2017, the State Party provided an additional thorough description of the Tatar town, integrated in the text below.

The Tatar town made use of the particular geography of the gorge and represents a tailor-made adaptation of the features of a large natural citadel to suit defensive purposes. As is often found in Mongol settlements, the Tatar town had no defensive walls; however, protection was provided by the military camp located at the only

entrance to the city. In the western part of the town the cemetery and two mausoleums were built.

The main surviving vestiges include the remains of the citadel with the residential district around a courtyard of Tasch Hauli type, the mosque, the caravanserai, three oriental baths, and a statue depicting a human figure.

The Citadel remains reveal the trapezoidal shape of its enclosure, reinforced by four towers and five buttresses, and the presence of a building initially used as a mosque and subsequently transformed into a palace, presumably the residence of the Tatar-Mongol emir.

The mosque was located in the centre of the plateau near the caravanserai. Today only the foundations and the remains of the perimeter walls of these two buildings survive. A church was also constructed during the late stages of the Tatar town of Şehr al-Cedid.

Remains of a structure identified as the baths (Tatar baths) survive along the bank of the Răut River on the outskirts of the town. It was a Hamam-type building with a hypocaust system. Other rooms identified in the structure include the apodyterium, the sufa, the tepidarium and other facilities.

Remains of the Moldovan town of Orhei

With the advent of the Principality of Moldova at the end of the 14<sup>th</sup> century through to the 16<sup>th</sup> century, Orhei supplanted the Tatar-Mongol town and became an important element of the Moldovan fortification network.

The main surviving structures of medieval Orhei include the Tatar-Mongol Citadel, remodelled to house the residence of the Pârcălab, the county governor, built on top of the previous Mongol mausoleum and palace; the ramparts; the market area, replacing the Caravanserai; two churches, one of which dates back to the last Tatar period of the town; and two cemeteries, located respectively at the market place and near the Citadel. Remains of some one hundred dwellings complete the picture of the town.

Archaeological remains also attest to the use at Şehr al-Cedid of technologies to produce cast iron, and mercury amalgamation to obtain silver and gold, as well as kilns to glaze ceramics.

Butuceni promontory

On the naturally fortified promontory of Butuceni, the multi-layered archaeological site covers an area of 3000m by 300m, and contains traces of human habitation from the Eneolithic (5<sup>th</sup>–4<sup>th</sup> millennium BC), the early Iron Age (9<sup>th</sup> century BC), Geto-Dacian culture (4<sup>th</sup>–3<sup>rd</sup> centuries BC), and the medieval and modern periods (8<sup>th</sup>–9<sup>th</sup> and 14<sup>th</sup> through to the 17<sup>th</sup> centuries).

The main archaeological remains are those of a fortified centre of the Thracian Geto-Dacian culture, comprising 5 earth vallums and a citadel, and cover four main historic phases between the 9<sup>th</sup> and 2<sup>nd</sup> centuries BC.

Some 350 rock-hewn complexes can be found in the wider region, a number of which are within the nominated area. On the basis of inscriptions and archaeology, they appear to date from between the 14<sup>th</sup> and 19<sup>th</sup> centuries.

Some of the larger complexes functioned as churches between the 17<sup>th</sup> and 18<sup>th</sup> centuries, while the smaller ones are said to be cells of ascetic monks.

At Butuceni promontory, the main complexes are as follows:

- Monastery of Pârcălab Bosie – with 10 rooms and still used as a church
- Trebujeni Cariera with 25 rooms
- *Peștera* rupestral group with 72 rooms, including a monastery and several churches.

The majority of these caves are not in use, and many are difficult to access. However, starting in 1996, Christian use of the churches resumed after an interval of some 50 years. The church of the Monastery of Pârcălab Bosie, has been re-opened to visitors and believers and is now served by a monk living on-site.

Mașcăuți-Archaeological site

This site is situated on the terrace of the River Răut, 400m west of the village of Mașcăuți. It includes the *Mașcăuți-Dealul cel Mare* and the *Mașcăuți-Poiana Ciucului* Geto-Dacian fortresses, which date back to the 4<sup>th</sup>-3<sup>rd</sup> centuries BC. The latter also exhibits traces of a medieval wooden fortification.

The site also includes the *Pesterile Ciucului Hermitage* with 29 rooms, which still functions as a church; the *Macicăuți Hermitage*, with 20 rooms; and the *Bisericașă Chapel Rock Carved Cave*, a Christian church located in an isolated cave.

The buffer zone

Within a 2km radius of the buffer zone, 21 archaeological sites have been recorded covering a span of time from the Palaeolithic through to the 18<sup>th</sup> century. They include: Trebujeni-Sat, Trebujeni-Lutărie, Trebujeni-Valea Țiganccii, Trebujeni-Piscul Ciobanului, Trebujeni-Fântâna Joiei, Trebujeni-Selitra I-III, Trebujeni-Selitra, Trebujeni-Scoc, Trebujeni-Potârca, Trebujeni-Gura Ivancei, Furceni-Cot, Furceni, Furceni-Ivancea, Brănești-Valea Budăi, Brănești-Cariere, Furceni-Brănești, Brănești-Biserica, Brănești-Ivancea, Mășcăuți-Zaverna, Mășcăuți-Livada Boierului, Mășcăuți-Zăvoi.

### History and development

The revised dossier provides an extended account of the historic development of the overall property. The additional information provided in February 2017 further adds to what was presented in the nomination dossier, particularly with regard to the cultural interventions that are conveyed by the archaeological remains found in the nominated property, and particularly by Şehr al-Cedid.

The geological processes that shaped the landscape of the area and the Răut gorges began between 13-8 million years ago, with the formation of the Sarmatian limestone reef, succeeded by the formation and erosion of clay deposits in different phases and by the formation of the Răut river gorge in the Quaternary (1 million year BP), when the geomorphology reached its current aspect.

The valley became inhabited and partially settled during the Palaeolithic (30<sup>th</sup> millennium BP) and settlement persisted in the gorge from the Neolithic through to the 18<sup>th</sup> century, when the Moldovan town of Orhei was abandoned, but settlement continued in the villages in the lower terrain along the meanders of the river.

The natural features of the landscape, the gorge and the cliffs, acting as natural fortresses, the Răut River, a tributary of the Dniestr, and the shortage of arable land, are seen as key factors for the peculiar settlement of the region by societies dedicated to trade and for fortified settlements.

The archaeological evidence allows for the reconstruction of a sequence of occupation in 10 major phases, briefly summarised below:

#### Upper Palaeolithic

Around 30,000 years BP human groups of hunter-gatherers occupied the Orheiul Vechi landscape with seasonal camps (Peștera promontory) and this continued until the 10<sup>th</sup> millennium BP.

#### Eneolithic (Precucuteni-Cucuteni-Tripolie culture)

Human groups with sedentary lifestyles settled the region (Peștera and Butuceni promontories) around 7,000 years BP, introduced domesticated plant species and built durable settlements and produced abundant material finds. It is reported that during the millennium of occupation of the area the soil type *chernoziom* began to form due to human presence and farming activity. These groups withdrew from the region around 6,000 years ago and the area remained unsettled until around 3,000 BP.

#### First Iron Age (Chișinău-Corlăteni, Cozia-Saharna cultures)

By 3,150 BP, groups from the Chisinau-Corlateni culture penetrated the area from the west and south west. Their presence is attested to by fragments of pottery on the Peștera and Butuceni promontories. Abundant finds referable to the Cozia-Saharna culture, originating in the north-east Balkan Peninsula, suggest the presence of this group.

#### Second Iron Age (Getae and Poienești-Lucașeuca cultures)

The Getae, one of the first peoples of south-east Europe whose name is known, belonged presumably to the Thracians who inhabited the territory between the Northern Carpathians, the Aegean and Black Sea, and the Dniestr and Tisza Rivers. Between the 6<sup>th</sup> and the 3<sup>rd</sup> centuries BC, they inhabited extensively and in a stable manner the wider area (3 fortified settlements within the

property attest to their presence: Butuceni, *Mașcăuți-Dealul cel Mare* and the *Mașcăuți-Poiana Ciucului*). Other Getae settlements can be found in the buffer zone. The Getae profoundly altered the landscape through farming practices and large scale earthen fortifications.

The Poienești-Lucașeuca culture left traces of its presence in the form of deposits of clay fragments, traces of combustion, pottery fragments and the traces of a burial ground, attesting to the use of cremation.

#### Late Antiquity (Sântana de Mureș-Cerneahov culture)

Traces in the form of pottery fragments attest to the presence of these societies in the area between the 2<sup>nd</sup> - 5<sup>th</sup> centuries AD.

#### Early medieval period (Costișa-Botoșana-Hansca and Lozna-Borniș cultures)

During this period, characterised by migratory waves of different populations, the area was settled only by small groups based on a subsistence economy. The finds yielded during archaeological investigations consist of fragments of pottery, iron, bronze and bone tools, and of clay ovens for iron ore reduction, bread-making and pottery firing.

#### Early medieval period (Dridu and Brănești-Lencăuți cultures)

Between the 10<sup>th</sup> and 14<sup>th</sup> centuries AD, south-eastern and eastern Europe assisted in the formation of powerful state entities: the Hungarian State, the first Bulgarian Empire, the Khazar Khaganate and Kievan Rus', which exerted political, economic and cultural influence over the wider region where the property is located. These changes are reflected locally, through traces of settlements combining local and external elements.

#### Tatar-Mongol period

The State Party provided additional information about the Mongol-Tatar phase and this is integrated below.

The occupation of eastern Europe by the Tatar-Mongols from 1241 AD is reflected in the Carpathian-Danube Region by the foundation of several towns as a support for their policy of stability, e.g. at Isaccea (former Noviodunum), at Belgorod- Dnestrovskii (ancient Tiras), at Costești (in the Botna River valley 30km from Chișinău), and at the nominated property, where this historic phase is represented by the archaeological remains of the town of Șehr al-Cedid. This is a rather complex settlement which appeared to last only briefly (1330-1369) and which played the role of headquarters of the western region of the Khanate in the context of increasing tensions within the Golden Horde, hosting separatist Khans from 1363-1365 AD.

#### Moldovan Principality period

The insurgence of the Christian State of Moldova and the increasing crisis within the Golden Horde brought a progressive substitution of inhabitants in the region and the transformation and adaptation of the structures of the

Mongolian-Tatar town to serve public, administrative and religious functions of the Moldovan centre of Orhei.

In this period, new buildings were constructed but also natural caves in the steep slopes of the Răut valley were adapted to house religious, residential and storage functions.

Cave dwelling spread in the area from the late 14<sup>th</sup>–early 15<sup>th</sup> centuries, as attested to by the many complexes found within the nominated property and its immediate and wider setting.

Post medieval period (16<sup>th</sup> – 20<sup>th</sup> centuries)

The city of Orhei ceased to exist in the 16<sup>th</sup> century, for unexplained reasons, and its territory came into the ownership of the Golia Monastery, which was subordinated to the Vatoped Monastery on Mount Athos. The area remained rural in character and the cave monasteries and churches continued to function.

Prompted by damage to the sites from the extraction of stone, the archaeological community in the 1940's and 1950's first began systematic investigations.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The revised nomination dossier presents a comparative analysis based on the following factors that are seen as characterising the nominated property: the geo-strategical position of the property; ingenious adaptation of the natural fortified character of the landscape; a contact zone between nomadic Eurasian and sedentary European cultures; sacral character; sustainable use of natural resources; extraordinary land forms; geomorphological unity and ecological biodiversity; and wealth of subsistence resources.

On this basis the comparison has been carried out with a global scope. A total of 15 properties, 9 of which are inscribed on the World Heritage List, have been selected as they were deemed comparable to Orheiul Vechi by the State Party. They include the World Heritage properties of Brú na Bóinne - Archaeological Ensemble of the Bend of the Boyne (1993, (i), (iii), (iv)) and Sceilg Mhichíl (1996, (iii), (iv)) both in Ireland; Monumental Earthworks of Poverty Point (2014, (iii)) and Cahokia Mounds State Historic Site (1982, (iii), (iv)) both in the United States; Brimstone Hill Fortress National Park (1999, (iii) and (iv), St. Kitts and Nevis); the Kremlin and Red Square, Moscow (1990, (i), (ii), (iv) and (vi), Russian Federation), the Alhambra, Generalife and Albayzín, Granada (1984, 1994, (i), (iii) and (iv), Spain); and Three Castles, Defensive Wall and Ramparts of the Market-Town of Bellinzona (2000, (iv), Switzerland).

The World Heritage property of the Dacian Fortresses of the Orastie Mountains, Romania (1999, (ii), (iii) and (iv)) is mentioned but not examined.

Other cultural properties include: Veliko Târnovo Town, in Bulgaria; Monkodonia Hill Fortress, Croatia; the Mongolian Town of Sarai al Mahrusa, Russian Federation; as well as properties located in the Republic of Moldova: Archaeological Landscape of Rudi-Tătărauca, Moldova; the Archaeological Landscape of Furceni-Trebijeni, Moldova; Saharna Archaeological Landscape, Moldova. Each site is analysed in detail although overall conclusions about the results of this analysis are not sufficiently expressed.

ICOMOS considers that most of the selected properties, particularly those already on the World Heritage List, are not relevant comparators for the nominated property as they express sets of values and attributes that are very different from those of the nominated property, although they may have been inscribed under some of the same criteria chosen for Orheiul Vechi Archaeological Landscape.

ICOMOS also notes that in its previous evaluation (2009) it suggested that comparison with specific World Heritage properties and other properties belonging to the same geo-cultural region would have greatly helped the positioning of the significance of the nominated property. They are: the Rock-Hewn Churches of Ivanovo (1979, (ii) and (iii), Bulgaria); The Sassi and the Park of the Rupestrian Churches of Matera (1993, (iii), (iv) and (v)) or Syracuse and the Rocky Necropolis of Pantalica (2005, (ii), (iii), (iv) and (vi)) in Italy, or the rock carved complex in Basarabi (Romania) and Vardzia-Khertvisi (Georgia), on the tentative lists of the two State Parties.

ICOMOS observed that comparison with the above-mentioned properties was crucial to assess the potential of the nominated property for the World Heritage List and, in the absence of the results of a comparison with the above-mentioned properties, could not consider that the comparative analysis had fulfilled its objectives.

The comparison with similar sites in Moldova, namely Saharna Archaeological Landscape, Rudi-Tătărauca Archaeological landscape and Trebujeni-Furceni Archaeological Landscape, on the other hand, has concluded that although they share many similarities with the nominated property, Orheiul Vechi would be superior in many respects.

Following the first ICOMOS Panel and a meeting with the State Party's representatives, both held in late November 2016, on 19 December 2016 ICOMOS submitted its Interim Report, which summarized the preliminary assessment of this nomination made by the ICOMOS Panel and requested an augmented comparative analysis.

The State Party responded on 20 February 2017 providing an additional comparative analysis which examines also the following World Heritage properties: Dacian Fortresses of the Orastie Mountains (Romania, 1999, (ii), (iii) and (iv)); Rock-Hewn Churches of Ivanovo (Bulgaria, 1979, (ii) and (iii)); Göreme National Park and

the Rock Sites of Cappadocia (Turkey, 1985, (i), (iii), (v) and (vii)); and Archaeological Site of Ani (Turkey, 2016, (ii), (iii) and (iv)); the following properties on the Tentative Lists of State Parties: The Basarabi Cave Complex (Romania); Hermitage Blaca (Croatia); The historical surroundings of Crimean Khans' capital in Bakhchysarai, the Complex of the Sudak Fortress Monuments of the 6<sup>th</sup> – 16<sup>th</sup> centuries, and the Cultural Landscape of "Cave Towns" of the Crimean Gothia, all in Ukraine; and the Archaeological site of Tanai (Russian Federation). Finally, the augmented comparative analysis compares the nominated property with five properties not appearing on the World Heritage List or in the State Parties' Tentative Lists: Saharna-Țipova Archaeological Landscape and Rudi-Tătărauca Archaeological Landscape (Republic of Moldova), the Archaeological Landscape Băile Figa-SărățFi (Romania), Veliko Tarnovo Archaeological Landscape (Bulgaria), and Serai al-Mahrusa (Russian Federation).

The State Party concludes that, in all cases, the comparative analysis demonstrate the uniqueness and exceptionality of Orheiul Vechi as an archaeological landscape.

ICOMOS notes that the State Party could also have considered in the comparison Vardzia Khertvisi Cultural Landscape, in the Tentative List of Georgia, due to the many similarities that this property shares with Orheiul Vechi.

ICOMOS further observes that the additional comparators selected in Moldova and Romania focus on the prehistoric dimensions of Orheiul Vechi, rather than on the medieval era which was suggested to be explored in more depth. For instance, no comparison has been explicitly conducted with the Tatar towns of Isaccea, Belgorod-Dnestrovskii or Cotești. The comparison with Sarai al-Mahrusa appears not sufficiently developed to demonstrate whether the remains of Sehr al-Cedid and their incorporation into the subsequent medieval settlement of Orhei could be considered an exceptional illustration of a Mongol-Tatar town in the region.

In summary, the conclusions of the augmented comparative analysis tend to position Orheiul Vechi as unique among its comparators, but does not clarify how the property could be seen as exceptional or outstanding, which is the aim of a comparative analysis within a World Heritage context.

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ICOMOS appreciates the work done to produce a more pertinent comparative analysis; however it also considers that the augmented comparison does not succeed in justifying consideration of this property for the World Heritage List.

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#### **Justification of Outstanding Universal Value**

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

- Orheiul Vechi is a premier example of the role played by geography and geomorphology in determining length and character of human settlement;
- The exceptional defensive potential of the Răut gorges, as demonstrated by the density of archaeological evidence attesting to several subsequent phases of human occupation and settlement by different cultures, the most important being the Getae earthen fortifications; the town of Sehr al-Cedid, said to be one of the most important in the western side of the Tatar-Mongol Golden Horde area of influence; the Moldovan medieval town of Orhei, one of the most important European strongholds at this European-Eurasian border area; the numerous cave monasteries;
- The intense cultural interaction that resulted from its strategic location at the crossroads of key trade routes.

ICOMOS considered that the justification provided was too brief and needs to be expanded and substantiated through reference to the dynamics, qualities and attributes that support the claims for the property bearing Outstanding Universal Value.

ICOMOS found that the justification for inscription would benefit from further expansion and from a more focussed comparative analysis. Additional information in this regard has been sought through the Interim Report submitted on 19 December 2016.

The augmented comparative analysis has been discussed in the previous section.

In the Interim Report ICOMOS also requested additional information about the political and cultural dynamics in the region during the medieval period with a view to seeing if criterion (ii) could be supported.

The State Party replied on 20 February 2017, by providing ample historical and political contextualisation and a slightly revised justification for inscription.

ICOMOS has found that the additional information provides evidence that the region may be seen as a fluid borderland that was exploited by numerous peoples over the millennia; however, the archaeological finds appear to be scarce for the prehistoric and limited for the proto-historic phases.

The additional information also clarifies that the Mongol-Tatar incursion from 1241 was the last great invasion from the East. The Mongols occupied most of the lands east of the arc of the Carpathians for over a century. The Principality of Moldova emerged as a consequence of the Tatar occupation from an amalgamation of smaller indigenous territorial units – Voivodates and Knyazates, coalescing as a recognisable single polity from a more abstract and disparate set of entities emerging from the fragmenting Golden Horde in the late 14<sup>th</sup> century.

The Tatar citadel was renovated as part of a sophisticated network of castles and fortified towns across the Principality of Moldova, and was the site of several confrontations between Tatar raiders and Moldovan forces in the 15<sup>th</sup> and 16<sup>th</sup> centuries.

ICOMOS considers the above additional explanation pertinent to the nominated property, but this does not indicate the exceptionality or outstanding dimension of the nominated property.

### **Integrity and authenticity**

#### **Integrity**

The geomorphology of the area clearly illustrates the reasons for which it was chosen for settlement by different populations in different periods. The rationale for the delineation of the nominated property is not fully clear, and in this regard a letter to the State Party was sent on 19 October 2016. The State Party responded on 16 November 2016 explaining the rationale for the identification of the nominated property and of the buffer zone. ICOMOS considers that the additional information is satisfactory.

The nominated property appears to encompass all features supporting the proposed justification and it can be considered of adequate size to ensure the complete representation of the processes associated with the proposed justification for inscription. The buffer zone also contains several archaeological sites of lesser importance that, however, are functionally important as a support to the property and its protection.

The structure of the landscape is clearly legible and the locations of the different settlements and structures contribute to the understanding of how this area was settled and used along the centuries.

#### **Authenticity**

The landscape has been touched in only a limited way by development. The villages still retain their traditional layout and a rural character.

The archaeological remains have been only partially excavated and therefore retain an important informational potential, despite disturbances that may have derived from agricultural activities. The excavated areas have been either conserved or reburied and systematically documented.

ICOMOS considers that so far excavated and conserved archaeological remains have retained their authenticity and ability to illustrate how the area was settled and used along the millennia by different populations. They also illustrate how the features of the landscape have determined the patterns of settlement and the alternating fortunes of the inhabitants of the region.

However, ICOMOS considers that these remains and the legible settlement patterns do not provide convincing

evidence of how people during different stages of history impacted the natural environment in a distinctive manner.

In the nomination dossier a number of drawings referring to reconstructions are included: ICOMOS considers that the physical reconstruction of these archaeological remains may have a negative impact on their authenticity and they should only be stabilised and protected.

In its Interim Report, ICOMOS has requested confirmation from the State Party that those drawings only have an explanatory function and do not refer to reconstruction schemes.

The State Party responded that the graphic reconstructions presented in the nomination dossier were prepared as a visual aid to interpretation programmes and there is no intention to carry out physical reconstructions on the archaeological remains, as this would obstruct the authentic vestiges that still survive to this day.

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In conclusion, ICOMOS considers that, while the nominated property may be considered complete in relation to the combination of features and values presented by the State Party, and able to express credibly the human interventions and processes that made up its values and features, as presented in the nomination dossier, ICOMOS cannot consider that it meets the conditions of integrity and authenticity, as neither the comparative analysis nor the proposed justification for inscription suggest that the property can be seen as exceptional or outstanding in World Heritage terms.

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

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

*Criterion (v): be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;*

This criterion is justified by the State Party on the grounds that the nominated property would be a premier example of the influence of geography and geology throughout a long history, beginning in the Palaeolithic, through to medieval and modern epochs, as would be attested by the remains of several epochs reflecting cultural interactions. In particular, the remains of two towns important for the Tatar-Mongol Golden Horde – Şehr al-Cedid and for the Kingdom of Moldova – Orhei, could be seen as tangibly reflecting the dynamics and cultural interchange of a border region, between Europe and Eurasia, for the control of trade routes and rich natural resources.

ICOMOS is of the view that the use of the natural topography for the built environment of different settlements appears to be a frequent occurrence and this cannot support a justification for the property as an

outstanding representation of human interaction with the environment or an outstanding example of traditional land-use practice.

There exist several sites with long sedentary/urban continuity traditions exhibiting similarities with Orheiul Vechi, and it is not clear whether Orheiul Vechi is a strong representative of this tradition.

The State Party has provided further justification for criterion (v) in its additional information submitted in February 2017. However, ICOMOS does not consider that the additional arguments can justify criterion (v); rather they appear to contribute to criterion (ii) and include arguments that could pertain to criterion (iv), although this was not proposed by the State Party nor considered by ICOMOS in its November 2016 Panel Meeting.

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ICOMOS considers that this criterion has not been demonstrated.

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

The State Party has not proposed other criteria; however, ICOMOS considered that the property might have the potential to justify criterion (ii) based on the arguments presented in the nomination dossier and on the evidence of Muslim-Christian interaction in the Tatar-Mongol town of Şehr al-Cedid and of the subsequent Moldovan medieval town of Orhei, which incorporated and adapted structures of the previous oriental town.

In its Interim Report, ICOMOS requested additional information on the dynamics and interactions of populations in the medieval period, with a view to seeing if criterion (ii) could be supported.

The State Party responded by providing ample and detailed description of the cultural influences which Orheiul Vechi and its broader setting enjoyed over the centuries and particularly clarifying the role of Şehr al-Cedid and of the subsequent Moldovan medieval town of Orhei – in the broader historic-political and cultural context.

In its additional information submitted in February 2017, the State Party explains that between the 6<sup>th</sup> and 3<sup>rd</sup> centuries BC, cultural interventions occurred in the area of the nominated property between the local Thracian-Getae population, ancient Greek cities from the Black Sea Coast, Scythian tribes from the Eurasian steppes, and German tribes from the Baltic Sea Coast. This is reflected by the remains of the Getae-Dacian fortress that still survive to this day and the archaeological findings yielded by excavations.

In the 14<sup>th</sup> century, at Şehr al-Cedid / Yanghi Sehr (New Town), the most westerly centre of the Mongol Empire, Tatar-Mongols and other peoples brought by them

(Cumans, Pechenegs, Alans etc.) inhabited this town. At the same time, the elements of civilization and culture specific both to the Eurasian nomadic tribes and urban centres from China, Central Asia, the Volga Valley, the Caucasus and Anatolia were introduced in the town through migration, slavery and trade. These interventions are reflected in the urban planning, architecture, monumental art and technology. Towards the end of this period, in the context of the weakening of the Mongol Empire and the advancement of the European powers, Christianity spread throughout the city, thereby affecting, among other things, some of the Mongolian elites.

ICOMOS recognises that the above arguments are expressed by the urban layout of the Tatar citadel that survived in the subsequent periods. The stone citadel of Sehr al-Cedid was a substantial architectural work that signified an investment in the site as a permanent and defensible settlement.

The Tatar citadel was renovated as part of an ever-more sophisticated and successful network of castles and fortified towns across the Principality of Moldova, and was the site of several confrontations between Tatar raiders and Moldovan forces in the 15<sup>th</sup> and 16<sup>th</sup> centuries.

ICOMOS considers that the additional explanations and arguments provided by the State Party for justifying this criterion are relevant but do not suggest that the property can be considered an exceptional testimony to important interchanges of human values in terms of developments in architecture or technology, monumental arts, town-planning or landscape design.

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In conclusion, ICOMOS does not consider that criteria (v) and (ii) have been demonstrated.

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

The nomination dossier reports several factors that may have negative effects on the nominated property.

These include development pressures, environmental pressures, including seismic activity and soil erosion, which has already caused structural problems to the rock-hewn complexes.

ICOMOS sent a letter to the State Party on 19 October 2016 asking for additional information on the measures envisaged to counteract these negative factors.

The State Party responded on 16 November 2016 explaining that the measures to counteract impacting factors are included in the “Strategy of development of the natural-cultural Reserve Orheiul Vechi 2008-2020” and these include specific prohibitions and limitations to actions that may have negative consequences on the attributes of the nominated property; these include the prohibition of extraction of stone from the Orheiul Vechi region and the gorges of the River Răut, the gradual removal of orchards



and vineyards from the slopes within the nominated property, the prohibition to plant trees and establishing orchards or vineyards, and of deep-ploughing.

These and other protective measures are expected to enter into force in the first trimester of 2017, when the Management Plan for the Orheiul Vechi cultural-natural Reserve and of the Orheiul Vechi Archaeological Landscape 2017-2020 will be approved by the Government of Moldova.

ICOMOS notes that most of the development pressures occurred in the first post-independence decade and that much progress has been made since 2008 through the updating of legal protection and protective measures; e.g. all quarrying activities within the natural park, including the nominated property, has ceased since 2009. Construction will be regulated and will need permission from the archaeological Reserve.

However, ICOMOS notes that almost all infrastructure (roads, sewerage, water distribution, electricity, waste management) is either outdated or non-existent, which implies that proposals for its upgrading is likely in the future and this would require careful consideration in terms of impacts on the landscape and the archaeological remains.

The rehabilitation of the infrastructure of the villages and of the buildings may be necessary to ensure adequate living conditions for the inhabitants but this needs to be carried out with respect for their character and features.

Another important issue is depopulation, although tourism prospects have been contributing to a reversal of this phenomenon in the region.

Impacts of agricultural activities on archaeological remains are limited, although, as a preventive measure, the State Party has planned to purchase the lands on the Peștera promontory, rich in archaeological vestiges.

Problems related to unmanaged tourism, e.g. free climbers, are expected to be regulated by the end of 2016 (see the following section).

Environmental threats include erosion of the limestone plateau, caused by deforestation which has occurred throughout the 20<sup>th</sup> century, floods, and fires.

To counteract erosion, a programme of reforestation has been initiated, and the cleaning of the river and removal of the fishing barriers are expected to limit this threat.

ICOMOS notes that the nomination dossier contains references to several projects to be developed within the nominated property for the conservation and enhancement for visitor purposes of the archaeological remains of the Citadel, the Church, the House in the citadel, the Mosque, the Caravanserai, the Baths and the Rampart n.2 of the medieval towns of Sehr al-Cedid and

Orhei. Additionally, Decision n. 719 6 June 2016 envisages the rehabilitation of the local road L301.

Conservation and valorisation projects of cultural resources may be beneficial but may also have negative impacts. Therefore, the potential impacts of the above projects on the attributes of the nominated property need to be assessed through purposely-prepared Heritage Impact Assessments according to the 2011 ICOMOS Guidance. Additionally, detailed information needs to be submitted to the World Heritage Centre in compliance with paragraph 172 of the *Operational Guidelines* before any definitive commitment is taken.

In general, ICOMOS considers that a Heritage Impact Assessment approach should be integrated into the Management Plan, in order to establish regular processes and procedures to assess the impacts of any project or plan on the attributes of the property.

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ICOMOS considers that currently the main threats to the property are soil erosion, seismicity, fires and uncontrolled tourism-related activities (e.g. large-scale events). Negative impacts may also derive from specific projects and these need to be carefully assessed through Heritage Impact Assessments.

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## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The nominated property – Orheiul Vechi Archaeological Landscape – is the core of the Orheiul Vechi cultural and Natural Reserve, established by law n. 251/4 December 2008.

The boundaries of the nominated property have been delineated on the basis of different factors and are based on natural landmarks, boundaries of the land properties, and roads, and encompass the two promontories exhibiting the major archaeological remains from different epochs.

On 19 October 2016 ICOMOS sent a letter to the State Party requesting clarification on the rationale for the delineation of the boundaries. The State Party responded on 16 November 2016, explaining that three major reasons led to the delineation of the current boundaries of the nominated property: the inclusion of the three most relevant archaeological sites and attributes supporting the proposed Outstanding Universal Value; respecting the geomorphological unity of the area and including the relevant features of the natural setting related to the proposed Outstanding Universal Value; and finally using recognisable natural or man-made features to define the delineation of the property.

The buffer zone has been delineated to ensure the maximum level of protection for the property; its boundaries also coincide with those of the Reserve buffer area.

ICOMOS considers that in general the boundaries could be considered adequate; however, on the northern side, a slight enlargement would ensure a more effective protection of the Getae defensive walls.

The boundaries of the buffer zone encompass completely the Orheiul Vechi natural and cultural reserve and coincide with the buffer zone of this reserve which is included in the Orhei National Park.

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In conclusion, ICOMOS considers that the boundaries of the nominated property could be considered adequate, although they may benefit from a slight enlargement on the northern side to ensure more effective protection of the remains of the Getae defensive walls. The boundaries of the buffer zone could be considered adequate.

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### **Ownership**

The nominated property includes areas which are owned by the State (terrains with archaeological, historic or natural monuments, forests); by the municipalities (farming and pasture lands, roads and a number of buildings housing public functions); and by private owners (arable land, houses, other buildings).

### **Protection**

The legal protection of the nominated property occurs at several levels: its boundaries have been approved by Minister of Culture order dated 20 August 2015. The nominated property is included in the Orheiul Vechi Cultural and Natural Reserve (OVCNR) established by law n. 251, 4 December 2008 and by the government Decision n. 228 23 March 2009. The property is also included in the Orhei National Park (ONP), established by Parliament Decision n. 201 12 July 2013 followed by Decision n. 923 12 November 2014, establishing the functioning regulations for the Park under the law for protected areas n. 1538 25 February 1998. Individual monuments and archaeological sites in the nominated property and in the buffer zone are inserted in the National Register as per Decision 1531/22 June 1993.

The archaeological heritage is further covered by the provisions of the Law n. 218 17 September 2010.

The OVCNR operates under the Ministry of Culture and is responsible for the protection and management of the property on the basis of regulations establishing obligations and rights of the owners in the reserve and its buffer zone. A zoning with 13 functional zones for the entire reserve is also envisaged by Dec. n.228/2009.

In its Interim Report, ICOMOS requested updated information on the status of approval of the zoning for the nominated property.

The State Party replied on 20 February 2017, providing the full English text of the regulations, which appear to be an adequate instrument to ensure the protection of the nominated property and its buffer zone, and explaining that the zoning with its regulations will be approved in the first semester of 2017.

ICOMOS considers that the prompt approval of the zoning and its regulations is key to effective protection and management.

Spatial planning is regulated by the law “On the Principles of Urban and Spatial Planning” No.835 of 17 May 1996 as amended and it foresees 4 tiers of planning, from national to local. The local development plans of the Orhei and Criuleni districts include objectives for the conservation of cultural heritage and integration into local tourism plans.

ICOMOS notes that the State Party has initiated a process of revision and updating of its legislative system for the protection of the natural and cultural heritage. Important steps have already been undertaken, such as a strategy for preventive archaeology, and other ones are planned, i.e. the issuing of a Heritage Code and a new Urban Planning and Construction Code, aimed at unifying legal provisions in this sphere. These are important steps that will contribute to further reinforcing the protection of the nominated property and the sustainable use of its wider setting.

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In conclusion, ICOMOS considers that the legal protection in place for the nominated property and its buffer zone is adequate. ICOMOS considers that the protective measures for the property and its buffer zone will be adequate when the zoning and related regulations for the nominated property and its buffer zone will be approved and implemented. Additionally, ICOMOS considers that, being protective provisions only recently adopted, full commitment at all levels and adequate resources will be needed to ensure their proper implementation.

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### **Conservation**

Inventories of archaeological and cultural resources have been carried out in recent years and continue today; the extensive Landscape Survey carried out in 2014 through Lidar and geomagnetic analysis to investigate the presence of buried archaeological remains deserves to be mentioned. Its results could be useful for setting up priorities for preventive archaeology, protection and further research.

Archaeological remains are only partly excavated and exposed: these have been the object of active conservation in the 1970's-80's and then in the early 2000's. Limited interventions have been carried out more recently at the remains of the Citadel, the Mosque, the Baths, the Caravanserai and the medieval Church.

The nomination dossier highlights that the rock-carved complexes are the ones suffering problems caused by natural process of erosion and instability of the bedrock – the most serious conditions are found on the façade of the Pârcălab Bosie Monastery and the Church of Peștera – but also from anthropic pressures related to their return to religious use.

ICOMOS concurs with the State Party that priority should be given to the stabilisation of the bedrock and the conservation of the rock-cut complexes. It appears to be a

large-scale programme requiring substantial financial and technical resources to be developed and implemented.

ICOMOS in its Interim Report requested additional information in this regard and the State Party replied that diagnostic and monitoring programs are being developed for the rock-carved cave complexes. The Reserve and the Ministry of Culture in cooperation with experts from Romania are preparing the documentation on the conservation/restoration of the cave monastery of chief magistrate Bosie and Peștera hermitage, and identifying the resources required to carry out the works.

ICOMOS considers that the stabilisation of the cave monastery is more than urgent.

The conservation of the landscape, so far almost untouched, is crucial for the appreciation and understanding of the significance of the archaeological sites, and therefore measures need to be integrated into the management system.

ICOMOS considers that measures for the enhancement and presentation of the nominated property would be useful to inform visitors and residents about the values and the fragility of the heritage resources. The testimonies of the long history of recognition of the property as a monument of culture and nature need to be respected and integrated into the overall presentation programme for the property.

In conclusion, ICOMOS considers that some of the rock-cut complexes urgently need a comprehensive diagnostic and conservation programme. The excavated archaeological sites would benefit from periodic regular maintenance and the nominated property overall needs a presentation programme with discreet and minimal physical interventions that also present the long history of protection, study and preservation of the nominated property and its setting.

## **Management**

Management structures and processes, including traditional management processes

The key body for the management of the nominated property is the OVCN Reserve Administration, a public institution subordinated to the Ministry of Culture. Its tasks include: protection, management, valorisation and monitoring (full list is provided in Dec. 228/2009). In its activities, it will coordinate with the Ministry of Culture, the Ministry of Ecology, the Academy of Science, the State Forest Agency (Moldsilva) the local administrations and the owners.

The Reserve Administration structure and its working methods is set out in Dec n. 228/2009 and includes a general directorate, an advisory board to Administration, involving all relevant representatives of central and local administrations, a scientific council, and operational departments. The Reserve Administration employs 27 people.

ICOMOS notes that this system, in place since 2009, has proved to be effective in building a vision for the heritage of Orheiul Vechi, reviewing the legislation, enhancing the site and establishing cooperation at the local level.

ICOMOS notes that many activities have been implemented or are at a good stage of development, namely the inventories of cultural and natural resources, and the establishment of educational programmes with the participation of the local population. The capacity-building of the Reserve staff and society-based projects need to be strengthened and continued.

The Decision 719/2016 reports that the Orheiul Vechi Cultural Reserve is about to be reformed; however no details are provided.

On 19 December 2016, ICOMOS requested additional information on this subject. The State Party replied on 20 February 2017 confirming that the Reserve structure is still under revision to make it more aligned with the recently adopted legislation and policies.

ICOMOS considers that the approval of the revised administrative structure for the Orheiul Vechi Cultural Reserve is of crucial importance to ensure that an effective management system is established and that an implementing agency is in place with clear tasks and mandate.

ICOMOS considers that major achievements have been made in the protection and management of the property, but much still needs to be done. The coordinated commitment of the national and local authorities and other agencies needs to be continued, especially when considering that a number of plans will apply to the nominated property, its buffer zone and wider region, and the implementation of which will need solid cooperation and partnership capacity.

Disaster preparedness is addressed at the national level by the law on civil protection n.271/1994 and law on defence from fire n. 267/1994. At the site level, the OVCNR Administration and the local authorities carry out strategies to prevent negative consequences from natural disasters.

ICOMOS considers that a specific disaster risk management strategy and plan needs to be developed, focussing on the major natural hazards and the attributes of the nominated property and related resources.

ICOMOS notes that, while education in archaeology is well developed in the Republic of Moldova, capacity-building in the field of conservation of cultural heritage is necessary and international cooperation could be sought within the framework of different programmes.

In terms of financial resources, the nomination dossier provides an account of the budgetary resources, indicating that these are insufficient.

ICOMOS notes that a long-term strategy to secure funding is necessary in order to ensure the operationalisation of the management and its effectiveness in the long-term, should extra-budgetary resources decrease.

Policy framework: management plans and arrangements, including visitor management and presentation

The area of Orheiul Vechi has enjoyed several cycles of management plans since 1969 and, more recently, since 2006.

Among the ones mentioned in the nomination dossier, the key plan appears to be the Management Plan 2008-2020 for the Orheiul Vechi Archaeological Landscape (draft in Annex 10 of the nomination dossier).

With Government Decision 719/2016, the State Party established that the Ministry of Culture should prepare a full set of plans. They are expected by the end of 2016 as per the government decision.

In the additional information provided on 19 November 2016 the State Party informs that strategies and plans as per Dec. 719/2016 are being finalized and enacted for the Orheiul Vechi Reserve/Archaeological Landscape. They include: "The Strategy of development of the Orheiul Vechi cultural-natural Reserve 2017-2025", "The furnishing plan of the territory of the Orheiul Vechi cultural-natural Reserve and of the buffer zone", "The Management plan of the Orheiul Vechi cultural-natural Reserve and of the Orheiul Vechi Archaeological Landscape 2017-2020" and "The tourism development Plan in the Orheiul Vechi Reserve". Most of these documents have been elaborated in 2016 with the support of international expertise and funding.

While many of these plans are still in the elaboration phase, "The furnishing plan of the territory of the Orheiul Vechi cultural-natural Reserve and of the buffer zone" and "The Management plan of the Orheiul Vechi cultural-natural Reserve and of the Orheiul Vechi Archaeological Landscape 2017-2020" are expected to be approved by the Government of Moldova in the first trimester of 2017. Their approval is crucial for the effective management of the property.

The additional information provided in February 2017 includes the translation into English of the Furnishing Plan quoted above and confirms that this is not yet approved.

ICOMOS notes that the development and approval of the above-mentioned plans and programmes is fundamental for the effective management and conservation of the nominated property, as they represent the instruments through which the Reserve administration can implement its managerial tasks. These plans need to be approved and implemented with the maximum urgency and equipped with adequate financial, administrative and human resources to ensure their implementation.

ICOMOS further notes that the draft Management Plan submitted with the nomination dossier is still at an early stage of development, although priorities have been identified and transmitted by the State Party in February 2017, demonstrating that progress is being made also in the finalisation of the management plan, although this is not yet fully developed and implemented.

Involvement of the local communities

Local communities appear to be involved by the Reserve Administration and committed to the protection and conservation of the nominated property. The work with the local population needs to be continued to ensure that strategies for development of tourism in the area be balanced with long-term sustainability considerations and avoiding a tourism mono-culture.

Capacity building at the local community level in disaster risk management also needs to be developed, as local community preparedness plays a crucial role in disaster risk management.

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ICOMOS considers that a management system has been established since 2009. Its reorganisation is envisaged and, in this regard, special attention is needed for a partnership-oriented management and fund-raising, whilst continuing the coordination with central and local authorities and the participatory approach.

In conclusion, ICOMOS considers that the management system for the property will be adequate when "The furnishing plan of the territory of the Orheiul Vechi cultural-natural Reserve and of the buffer zone" and "The Management plan of the Orheiul Vechi cultural-natural Reserve and of the Orheiul Vechi Archaeological Landscape 2017-2020" will be approved and implemented. Additionally, the set of management and development plans under preparation as per Decision n.719/2016 should be finalised and approved. A disaster risk management strategy and plan needs to be developed and put in place. The management system needs to be extended to include capacity building and training for the staff of the Orheiul Vechi Reserve in the fields of conservation, fund raising and disaster risk management. The latter should also involve the local populations.

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## 6 Monitoring

Monitoring of the nominated property is set out in the Decision 228/2009. The purposely-dedicated unit within the Reserve Administration is charged with this responsibility; it monitors 18 indicators measuring the state of cultural and natural heritage and other environmental parameters.

ICOMOS considers that the monitoring system envisaged in the Decision 228/2009 appears good and should be granted the necessary resources for implementation. In addition, ICOMOS suggests that indicators measuring the level of implementation of the activities triggered by the monitoring would be useful to monitor the effectiveness of the management system.

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In conclusion, ICOMOS considers that the monitoring system is adequate and needs to be implemented; it could be completed by indicators measuring the effectiveness of the management system and plan.

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## 7 Conclusions

The nominated property is a much reduced portion of the property that was nominated in 2008 and includes the core features illustrating the cultural and natural specificities of this region of Moldova, although it is now nominated only for its cultural values.

The revised nomination has been developed on the basis of the 2009 ICOMOS evaluation: the nominated property is now much more confined and the nomination approach has been slightly changed, with a more decided focus on the archaeological dimension of the property. However, the justification for inscription of the revised nomination continued to revolve around criterion (v), which could not be justified in 2009.

ICOMOS recognises that the State Party has made exceptional progress since 2009 in setting up a system for the protection and management of the property and of its setting, and to integrate them into territorial planning schemes.

The revised nomination dossier also shows progress in defining the delimitation of the property and in the articulation of the arguments, which, however, were weakened by a not-relevant comparative analysis.

Despite the above-mentioned progresses, ICOMOS could not find criterion (v) to be demonstrated, nor the proposed Outstanding Universal Value of the property on the basis of it and, following the first November 2016 ICOMOS Panel, requested the State Party to provide further information on the historic and cultural context of the property within its region with a view to possibly demonstrating criterion (ii), and to further develop the comparative analysis.

The response received from the State Party was informative and well-prepared, and clarified the role played by the nominated area during and immediately after the Mongol-Tatar occupation in the 13<sup>th</sup> – 15<sup>th</sup> centuries. This has brought into focus the archaeological remains of a Getae fortress and the Mongol-Tatar and then Moldovan town of Sehr al-Cedid/Orhei as an interesting urban episode, where evidence survives of the incorporation into the medieval town of the layout and buildings of the Mongol town.

The augmented comparative analysis includes pertinent comparators but did not succeed, in ICOMOS' view, in demonstrating that the nominated property stands out among its comparators. Nor were the arguments presented in the expanded historic context and in the

justification for criterion (ii) found able to support this or any other criterion.

ICOMOS therefore has come to the conclusion that the nominated property, although rich in cultural evidence from different periods and particularly from the 13<sup>th</sup> to the 16<sup>th</sup> centuries AD, cannot justify either criterion (v) or criterion (ii) and therefore does not appear eligible for World Heritage listing.

ICOMOS noted that the Tentative List of the Republic of Moldova has been recently revised, indicating that the State Party has been reflecting on the facets of its heritage. However, the Tentative List includes only one property in addition to Orheiul Vechi. In the framework of the upstream process, ICOMOS would be interested, if requested, in assisting the State Party during any future review process aimed at identifying further heritage sites, which may have strong potential for demonstrating Outstanding Universal Value.

## 8 Recommendations

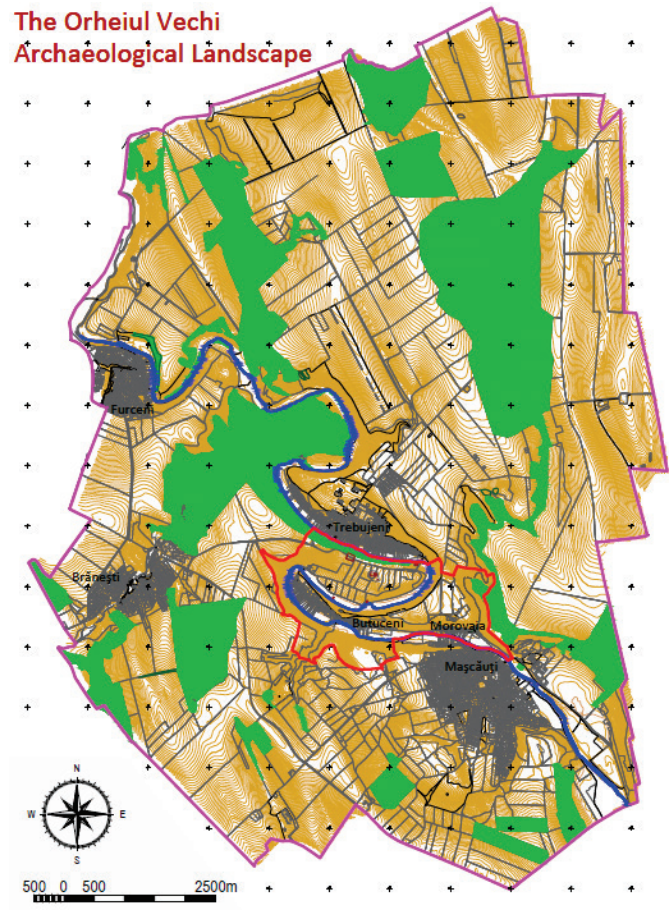
### Recommendations with respect to inscription

ICOMOS recommends that Orheiul Vechi Archaeological Landscape, Republic of Moldova, **should not be inscribed** on the World Heritage List.

In the framework of the upstream process, ICOMOS would be interested, if requested, in assisting the State Party during any future review process of its Tentative List aimed at identifying further heritage sites, which may have strong potential for demonstrating Outstanding Universal Value.



**The Orheiul Vechi  
Archaeological Landscape**



Map showing the boundaries of the nominated property



Aerial photo of Orheiul Vechi



Orheiul Vechi Medieval Citadel





Church of the Bosie Pârcălab, rock-carved Monastery



Tatarian baths



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## **Sviyazhsk (Russian Federation) No 1525**

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

The Assumption Cathedral of the town-island of Sviyazhsk

### **Location**

Zelenodolsk district  
Republic of Tatarstan  
Russian Federation

### **Brief description**

The Assumption Cathedral is located in the town-island of Sviyazhsk and is part of the homonymous monastery. Situated at the confluence of the Volga, the Sviyaga and the Shchuka Rivers, at the crossroads of the Silk and Volga routes, Sviyazhsk was founded by Ivan the Terrible in 1551 as the outpost from which to initiate the conquest of the Kazan Khanate. The Assumption Monastery was to function as both missionary and administrative centre for the conquered region. The Cathedral, with its extensive cycles of mural paintings, realised in a relatively short period of time, reflects the ambitious cultural and political programme of the Russian State in the recently conquered Islamic Kazan Khanate, and illustrates new trends in Christian Orthodox art in Russia and Europe.

### **Category of property**

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

## **1 Basic data**

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

31 August 1998

### **International Assistance from the World Heritage Fund for preparing the Nomination**

None

### **Date received by the World Heritage Centre**

25 January 2016

### **Background**

In January 2012, a nomination was submitted to the World Heritage Centre for the Island of Sviyazhsk as a mixed site. The cultural component of the nomination focused on the island as a cultural landscape that reflected its role as a fort constructed to support the successful campaign of Ivan the Terrible at Kazan, its subsequent role as a prosperous mercantile settlement and its decline after the arrival of the railway, its use as a

Gulag, and its demise as a result of reservoir construction in the 1960's. In its evaluation, ICOMOS concluded that the island as a whole could not be said to reflect in an outstanding way the role it played in the defeat of the Kazan Khanate in 1552, as too little remains from that time. Nor did ICOMOS consider that the standing remains of mercantile, monastic, institutional and domestic buildings, combined with archaeological evidence for the layout of the town, could be seen as exceptional. Thus, ICOMOS concluded that the overall cultural landscape could not be seen to manifest Outstanding Universal Value.

As a result of this evaluation, the State Party withdrew the nomination and the evaluation was not presented to the World Heritage Committee.

An ICOMOS Advisory Mission to Sviyazhsk Island was carried out from 6 to 9 August 2014. The specific purposes of the mission were to consider the reasons why the nomination for the island of Sviyazhsk submitted in 2012 was unsuccessful and to explore whether there could be other potential options for the whole or for parts of the island.

The mission concluded that the most promising focus could be on certain Orthodox monuments, and in particular the Cathedral of the Assumption Monastery with its cycles of mural paintings, on the way they "might be seen to reflect important geo-political changes in the late 16<sup>th</sup> century resulting from the conquest of Kazan and the subsequent defeat of Astrakhan, which transformed Muscovy into the multinational, multi-faith state of Russia."

The mission also provided several recommendations on aspects to be considered in any future revised nomination.

On 25 January 2016, the State Party submitted a substantially re-scoped nomination that is the object of the present evaluation.

### **Consultations**

ICOMOS consulted its International Scientific Committee on Historic Towns and Villages and several independent experts.

### **Technical Evaluation Mission**

An ICOMOS technical evaluation mission visited the nominated property from 22 to 26 August 2016.

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

ICOMOS sent a letter to the State Party on 19 October 2016 requesting additional information on the following points: factors affecting the properties, projects under implementation at the nominated property and in its buffer zone, protective measures and zoning of the buffer zone, amendments to planning provisions, and state of approval of the management plan.

The State Party responded on 14 November 2016 and the information has been integrated into the relevant sections of this report.

Following the ICOMOS World Heritage Panel, held in November 2016, an Interim Report was sent to the State Party on 20 December 2016, requesting further information on the following: confirmation that the entire Monastery complex is being nominated along with the Assumption Cathedral; clarification about the ownership of the Monastery and of the Cathedral; assurance that no beautification of the Island will be pursued and no buildings will be reconstructed for tourism purposes; timeframe for the implementation of the zoning of the buffer zone and the integration of their regulations into the scheme of territorial planning of the Republic of Tatarstan; further explanation of the mechanisms of the Interdepartmental Commission; information on the state of approval of the Management Plan; information on any study on carrying capacity for tourism; and sustainability of the strategy for the museums.

The State Party responded on 17 February 2017 and the additional information has been integrated into the relevant sections of this report.

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

10 March 2017

## **2 The property**

### **Description**

The Assumption Cathedral rises up in the upper part of the ancient town of Sviyazhsk, today an island-settlement at the confluence of the Volga, Sviyaga and Shchuka Rivers, 30km west of Kazan. It is part of the homonymous Monastery.

The layout of the Assumption Cathedral is an inscribed cross in a square-domed naos. It is erected on a basement, of rather moderate size, with its central nucleus - the square inscribing the dome - of only 4.2m and its total surface measuring 15x18m. The cross arms are covered by semi cylindrical domes in two scalloped tiers. The dome rests upon a high cylindrical drum supported by four quadrangular piers and it's topped with a bud-shaped cupola (originally pear-shaped).

Externally the cathedral looks like a white cube with a single central dome and three apses at the eastern end. Two of them have a tall semi-cylindrical shape, while the southern one, built later, has a rectangular form. The other façades have a tripartite scheme with arcades on tall shallow pilasters. The tripartite external scheme of the façades reveals the internal synthesis of the quincunx Byzantine type and its vaulted structure.

The interior spaces of the Church are all vaulted; the drum rests on four stepped arches. The Cathedral interiors are illuminated by means of rounded, and later 18<sup>th</sup>-century

rectangular, windows, opening in the perimeter walls and in the drum.

The entrance opens into the western side of the Church and is protected by a covered porch.

The volume and layout of the Cathedral are said to express elements that are typical of Pskov architecture, although it features several small differences that would result in a peculiar monumentality.

During the 18<sup>th</sup> century, the exterior of the Cathedral was given a baroque appearance by the creation of a pear-shaped external cupola, decorative façade elements typical of the Ukrainian Baroque, and rectangular decorated windows.

### **The mural painting cycles**

The interior of the Cathedral is almost entirely covered by mural paintings depicting episodes from the Old and New Testaments and drawing also from apocryphal texts. The painted cycles are said to exhibit novelties both in the themes, and in their representation and distribution.

The murals respond to an iconographic programme encompassing the following cycles: The Genesis cycle, the Proto-evangelic and the Assumption (Life of the Virgin) cycles, the Evangelic cycle, and the Synaxis of the Mother of God. Figures of saints and stylites complete the programme.

### **The Genesis cycle**

This cycle consists of two subjects – the Creation and History of Adam and Eve – organised in 22 compositions. The Creation cycle occupies the upper part of the main space. The first six days of the Creation are depicted in the dome and related structures.

Depicting stories from Genesis on the dome is said to be a completely new phenomenon in Russian monumental painting and different from the Byzantine church decoration system, which focused on the representation of Jesus Christ, the Lord and the Saviour of the world, as the centre of the universe. This new composition left behind the traditional circular liturgical principle and introduced the historical narrative principle.

### **Proto-evangelical and Assumption (Life of the Virgin) cycles**

The illustration of these topics is given the main attention, in line with the dedication of the Cathedral. The two cycles occupy the altar vault, whilst images of saints and hierarchs complete the bottom part.

The Life of the Virgin cycle includes 14 scenes and follows the Old Testament cycle; it comprises also motifs from apocryphal texts. The cycle exhibits compositional features typical of Byzantine and Russian art; however, it also shows remarkable differences, e.g., in the presentation of the Virgin Mary, which combines western and eastern European iconography. The construction of the cycle sequence is such that the Nativity of Christ

appears beneath the Burial of Adam, thus conveying the crucial catechetical message of the renewal of humankind in the New Adam.

The Assumption scene is located in the eastern lunette and vault, in a position similar to the one chosen for the same subject in the Moscow Assumption Cathedral. Whilst scenes related to the Assumption were widespread in Byzantine and Orthodox icon art, their use in wall paintings only began in the 16<sup>th</sup> century.

Some scenes have suffered major losses, due to 18<sup>th</sup> century reconfiguration of the exteriors; these however do not prevent the reading of their features.

#### The Evangelical cycle

Apocryphal and canonical sources imbued the depiction of the Nativity of Christ on the north and south walls of the Church. Other evangelical episodes are depicted on the lower part of the northern wall from west to east. Only the episodes where the Virgin has a role are depicted.

Serious losses have also affected this cycle in its lower part.

#### The Synaxis of the Virgin

This cycle occupies the entire west wall, usually dedicated to the Doomsday. It extends across the whole central part of the wall, freely arranged with no tiers or registers. It includes iconographic elements of the Nativity and of the Adoration of the Magi, following the iconography based on the Liturgy of St. John Chrysostom which was included into the December Menaion (the liturgical book used in the Eastern Orthodox Church) of Metropolitan Makariy, the closest adviser to Ivan the Terrible.

This mural cycle is the culmination of the whole painting programme, representing the glorification of the Virgin Mary. It is regarded as the completion of the picture of the history of the universe as well as the convergence of the historical narratives of the Old and New Testaments and the narrative of the proto-evangelic and Assumption cycles to the atemporal, liturgical programme of the Metropolitan Macariy. Apparently, the specific iconography was not borrowed from previous examples, nor was it repeated afterwards.

#### Warrior Saints

Paintings of saints in the Assumption Cathedral reveal peculiarities of iconographic programmes in terms of choice and location, as they are found on the surfaces of the pillars. Depicted images include great martyrs and lesser known warrior saints, some of them depicted on walls for the first time in Russian art or even remain as unique occurrences (Sts. Theophilus and Nicholas).

Their representation is charged with didactic and missionary messages.

#### The Great Entrance (altar area)

The liturgical composition of The Great Entrance occupies the arches and the vault of the altar, central

apse. Traditional elements of the iconography of this theme are presented in the Cathedral: the Lamb of God, the Lord of Sabaoth in celestial glory, the hosts of heaven. However, the composition also greatly differs from all known depictions of this theme, because in the Sviyazhsk paintings the Mass is celebrated by churchmen instead of Christ, angels or saints, with people standing in front of them; the tsar with his escort, the hierarch, the monks. The construction of the iconography gives a strong eschatological character to the represented liturgy. The presence of the tsar and of real people establishes a connection between the historical and the liturgical time.

#### The Order of Panagia (Prothesis)

The representation of the Incarnation (the Virgin Mary of the Sign) is depicted on the altar conch, while the Worshipping of the Sacrifice (or the Rite of the Panagia Assumption) is on the apse walls. The compositions depicted under this theme are based on rites performed in monasteries in Russia and, in Sviyazhsk, its presence can be explained by the dedication of the church.

#### The Council of the Twelve Apostles (the vestry)

This composition occupies the west wall of the vestry and is organised in different registers; in the upper part the Saviour, the Virgin and St. John the Baptist; below three rows of half figures of Apostles.

#### Iconostasis

The iconostasis, carved and gilded, is part of the baroque renovation of the cathedral in the 18<sup>th</sup> century. Now exhibited in the collection of the State Fine Arts Museum of Tatarstan, the icons of the iconostasis are rare examples of religious art dating from the 15<sup>th</sup> – 16<sup>th</sup> until the mid-19<sup>th</sup> centuries.

#### The Assumption Monastery

The Assumption Cathedral is an integral part of the homonymous Monastery. The main buildings of the complex consist of stone-built constructions: the St. Nicholas refectory church with its frescoes and bell tower; the Archimandrite building; the building of the monastery school; the Brethren's building; the wall; and the Ascension church-above-the-gates, on the territory of the Assumption Monastery. They were built at different time periods during the 16<sup>th</sup> – 19<sup>th</sup> centuries, some of which were restored in the late 20<sup>th</sup> century; on the other hand, the Stables were reconstructed in the late 20<sup>th</sup> and early 21<sup>st</sup> centuries.

#### Saint Nicholas Refectory Church

Saint Nicholas Refectory Church is the most important attribute after the Assumption Cathedral. Built between 1555 and 1556, the Church is located on the south-west side of the Cathedral square. It has two floors and a four-tiered bell-tower, integrated in the eastern side of the building. The first floor houses a chapel, the room under the refectory and another chamber, all covered by intersecting vaults. On the second floor, are two square chapel rooms joined by three-apse altars, and the dining room, the vaulted ceiling of which is supported by one

single pillar. Two tiers of the bell-tower are built in white limestone, whilst the upper part with the drum and the octagon are in brick.

#### Archimandrite building (Abbot's quarters)

This building dates from the mid-17<sup>th</sup> century. It is built in brick over two floors in the Russian tower-chamber style, completed by a two-storey porch supported on stone columns.

#### Monastery School Building and Brethren's Building

The Brethren's Building was built at the end of the 17<sup>th</sup> and the early 18<sup>th</sup> centuries and rebuilt in a similar style in the late 18<sup>th</sup> century. The long block is partly two and partly three storeys in height. The complex was badly damaged in the Soviet period and only the outer walls survived. It has been reconstructed with modern materials in the interior.

### History and development

Founded in 1551, the town of Sviyazhsk was intended to be more than merely a military installation, and monasteries were established to serve as a missionary post for spreading Christianity in the region and at the same time, along with Kazan, to develop as an important Christian cultural centre, in order to consolidate Russian rule within the local communities of Muslim culture of the former Kazan khanate.

The Assumption Cathedral is the main church of the homonymous monastery complex with a history stretching from the 16<sup>th</sup> to the 19<sup>th</sup> centuries over several constructional phases. The monastery was given important privileges and the cathedral was built between 1556-1560 on the instigation of Ivan the Terrible during the priesthood of the archimandrite named German, of Tatar origin. The dating of the murals is still under debate, although the time range could be between 1567 and 1613, carried out in several working stages, based on close observations during the conservation works.

The original roof of the Assumption Cathedral was replaced in the middle of the 18<sup>th</sup> century with spherical constructions upon the elevated corners of the cube by brick additions. The original three arcades were crowned by brick aedicula-like composite gables with volutes under small saddle roofs, the central one higher, in an accentuated three-stepped composition. At this same time the dome acquired an octagonal brick top to accommodate a new bud-shaped external cupola, and rectangular windows were inserted with western decorative elements, the single lobed original ones only in a few instances being left in the façades.

The monastery and the church continued to play their missionary role throughout the 19<sup>th</sup> century and the early 20<sup>th</sup> century. However, in the 1920's, the monastery was converted into a corrective labour colony. Conditions in the colony were terrible and several thousand prisoners are reported to have died there. During this period, several churches in Sviyazhsk were dismantled to reuse the construction materials.

First studies of the surviving monuments began in 1953, when plans for the creation of the Kuybyshev reservoir were initiated and Sviyazhsk was included in the territories to be flooded. In 1960 the town and individual monuments were declared regional historical monuments.

The first conservation works of the Assumption Cathedral were carried out during the 1960's and intermittently throughout the 1990's, due to the presence of a psychiatric hospital housed in the monastery since 1953.

The first plans and projects for the revitalisation of the image of Sviyazhsk were developed from the 1990's through to the early 2000's, but it was only in 2010 that the large-scale conservation and reconstruction works began.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The comparative analysis has been carried out by examining properties inscribed on the World Heritage List and located in the territory of the Russian Federation: the White Monuments of Vladimir and Suzdal, (1992, criteria (i), (ii) and (iv)); the Church of the Ascension in Kolomenskoye, (1994, criterion (ii)); the churches of Historic Monuments of Novgorod and Surroundings, (1992, criteria (ii), (iv) and (vi)); the churches of Historical Centre of the City of Yaroslavl, (2005, criteria (ii) and (iv)); of the Cultural and Historic Ensemble of the Solovetsky Islands, (1992, criterion (iv)); and of the Kremlin and Red Square, Moscow (1990, criteria (i), (ii), (iv) and (vi)); of the Ensemble of the Ferapontov Monastery (2000, criteria (i) and (iv)); the Cathedral in the Ensemble of Novodevichy Convent (2004, criteria (i), (iv) and (vi)); and the Cathedral of the Historic and Architectural Complex of the Kazan Kremlin (2000, criteria (ii), (iii) and (iv)).

The State Party concludes that the Assumption Cathedral of Sviyazhsk is the only existing monument outside Moscow dating to the period of Ivan the Terrible and which preserves a complete 16<sup>th</sup>-century cycle of murals bearing symbolic meaning, reflecting the development of geopolitical and philosophical-religious processes of the late medieval period expressed in architecture and a programme of wall-paintings.

The comparison continues by examining properties outside the territory of the Russian Federation and inscribed on the World Heritage List, which include The Assumption Cathedral of the property Kiev: Saint-Sophia Cathedral and Related Monastic Buildings, Kiev-Pechersk Lavra, Ukraine, (1990, 2005, criteria (i), (ii), (iii) and (iv)); the Boyana Church (Bulgaria, 1979, criteria (ii) and (iii)), the monasteries of Meteora (Greece, 1988, criteria (i), (ii), (iv), (v) and (vii)), the Monastic Island of Reichenau (Germany, 2000, criteria (iii), (iv) and (vi)),

Mont-Saint-Michel and its bay (France, 1979, criteria (i), (iii) and (vi)), the Rila Monastery (Bulgaria, 1983, criterion (vi)), and the monasteries on Mount Athos (Greece, 1988, criteria (i), (ii), (iv), (v), (vi) and (vii)), reaching the conclusion that only limited analogies can be drawn with these examples, due to the unique geopolitical and historical conditions of Sviyazhsk, the role of the monastery, and the artistic achievements of the Cathedral.

Following confirmation by the State Party that the Monastery is part of the nominated property, ICOMOS considers that the comparative analysis is solidly grounded, the arguments presented are relevant, and the selection of the comparators is appropriate in relation to the proposed Outstanding Universal Value.

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

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#### **Justification of Outstanding Universal Value**

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

- The Assumption Cathedral is related to Ivan the Terrible, the first tsar of all the Russias, who re-conquered the lost lands from the Tatars; and Peter the Great, who modernised Russia, opening a “Window to the West”. Both saw the strategic potential of Sviyazhsk as a missionary post for Christianisation of the Muslim peoples of the Volga region.
- The architectural form of the Cathedral Complex was influenced directly by Ivan, who used didactic iconography to convey his royal power and the power of Orthodoxy to the Tatars, via an understandable/acceptable religious glossary (Old Testament and Virgin Mary cycles); and indirectly by Peter the Great, who brought from the Western Christian World the new baroque architectural and artistic trends, which were to be used for the renovation of the monastery and of the exterior of the church.
- The Sviyazhsk Assumption Cathedral is a foundation marking key historical events in the life of Russia and Orthodox Christianity. It illustrates a type of architecture and mural decoration, according to the Byzantine-Russian tradition although modified by integrating western Christian iconography. They derived directly from important Rus centres and most probably Moscow but were realised thanks to northwestern cultural and technical strengths to help the newly acquired territories to step into line with Christian culture.

ICOMOS considers that the revised nomination presents significant new research in the archives, which shows clearly the way the Sviyazhsk monastery was created as a result of patronage at the highest national level, that its

builders from Pskov were linked to buildings at Kazan, that the size, material and elaboration of the Sviyazhsk monastic buildings reflect their significance as part of a cultural programme directed from Moscow, particularly through the distinctive style of the architecture that reflects distinct modification of the Pskov style of its builders. The new research on the murals sheds light on the exceptional significance of specific aspects of their symbolism. The clarity and harmony of the frescoes overall and of their narrative reflect the way a team of painters worked together to cover the whole of the church's interior as a unified task. The Assumption Cathedral and its monastery possess important attributes, which reflect crucial aspects, important for understanding its history and function as a unique Orthodox Christian temple with a balanced selection of the iconographic topics common to the Christian and the Muslim religions, and aiming at the glorification of Tsar Ivan IV and the transition to a concrete Christian missionary policy.

Following confirmation by the State Party that the Monastery is included in the nominated property, ICOMOS considers the proposed justification to be appropriate.

#### **Integrity and authenticity**

##### **Integrity**

The integrity of the Assumption Cathedral is expressed by the completeness of its unique iconographic programme, from the architectural layout, volume, spatial organisation and its mural paintings, integrated into the architectural space, the retained character and features of the monastery complex, and the retention of almost all the icons which were contemporary with the murals.

Despite some losses to the mural paintings, most of the attributes that are necessary to express the proposed Outstanding Universal Value are comprised within the boundaries of the nominated property.

Now that the State Party has confirmed that the Monastery is included within the boundaries of the nominated property, ICOMOS considers that the boundaries are adequate to illustrate the proposed justification for inscription.

Measures to ensure the retention of visual integrity have been put in place and the delimitation of the buffer zone has been based on visual studies aimed at protecting the views towards the Cathedral.

The murals are the most fragile part of the property. However, a conservation strategy is being carried out and measures to ensure the control of the micro-environment of the wall paintings are in place.

##### **Authenticity**

The attributes of the nominated property, namely the layout, volume and spatial organisation of the Church and

of the Monastery as conceived in the 16<sup>th</sup> century, and then given a baroque appearance in the 18<sup>th</sup> century, the decorative programme expressed by the mural paintings and the scenes, themes and subjects depicted as well as their location in the church, the craftsmanship expressed by the construction and the decoration, bear credible witness to the proposed Outstanding Universal Value of the nominated property. The collection of icons and archival documents contribute to supporting the claims for the nominated property and the same holds true for its geographic location and its setting.

ICOMOS however recommends that the outpost character of the Island, which is crucial to making intelligible the role played historically by the nominated property and by the town of Svyazhsk, is respected in the management and that no beautification of existing buildings or completion of the settlement via reconstruction will be pursued.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity are met. The fragile condition of the paintings is known and under control. ICOMOS recommends that the outpost character of Svyazhsk be respected and that no beautification of existing buildings or complete reconstruction of the settlement will be pursued.

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

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

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

This criterion is justified by the State Party on the grounds that The Assumption Monastery and its Cathedral are outstanding evidence of the strategic development of Sviyazhsk as an outpost for the successful conquest of the Kazan Khanate by Ivan the Terrible and for the ambitious program of acquiring lands to be under Rus control, based on strengthened relations between the Christian Orthodoxy and the imperial expansion. They also attest to the emergence of a new Orthodox paradigm, resulting from specific historical and cultural conditions: the Assumption Cathedral and the Monastery were given a mission to spread Christianity in the region, which was under Islamic influence.

The Assumption Cathedral architecture and interior painted decoration are rare evidence of Orthodox civilization and also illustrate the new stage of development of Russian culture, the trend of Russian art which embodied achievements of Byzantine classical heritage, Greek Orthodox art, the Novgorod and Moscow schools of monumental painting and architecture, the influence of the Western European Christian tradition, and methods and principles of European art. Dedicated to the Assumption of the Virgin, especially worshipped in

Russia, the Cathedral respects the Orthodox tradition but also reveals an outstanding evidence of connection with the Muslim tradition of worshipping Mariam ana (Mary).

In its additional information provided in February 2017, the State Party has further justified the role of the Monastery, explaining that the historical, liturgical and spiritual values of the Cathedral cannot be understood and fully expressed without the Monastery, which played a key role as a missionary post. The Assumption Monastery is an integral part of the political and missionary programme carried out by Ivan the Terrible and the Assumption Cathedral, the key element of the present nomination, cannot be understood without the Monastery.

ICOMOS concurs with the augmented justification provided by the State Party.

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ICOMOS considers that this criterion has been justified.

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

This criterion is justified by the State Party on the grounds that the Cathedral exhibits novel characteristics of the state architecture of the Moscow tsardom and local traditions formed in the boundaries of the Tatar-Mongol Khanate which were introduced into the Pskov monumental architectural tradition. The architectural ensemble with its complete cycle of frescoes reflects a new trend in Russian art and a remarkable reflection of the ambitious cultural and civilizational ideology initiated by the Russian state in the 16<sup>th</sup> – 17<sup>th</sup> centuries. The ideological program, hierarchy, monumentality, and superb artistic skills of realisation and style of the wall paintings are an example of a special trend of development of Christian art of Russia and Europe. The frescoes are unique as they are the graphic reflection of the Stoglav Council of 1551 and of later Councils in 1553-1555, which are historically important not only for Russia but for the whole of the Eastern Orthodox Church and the history of icon painting.

Following confirmation by the State Party of the inclusion of the Monastery within the nominated property, ICOMOS concurs with the State Party's justification and considers that the Monastery is an integral part of the programme that made possible the construction of the Cathedral and the conception of the mural paintings.

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ICOMOS considers that this criterion has been justified.

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ICOMOS considers that the nominated property meets criteria (ii) and (iv) and that conditions of authenticity and integrity have been met.

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### **Description of the attributes**

The Assumption Monastery in its location, setting, layout and the architectural composition of its buildings contributes to illustrating its political, military and missionary role in the 16<sup>th</sup> century. The Cathedral is the most outstanding part of the Assumption Monastery Complex: its architecture reflects the prevailing Rus tradition of religious architecture from Moscow, Novgorod, Vladimir and Pskov, shaped upon Byzantine classical heritage as expressed by local craftsmanship and materials. The 18<sup>th</sup> century renovation of the building with baroque decoration illustrates new trends in art and architecture transposed from Western Europe by Peter the Great into the Russian empire as reference models. The architectural image of the Cathedral with its 16<sup>th</sup> century cycle of wall paintings with scenes from the Old and New Testaments express Ivan's political and religious program to convey his royal power and the power of Orthodoxy to the Tatars, via a comprehensible/acceptable religious vocabulary based on the Old Testament and on the Virgin Mary. St. Nicholas Refectory Church with its bell tower, the Archimandrite building, the monastery school building, the Brethren's building, and the walls with the Ascension church above the gate, supplement and enhance the values of the Assumption Cathedral, illustrating the religious and daily life of Orthodox monasteries in the past. The location and architectural bulk and configuration of the Assumption complex within the town-island of Sviyazhsk made it a prominent complex visible in the distance when approaching the town and express its role as a territorial and religious reference. The cultural layers and archaeological strata preserved in the grounds of the monastery complex and nearby contain 16<sup>th</sup>-19<sup>th</sup> century artefacts that are of great interest as a source of information on spiritual, social, artistic and scientific achievements. The Town-Island of Sviyazhsk in its current configuration represents a powerful setting that conveys the sense of an historic outpost settlement.

## **4 Factors affecting the property**

The property has never suffered from development pressures, although its setting and particularly the island-town's built fabric was subject to substantial alterations in the 20<sup>th</sup> century. The impacts of the recent revival of Sviyazhsk and of the monastery life, on the other hand, are being controlled through a strengthened protection.

The main unresolved problems include soil erosion and stability, structural stability of the cathedral, water runoff during snow melting and major/normal rain on the roof, unstable micro-environmental parameters (temperature and humidity) inside the cathedral, insufficient ventilation, certain modes of worship and visitation, and lack of guardianship for the cathedral.

ICOMOS concurs with the State Party that these represent the most crucial factors affecting the property and requested additional information in October 2016.

The State Party provided additional information on the studies prepared to control the indoor climate of the Cathedral as well as on the conservation works being carried out. It also reported on projects for 'model' traditional houses to be reconstructed in Sviyazhsk to regenerate the typical residential environment of the town.

ICOMOS considers that tourism pressures may become a cause of concern also for the immediate setting of the nominated property, namely the Island-town of Sviyazhsk. Therefore, the decidedly tourism-oriented focus of the overall management strategy needs to incorporate consideration of the values of the setting of the property for the understanding and appreciation of its value.

ICOMOS considers that the idea of reconstructing houses in Sviyazhsk based on 'model' houses, reproducing the traditional ones, does not necessarily represent the most appropriate measure to retain the outpost character of the town and of the Island.

In this regard, ICOMOS in its Interim Report requested assurances that no reconstruction be carried out in Sviyazhsk for tourism purposes.

The State Party replied in February 2017 that the preservation of the spirit of the place of Sviyazhsk, as an outpost settlement, which supplements the proposed Outstanding Universal Value, will be guaranteed via the protective status granted to the Island and through a careful management of visitor flows.

ICOMOS considers the reply from the State Party to be reassuring, although there remain potential unwanted impacts from tourism if the tourism-focused planning approach is not reoriented.

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ICOMOS considers that the main threats to the property are soil erosion and instability of the island and of the foundations of the Cathedral, variations in the micro-environment of the Church, and deficiencies in its roofs. Impacting factors may also derive from an increase of tourism and an excessively tourism-oriented planning for the whole Island of Sviyazhsk, with potential undermining of the outpost character of the town-island.

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## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The nomination dossier states that the boundaries of the nominated property (3.25ha) follow the perimeter of the walls of the Assumption Cathedral within its boundaries

of the 19<sup>th</sup> century (1,027.3 sq.m). The sites enclosed in the Assumption Monastery's boundaries make up the attributes of the Outstanding Universal Value of the Assumption Cathedral, emphasizing its uniqueness, and describing the cultural and spiritual life, a demonstration of the feelings of believers from different eras. The Outstanding Universal Value of the Cathedral is inseparable from the other sites with which it is associated historically and liturgically.

The buffer zone (11,563.9ha) includes a wide area, encompassing also the Island-town of Sviyazhsk, and comprises parts of the river banks. Its boundaries have been established on the basis of a visual study, to ensure that the distant views towards the nominated property be protected from development. Distinct regulated zones ensure the effectiveness of this added layer of protection to the property.

Following the clarification by the State Party in February 2017 that the Monastery is included within the nominated property, ICOMOS considers that the boundaries of the nominated property can be considered adequate.

The boundary of the buffer zone is adequate.

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In conclusion, ICOMOS considers that the boundaries of the nominated property and of its buffer zone are adequate and provided with ad-hoc zoning and protective measures.

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### **Ownership**

The Assumption Cathedral is a State property, used for cultural, religious and liturgical purposes, although it will soon be transferred to the Monastery. The buildings of the Assumption Monastery complex are State property granted to the Tatarstan Metropolitanate for perpetual and free use for religious purposes.

The Historical Buildings of Sviyazhsk and the land where they are situated, have been transferred to the ownership of the Museum Reserve. A significant number of private residential buildings are in private ownership.

### **Protection**

The system of World Heritage Site administration in the Russian Federation includes both Federal laws and laws of the regions of the Russian Federation, in this case, the laws of the Republic of Tatarstan. The Assumption Cathedral of Sviyazhsk is protected under the federal law "On Objects of Cultural Heritage of the peoples of the Russian Federation", n°73-FL 25.06.2002, and also on the basis of the regional legislation "On Objects of Cultural Heritage in the Republic of Tatarstan", n°60-LTR 01.04.2005.

The whole territory of Sviyazhsk is further protected as a "remarkable site" as per Resolution n°497 16 July 2009 and Resolution "On approval of the boundaries of security zones of the cultural heritage site "The Town-island of Sviyazhsk" of regional (republican) importance",

n°481 2 July 2015. It sets the boundaries of the buffer zone of the site "Town-island of Sviyazhsk", coinciding with the boundaries of the buffer zone of the nominated property. The resolution also sets out the sub-zones and related regulations and restrictions of use.

The part of the buffer zone bearing natural value belongs to the natural reserve "Sviyazhskiy" (as per Resolution n°49 of 04.02.1998). In 2007 this area received the status of a biosphere reserve of UNESCO. The area falls also under the Federal Law "On specially Protected Natural Territories" n°33-FL 14 March 1995.

In terms of planning provisions, the scheme of the territorial planning of the Republic of Tatarstan incorporates the buffer zone and is currently being approved.

The evaluation mission was informed that the plans of territorial development of Zelenodolsk and Verkhneuslonsky districts, the General plan of the municipality "Innopolis City" were amended in 2015, integrating the protection zones and their delimitations. The Rules of Land Use and Development of Sviyazhsk settlement, approved on 5.5.2015, take into account the maintaining modes of the Sightseeing Site "Ostrov-grad Sviyazhsk", established by Resolution n°497 /2009 and by the Order of the Ministry of Culture d/d 07.08.2009 n°465.

ICOMOS requested additional information in its letter of October 2016 concerning the protection measures established in 2015. The State Party responded on 15 November 2016 that Russian legislation sets rigid controls over the construction process. Building permissions are issued by local authorities, which, for Sviyazhsk and the adjoining territory are the town planning bodies of the Zelenodolsk and Verkhneuslonsky districts. The restrictions for the buffer zone were established in 2015 by the Rules of Land Use and Development of Sviyazhsk settlement approved on 5 May 2015 and by the decree n°481/ 2 July 2015.

The land use and planning regulations for the sub-zones of the buffer zone provide for seven zones with ad-hoc regulations based on their heritage value and purpose.

ICOMOS considers that the provisions for the Island-Town of Sviyazhsk appear to be too much reconstruction-oriented and suggests that a more cautious approach is adopted, limiting the reconstruction of buildings as much as possible and based on a comprehensive plan that defines overall objectives in line with the function of providing an added layer of protection to the attributes of the nominated property, and clarifies the different envisaged interventions and the areas where some additional building could be accepted and where it would be advisable to keep the open space.

In February 2017, following receipt of ICOMOS's Interim Report, the State Party provided assurances that the

spirit of the place of Sviyazhsk as an outpost settlement will be respected through protective and management measures.

ICOMOS in its Interim Report asked for information about the timeframe for the integration of these regulations into the territorial planning scheme of the Republic of Tatarstan.

The State Party responded in February 2017 that all measures quoted above were included in the land use planning of the Republic of Tatarstan and therefore are compulsory for all administrations.

With a view to strengthening protection through planning, in 2016 an interdepartmental commission on town planning activity in settlements of historic value was set up. All projects within the buffer zone are to be examined by this commission before the building permission is issued, and the ones within the Island of Sviyazhsk also by the Ministry of Culture of the Republic of Tatarstan.

ICOMOS requested additional information on the functioning mechanisms of the interdepartmental Commission set up in 2016 and on when it did, or will, enter into force.

The State Party responded in February 2017 that the regional state bodies (including the Tatarstan Ministry of Culture, Tatarstan Ministry of Architecture, Construction, Housing and Communal Services, and local authorities) ensure the implementation of the land-use regulations and restrictions through compulsory building projects approval and licensing procedures. If these are violated the buildings are classified as illegal and eligible for demolition. Violating protected zones of cultural heritage sites is punishable by fines as per the Code of the Russian Federation on Administrative Offences.

The State Party has also clarified that a Memorandum of Understanding and Cooperation in the Field of Conservation, Management and Promotion of the Assumption Cathedral of the island-town of Sviyazhsk has already been signed by all relevant stakeholders.

In conclusion, ICOMOS considers that the legal protection in place is adequate. ICOMOS considers that the protective measures for the property are adequate, although the regulations for the Town-Island of Sviyazhsk would benefit from a less reconstruction-oriented approach. Any reconstruction in this part of the buffer zone should be limited as much as possible, based on a comprehensive plan and on the results of an Heritage Impact Assessment.

## Conservation

Research activities have been carried out in the past and more recently and will continue, the main focus being the characterisation of the murals' materials and their decay problems, the structural stability of the Cathedral, and the

study of the environmental parameters in relation to the mural paintings.

A "Comprehensive plan for interdisciplinary research of the Assumption Cathedral and Trinity Church for 2014-2020" was also created in 2014, and it is now in operation, financed from federal and regional budgets.

Conservation works on the paintings were started in the 1960's and continued in the early 1970's, by fine art restorers. An overall programme for the conservation of the murals is in place (2010 – 2016) and it includes an extensive diagnostic programme. The current works envisage completing the restoration of the frescoes, renewing and strengthening the metallic roof sheeting of the dome and nave, reinforcement of the walls through injection and of the foundations, stabilisation of the soil, and the conservation of the wooden Iconostasis, currently removed from the church.

The control of the environmental parameters is crucial for the safeguarding of the murals in the Cathedral. Limitation of access to the church is envisaged as the most appropriate measure for its preservation. Only two religious services per year are envisaged, and limited controlled visitation, only in certain periods of the year.

ICOMOS considers that a careful monitoring of the indoor environment and temperature/humidity of the wall surfaces throughout the year is crucial to assess the problems and define the most effective strategy for the preservation of the paintings. Careful consideration should be given to the potential negative effects of grouting and mortar injections in the foundations and the walls with regard to the potential formation of undesired salts that may negatively affect the murals.

The State Party envisages, as a strategy for the conservation of the buildings in the buffer zone, the transfer of all vacant buildings of heritage significance to the Museum Reserve, with a view to transforming them into museums.

ICOMOS considers that whilst the objectives of this strategy are commendable, consideration should be given to the impacts on the historic fabric and character of these buildings of adaptive reuse works and, more generally, to the economic sustainability of this strategy in the long term.

On the other hand, the reconstruction-oriented approach for the Town Island of Sviyazhsk, based on 'model' traditional houses, does not appear to be respectful of the outpost character of the town, which contributes to conveying the values of the property and the role it played in the region.

ICOMOS considers that the current conservation strategies for the Cathedral point in the right direction and need to be continued; consideration of the potential negative effects of injected consolidation materials on the murals is crucial. Visitor number limitation represents

the best option for the long-term conservation of the murals. Careful assessment of the carrying capacity of the whole monastery complex and of the Island in relation to the tourism strategy and the creation of museums is necessary. ICOMOS also recommends that no beautification should be carried out and reconstruction interventions should be kept to a minimum and not triggered for tourism purposes in the Town-Island of Sviyazhsk.

## Management

Management structures and processes, including traditional management processes

The “State historical-architectural and art Museum Ostrov-grad Sviyazhsk” (approved in 2011) and now converted into a Museum-Reserve (Resolution n. 618 24 August 2015) is the key management body.

A Memorandum of Understanding and cooperation between the Ministry of Culture, the Museum Reserve and the Archdiocese of Tatarstan has been signed, aimed at harmonising the interests of all the parties concerned. The management system envisages a Coordinating Committee, involving all parties concerned: ad-hoc regulations have been drafted, outlining functions, tasks and roles.

At present, all the functions assigned to the Coordinating Committee are being performed by the Regional Foundation for Revival of Historical and Cultural Monuments, set up in 2010. The Foundation will transfer its functions to the Coordination Committee, as soon as the above regulations are approved.

ICOMOS considers that the above are important steps to ensure partnership, coordination and consensus, much needed to implement the ambitious management and development programme for the nominated property and the town of Sviyazhsk.

A detailed analysis of the risks and threats to which the nominated property is susceptible has been developed. An outline of the steps undertaken for their reduction and management has been provided. Brief reference to the measures in place at the national level is also made.

ICOMOS considers that an overall strategy which links the general measures and mechanisms established at the national level with specific risk and disaster preparedness measures conceived for the property and its buffer zone is necessary.

The need for specific training of the staff of the Museum Reserve is outlined in the nomination dossier; this concerns especially World Heritage management requirements, including tourism. A steady flow of financial resources has long since been granted to the whole complex of Sviyazhsk.

Policy framework: management plans and arrangements, including visitor management and presentation

The elaboration of the Management Plan for “The Assumption Cathedral of the Town-island of Sviyazhsk” started in 2014 (by order of the Minister of Culture) for the period 2015-2035, with a focus on 2015-2020. The plan contains three major strategic objectives: the preservation of the Assumption Cathedral and its environment, creating conditions for sustainable development of the surrounding territory, and achieving public consensus concerning the preservation, use and sustainable development of the property. Each objective is articulated into an action plan with prioritised actions.

With a view to improving the landscape character of the Island, the Management Plan envisages regulations for new constructions, aimed at respecting the traditional character of the town.

ICOMOS’s comments on the above are provided in the Protection section of this report.

The evaluation mission was informed that the Management Plan is currently under peer review with the assistance of a wide range of experts. As soon as the Management Plan has been reviewed by the World Heritage Committee, it will be approved by the Cabinet of Ministers of the Republic of Tatarstan as a legal instrument.

ICOMOS requested additional information on the approval status of the Management Plan in its letter dated October 2016.

The State Party responded on 15 November 2016 explaining that, following the review of the Management Plan by the World Heritage Committee, a Coordination Committee will be established that will have transferred to it all the functions currently incumbent on the Regional Foundation for the Revival of the Historic and Cultural Monuments of the Republic of Tatarstan.

Tasks of the Coordination Committee include the monitoring of the implementation of the Management Plan, providing advice on the decision-making processes for the property, developing and improving research, establishing and maintaining a database on the site, and increasing public awareness about the property.

Additional information has also been provided on the museum development strategy being developed for the revitalisation of the nominated property and its buffer zone.

ICOMOS considers that the overall management strategy envisaged for the property, its buffer zone and wider setting is ambitious and aims at achieving the valorisation of the nominated property and its setting, through an agenda for sustainable development based eminently on cultural, religious or eco-tourism. While the

approach is solidly grounded through the action plan, attention should be given to avoid over-exploitation of the nominated property and its immediate setting (e.g. the Monastery and the island as a whole) through tourism. Reconstruction of 'traditional houses' in the Island for tourism purposes should be avoided.

In this regard, ICOMOS considers that the tourism management strategy needs to widen its scope, considering the potential of the buffer zone outside the Island to house small-scale accommodation facilities, parking lots and visitor centres, so as to reduce the pressures from visitors on the nominated property and the whole island.

The programme envisaged by the State Party to develop new museums on the Island would contribute to expanding the visitor experience and reduce the pressures on the Cathedral and other historic monuments. In this regard, the establishment of the Assumption Cathedral museum in St. Nicholas Refectory Church, will allow the presentation of the significance of the Assumption Cathedral without compromising its conservation. The future creation of the Museum of the Orthodox Art and Culture, which will display the icons of the Assumption Cathedral and Trinity Church, is also an important step that will strengthen the integrity of the property and increase the offer to visitors.

Although the strategy is interesting, ICOMOS considers that no further museums should be envisaged, as the Island seems to have reached its maximum capacity in this regard.

In its additional information provided in February 2017, the State Party informed that for the period 2017–2018, five museums are planned. ICOMOS suggests that no additional museums be planned for subsequent years.

ICOMOS in its Interim Report asked for further clarification on the approval status of the Management Plan, as the process envisaged by the State Party does not seem to be fully in line with the requirements of the *Operational Guidelines*.

The State Party responded that the Management Plan approval procedure has been completed and that the Plan is now compulsory (implementation period 2015–2020), although no formal approval document has been transmitted to ICOMOS.

#### Involvement of the local communities

Local communities seem to be involved in the process. The Museum has brought job opportunities into the area and this is seen favourably.

ICOMOS considers that involvement of local communities and stakeholders needs to be continued in order to ensure a shared understanding of the values of the property and the role played by its setting.

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In conclusion, ICOMOS considers that the management system for the property could be considered overall adequate, although the tourism management strategy should extend to the entire buffer zone, beyond the Island of Sviyazhsk, and should put in place mechanisms to avoid tourism-based over-exploitation of the Island, by limiting the creation of museums to just the ones indicated in the additional information provided in February 2017 and avoiding reconstruction of former buildings on the Island for tourism purposes. Furthermore, ICOMOS recommends that the risk management system be reinforced by developing an ad-hoc risk management plan for the property, integrated with the prevention and disaster management measures in place at the national level.

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## 6 Monitoring

The monitoring programme included in the Management Plan only provides very general information about this aspect.

ICOMOS considers that a full monitoring programme needs to be implemented with indicators suitable to measure the state of conservation of the property as well as the effectiveness of the management actions. A specific continuous monitoring programme for the condition of the Church and its frescoes is indispensable.

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In conclusion, ICOMOS considers that the monitoring system needs to be expanded to include a full and permanent monitoring system for the structural conditions of the Church and of its frescoes. Indicators to measure the state of conservation of the property need to be in place and these should be complemented by indicators to measure the effectiveness of the management system.

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## 7 Conclusions

A mixed nomination for The Sviyazhsk Historical, Architectural, Natural and Landscape Complex was submitted in 2012. This nomination covered the whole island of Sviyazhsk and part of its hinterland.

Sviyazhsk was seen to have preserved the form, area, planning and some elements of a 16<sup>th</sup> century fortress; to have an outstanding architectural ensemble from the 16<sup>th</sup>-early 20<sup>th</sup> centuries with unique 16<sup>th</sup> century wall paintings; to have an archaeological layer that has been uniquely preserved because of the island's natural peculiarities; to reflect many 16<sup>th</sup> century geopolitical and historical events having extreme importance for Eurasia; to have been, from ancient times, a religious centre for the pagan population of Povolzhie and, since the 16<sup>th</sup> century, a spiritual centre of Orthodoxy in the region; and to have been one of the first camps for political prisoners in Russia and thus a memorial place for the victims of Stalin's repressions.

ICOMOS could not support this multi-faceted proposed Outstanding Universal Value. Its overall conclusion was that the island as a whole could not be said to reflect in an outstanding way the role it played in the defeat of the Kazan Khanate, as too little remains from that time. The ICOMOS evaluation therefore recommended non-inscription. The nomination was withdrawn by the State Party in May 2013. Subsequently the State Party invited an ICOMOS Advisory Mission to explore whether there could be other potential nomination options for the whole island or for parts of the island. This mission took place in August 2014.

Based on exploration of the main cultural assets of the island, the ICOMOS mission considered that the wall paintings of the Cathedral of the Assumption monastery might be seen to be an outstanding testimony to the strategic development of Sviyazhsk as a staging post for the successful campaign by Ivan the Terrible to take the Kazan Khanate and to the subsequent ambitious cultural programme initiated by the Muscovite ruling circles in the middle of the 16<sup>th</sup> century to reinforce links between theology and imperial expansion. The mission suggested that if a nomination based on these murals and their surrounding monastery were to be pursued, it would need to be submitted with as much evidence as possible for the way Sviyazhsk was linked to the major cultural developments in Moscow and elsewhere in the late 16<sup>th</sup> and early 17<sup>th</sup> centuries through this monastic complex.

The revised nomination presents significant new research in the archives and reflects detailed study of the iconography of the mural paintings. A significant amount of detail has been assembled in a comparatively short space of time. What has been revealed shows clearly the way the Sviyazhsk monastery was created as a result of patronage at the highest national level, that its builders from Pskov were linked to buildings at Kazan, and that the size, material and elaboration of the Sviyazhsk monastic buildings reflect their significance as part of a cultural programme directed from Moscow, particularly through the distinctive style of the architecture that reflects distinct modification of the Pskov style of its builders.

The dossier also sets out clearly the new research into the murals – and comes to the conclusion that they are ‘the most completely preserved fresco ensemble of the epoch of development of the Moscow kingdom’. The text sets out very clearly the results of exploration of the various sets of images and the significance of specific aspects of their symbolism. The clarity and harmony of the frescoes overall and of their narrative reflect the way a team of painters worked together to cover the whole of the church’s interior as a unified task.

Overall the revised dossier appears to have responded to the need for a full justification to be provided of the significance of the Assumption Monastery and its frescoes.

ICOMOS congratulates the State Party for the amount of work that it has been able to accomplish: several important steps have been undertaken to strengthen protection and management. However, due to the vastness of the challenge, some areas still need to be completed, e.g. the operationalisation of the Coordination Committee, the reinforcement of the risk management plan, and the implementation of a full monitoring system.

Following an explicit request by ICOMOS in its Interim Report, the State Party has confirmed that the entire Monastery Complex is being nominated along with the Assumption Cathedral, due to the central role it played in the Christianisation of the region and in the affirmation of the power of Ivan the Terrible over these lands formerly controlled by the Tatars.

ICOMOS notes, however, that the current name of the property in fact focuses on the Cathedral alone, and suggests that the State Party considers modifying the name as follows: “The Assumption Cathedral and Monastery of the town-island of Sviyazhsk”.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that The Assumption Cathedral of the town-island of Sviyazhsk, Russian Federation, be inscribed on the World Heritage List on the basis of **criteria (ii) and (iv)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

The Assumption Cathedral is located in the town–island of Sviyazhsk and is part of the homonymous monastery. Situated at the confluence of the Volga, the Sviyaga and the Shchuka Rivers, at the crossroads of the Silk and Volga routes, Sviyazhsk was founded by Ivan the Terrible in 1551 as the outpost from which to initiate the conquest of the Kazan Khanate. The Assumption Monastery was to function as both missionary and administrative centre for the conquered region. The Cathedral, with its extensive cycles of mural paintings, realised in a relatively short period of time, reflects the ambitious cultural and political programme of the Russian State in the recently conquered Islamic Kazan Khanate, and illustrates new trends in Christian Orthodox art in Russia and Europe.

The Assumption Monastery in its location, setting, layout and the architectural composition of its buildings contributes to illustrating its political, military and missionary role in the 16<sup>th</sup> century. The Cathedral is the most outstanding part of the Assumption Monastery Complex: its architecture reflects the prevailing Rus tradition of religious architecture from Moscow, Novgorod, Vladimir and Pskov, shaped upon Byzantine

classical heritage as expressed by local craftsmanship and materials. The 18<sup>th</sup> century renovation of the building with baroque decoration illustrates new trends in art and architecture transposed from Western Europe by Peter the Great into the Russian empire as reference models. The architectural image of the cathedral with its 16<sup>th</sup> century cycle of wall paintings with scenes from the Old and New Testaments express Ivan's political and religious program to convey his royal power and the power of Orthodoxy to the Tatars, via a comprehensible/acceptable religious vocabulary based on the Old Testament and on the Virgin Mary. St. Nicholas Refectory Church with its bell tower, the Archimandrite building, the monastery school building, the Brethen's building, and the walls with the Ascension church above the gate supplement and enhance the values of the Assumption Cathedral, illustrating the religious and daily life of Orthodox monasteries in the past. The location and architectural bulk and configuration of the Assumption complex within the town-island of Svyazhsk made it a prominent complex visible in the distance when approaching the town and express its role as a territorial and religious reference. The cultural layers and archaeological strata preserved in the grounds of the monastery complex and nearby contain 16<sup>th</sup>-19<sup>th</sup> century artefacts that are of great interest as a source of information on spiritual, social, artistic and scientific achievements. The Town-Island of Svyazhsk in its current configuration represents a powerful setting that conveys the sense of an historic outpost settlement.

**Criterion (ii):** The Assumption Monastery with its Cathedral is real evidence of cardinal historical and geo-political interchanges in Eurasia at a time when the Rus State undertook its expansion eastwards. The architecture and Mariological cycle of wall-paintings of the Cathedral exceptionally reflect the interaction of the Christian-Orthodox and Muslim cultures and interchanges with Western Christian religious iconographical themes, e.g. the Creation or the Proto-evangelical and Evangelical cycles. The unique style of wall-painting and icons of the Assumption Cathedral iconostasis resulted from the fusion of artistic forces of large artistic centres of the Russian state, such as Novgorod, Pskov and Moscow, as well as of masters of the Volga region towns and artists working in the Rostov and Suzdal regions. The Iconostasis pictorial complex is part of the whole artistic system of the Cathedral.

**Criterion (iv):** The Assumption Monastery with the Cathedral illustrates in its location, layout and architectural composition the political and missionary programme developed by Tsar Ivan IV to extend the Moscow state from European lands to the post-Golden Horde Islamic states. The architecture of the Assumption Cathedral embodies the synthesis of traditional ancient Pskov architecture, a monumental Moscow art of building, and construction traditions of the Volga region. The Assumption Cathedral frescoes are among the rarest examples of Eastern Orthodox mural paintings. The iconographic program of the cathedral includes

themes of the Creation and iconographic interpretations of traditional cycles of Proto-evangelical and Evangelical history, reflecting absolutely new trends for Russian religious art and expressing new theological concepts and Tsar Ivan IV's political programme.

#### Integrity

All elements necessary to convey the Outstanding Universal Value of the property are contained within its boundaries. The Assumption Monastery complex with the Cathedral and the other stone buildings is contained within its historic perimeter and the whole complex depicts its historic political and religious functions. Overall, the property exhibits acceptable condition, following conservation, restoration and reconstruction interventions. However, there are some unresolved problems concerning structural instability and unstable indoor environmental parameters in the Cathedral, as well as soil erosion and instability, that are being studied and addressed. Tourism and tourism-related development pressures on the buffer zone and particularly on the town-island of Svyazhsk are being controlled, but need close monitoring from the relevant authorities.

#### Authenticity

The location, setting, layout and composition of the Assumption Monastery complex and of its structures are key to understanding its role as a missionary post in a settlement that was strategic from a military and political perspective when it was founded. The architecture of the Assumption Cathedral reflects in its configuration and substance at least two significant stages of its development, dating back to its construction and decoration in the 16<sup>th</sup> century and its baroque rearrangement in the 18<sup>th</sup> century. The entire cycle of mural paintings in its interior are key sources of information that credibly attest to the Outstanding Universal Value of the property. The architecture and mural paintings of the refectory and of St. Nicholas Refectory Church complement the iconographic programme of the cathedral. With the exception of the Cathedral, which retains most of its historic fabric in architectural and artistic terms, the buildings within the monastic complex have undergone interventions of different degrees of restoration or reconstruction, which, however, do not prevent them from substantially contributing to illustrating the value of the property.

#### Management and protection requirements

An array of federal and State legislation ensures that the property and its buffer zone are adequately protected. The whole territory of the buffer zone is legally protected and provided with legally established sub-zones and related regulations. Natural values of the area are also legally protected at the state and federal level and by a much larger UNESCO biosphere reserve designation (Great Volzhsko-Kamsky). To ensure effective protection, the legal provisions/restrictions are integrated into the relevant territorial and urban planning for the districts and the municipalities. All state and local authorities ensure

implementation of land-use regulations and restrictions; an interdepartmental commission on town planning ensures compliance of any project proposal falling into the buffer zone with the objectives and requirements for the protection of the property.

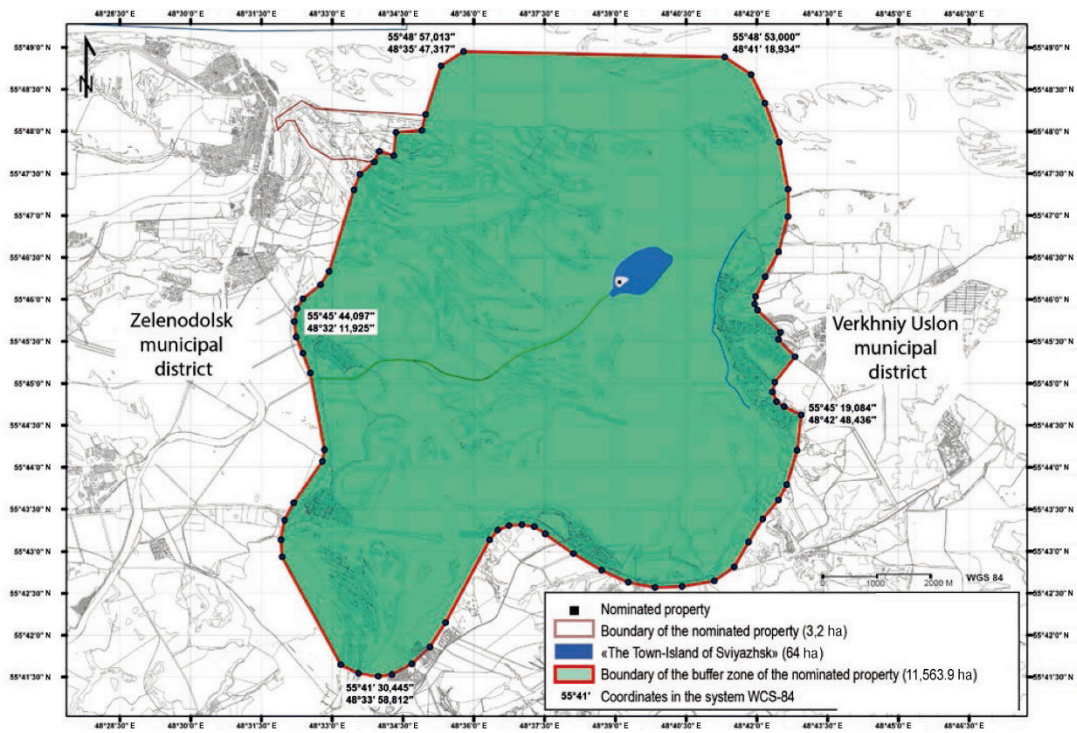
An established Coordinating Committee is tasked with advice on decision-making and has a monitoring role on the implementation of the management plan. The effective management of the property derives from the coordination of the various legal and planning instruments and close collaboration among the different institutions; careful consideration of tourism pressures needs to be integrated into any development plan or programme.

#### **Additional recommendations**

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

- a) Changing the name of the property to become: "The Assumption Cathedral and Monastery of the town-island of Sviyazhsk",
- b) Developing a complete diagnosis of the problems of the Cathedral and include considerations of the potential negative impact of certain conservation materials (e.g. grouting mortars) on the murals,
- c) Establishing a permanent monitoring system to keep a continuous record of the structural behaviour and of the interaction of the frescoes with the indoor environmental parameters of the Cathedral,
- d) Avoiding touristic over-exploitation of the property and of the town-island of Sviyazhsk,
- e) Avoiding reconstruction of 'traditional houses' on the island for tourism purposes and consider that any reconstruction in this part of the buffer zone should be limited as much as possible, based on a comprehensive plan defining in advance what is planned to be rebuilt and for what reasons, and on the results of an Heritage Impact Assessment,
- f) Expanding the tourism strategy to encompass the wider territory of the buffer zone to spread tourism facilities and services outside of the Island, thus decreasing tourism pressure on the town-island,
- g) Carrying out a carrying-capacity study for the Island with regard to tourism and the envisaged museum development strategy;





Map showing the boundaries of the nominated property



Aerial view of Sviyazhsk



Assumption Cathedral from the north-east



Frescoes of the dome



A fragment of the frescoes of the vault of the refectory



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## Talayotic Minorca (Spain) No 1528

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### Official name as proposed by the State Party

Talayotic Minorca

### Location

Autonomous Community of the Balearic Islands  
Spain

### Brief description

Thirty-two archaeological sites dating from the late 3<sup>rd</sup> to the late 1<sup>st</sup> millennium BCE illustrate the Talayotic Culture of the island of Minorca. Scattered across the island are found funerary sites, settlements, ritual sites and talayots – distinctive round towers that look out over the landscape. Construction techniques are uniformly dry stone without mortar. Their megalithic form gives the series an enduring quality as these sites have persisted on the island's landscape for the past 2000 years.

### Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a serial nomination of 32 *sites*.

## 1 Basic data

### Included in the Tentative List

29 January 2013

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

14 January 2016

### Background

This is a new nomination.

### Consultations

ICOMOS has consulted its International Scientific Committee on Archaeological Heritage Management and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 15 to 20 September 2016.

### Additional information received by ICOMOS

ICOMOS sent to the State Party on 4 October 2016 a letter requesting additional information on the management plan, the protection of the sites, the selection of the sites, the place of landscape in the nomination and

the intentions to expand the series in the future. On 8 November 2016, the State Party answered the ICOMOS request and this additional information has been incorporated into the relevant sections below.

On 18 January 2017, ICOMOS sent an interim report to the State Party. Although no questions were posed in the interim report, the State Party sent a response on 27 February 2017. This additional information has been incorporated into the relevant sections below.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description of the Serial Nomination

The property is composed of 32 components scattered across the island. The components are presented in order based on the oldest date found at each one, although many were used and reused over a long time span. All the constructions are cyclopean – dry stone placed without mortar.

Of the 32 components, 13 are settlements and 14 have funerary functions, including three necropoli. Some components feature specialised structures: five have constructions called navetas, 13 have talayots and seven have taulas. Navetas are structures built of stone in the shape of an upturned boat hull, while talayots are stone towers that have views over the surrounding countryside. A taula is a tall slender column or slab of stone with another slab balanced on top, resembling a table or the letter 'T.'

The largest component is 22 ha in size and the smallest is 0.002 ha. Twenty-one of the components are smaller than 2 ha. Components with single small built forms tend to have small buffer zones extending 10 m from the edge of the construction. Settlements generally have larger buffer zones extending up to 70 m out from the built features.

Hypogea at Biniai Nou (01): Two adjacent hypogea (subterranean funeral structures) with a small buffer zone set in a pasture. These date to the late Chalcolithic.

Settlement at Talatí de Dalt (02): A settlement with built attributes constructed through a long span of time, including a talayot (Early Iron Age) and a taula enclosure (described below, Late Iron Age). An early radiocarbon date was obtained from this site, but the dossier does not describe the character of the site during the Chalcolithic period.

Tomb at Ses Roques Llises (03): A megalithic tomb that dates to the Chalcolithic period or the Early Bronze Age. It is within the buffer zone of component (24) described below.

Hypogeum at Torre del Ram (04): A funerary hypogeum in a small modern enclosure (the buffer zone) set in an urban area.

Necropolis at Cala Morell (05): A series of 15 artificial caves (hypogea) set in a ravine that leads to a cove. These were used for funerary purposes during the Early Bronze Age.

Naviform Settlement at Son Mercer de Baix (06): A settlement of four naviform dwellings set on the edge of a ravine that dates to the Late Bronze Age.

Tomb at Son Olivaret Vell (07): A Bronze Age tomb surrounded by three sets of dry stone walls set in a small buffer zone on a former military base.

Hypostyle Hall at Es Galliner de Madona (08): A roofed structure made of dry stone construction set against a rocky outcrop. The roof is supported by columns of stacked stones without mortar. An early 20<sup>th</sup> century house has been built beside this Bronze Age structure.

Es Càrritx Cave (09): A cave used for burials from the Middle Bronze Age to the Early Iron Age. It is set in a remote ravine and has no buffer zone.

Settlement at Torre d'en Galmés (10): The largest talayotic settlement on Minorca with three talayots and a taula enclosure. It is set on a hilltop. A number of circular dwellings are present, as are hypogea and a series of cisterns for water collection. It dates from the Iron Age through Roman times and later.

Settlement at Binissafullet Nou (11): This small settlement has a talayot, a taula enclosure and other structures that date from the Middle Bronze Age to the Late Iron Age.

Naveta at Es Tudons (12): This funerary naveta contained 100 skeletons from the Late Bronze Age. It is surrounded by a low modern wall set in an open field with a small buffer zone.

Northern Naveta at Rafal Rubí (13): A Bronze Age funerary structure set in a pasture. It has a small buffer zone.

Southern Naveta at Rafal Rubí (14): The twin of the previous component, 65 m away, with a small buffer zone.

Necropolis at Calescoves (15): Ninety burial chambers, some originally caves, some hypogea, set in a cliff that rings a cove. It was used from the Middle Bronze Age to the Late Iron Age.

Settlement at Trepucó (16): A settlement with two talayots, a taula enclosure and several other dwellings. It dates from the Late Bronze Age to the Late Iron Age. Fortifications from the 18<sup>th</sup> century CE were later built on this site.

Settlement at Torralba d'en Salort (17): A settlement with two talayots, a taula enclosure and other structures, including funerary hypogea. Late Bronze Age to Late Iron Age.

Sanctuary at So Na Caçana (18): A settlement with talayots, three taula enclosures and three funerary hypogea is interpreted as a ceremonial centre. Used from the Late Bronze Age into the Roman period.

Settlement at Montefí (19): A settlement with three talayots, funerary hypogea and silos set beside a modern farm. Late Bronze Age to the Roman period.

Settlement at Torraellafuda (20): Settlement with a talayot, taula enclosure, necropolis, other dwellings and perimeter wall inhabited from Late Bronze Age to the Roman period.

Eastern Naveta at Biniac-L'Argentina (21): A funerary naveta with a small buffer zone set in the island's zoo. Middle Bronze Age.

Talayot at Trebalúger (22): A single Late Bronze Age talayot built on top of an earlier Bronze Age dwelling located on a hilltop. It has a small buffer zone.

Coastal Establishment at Cala Morell (23): A settlement located on a rocky promontory overlooking the sea with several naviform dwellings and a protective wall. It was built and then abandoned in the Late Bronze Age. There is no buffer zone on the sides that face the sea.

Monument at Sa Comerma de Sa Garita (24): A large enclosure surrounds the ruin of a structure with stacked stone columns that support stone lintels. Its purpose is unknown. Its age spans the Late Bronze Age and Early Iron Age.

Talayot at Torelló (25): A large talayot with cisterns built into its side. Built in the Iron Age and used until Roman times, much of the island can be seen from the top of this structure. A beacon for the nearby airport is situated on top of this talayot. A smaller talayot is nearby.

Settlement at Torretrencada (26): A settlement with a talayot, a taula enclosure and other built forms. It was made during the Iron Age and has evidence of use from Roman, Islamic and medieval periods.

Settlement at Sant Agustí Vell (27): A large settlement set on the edge of a ravine with two talayots and dwellings. Late Bronze Age through the Iron Age.

Es Castellàs des Caparrot (Forma Nou) (28): Two stone structures set atop a coastal promontory with a protecting stone wall. Six hypogea are set in cliffs below. Late Bronze Age and Iron Age. There is no buffer zone on the three sides that face the sea.

Taula at Torrellisar Vell (29): A taula enclosure set in a former settlement, little of which remains today. It dates from the Late Bronze Age through the Iron Age.

Settlement at Sa Cudia Cremada Vella (30): A settlement with three talayots, a hypogeum, burial caves and other structures set in the gardens and fields behind a modern farm villa. Late Bronze Age to Iron Age.

Settlement at Sa Torreta Tramuntana (31): A small settlement with a talayot, taula enclosure and other dwellings, dating to the Iron Age with evidence of later use. The buffer zone includes a modern farm complex.

Settlement at Cornia Nou (32): A settlement with two talayots, one very large, several hypogea and other structures. This also dates to the Iron Age and shows evidence of later use.

A wide time range is represented by these 32 components and a great variety of cyclopean architecture, all of which is defined to be Talayotic. These points will be discussed further below.

### History and development

The oldest archaeological evidence on Minorca dates around 6000 BCE, although evidence for a stable permanent habitation of the island does not appear until the late 3<sup>rd</sup> millennium BCE. In the broadest terms, the subsequent history of Minorca echoed that of mainland Europe with the first megalithic sites of the series appearing during the Chalcolithic period (2400 to 1900 BCE), followed by the Bronze Age (1900 to 900 BCE), the Iron Age (900 BCE to 400 BCE), and the Punic era (400 BCE to 123 BCE). The Roman invasion of 123 BCE marks the end of the period considered in this dossier.

The Chalcolithic period on Minorca is characterized by the presence of early agriculturalists who cleared the forests to pasture cattle and sheep. Monuments from this time are funerary in nature, dolmens and hypogea. The characteristic works of the Bronze Age are the naviform dwelling and burial, both called a naveta. Burials initially were in hypogea and caves, while funerary navetas were in use towards the end of the Bronze Age.

The first talayots were built toward the end of the Bronze Age, roughly 1000 BCE. These are towers built of dry stone, some have interior spaces. Talayot construction continued into the Early Iron Age. Most were positioned to have a view over the surrounding countryside, and they often had a view of another talayot in the distance. Some talayots are located in settlements that include dwellings, walls, spaces for animals and water collection features. Fine distinctions in the design and construction of the talayots are noted among the components represented in the series.

By 600 BCE, the start of the Late Iron Age, talayot construction ceased and a new type of structure, a walled sanctuary enclosing a taula, was added to some existing settlements. There is evidence of ritual sacrifice of animals and feasting inside some taula enclosures. All seven existing taula are included in the series. Some enclosures that no longer have a standing taula are also included.

Late Iron Age burials were in large necropoli with the deceased placed in caves.

By the 4<sup>th</sup> century BCE, the construction of new stone forms ceased, although many continued to be used. Minorca became part of the economic sphere related to Carthage, and islanders took part in the Punic Wars. Finally, after the Roman invasion of 123 BCE, a Roman administrative system was imposed on the island, ending the Talayotic era.

Two monographs describing the archaeological monuments of Minorca were published at the beginning and at the end of the 19<sup>th</sup> century. The first formal archaeological investigations of some of the sites in this series began in early 20<sup>th</sup> century. The year 1975 marked the beginning of a great expansion in systematic research and most of the sites mentioned above have been formally excavated and recorded in the past few decades. Recent years have seen a shift in activity from excavation to interventions aimed to consolidate and conserve the sites.

## 3 Justification for inscription, integrity and authenticity

### Comparative analysis

The State Party built the comparative analysis on a list of other properties inscribed on the World Heritage List, Tentative Lists and other sites from around the world that date to the same timeframe (a chronological framework) and that have similar types of constructions (a typological framework). The analysis then notes the properties that are different (i.e. non-comparable) for various reasons. For example, Rapa Nui National Park (Chile) (1995, criteria (i), (iii) and (v)) has different aesthetics, Misrah Ghar il-Kbir (Malta) has a different function, Hopewell Ceremonial Earthworks (United States of America, Tentative List) is made of a different material and Stonehenge, Avebury and Associated Sites (United Kingdom, 1986, criteria (i), (ii) and (iii)) is predominantly more megalithic than cyclopean in nature.

The analysis then considers the typology of sites found on Minorca. Each type of built form found in the series is compared to examples from elsewhere in the world. Comparisons of specific Talayotic sites on Majorca appear with examples of dolmens, dwelling navetas, hypogea, circular dwellings and talayots compared to examples from Minorca. Elsewhere, the Antequera Dolmens Site (Spain, 2016, criteria (i), (iii) and (iv)) is noted for its dolmens. The National Archaeological Park of Tierradentro (Colombia, 1995, criterion (iii)) is noted for its hypogea. The overall similarity of talayots to the nuraghi found at Su Nuraxi di Barumini (Italy, 1997, criteria (i), (iii) and (iv)) is also noted.

In regards to criterion (iii), it is argued that “the series as a whole permits an understanding of different characteristics of the Talayotic Culture of Minorca, in relation to their way of life.” The other comparative

properties that are named only illustrate limited aspects of the cultures that they represent. In regards to criterion (iv), the argument is that a greater diversity of stone constructions is represented in the series at Minorca than at the other inscribed sites.

ICOMOS notes that although many sites are mentioned in the analysis, much of the comparison is superficial, pointing out sites that are categorically different or that only have a few similar attributes. The comparative properties are not considered in their entirety, only as parts. The comparisons offered are not conclusive and few references are made to the criteria for inscription on the World Heritage List.

When the components were selected for inclusion in the Minorcan series, very fine differences in typology were considered to be significant and so merit inclusion in the series, but in the comparative analysis, equally fine differences that are seen in other places were not considered important, for example among the types of talayots found on Majorca.

ICOMOS considers that the arguments for the choice of components included in the series and those that have been stressed in the comparative analysis create an artificial division between the Talayotic culture found on Minorca and Majorca, the only two places in the world where this culture is found. The Necropolis at Son Real on Majorca has no equivalent on Minorca. It features 110 early Iron Age tombs built in the form of miniature structures including talayots, navetas and other forms. This necropolis should be included in any list of important Talayotic sites.

ICOMOS considers that a detailed and focused comparison to other Mediterranean cyclopean or megalithic forms, including Sardinian *nuraghi* and Corsican *torri* should have been developed in the comparative analysis.

ICOMOS also considers that the comparative analysis does not include a robust justification for the selection of component parts included in the nominated property. On the one hand, early sites on Minorca that do not properly belong to the Talayotic culture have been included, and on the other hand important Talayotic sites on Majorca have been excluded. In the additional information received in November 2016, the State Party states that "Majorca cannot add anything to Menorca's series since it is already complete." As noted above, the Majorcan Necropolis at Son Real is a Talayotic site that is completely different from anything found on Minorca.

In the additional information received in February 2017, the State Party presented new arguments concerning the differences between Minorca and Majorca. There was a general divergence of cultural forms and practices over time between the two islands. The State Party argues that even though cultures and features on the islands have the same name, 'Talayotic,' they represent a different historical pattern on each island.

ICOMOS recommends that, before a new comparative analysis is attempted, the Talayotic Culture needs to first be better described as an identifiable entity, including if necessary an internal comparative analysis that considers sites in Majorca. Next, a refocused external comparative analysis should be structured to look first at near Mediterranean islands as far as Malta, then at near Mediterranean coastlines, followed by eastern Mediterranean islands and coasts, the rest of Europe and then other sites around the world. As well as an emphasis on constructions, it should include reference to other types of material culture such as pottery and metallurgy and these should be used to place the Talayotic sites in a continent-wide context.

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

#### **Justification of Outstanding Universal Value**

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

- It is a sample that represents the types of stone constructions made on Minorca from 2500 BCE to 123 BCE.
- It is the most complete expression of a unique way of Mediterranean life spanning the Chalcolithic, the Bronze Age and the Iron Age.

The State Party justifies the serial approach by stating that the series represents the thematic range of types of site to be found on Minorca (e.g. tombs, dwellings, settlements, talayots...), the typological variants of each category (e.g. the different subtypes of naveta or talayot) and the timeframe in which cyclopean structures were constructed on the island (Chalcolithic through Bronze Age to the late Iron Age).

ICOMOS considers that this justification is not appropriate. The arguments that are made in the nomination dossier are not matched to the selection of components chosen for the series. Many references are made to landscape but landscape attributes figure little in the components that have been selected. The range of time represented by the series is much longer than what has traditionally been considered to be the Talayotic period. The definition of Talayotic as used in the nomination dossier is problematic.

ICOMOS notes that there is a density of remarkable sites on the island and many have been very well preserved. Minorca is a small isolated island that has seen relatively little destruction of its archaeological sites by later peoples or by modern development. There is a good number of archaeological sites with cyclopean construction that date to the Iron Age, their landscapes are often well preserved, and relationships between sites and among sites and their surroundings are very apparent.



ICOMOS notes that much stress is put in the nomination dossier on the relationship between the sites and the landscape, describing how the Talayotic culture shaped the whole landscape and how much of this prehistoric landscape can still be perceived today. The nomination dossier further stresses the landscape of Talayotic society by noting that Talayotic settlements were often in visual contact with each other and that many talayot towers form a network in Minorca.

ICOMOS considers the relationships between some of the components as well as the relationship between components and the landscape need to be explored further. An argument for a cultural landscape can be made that would be both appropriate and supportable. However, the components presented in the nomination dossier are often very small, with very limited landscape elements and small buffer zones, minimising the landscape interconnections represented in the property. Furthermore, the components of the present series are isolated, missing the opportunity to examine values of interaction and connection between the sites.

In the additional information received in February 2017, the State Party discussed the place of landscape in the series from the perspectives of distribution of components, geographical orientation, visual relationships and protection measures. The State Party indicated that it is willing to reconsider the buffer zones or even the configuration of some of the components of the series.

### **Integrity and authenticity**

#### **Integrity**

The State Party argues that the nominated series fulfills the conditions of integrity as it is a unitary property that includes characters and attributes that convey the values of the Talayotic Culture of Minorca. It also argues that each component is well preserved and that a number of sites show evidence of use by later cultures, demonstrating continuity.

ICOMOS notes that the nomination dossier does not clearly explain what the values of the Talayotic Culture of Minorca are, making it difficult to state whether the series adequately expresses the Outstanding Universal Value.

ICOMOS recommends that the conditions of integrity be reconsidered after the justification for Outstanding Universal Value has been reformulated.

ICOMOS notes that some of the components of the series suffer from adverse nearby development such as the airport or housing estates, and some suffer from mild neglect, such as graffiti, puddling of water on the floors of hypogea and informal access paths from the nearest public roads.

The visual integrity of many components of the property is fragile as 13 components and their buffer zones are less than 2 ha in size and a further 10 are smaller than 10 ha.

These small buffer zones do not offer any protection against nearby adverse developments that may affect the viewshed of these components.

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ICOMOS considers that the condition of integrity of the whole series has not been met; and that the integrity of some of the individual components that comprise the series has not been demonstrated.

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#### **Authenticity**

ICOMOS notes that the sources of knowledge regarding the components of the series are credible and that the components have been well documented. Many of the dry stone constructions of the nominated property demonstrate an authenticity of form and design, and materials and substance. Since the values of the Talayotic Culture of Minorca are not explained clearly, it is difficult to assess the authenticity of the property as a whole.

Some components have compromised authenticity of location and setting and spirit and feeling, such as Hypogea at Torre del Ram (04) now surrounded by modern houses and the Hypostyle Hall at Es Galliner de Madona (08) where an early 20<sup>th</sup> century house was built directly beside the component. While the components are no longer used for their original purpose, in many cases their functions can be understood. With some unavoidable exceptions, such as the steel support for the stone roof of the Hypogea at Biniai Nou (01), materials and techniques have been respected in the modern restoration and conservation of the components.

ICOMOS notes that unfortunate restoration works have been noted by the State Party such as the 1930s restoration of the taula enclosure at the Settlement at Trépuco (16) where concrete blocks were used and reinforcing pilasters were added.

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ICOMOS considers that the condition of authenticity of the whole series has not been met; and that the authenticity of some individual components that comprise the series has not been demonstrated.

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ICOMOS considers that the conditions of integrity and authenticity of the whole series have not been met; and for some individual components, the conditions of integrity and authenticity have not been met.

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

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

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

This criterion is justified by the State Party on the grounds that the series is an exceptional collection of examples of dry stone architecture, representing a past civilization that lived on the island of Minorca and in its landscape for the last four thousand years, with an

unusual density of sites and excellent state of conservation.

ICOMOS considers that the nomination dossier does not clearly define what is the Talayotic culture or civilization, referring at the same time to a culture and to a period, which would need to be clarified.

ICOMOS notes that the term 'Talayotic' is used in the nomination dossier in two senses – a narrow one, more appropriate in archaeological terms with dates ranging from c. 1000 to 600 BC, corresponding to the Late Bronze and Early Iron Ages; and a wider sense, which is designed to encompass stone constructions spanning what might be considered many different 'cultures' and periods.

ICOMOS finds that the wide time range of the series, two thousand years, is problematic. This long time span makes the definition of Talayotic culture as a single, unified, continuous entity unconvincing. Current archaeological standards, including those of culture-history, do not allow a 'culture' or a cultural entity that spans and persists from the Chalcolithic to Roman times.

In the additional information received in February 2017, the State Party notes several instances of continuity between the different periods that are represented in the series. The State Party acknowledges the trade off that was made to emphasize differences of typology represented by the series rather than an evolutionary connectivity that could be shown by a choice of fewer components. The State Party also acknowledges the difference between the two senses of the word 'Talayotic.'

ICOMOS recommends that the State Party clarify the definition of 'Talayotic' and its reference to a 'culture' or a 'period'. In addition to the focus on monuments and architecture, it is recommended that the State Party bring into consideration a wider range of archaeological evidence, including stone and metal tools, ceramic vessels and other equipment, as well as faunal data and palaeoenvironmental indications. Inferences about Talayotic culture from these other sources of data should contribute, if possible, to the proposed Outstanding Universal Value of the property.

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ICOMOS considers that this criterion has not been justified at this stage.

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

This criterion is justified by the State Party on the grounds that the series on Minorca is a unique example of the range of Talayotic, cyclopean constructions. The specific morphology of most of these structures is considered unique in the prehistoric Mediterranean world, with many variants of each type being

represented. The State Party also argues that they are an exceptional reflection of a prehistoric culture and are a major element in the present day landscape of Minorca.

ICOMOS considers that while the series presents an extensive variety of well-preserved constructions, that is not sufficient justification for inscription. The series has been restricted to Minorca and this creates an artificial typology whereby all structures made with dry stone construction are said to be Talayotic despite the inappropriately long time frame and the omission of Talayotic sites on Majorca. Talayotic culture is not unique to Minorca.

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ICOMOS considers that this criterion has not been demonstrated at this stage.

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ICOMOS considers that the serial approach has been justified, but the selection of components is not appropriate.

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ICOMOS considers that the conditions of integrity and authenticity of the whole series have not been justified; that the conditions of integrity and authenticity for some individual components have not been met; and that the criteria (iii) and (iv) have not been justified at this stage.

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#### 4 Factors affecting the property

The pressures that are identified in the nomination dossier include those from urban development, soil erosion, vegetation growth, rainfall and the effects of visitation.

The latter half of the 20<sup>th</sup> century saw some examples of development that have affected the archaeological sites, such as the building of holiday estates, industrial parks and infrastructure, especially the airport. While a land use plan and zoning controls are now in place, the expansion of holiday estates is a continuing pressure.

Soil erosion and unchecked vegetation growth are two pressures that result from a long term process of agrarian abandonment. Vegetation growth can lead to risk of wildfires in the dry season.

Rainfall is highest in October, and moderately high in the winter months. It can put pressure on sites that are sensitive to flooding such as the Hypogeum at Torre del Ram (04) and the Necropolis at Calescoves (15).

Tourism pressures include heavy visitation at the three most visited components in the month of August. Most sites have no on-site staff for guiding or maintenance, making them vulnerable to vandalism. Most sites have a low carrying capacity for visitation, either because they are small sites or they feature small interior spaces that when accessible can only fit one or two people at a time.

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ICOMOS considers that the main threats to the property are from uncontrolled tourist visitation, wildfires and floods.

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## 5 Protection, conservation and management

### Boundaries of the nominated property and buffer zone

Boundaries for components are for the most part based on existing protective measures that were enacted under the 1991 law concerning Natural Areas and the Urban Development Regime for Special Protection Areas of the Balearic Islands. Applied to archaeological sites, this created a system of protection that is expressed as a series of polygons that surround each monument. The first polygon generally defines the limits of the monument itself and the second polygon extends the first by two metres. The boundaries of the components presented in the nomination dossier are based on one or the other of these first two polygons. The third polygon of the existing protective regime adds a perimeter 10 to 70 metres beyond the first. This third polygon defines the protected area for island planning purposes, and in the nomination dossier it is also used to define the buffer zone for each component.

ICOMOS notes that there are some problems with the maps that were provided with the nomination dossier. Several maps had buffer zones drawn that crossed property boundaries or that overlapped property boundaries. Moreover, the textual descriptions of the boundaries were inconsistent and several descriptions of component boundaries were missing, only their buffer zones were described.

In the additional information received in February 2017, the State Party acknowledges that specific errors were made in the presentation of boundaries for five of the components (component numbers (01), (05), (11), (15), and (28)) and corrections are proposed.

ICOMOS also considers that the boundaries of most components are too small, and as a result they exclude landscape elements from many components.

ICOMOS considers that several buffer zones are too small and only provide protection from immediate encroachment. The buffer zones will not protect the viewsheds of sites where nearby development has been proposed.

ICOMOS recommends that boundaries and buffer zones be reconsidered in order to resolve the inconsistencies presented in the nomination dossier and afford better protection for viewsheds. If a landscape approach is chosen, boundaries should be redrawn to create a series that better reflects the landscape values associated with individual sites and the relationships among groups of nearby sites.

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ICOMOS considers that the boundaries of the nominated property and of its buffer zone are not adequate.

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### Ownership

Twenty-four of the thirty-two components are on private land. The other eight components are on public land. The Island Council of Minorca has agreements with the owners of all private and public components with regard to joint management plans.

### Protection

Each of the components is protected by three levels of legislation – Spanish, Autonomous Government of the Balearic Islands and Island Council of Minorca – as a Property of Cultural Interest (BIC) with a description printed in the Official Bulletin of the Balearic Islands (BOIB). One exception is the Tomb at Son Olivaret Vell (07) which was in the process of being registered as a BIC when the nomination dossier was being prepared. Additional information received from the State Party in November 2016 indicates that the process is continuing and should be completed soon. The tomb currently has temporary protection afforded by the registration process.

Additional legal protection is provided for three components in coastal areas by the Spanish State Coastal Protection Law and six components that are located within a Natural Area of Special Interest (ANEI).

Private landowners also provide a measure of traditional protection for the components on their lands as their residences are often in proximity to the components.

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ICOMOS considers that the legal protection in place for the serial nominated property is adequate.

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### Conservation

In general, the state of conservation of the nominated property is good. However, as the nomination dossier notes, there is variation in the state of conservation of structures within specific components and certainly between components.

A programme of active conservation has been ongoing since 1994. It prioritizes sites where key problems have been identified, for example, the restoration of structures by anastylosis at Cala Morell (23) in the context of an ongoing programme of archaeological excavation.

ICOMOS notes that regular routine checking of the state of conservation is carried out by a private company retained on contract by the Island Council of Minorca. This involves control of vegetation, cleaning, replacement of fallen stones on monuments and drystone walls, maintenance of barriers, road signs, interpretation panels and visitor access. This company employs a qualified architectural conservator who has assisted with active conservation work. The monitoring reports are held by the Department of Culture, Heritage and Education of the Island Council of Minorca. Reports

were inspected during the technical evaluation mission. Active maintenance is also carried out on actively managed privately owned sites such as Talaí de Dalt (02) and the owner informs the Department of Culture about any problems.

ICOMOS observed the following specific conservation issues during the technical evaluation mission. It should be noted that this is not a complete list and that the issues are inter-related and may occur together on some components.

- Need for maintenance, pruning and clearing of vegetation, e.g. Es Castella des Caparrot (Forma Nou) (28).
- Poor past conservation work, e.g. Torre d'en Galmés (10), Naveta at Es Tudons (12), Trepucó (16), Settlement at Sa Torreta Tramuntana (31).
- Monitoring of drystone wall structures for stability – an issue after heavy rainfall, e.g. Talatí de Dalt (02), Settlement at Montefí (19), Talayot at Trebalúger (22), Talayot at Torelló (25), Settlement at Sant Agusti Vell (27).
- Cracks and cavities in stone, e.g. Es Galliner de Madona (08), Torralba d'en Salort (17), Eastern Naveta at Biniac-L'Argentina (21), Settlement at Torretrencada (26).
- Monitoring of the stability of features where anastylosis or other restoration has been carried out, e.g. Settlement at Torre d'en Galmé (10), Coastal Establishment at Cala Morell (23) and Cornia Nou (32).
- The conservation of hypogea, both exterior features and interiors which are open to the public and may be subject to graffiti or vandalism, e.g. Necropolis at Cala Morell (05), Calescoves (15), Settlement at Torrellafunda (20).
- Presence of livestock, e.g. Monument at Sa Comerma de Sa Garita (24).

ICOMOS notes that a more integrated approach to maintaining the state of conservation would be beneficial. Some factors observed during the technical evaluation mission, for example, the presence of graffiti in some of the hypogea and caves, the presence of water on the floor of hypogea, or the varied nature of access paths for visitors among components, did not appear to be seen as important aspects of the state of conservation.

ICOMOS recommends that a conservation policy be formulated to provide an overarching framework that articulates the principles on which conservation across all the components of the nominated property is based. This should cover conservation interventions and ongoing maintenance work.

ICOMOS notes that there is no mention in the nomination dossier of a research strategy for the property. There is no means to evaluate the potential impact of ongoing excavations. While excavation serves to enhance knowledge and interpretation of the attributes of the property, it can also create pressure

both in terms of the resulting need to conserve structures and the physical removal of archaeological deposits, which are an integral part of the value of the components. Archaeological study should be guided by a research strategy that is drawn up as part of the conservation policy.

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ICOMOS considers that the conservation programme is generally effective but there are gaps that can be addressed in specific conservation measures and in their overall coordination.

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## Management

Management structures and processes including traditional management processes

The Historical Heritage Service (HHS) of the Department of Culture, Heritage and Education of the Island Council of Minorca delivers many aspects of the management system for the proposed property in concert with other branches of government and non-governmental organizations. The HHS carries out its work following the Island Heritage Plan for Minorca, which covers all of the historic properties and heritage resources for the entire island. Talayotic Minorca is one program within this larger plan. There is neither a single body responsible for the management of the property nor a management plan that is specific only to the property as a whole and as prescribed by paragraph 114 of the *Operational Guidelines*. An advisory committee exists to provide guidance for the nomination process, but it has no role in the day to day management of the property.

ICOMOS notes that a major gap exists in the management for the property: no one is responsible for coordination among the different components, for ensuring the implementation of the management plan or for representing the whole property to local, national and international stakeholders.

ICOMOS recommends the appointment of a site manager of the nominated property with a team charged with responsibility for the coordination and effective implementation of the management system.

Policy framework: management plans and arrangements, including visitor management and presentation

A copy of the 2013-2015 Island Heritage Management Plan is included in the nomination dossier. A draft of the 2016-2018 plan was shared during the technical evaluation mission; it was to be sent to the Island Council for approval in November 2016. It is not known whether the old plan was still in effect while the new one was being prepared and adopted. All of the components of the nominated property are covered by the Island Heritage Plan. The plan includes aspects such as protection, preservation and restoration, training, research and dissemination of information to the public. The Island Heritage Management Plan also contains

recommendations for additional infrastructure, e.g. parking lots at selected components.

ICOMOS recommends that a specific Management Plan for the property be created. This would be distinct from the Island Historic Heritage Management Plan. The Management Plan should include a detailed Conservation Policy which would be the basis on which all conservation and archaeological research would be undertaken on the property.

Resources allocated for the management of the property include ongoing annual grants from the government of the Balearic Islands and the Balearic Institute of Studies. Funds from other sources underwrite specific activities in the Island Heritage Management Plan. A list of officers who have responsibility for Island Heritage is provided in the dossier, but it is not indicated how many people are employed full time in the management of the nominated property.

An interpretative centre is under development at the Museum of Minorca. A proposal has been made to create a unified system of roadside wayfinding signage and interpretative panels at each component.

Related island-wide plans include the Island Territorial Plan, which provides zoning control for the entire island, and the Tourism Supply-side Regulation Plan, which provides guidance for development of tourist infrastructure and the tourism industry.

ICOMOS notes that the Island Heritage Management Plan does not contain a discussion of overall visitor management measures or the promotion of responsible tourism. The management plan for the property noted above should also contain a section on visitor management that addresses visitor experience, controlling visitation at some components and the promotion of responsible tourism.

#### Involvement of local communities

In cases where components are on private property, landowners provide a measure of ongoing maintenance and monitoring.

ICOMOS recommends that a Landowners Forum or equivalent should be established and meet at least twice a year to provide feedback and information to landowners about the management of the property.

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ICOMOS considers that the management system for the overall serial property is not adequate. There are specific gaps in management that should be filled, particularly the lack of a management structure for the whole property. Furthermore, ICOMOS recommends that measures be taken to provide overall guidance and ensure a uniform level of active conservation at each of the components.

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## 6 Monitoring

A monitoring regime is in place based on the Island Heritage Management Plan that considers the state of conservation of the monuments, the effectiveness of the protection regime, visitor experience and training. Some aspects, such as checking vegetation growth, are carried out every two weeks, while higher level aspects, such as measuring changes affecting the vegetation, happen every six years. The structural condition of some components with interior spaces (Tomb at Ses Roques Llises (03), Hypostyle Hall at Es Galliner de Madona (08), Eastern Naveta at Biniac-L'Argentina (21) and Talayot at Trebalúger) is monitored every six months.

ICOMOS notes that there is no provision to provide a regular report on the monitoring of the property.

ICOMOS recommends that a regular reporting structure be created for the monitoring program in order to gather the results of the different monitoring activities on a periodic basis and assemble them into a common location.

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ICOMOS considers that the monitoring regime for the property is not adequate but can be improved with the addition of a regular reporting schedule.

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## 7 Conclusions

While ICOMOS considers that "Talayotic Minorca" might have the potential to meet the requirements for Outstanding Universal Value, this has not yet been demonstrated.

ICOMOS considers that the comparative analysis does not justify consideration of this serial property for the World Heritage List at this stage, the conditions of integrity and authenticity of the whole series have not been justified, and the criteria for Outstanding Universal Value have not been justified for the series. A serial approach is justified, but the selection of specific sites is not appropriate. Components represent too long a time period, and the definition of Talayotic as used in the nomination dossier is problematic. Talayotic sites on Majorca that could be included have been excluded. Landscape is discussed extensively in the nomination dossier, but components chosen for the series do not represent these landscape values.

ICOMOS recommends that the State Party clarify the definition of 'Talayotic' and its reference to a 'culture' or a 'period' and then reformulate the nomination dossier. Two approaches are possible. One approach would include larger components on Minorca that include multiple Talayotic constructions, considering their landscape elements and the relationships between sites, especially between those with talayots. This could be presented as a cultural landscape. The other approach would consider the best examples of Talayotic sites

whether they are found on Minorca or Majorca. It is conceivable that these approaches could be blended. In either case, the time frame under consideration should be narrowed considerably from what was presented in the nomination dossier.

ICOMOS considers that the main threats to the property are from uncontrolled tourist visitation, wildfires and floods. The boundaries of the different component parts of the nominated property and of their buffer zones are not adequate. The legal protection in place for the nominated property is adequate. The conservation programme is generally effective. There are some gaps that can be addressed in specific conservation measures and in overall co-ordination. The management system for the overall serial property is not adequate because there is no management structure for the whole property as prescribed by the paragraph 114 of the *Operational Guidelines*. Further measures can be taken to provide overall guidance and ensure a uniform level of active conservation at each of the components. While the monitoring regime for the property is not adequate, it can be improved with the addition of a regular reporting schedule.

## 8 Recommendations

### Recommendations with respect to inscription

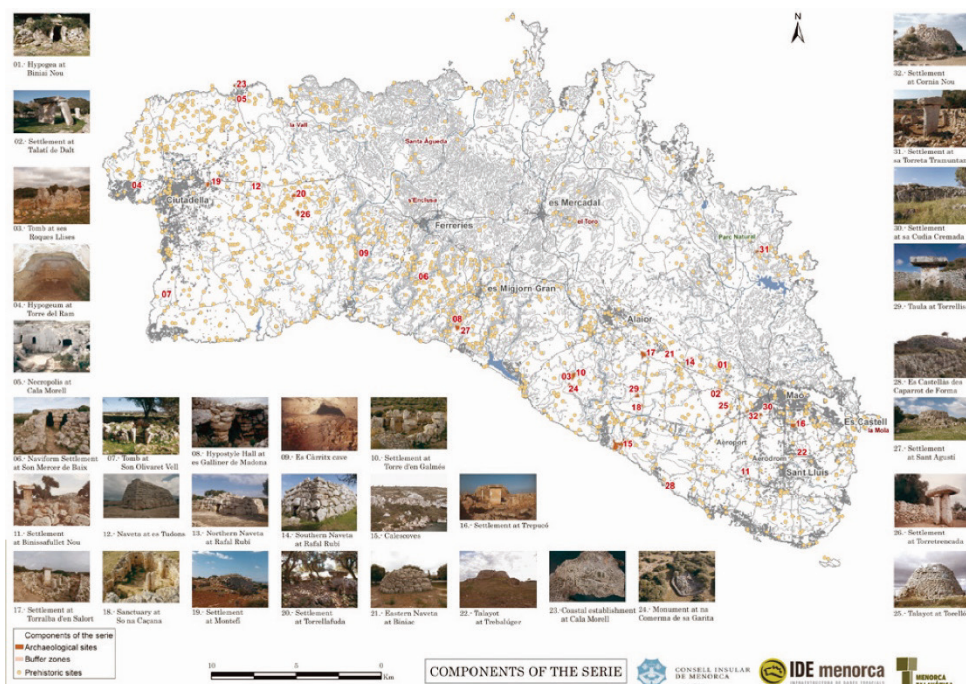
ICOMOS recommends that the examination of the nomination of Talayotic Minorca, Spain, to the World Heritage List be **deferred** in order to allow the State party, with the advice of ICOMOS and the World Heritage Centre, if requested, to:

- a) Clarify the definition of 'Talayotic' and its reference to a 'culture' or a 'period'. In addition to the focus on monuments and architecture, a wider range of archaeological evidence, including stone and metal tools, ceramic vessels and other equipment, as well as faunal data and palaeoenvironmental indications should be brought into consideration,
- b) Reformulate the nomination to consider either larger components with multiple archaeological sites and landscape elements or a series of the most representative Talayotic sites drawn from Minorca and Majorca. In either case, the time frame of the series should be restricted,
- c) Undertake a refocused comparative analysis based on the revised arguments for Outstanding Universal Value. It should be structured to look first if necessary at an internal analysis that considers sites in Majorca, then at near Mediterranean islands as far as Malta, and finally at near Mediterranean coastlines, followed by eastern Mediterranean islands and coasts, the rest of Europe and other sites around the world. As well as an emphasis on architecture, it should include reference to other types of material culture such as pottery and

metallurgy and these should be used to place the Talayotic sites in a continent-wide context,

- d) Create a common management structure which will be responsible for co-ordination and effective implementation of the management system for the property as a whole,
- e) Create a Management Plan for the property, which would be distinct from the Island Historic Heritage Management Plan. The Management Plan should include a detailed Conservation Policy to guide conservation interventions, ongoing maintenance work and archaeological research. A section on visitor management should address visitor experience, controlling visitation at some components and the promotion of responsible tourism,
- f) Establish a Landowners Forum or equivalent that would meet at least twice a year to provide feedback and information to landowners about the management of the property,
- g) Create a regular reporting structure for the monitoring program in order to gather the results of the different monitoring activities on a periodic basis and assemble them into a common location;

Any revised nomination should be visited by a mission to the site.



Map showing the location of the nominated properties



Aerial view of the "Cartailhac Circle"



Naveta at Es Tudons





Taula sanctuary at Trepuçó



Talayot and sanctuary at Cornia Nou



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# Aphrodisias (Turkey) No 1519

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## Official name as proposed by the State Party

Aphrodisias

## Location

District of Karacasu, Province of Aydin  
Turkey

## Brief description

Aphrodisias is located in southwestern Turkey in the upper valley of the Morsynus River. The temple to Aphrodite dates to the 3<sup>rd</sup> century BCE; and the city was founded in the 2<sup>nd</sup> century BCE as part of an urban expansion of Hellenistic culture in southwestern Anatolia. The city's wealth came from the marble quarries and the art produced by its sculptors; and the city is elaborately decorated. A grid of city streets is set around several large civic structures including temples, a theatre, an agora, a council house and two bath complexes. A sculptor's workshop is found in the centre of the city complete with carving tools, unfinished sculptures and practice pieces. A large stadium is at the north end of the city, near a monumental gateway (the tetrapylon). A city wall surrounds the whole, made of reused marble blocks. Marble quarries are situated on a hill north of the city, two to three kilometres to the northeast. These were the source of the stone used to build the city and to carve sculptures in the workshops. The temple was made into a church around 500 CE; but the city's population declined, and it was abandoned in the 14<sup>th</sup> century.

## Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is a serial nomination of 2 *sites*.

## 1 Basic data

### Included in the Tentative List

6 February 2009

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

27 January 2016

## Background

This is a new nomination.

## Consultations

ICOMOS has consulted its International Scientific Committee on Archaeological Heritage Management and several independent experts.

## Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 25 to 30 September 2016.

## Additional information received by ICOMOS

On 30 September 2016, a letter requesting additional information was sent by ICOMOS to the State Party to request further information regarding the boundaries of the quarries, statements of integrity, authenticity and the state of conservation of the quarries and a new map of the entire property. A reply and new map of the quarry component was received from the State Party, dated 4 November 2016.

An Interim Report was provided to the State Party in January 2017 summarising the issues identified by the ICOMOS World Heritage Panel. A reply from the State Party was received on 23 February 2017 supplying a description and history of the quarries, information about quarrying techniques and ownership, the use of marble at Aphrodisias and more comparative information about quarrying in the wider Roman context.

All additional information received from the State Party has been incorporated into the relevant sections below.

## Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description of the Serial Nomination

The serial property consists of two components. The first component encompasses the archaeological site of Aphrodisias following the city walls that encircle the city; and the second component includes the marble quarries located northeast of the city.

Set in the basin of the upper Morsynus River, Aphrodisias is built in a wide valley with mountains to the northeast, south and west. It is 520 metres above sea level. Monumental buildings in the city centre are surrounded by a regular grid of city streets that extend out to the wall surrounding the city. All the constructions are made from white marble from the nearby quarries.

Some of the central monuments are not aligned to the city grid; one example is the Temple of Aphrodite, one of the earliest of the city's major constructions. Ionic columns created an 8.5 by 31 metre enclosure in the first version of the temple; and it was elaborated over time with added rows of outer columns. Cult images of the Aphrodite of Aphrodisias are characterised by an original cult statue embodying Anatolian and Hellenistic characteristics. Examples of this statue have been found here and in other centres across the Roman Empire. At the end of the

5<sup>th</sup> century CE the temple was rebuilt into an early Christian church with a nave and apse. Its roof burned c. 1200 CE and today 14 columns, parts of the outer walls and apse remain standing. East of the temple is the Tetracylon, a gateway to the sanctuary for Aphrodite. Built in the 2<sup>nd</sup> century CE, it has marble scenes of Aphrodite and Eroses hunting. It was rebuilt c. 400 CE and as 85% of the original blocks remained, was subjected to anastylosis in the 1980s.

The theatre is at the south end of the city's core, built into an artificial mound that contains evidence for earlier settlement at Aphrodisias dating to 600 BCE. The cavea (seats for the audience) was built into the hill, facing an orchestra and stage building. At its largest, it seated 7000 people. A wall on the north side of the theatre is covered with inscriptions that describe the patronage and history of construction of the city's buildings and the privileges the city was granted under different emperors.

In between the theatre and temple is the other early monument, the North Agora. This civic and commercial space was surrounded by a large colonnaded square. On its north side is the Bouleuterion. Originally roofed, its auditorium could hold 1700 people and it served as a council house. Located to one side is a sculptor's workshop, occupying two rooms and an open yard. Possibly originally used during the construction of the Bouleuterion, it stayed in production afterwards specialising in the production of portraits and statues. Finds include carving tools, unfinished sculptures and practice pieces. The South Agora is another large colonnaded square, with a large ornamental pool in the middle.

Other monuments in the city centre are public baths dedicated to the emperor Hadrian. Many fine sculptures were found here, both portraits of people and figures from mythology. Then there is the Sebasteion, a temple complex dedicated to the first emperors, the Julio-Claudians. Its two parallel porticos are 80 m long and 14 m wide. The upper storeys feature life sized relief sculptures depicting Roman emperors, peoples of the Roman empire and heroes and gods of myth. Its reconstruction was the most recent major anastylosis project at Aphrodisias.

The stadium is at the north end of the city. It has two curved ends and the sides are slightly bowed out. As a result, all of the 30,000 seats had a clear view of the entire field. Inscriptions mark reserved seats for individuals or groups. The city walls enclose the north, east and west sides of the stadium and the rest of the city grid. A new museum building is located in the east sector of the city where the old village of Geyre stood, along with some former houses that are used by administration and the excavation team.

The marble quarries are 2 to 3 kilometres northeast of the city, spread along the side of one hill and other smaller ridges. They were from a half hour to 45 minute walk from the city, and there is no trace of a settlement near the

quarries. High quality white marble and rarer grey and white bicolour pieces were cut from the quarry faces, lowered onto sleds and where slope was less steep, transferred to wagons to be brought into the city. Seventy-eight quarries have been identified and in total, 90,000 m<sup>3</sup> of marble has been removed from them for use in building the city and for making sculpture in its workshops.

The additional information provided in February 2017 provides more information on the quarries, describing the methods used to extract a block of marble from a quarry face. Picks and wedges were the primary tools and natural joints in the rock were used to advantage when selecting pieces for removal. Wedges were driven into holes picked into the rock to create cracks and split blocks off the quarry face. Narrow channels were picked into the rock as another way to promote cracks along desired lines. In some places, both channeling and wedge-holes were used in combination. Some channels were wide enough for a worker to stand in.

ICOMOS notes contradictions between the nomination dossier and the additional information received in February 2017. The dossier describes the quarries and sculpting as the city's source of wealth, "the prosperity of the city has been attributed to the exploitation and exportation of marble" (page 25). The additional information says that "the marble industry did little to generate wealth for the city as a whole. On the contrary, the marble industry was itself sustained by other sources of wealth" such as the fertile soils surrounding the city that allowed a workforce to be easily fed.

The additional information states that no unfinished blocks are found within the quarry, but ICOMOS notes that one portion of the quarry contains several examples of partially finished blocks.

### **History and development**

Archaeological traces at Aphrodisias date as far back as the mid-5<sup>th</sup> millennium BCE, but the remains of the first temple to Aphrodite dates to the 3<sup>rd</sup> century BCE. The city of Aphrodisias itself was founded in the 2<sup>nd</sup> century BCE as part of an urban expansion of Hellenistic culture in southwestern Anatolia at that time.

During the first Mithraditic War 90-85 BCE, Aphrodisias supported Rome and it was awarded certain privileges. While it politically fell under the influence of Rome, the city retained a heavy Hellenistic influence. At its peak, the city had 12,000 inhabitants. A new temple to Aphrodite was begun in 30 BCE. Inscriptions state that its benefactor was Gaius Julius Zoilos, the unofficial representative of Octavian at that time. Zoilos also sponsored construction of the stage building at the theatre. These two structures were the earliest of the city's monuments along with the North Agora and the earliest version of the Bouleuterion. The Sebasteion was built soon after early in the first century CE.

The abundant marble, skills and wealth led to buildings in the city being elaborately decorated. Many inscriptions

are still visible - 2000 have been recorded to date. The early years of the empire saw the greatest use of marble in the city's buildings as measured by volume. During the high empire, the 2<sup>nd</sup> and 3<sup>rd</sup> centuries CE, the temple to Aphrodite was expanded and the Tetracylon was erected as the entrance to its sanctuary. Bath complexes were built, as were additions to the South Agora and the Bouleuterion took its finished form. The city continued to prosper, becoming the capital of the province of Caria and then in 325 CE, the seat of a bishop. Major earthquakes struck between 350 and 360 CE and after this the city wall was erected. Inscriptions indicate that stones from tombs and other structures were repurposed to make the walls. The temple was remade into a church around 500 CE. Just after 600 CE, another major earthquake damaged much of the city and its population declined greatly. It remained under Byzantine rule until 1078 CE and was finally abandoned in the 14<sup>th</sup> century.

The village of Geyre was founded in the same location in the 15<sup>th</sup> or 16<sup>th</sup> century and existed in the eastern part of the ancient city until another earthquake in 1957 led to the decision to move the village to its present location one kilometre northwest of Aphrodisias.

Excavations were begun during the early decades of the 20<sup>th</sup> century by French and then Italian teams, but the current programme of excavations did not begin until old Geyre was abandoned. The Institute of Fine Arts at New York University led the research from 1961 to 1990. The Institute continues to sponsor the annual excavation with involvement from Oxford University. Beginning in the 1980s, large scale restoration projects commenced, rebuilding first the Tetracylon and then the Sebasteion. The quarries were recorded in the 1990s. Today, the focus is not on the excavation of large areas, but conservation, documentation and publication of results from these efforts.

### **3 Justification for inscription, integrity and authenticity**

#### **Comparative analysis**

The comparative analysis considers four themes and has a focus on Anatolia; few properties outside of Turkey have been considered by the State Party.

The first theme is Roman Cities in Asia Minor: Aphrodisias is compared with Ephesus, Turkey (2015, criteria (iii), (iv), and (vi)), and Pergamon, Turkey (2014, criteria (i), (ii), (iii), (iv), (vi)), both of which were much larger cities. Miletus, Turkey and Perge, Turkey (included in Turkey's Tentative List) are of similar size, but Miletus has poorer preservation, and Perge does not have the record of inscriptions that Aphrodisias has.

The second theme is Urban Pattern and Development and Aphrodisias is compared with nearby Roman cities in the Maeander valley; Corinth in Greece; Pergamon (2014, criteria (i), (ii), (iii), (iv), (vi)) and Ephesus (2015, criteria (iii), (iv), and (vi)); Miletus, Amorium and Antioch in

Turkey; and properties on Turkey's Tentative List: Sagalassos and Sardes; and Jerash (on Jordan's Tentative List).

ICOMOS considers that the comparative analysis based on these two themes is inadequate because the focus is limited to the Classical cities of Asia Minor and Greece. ICOMOS considers that Aphrodisias is not unique in Asia Minor since other cities already inscribed on the World Heritage List (such as Ephesus) possess a similar degree of preservation, not only in public buildings, but also of private ones, which are almost unknown in Aphrodisias. A specific comparison with other settlements and their public buildings and with other quarries is required.

The third theme is Marble Quarrying and Sculpture Production. Comparisons are made with quarries at Carrara (Tentative List, Italy), Dokimeion (Turkey), Prokonnesos (Turkey), Thasos (Greece) and the schools of sculpture at Athens (Greece), Rhodes (Greece), Pergamon, Side (Turkey) and Perge (Turkey).

The additional information received in February 2017 provides more comparative context about the extent and nature of the quarries at Aphrodisias in relation to other quarries in the Roman world. Some 800 quarry locations have been recorded across the Roman empire. Among the largest quarries are those noted above, covering an area greater than 5 km<sup>2</sup> or from which over 120,000 m<sup>3</sup> of stone was extracted. In comparison, Aphrodisias is mid-sized, covering between 1 and 2 km<sup>2</sup>, and there are roughly 100 other Roman quarries of a similar size. Except for the nearby Görtepe quarry, a source of specialty stone overseen by the empire, no other quarries in the region nearest to Aphrodisias are described.

ICOMOS considers that this analysis is incomplete as it is limited to the Roman world, but also it does not consider a comparison of the attributes of the quarries and how they were used (techniques of extraction, transport and working, studies of end uses, aspects of patronage, consideration of exports). The additional information does not help set Aphrodisias apart from other Roman quarries. For Sculpture Production, the sculptor's workshop at Aphrodisias is considered to be a very rare example of its type. A significant gap is the lack of detail concerning the influence of the Sculptural School of Aphrodisias on other sculptors in the Roman world. The attributes that distinguish the Aphrodisian school of sculpture are not described clearly.

The last theme is Cultic values and the cult of Aphrodite of Aphrodisias is compared with that of Artemis of Ephesus.

ICOMOS notes that comparisons with other Anatolian cults are missing, as are examples of other cult centres dedicated to Aphrodite or Venus.

Overall, ICOMOS considers the entire comparison to be weak. In part, this is because the case for Outstanding

Universal Value for Aphrodisias is not clearly articulated by the State Party.

ICOMOS recommends that the comparative analysis be deepened by examining the influence that Aphrodisias had on sculptural design across the Roman world and its role in the dissemination of Greek culture through the export of products from its workshops as well as the works made by Aphrodisias' sculptors in different parts of the Roman Empire. The analysis needs to be more focused on the specific characteristics of Aphrodisias and its sculptural tradition, as well as being expanded to compare it more effectively beyond Turkish examples. The analysis should illustrate the differences between the sculptural school of Aphrodisias and other schools or traditions.

ICOMOS notes that there are at present a dozen other Graeco-Roman properties on the Tentative List of Turkey. A reworked nomination of Aphrodisias, or a nomination of any of these other properties, will require a detailed comparison to understand how their values differ and do not compete against each other. If requested, ICOMOS is available to assist the State Party in the reconfiguration of its Tentative List.

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

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#### **Justification of Outstanding Universal Value**

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

- As a cult centre for the goddess Aphrodite, its fame spread through the Greek and Roman worlds;
- The sculptors, their art and the marble quarries persisted at a high level for many centuries;
- It represents the political and urban planning systems of the Greek and Roman periods through its design, public spaces and monuments.

The relationship of the marble quarries to the sculpture industry in Aphrodisias is the justification for the serial nomination, although this argument is not well developed.

ICOMOS considers that this justification for the serial nomination could be appropriate because the marble quarries are inherently linked to the sculptural tradition represented at the property. However, this needs to be further developed and supported by a focused comparative analysis.

#### **Integrity and authenticity**

##### **Integrity**

The State Party argues that Aphrodisias has integrity because its monuments have been well studied, published and conserved. The state of preservation is remarkable and a large proportion of the city remains unexcavated. The State Party considers that the city

boundary and the quarry area contain all the attributes needed to express the proposed Outstanding Universal Value. The additional information received in November 2016 states that the quarries also contain the attributes needed to express Outstanding Universal Value.

ICOMOS considers that the integrity of the property is not well articulated, due in part to the lack of clarity in the justification for Outstanding Universal Value.

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ICOMOS considers that the condition for integrity of the whole series has not been met at this stage.

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##### **Authenticity**

The State Party states that the city component retains its authenticity in terms of form and design, materials and substance, and location and setting. The inscriptions support the property's authenticity as do the numerous publications describing the property. Conservation work has been undertaken according to international standards and the museum at the property houses statuary and sculpture from the nearby structures. According to the State Party, Aphrodisias also has an authentic wider setting, lacking in modern industry and mass tourism.

ICOMOS considers that the city component of the property has authenticity of materials and substance and location and setting. Authenticity of the form and design of the monuments have been respected during anastylosis. ICOMOS notes that the 2000 surviving inscriptions also contribute strongly to the authenticity of the nominated property.

Additional information received from the State Party in November 2016 states that the marble quarries retain a high level of authenticity, but does not specifically describe how this condition is met. More information about the quarries was presented in the additional information received in February 2017, but there is not enough detail to judge whether the condition of authenticity has been met.

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ICOMOS considers that the condition for authenticity of the whole series has not been met at this stage.

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ICOMOS considers that the conditions of integrity and authenticity of the whole series have not been met at this stage.

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

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

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

This criterion is justified by the State Party on the grounds that it was an important site for marble working, both for sculptures and monuments, due to the proximity of marble quarries to the settlement. The city became renowned for

its artists and stonework, famous throughout the Mediterranean world. Expressive portraits and dynamic forms are two distinctive aspects of its output. Examples of this high quality work have been found in the sculptor's workshop in Aphrodisias and signed works by Aphrodisian sculptors have been found in Rome and other cities of the Empire.

ICOMOS notes that Aphrodisias was an important regional centre during the Roman period, and one whose artistic traditions were influential across parts of the Mediterranean.

ICOMOS considers that the justification of this criterion does not adequately address how the property exhibits an important interchange of human values. More detailed discussion is needed to demonstrate the range and extent of the influence that Aphrodisias had on cultural and sculptural design across the region. The contribution of the sculptors of Aphrodisias to the dissemination of the forms and iconography of Greek culture through the export of finished sculptures by local workshops as well as the works made by the sculptors of Aphrodisias in different areas of the Roman Empire should be examined. Additional information received in February 2017 describes the connection between the two sculptors whose inscribed names were found at Aphrodisias and also among a series of 4<sup>th</sup> century works found in Rome. The justification of Outstanding Universal Value should demonstrate the extent of this impact along these lines if this criterion is to be demonstrated.

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ICOMOS considers that this criterion has not been justified at this stage.

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

This criterion is justified by the State Party on the grounds that Aphrodisias has no equal with regard to: its state of preservation and epigraphic documentation; for its cult of Aphrodite; for the special privileges it enjoyed under the Roman Empire; as a provincial capital for a period of time; and for the quarries and sculptors' workshop which allow the entire process of quarrying through to the production of finished works to be understood.

ICOMOS notes that the State Party has established that Aphrodisias was an important regional centre during the Greek and Roman periods. However, it does not show how the property bears a unique or exceptional testimony to this specific cultural tradition or civilisation. With the ancient Greek and Roman civilisations already well-represented on the World Heritage List, it is not adequately explained why Aphrodisias is an important addition to those properties already listed: this was not adequately addressed in the Comparative Analysis as described above.

For these reasons, ICOMOS considers that the Outstanding Universal Value for Aphrodisias under

criterion (iii) cannot be justified through its characterisation as a unique regional expression of Greco-Roman culture, its role as a cult centre, its imperial privileges or its status as a provincial capital.

However, ICOMOS considers the nominated property could demonstrate this criterion based on greater emphasis of the cultural tradition of quarrying and sculpture at Aphrodisias. The quarries, the workshop, the great wall of the theatre with its inscriptions that describe the building of the city are elements that could speak to this criterion.

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ICOMOS considers that this criterion has not been justified at this stage.

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

This criterion is justified by the State Party on the grounds that the attributes of the nominated property include many extraordinary and well preserved structures.

ICOMOS notes that Aphrodisias does contain important examples of building types that represent architectural developments during the Roman period.

ICOMOS considers that the buildings found at Aphrodisias are standard Roman urban types. While some specific built forms are unique (the Stadium, the Sebasteion) they did not inspire other buildings elsewhere. The justification of Outstanding Universal Value does not provide adequate evidence for these buildings as illustrating significant stages in human history, nor does the Comparative Analysis demonstrate how these types of buildings are best represented by the examples at Aphrodisias. While the State Party discusses the uniqueness and exceptional qualities of the buildings, there is little reference to the place these buildings hold in the development of architecture. For these reasons, ICOMOS does not consider that this property has the potential to demonstrate Outstanding Universal Value according to this criterion.

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ICOMOS considers that this criterion has not been justified.

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*Criterion (vi): be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds of the importance of the city for the worship of Aphrodite and as a centre of intellectual and philosophical activity.

The State Party states that the philosopher Alexander of Aphrodisias lived here in the 2<sup>nd</sup> century and a neoplatonic school of philosophy flourished at Aphrodisias under a charismatic Alexandrian philosopher named Asklepiodotos who was based in the city in the

5<sup>th</sup> century AD. ICOMOS notes that these philosophers are not tied into the case for the nomination of this property; and therefore considers that the relevance of this aspect, and the potential attributes associated with their lives and work are not established.

ICOMOS considers that other sanctuaries for Aphrodite were equally or more important than Aphrodisias, such as Cyprus or Cythera. The cult of Aphrodite of Aphrodisias has not been demonstrated to be as sufficiently significant in a comparative sense to justify this criterion.

ICOMOS further notes that because the proposed justification for this criterion refers to only one of the components of the serial property, it cannot be demonstrated for the nominated property as a whole since the Operational Guidelines require that each component should contribute in a substantial way to the Outstanding Universal Value of the entire property. For these reasons, ICOMOS does not consider that the nominated property has a potential to demonstrate Outstanding Universal Value according to criterion (vi).

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ICOMOS considers that this criterion has not been justified.

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ICOMOS considers that the serial approach is justified.

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In conclusion, ICOMOS does not consider that the criteria have been justified for the serial property at this stage, and the conditions of authenticity and integrity have not been met, due to the need for a reformulation of the justification for Outstanding Universal Value.

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

The State Party describes development pressures from ongoing agriculture near the property, illegal excavations and the Karacasu Irrigation Dam. The management plan notes pressures from the construction of a highway near the dam site.

ICOMOS notes that agriculture within the city walls ceased in 2003. Only seasonal crops are allowed to be grown in the 1<sup>st</sup> and 3<sup>rd</sup> degree conservation zones that comprise the buffer zone around the property. No new plantings of trees are allowed as tree roots can damage subsurface archaeology; although ICOMOS has observed that some new olive trees have been planted in the buffer zone near the city walls. Damage to the metal fence surrounding the city from agricultural equipment has also been observed. ICOMOS therefore considers that agriculture in the buffer zone poses an ongoing threat to the property.

ICOMOS has noted evidence of a recent looting pit in the quarry component; and that many architectural elements and pieces of tombs are exposed in the fields surrounding the city component. If left in the open, the architectural pieces could be subject to vandalism or looting. ICOMOS considers that the risk of looting and vandalism in the

proposed buffer zone pose an ongoing threat to the property.

ICOMOS considers that the Karacasu Dam does not pose an ongoing threat to the property as its base is 200 metres lower in elevation and dam is only 60 metres high. ICOMOS notes that there is evidence of spoil and rubble having been taken from the quarry component during the construction of the dam.

ICOMOS considers that the construction of a highway near the dam does not pose a threat to the property, although care will be needed to avoid impacts during construction. Another section of the same highway (a two-lane paved road) has already been built and passes through the buffer zone north of the city.

The State Party has identified pressures from flooding and fires; and risk from earthquakes. ICOMOS notes that flooding in the rainy season (winter) causes water to pool in low lying areas within the city walls. Algae grow seasonally in several pools, including the orchestra of the Bouleuterion. Salt and mineral crusts have been deposited on some flooded surfaces. ICOMOS considers that flooding is a recurring source of potential damage to the property.

ICOMOS notes that fires can occur in the dry season (summer) when vegetation has dried. There is an annual program of weed control but ICOMOS has observed that weed and tree growth often outpace removal efforts. This poses not only a risk for fire but also for tree roots to cause damage to building stones.

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ICOMOS considers that the main threats to the property are nearby agricultural development, illegal excavation and vandalism, fire, flood, and earthquakes.

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#### **5 Protection, conservation and management**

##### **Boundaries of the nominated property and buffer zone**

The State Party has provided additional information in November 2016 containing updated figures describing the extent of the nominated property. It comprises the archaeological site of Aphrodisias as one component of 70.33 ha; and the ancient marble quarries as a second component of 81.92 ha. Both components are surrounded by a single buffer zone of 1040.57 ha. A revised map depicting the boundary of the quarry component was provided by the State Party in November 2016. The revised boundary mapping incorporates all the rock faces that were quarried in antiquity within the property boundary; however, a written description of the boundary and its rationale has not been provided.

ICOMOS considers that the buffer zone, despite being clearly depicted in the revised map, has not been sufficiently described, including the reasoning for its size



and location in relation to the nominated components of the property.

ICOMOS considers that there is insufficient description of where the boundary of the city component lies in relation to the city walls. A new metal fence has been erected surrounding the city. It is not clear whether the fence marks the boundary of the city component or falls within the buffer zone. The nomination dossier contains one mention of the tombs that are found outside the city walls. ICOMOS does not consider that the State Party has sufficiently justified why these have not been proposed as attributes that contribute to the proposed Outstanding Universal Value of the property.

ICOMOS considers that the proposed boundaries are possibly adequate to ensure the complete representation of the features and processes which convey the property's significance, although they should be better documented and reviewed in light of the future reformulation of the justification for Outstanding Universal Value. A rationale for the size and location of the quarry component is needed; and the relationship of the boundary of the city component to the fence that surrounds that part of the property should be clarified. The rationale for the buffer zone should be explained and the attributes of the buffer zone should be documented.

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ICOMOS considers that while the boundaries of the serial nominated property and of its buffer zone are potentially adequate, more documentation is required.

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#### **Ownership**

The nomination dossier states that the city component is owned by the State. The management plan describes an action to acquire 36 remaining parcels of private land in the 1<sup>st</sup> degree conservation zone totaling 1.26 ha, some of which are in the excavation area. The additional information provided by the State Party notes that the quarry component is fully owned by the State.

#### **Protection**

The property is registered on the National Inventory and is protected by national law, the Act on the Conservation of Cultural and Natural Property No. 2863. Under this law, the city component was registered a 1<sup>st</sup> degree archaeological conservation zone on 15 February 1978. The archaeological site is protected, and no settlement is permitted; only scientific excavations can be conducted.

The additional information letter received in November 2016 describes the new measures for legal protection of the quarries. The quarry component was registered as a 1<sup>st</sup> degree archaeological conservation zone by the decision of Aydin Regional Conservation Council dated 27<sup>th</sup> October 2016, numbered 5580. The map of the boundaries of the property should be updated to reflect this.

The buffer zone is divided between 1<sup>st</sup> degree and 3<sup>rd</sup> degree conservation areas, although some portions of the revised buffer zone surrounding the quarries have

neither protection and is therefore incomplete. ICOMOS recommends that the unprotected portions of the buffer zone be declared a 3<sup>rd</sup> degree conservation zone. In a 3<sup>rd</sup> degree conservation zone, no building higher than two storeys is allowed.

ICOMOS notes that the legal protection of the property is satisfactory; although there is a pressing need for a better enforcement processes.

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ICOMOS considers that the legal protection in place for the two components that comprise the nominated property is adequate, but the protection for the buffer zone is incomplete.

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#### **Conservation**

ICOMOS notes that the city component is in a good state of conservation, except that only the northern part of the city wall has been conserved. The western and southern parts of the city wall require conservation. The major monuments inside the walled city are in a good state and their structural stability is acceptable. The Stadium, the Bouleuterion and the Theatre have their material preserved in their original form and place with little damage. Some old restoration treatments are now deteriorating and need to be redone, for example the columns in the theatre.

In the walled city, intensive conservation and restoration works have been conducted in recent years in the Temple of Aphrodite, the Bouleuterion, the Theatre, the North Agora, and the Baths of Hadrian; and anastylosis has occurred at the Sebasteion, the Sebasteion Propylea and the Tetrapylon. Restoration has been done with mortar and other reversible materials. Some load bearing elements such as columns are reinforced with steel rebar prior to the addition of mortar. Anastylosis has taken place through test fitting the pieces together before mortaring them in place, a process that can take years of study. On the Sebasteion, marble casts are mounted in place of the originals. The originals are on display in the site museum.

Active conservation takes place according to a long term multi-year plan. Funding for conservation is monument and action specific, and cannot be reallocated to other needs. An ongoing conservation measure is a repointing program of all structures, walls and facades. Some 30-40% of all structures have been repointed since the 1990s.

ICOMOS notes that the quarry component is in a relatively good state of conservation given its size. There is no active conservation occurring in this component, and no conservation interventions have taken place. There are some past and current uses and intrusions that need attention. For example, some unauthorized construction of residences has been observed, and there is a trash dump along the road through the quarries. A modern quarry has been in use until a few years ago and an abandoned crane and other extraction equipment remain in place. A water distribution building has been erected in the buffer zone near a quarry face. There are recently built

residential buildings in the southern part of the quarry component. ICOMOS recommends that a full 3D inventory of the quarry faces be carried out to provide a baseline record of their condition.

ICOMOS notes that the nomination dossier does not contain specific information concerning the documentation of the 31 sculpted figures of Aphrodite found outside Aphrodisias and the 9 figures found within the property. The same is true of the 2,000 inscriptions that have been found within the city, exposed pieces of architectural stone and sarcophagi lying in fields outside the city walls, and the tombs located outside the city walls. Because their state of conservation is vulnerable and they are exposed to looting, further documentation of all elements (and information about how the documentation is stored and accessed) is needed. The additional information received in February 2017 includes a list of the Aphrodite sculptures found elsewhere and descriptions of some of the major inscribed texts found within the city.

The tombs require active stabilization and protection works; and open tombs in the buffer zone should be backfilled to deter vandals and prevent further deterioration.

ICOMOS considers that given the extensive and apparently on-going programme of anastylosis, more details should be provided on precisely what has been reconstructed, how it has been documented, and what ancillary associated interventions have been undertaken. It is also necessary to understand what further work is planned.

ICOMOS notes that risk prevention and disaster response plans are in place. To strengthen the state of conservation of the property, ICOMOS recommends that the drainage rehabilitation plan within the walled city be implemented as a priority; and that weed monitoring and removal efforts are increased.

ICOMOS notes that fire suppression systems are limited within the city walls, and recommends that mobile water tanks be placed on the property in the summer as an interim measure until a permanent fire suppression system is installed. A fire response plan and training in fire suppression should be provided.

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ICOMOS considers that the conservation programme at the city is adequate, while the quarries have not seen any real conservation activity to date. Remedial measures should be undertaken at the quarries and gaps in the city's conservation should be addressed.

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## **Management**

Management structures and processes, including traditional management processes

The Ministry of Culture and Tourism is the government authority with general responsibility for the property. Branches of the ministry with specific responsibilities are

the Aphrodisias Museum Directorate, which runs the museum at the property; the Aydin Regional Council for Conservation of Cultural Heritage which approves development, excavation and conservation activities in the 1<sup>st</sup> and 3<sup>rd</sup> degree conservation zones; and the Izmir Directorate of Surveying and Monuments which monitors projects that are undertaken on the property.

A Conservation Plan for the city component was prepared and approved by the Regional Conservation Council in 2002. The Aphrodisias Management Plan, which was prepared under the guidance of the Ministry of Culture and Tourism, was approved on 17 September 2013. The copy of the management plan included in the nomination dossier did not include the quarry component. Additional information received in February 2017 indicates that the boundary of the management plan will be increased to include all of the quarry component and the portion of the buffer zone surrounding it.

The nomination dossier lists 23 people working at the museum on site (including a full-time site manager), and several dozen on the excavation and conservation team that is present for several months each year. There are gendarmes who are stationed at the parking lot entrance to the property; and 13 security guards who work in the museum and within the city walls. Twelve agricultural field patrollers work in the fields surrounding the city component. Their main task is to stop trespassing and prevent the illegal use of water and land, but they also serve to detect and deter illegal excavations and vandalism. ICOMOS recommends that the agricultural guards expand the scope of their regular patrol to include the quarry component and the whole of the buffer zone. It is not clear from the nomination dossier how the site manager relates to the museum director nor whether the museum staff have responsibilities outside the museum building.

Policy framework: management plans and arrangements, including visitor management and presentation

The annual budget contributed by the national government is 1,603,000 Turkish lira, or about 524,000 US dollars. The New York University excavation project contributes US \$650,000 annually. Local resources and other private contributions are also described.

The management plan includes an action to investigate and rehabilitate the ancient drainage system between the Tetracylon and the South Agora to alleviate the threats of flooding and annual water ponding on the property. These efforts should be encouraged and prioritised.

ICOMOS considers that the Management Plan addresses the issues and threats on the property. It also addresses possible solutions through action programs with a reasonable timing of one to five years.

However, ICOMOS also notes that several of the tasks outlined in the management plan are behind schedule, e.g. tasks related to the flood response plan and preparedness, earthquake preparedness and fire suppression measures.

ICOMOS notes that the Management Plan for the property included an earlier reconsideration of the criteria and proposed a statement of Outstanding Universal Value, referring only to criteria (ii) and (iv). ICOMOS considers that when the justification for Outstanding Universal Value is further revised, it will be essential for the Management Plan to be aligned to the proposed values in order to be effective in its implementation. The State Party has advised that the boundaries indicated in the management plan have been revised to reflect the recent changes provided during the evaluation of the nomination. The management plan should be updated to reflect the revised boundaries and buffer zone.

#### Involvement of the local communities

The nomination dossier notes that there is a limited economic benefit for the village of Geyre from the property. A project in the management plan aims to create more tourist activities in Geyre to widen its economic base. It does not describe the degree of support among the local population for the inscription of the property.

ICOMOS notes that the connections between the inhabitants of the village of Geyre and the property are decreasing, but that the Geyre Foundation proposes annually to bring 200 residents of the village to tour the property. ICOMOS considers that more effort should be placed into integrating the local community with the property.

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ICOMOS considers that the management system for the overall serial property is adequate but will need to be revised following the further work on the justification for Outstanding Universal Value. It will also need to be updated to reflect the revised boundaries and protections for the property; and should include active conservation measures for the quarries.

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## 6 Monitoring

The State Party has implemented 11 indicators for the city component, but no indicators are provided for the quarry component. Most indicators concern the physical state of the resources in the open air and relate to the deterioration of the stone work, e.g. stability of walls, identification of cracks in marble elements, salt crystallisation, insect and rodent damage, vegetation growth and the depth of the water table below ground. Many indicators are noted daily by site guards (vegetation, presence of water, insect and rodent damage) as well as yearly. The other indicators are monitored annually.

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ICOMOS considers that the monitoring system is adequate for the city component of the property, but that indicators are needed for the quarry component.

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## 7 Conclusions

While there is some potential for Aphrodisias to demonstrate Outstanding Universal Value due to the proximity of the quarries to the city, and the potential importance and influence of the associated artistic traditions, this is not yet certain and needs significant review and reformulation. ICOMOS has taken into account that Graeco-Roman cities are already relatively well represented in the World Heritage List, both within Turkey and within the larger historical/cultural context. ICOMOS has therefore looked for greater precision in the justification for Outstanding Universal Value, and arguments that could clearly distinguish the historical and architectural characteristics of Aphrodisias in an exceptional way.

At this stage and despite the additional information submitted in February 2017, the comparative analysis does not justify consideration of this property for the World Heritage List; and needs to be more focused on the specific characteristics of Aphrodisias, as well as being expanded to compare it more effectively beyond Turkish examples. The conditions of integrity and authenticity of the serial property have not been fully met; and none of the criteria for inclusion of properties in the World Heritage List have been demonstrated at this stage. Of the criteria proposed by the State Party, only criteria (ii) and (iii) seem to have potential. Further development according to criterion (iii) will need to examine the contribution of the quarries to the development of the school of sculpture based in the city as a cultural tradition; and further development according to criterion (ii) will need to explore the influence that Aphrodisias had on sculptural design across the Roman world and its role in the dissemination of the forms and iconography of Greek culture through the export of products by local workshops as well as the works made by Aphrodisias' sculptors in different parts of the Roman Empire.

ICOMOS considers that the serial approach is appropriate given the historical and functional relationships between the two components; and that a revised justification around fewer of the proposed criteria could be developed, possibly through a focus on quarrying and its contributions to the development and influence of the school of sculpture at Aphrodisias.

The main threats to the property are nearby agriculture, illegal excavation and vandalism, fire, flood, and earthquakes. The boundaries of the nominated property and of its buffer zone are possibly adequate, but more documentation of their rationale is required.

In general, there is insufficient attention given to the quarries component, in terms of the legal protection, documentation, conservation, management and

monitoring. ICOMOS considers this to be a substantial lapse in the overall consideration of this serial property.

The legal protection in place for the two components is adequate; however, protection of the buffer zone is incomplete. The conservation program for the city component is good; however, there is no conservation program for the quarries. Remedial measures should be undertaken at the quarries.

The management system for the serial property is adequate; although the management plan will need to be updated to reflect the revised boundaries proposed for the property. The monitoring system is adequate for the city component of the property; but is yet to be formulated for the quarry component.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the examination of the nomination of Aphrodisias, Turkey, to the World Heritage List be **deferred** in order to allow the State Party, with the advice of ICOMOS and the World Heritage Centre, if requested, to:

- a) Reformulate the nomination according to a revised justification for Outstanding Universal Value that can more precisely demonstrate the significance of Aphrodisias, focusing on the quarries and the development and influence of the school of sculpture at Aphrodisias,
- b) Deepen the comparative analysis to examine the influence that Aphrodisias had on sculptural design across the Roman world and its role in the dissemination of Greek culture through the export of products from its workshops as well as the works made by Aphrodisias' sculptors in different parts of the Roman Empire. The analysis needs to be more focused on the specific characteristics of Aphrodisias, as well as being expanded to compare it more effectively beyond Turkish examples. The analysis should illustrate the differences between the sculptural school of Aphrodisias and other schools or traditions of sculpture,
- c) Clarify the relationship of the boundary of the city component to the fence that surrounds that part of the property,
- d) Provide a rationale and written description for the boundary of the quarry component,
- e) Provide legal protection for the entirety of the revised buffer zone by declaring all unprotected portions a 3<sup>rd</sup> degree conservation zone;

Any revised nomination should be visited by a mission to the site.

### Additional recommendations

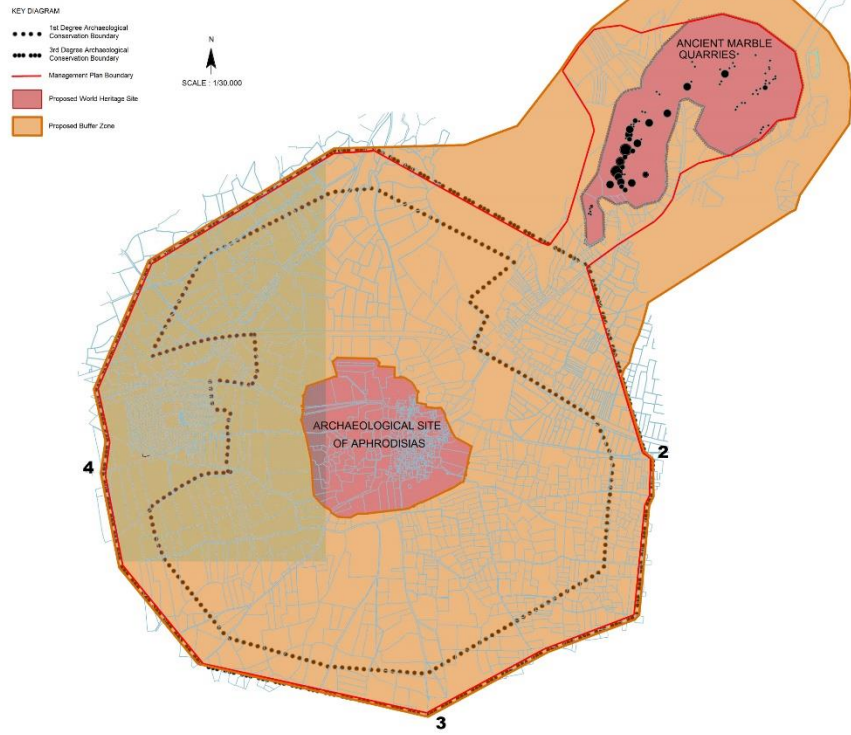
ICOMOS recommends that the State Party give consideration to the following:

- a) Updating the Management Plan to reflect the revised boundaries and protections for the property;
- b) Updating the map of the property boundaries to show the quarry component as a 1<sup>st</sup> degree conservation zone,
- c) Increasing efforts to integrate the local community into the management system for the property,
- d) Formulating and implementing monitoring indicators for the quarry component,
- e) Implementing the drainage rehabilitation plan within the walled city at a quicker pace,
- f) Developing a fire response plan and providing training in fire suppression, as well as mobile water tanks in the summer as an interim measure until a permanent fire suppression system is installed,
- g) Expanding the patrols by the agricultural guards to include the quarry component and the whole of the buffer zone,
- h) Providing a programme of past and planned anastylosis actions, including what has been reconstructed, and how it has been documented, and what ancillary associated interventions have been undertaken,
- i) Inventorying the sculptures and inscriptions that have been found within the city,
- j) Conducting a full 3D inventory of the quarry faces in order to provide a baseline record of their condition,
- k) Implementing remedial conservation measures within the quarry component,
- l) Inventorying the architectural elements and sarcophagi pieces found on the ground surface in the buffer zone,
- m) Documenting and stabilizing of the tombs located outside the city walls. Open tombs in the buffer zone should be backfilled to deter vandals and prevent further deterioration;

If requested and in the framework of the upstream processes, ICOMOS is available to assist the State Party in the reconfiguration of its Tentative List.

# APHRODISIAS

**Map.1.e Proposed World Heritage and Buffer Zone Boundary**

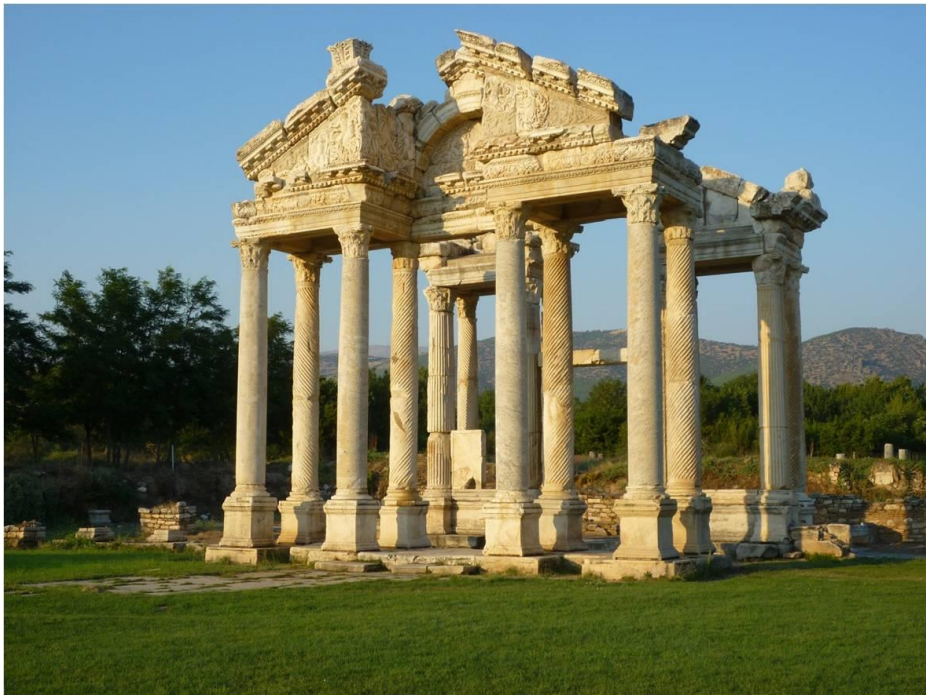


Points	Y	X
1	389299,657	4178985,637
2	389162,774	4175975,000
3	387797,140	4174409,743
4	385810,873	4175888,372

Map showing the revised boundaries of the nominated properties



Aerial view of Central Aphrodisias



Tetrapylon



Sculptor's workshop



Bust of Aphrodite





## **IV Cultural properties**

- A Africa**  
New nominations
  
- B Arab States**  
Nominations deferred by previous sessions of the World Heritage Committee
  
- C Asia – Pacific**  
New nominations
  
- D Europe – North America**  
New nominations  
Extensions  
Nomination deferred or referred back by previous sessions of the World Heritage Committee
  
- E Latin America - Caribbean**  
New nominations



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## Strasbourg, Grande-Île and Neustadt (France) No 495bis

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### Official name as proposed by the State Party

Strasbourg, Grande-Île and *Neustadt*

### Location

Bas-Rhin department

Grand Est region

France

### Brief description

The property initially inscribed as “Strasbourg – Grande île” was limited to the old centre of the city, known as the “Grande île”. The proposed extension comprises the most significant elements of the new town (*Neustadt*) that are related to the old town visually and in landscape terms. In the *Neustadt*, the administrative centre, built around the *Kaiserplatz* (today the Place de la République), is linked to the University Palace via the imperial axis. The creation of the *Neustadt*, designed and built under the German administration (1870-1918) while respecting the urban heritage, reinforced the bi-cultural character of the city, and culminated in a picturesque urban landscape characterised by the strong presence of water.

### Category of property

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

## 1 Basic data

### Included in the Tentative List

2 February 2015

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

22 January 2016

### Background

This is an extension of the property “Strasbourg – Grande île”, inscribed on the World Heritage List on the basis of criteria (i), (ii) and (iv) at the 12<sup>th</sup> session of the World Heritage Committee (CONF 001 XIV.A, 1988).

The property initially inscribed, with an area of 94 hectares, had no buffer zone at the time of inscription, which led the World Heritage Committee at its 31<sup>st</sup> session (Christchurch, 2007) to adopt the following decision (31 COM 8B.71):

The World Heritage Committee,

1. Having examined Documents WHC-07/31.COM/8B.Add and WHC-07/31.COM/INF.8B1.Add,

2. Recommends that the State Party reconsider the buffer zone for Strasbourg - Grande Île, France, in order to delineate an area which gives more effective protection to the inscribed property and its setting.

The buffer zone was to be proposed when the request was made for the revision and extension of the property, following the periodic report of 2014 in which the State Party mentions that it will propose a revision and an extension of the inscription of the current property to include part of the urban extension constructed under the German Empire (the *Neustadt*) together with a buffer zone. This revision was intended to make the delineation of the boundaries of the property coherent with the content of the retrospective Statement of Outstanding Universal Value.

### Consultations

ICOMOS consulted several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 12 to 14 September 2016.

### Additional information received by ICOMOS

On 16 January 2017, an intermediate report was sent by ICOMOS to the State Party concerning the declaration of Outstanding Universal Value, development plans, the property boundaries and intervention plans.

The State Party replied on 24 February 2017, sending additional documentation which has been taken into account in this evaluation.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

The property initially inscribed in 1988, “Strasbourg – Grande île”, covered an area of 94 hectares and had no buffer zone. It was described as a geographically coherent “insular ellipse” formed by two branches of the River Ill, whose highest point was the site of the Roman outpost founded in 12 BC which marked the origin of Strasbourg. Throughout the Middle Ages, and until the 13<sup>th</sup> century, the borough had the same boundaries as the site.

The property is presented as a model of continuous and organic development, with several elements of concerted urbanism (Place Kléber, on the site of the unfinished 18<sup>th</sup> century Place d’Armes; the Grande Percée in the early 20<sup>th</sup> century), perfectly illustrating the history of Strasbourg, with a particular focus on the period from the Middle Ages to the 18<sup>th</sup> century. It is characterised by chronological diversity, of which the cathedral’s architecture provides a condensed illustration, and by typological diversity, ranging from urban

houses to public edifices and the cathedral. It includes most of the prestigious religious buildings and large *hôtels particuliers* and palaces of the 18<sup>th</sup> century, including some which bear witness to the economic development of Strasbourg from the 14<sup>th</sup> to the 16<sup>th</sup> century, and the amenities of a modern city (banks, insurance companies, tourism businesses, and shops).

The strategic role of Strasbourg was reinforced by its position on the River Ill, a tributary of the Rhine, which until the 17<sup>th</sup> century was an obligatory place of passage on the shortest route between France and Central Europe. The city of Strasbourg thus benefited from its location as a terrestrial and river route centre at the heart of the Rhine basin in both the military and commercial fields, and the creation of waterways linked to the River Ill and the Rhine had a powerful impact on the urban form and landscape of Strasbourg.

Furthermore, ever since the Middle Ages, the quarter of La Petite France and the Ponts-Couverts site have attracted economic activities linked to water. The landscape of this quarter is dominated by the defensive nature of the four 13<sup>th</sup> century towers that mark the entrance to the city.

While the Medieval urban fabric of the Grande-Île is still preserved today, it is important to note that amidst this historic group of buildings, the streets corresponding to La Grande Percée, with its wave-like trace, bear the imprint of the modernisation that was introduced in the early 20<sup>th</sup> century. This intervention to modernise the historic centre of the city formed part of the project to extend and modernise the city that was implemented by the German administration at the time of the annexation of Alsace (1871-1918). This *Neustadt*, or new town, constitutes the proposed extension.

The proposed extension, revised in the light of the ICOMOS Interim Report, increases the total area of the property to 183 hectares, with a buffer zone of 709 hectares for the whole of the property and a distant perspective zone of 624 hectares. It comprises the most significant elements of the new town, that is the university campus, the administrative quarter and the residential quarter surrounding it, which have a visual and landscape relationship with the old town. The new town, or *Neustadt*, was designed and built to blend in with the landscape of the historic centre.

The plan to extend the city of Strasbourg at that time was drawn up to ensure a functional distribution of space: the seats of power and the administration are grouped together around the *Kaiserplatz* (today known as the Place Impériale) and *Kaiser-Wilhelm-Strasse* (Avenue de la Liberté). The educational institutions are grouped together on the imperial campus, which is surrounded by residential districts. Furthermore, complementarity with the old town is ensured as most of the shops and leisure amenities are located in the historic centre.

This functional complementarity between the old town and the *Neustadt* is paralleled at landscape level by visual perspectives (view of the cathedral from the Avenue de la

Paix) and by careful attention to detail in the transitional spaces between the two component parts. Furthermore, the proposed extension enables the inclusion of the banks on either side of the two branches of the River Ill, which should preserve the ancient urban landscape and the river scenography of the Grande-Île, the property initially inscribed on the World Heritage List.

Furthermore, the proposed extension includes 41 buildings that are protected by historic monument status. This figure, added to the 129 protected buildings in the initially listed property, makes a total of 170. The proposed buffer zone contains 48 protected buildings.

### History and development

The initially inscribed property was limited to the Grande-Île, the historic centre of Strasbourg. Its origin can be traced back to the Roman military outpost built on the site in 12 BC. Until the end of the 9<sup>th</sup> century Strasbourg remained divided between the influence of the Romance and the Germanic worlds. The Bishop of Strasbourg initiated the construction of the cathedral in 1015. Built in the spirit of East European Romanesque, close to the intersection of the ancient *cardo* and *decumanus*, the first cathedral was replaced in 1190 when construction began on a Gothic edifice inspired by the cathedrals of Chartres and Reims.

Strasbourg was granted the status of a free city in 1262, and new fortifications were built in 1202-1220, and then in 1228-1344 with square towers, of which five survive today (four at the Ponts-Couverts, and one at the Place de l'Hôpital). The city's development culminated in the completion of the cathedral and its spire in 1439. At the end of the 15<sup>th</sup> century, Strasbourg played an essential role in the development of the printing technique invented by Gutenberg. It was also in Strasbourg that Martin Luther's works were published in 1521. It became one of the major centres for the spread of Protestantism, and its cathedral became Protestant.

In 1621, Strasbourg was granted permission by Emperor Ferdinand II to found four faculties (Art, Medicine, Law and Theology). Its role as a university centre was again confirmed, and extended, during the city's second Germanic period (1871-1918).

The city was annexed by the Kingdom of France in 1681, and the balance of power shifted in favour of the nobles and the king's representative (the *préteur royal*). Militarily however, Strasbourg continued to occupy a strategically important position, and was thus transformed into a bastion on the Rhine, with the construction of the citadel designed by Sébastien Le Prestre de Vauban, and built under the supervision of Jacques Tarade in 1686-1700. A plan to enhance the city's appearance was designed in 1765 by the architect Jacques-François Blondel, a member of the Académie royale d'architecture. The presence of French architecture was reinforced by the construction of the Palais Rohan (1732-1741) between the Place de la cathédrale and the River Ill, and of a large number of *hôtels particuliers*, the Hôtel de ville, the Hôtel du Gouverneur-Militaire, and the Hôtel du Grand Doyenné. The Place du

marché aux chevaux, today the Place Broglie, was transformed into a tree-lined avenue in 1740. The great organ of the cathedral was rebuilt in 1716 by the German Andreas Silbermann.

Various steps were taken in the 19<sup>th</sup> century to modernise the city. Work began in 1840 to fill the leather tanners' ditch, which ran from the tanners' district to the Place Broglie. Canals were created between the Rhône and the Rhine in 1832, and then between the Rhine and the Marne, to improve the port situation.

In 1871 the Prussian authorities made Strasbourg the capital of the *Reichsland* of Elsass-Lothringen, and this led to its transformation into an imperial capital. The old fortifications were demolished and new forts were built around the city. A major extension of the city was also planned: a new town (*Neustadt*) was built.

The *Neustadt*, whose most significant components are included in the proposed extension, was designed and built from the 1870s onwards. The construction project was intended to showcase German knowhow and excellence in the capital of the *Reichsland* of Elsass-Lothringen. It also led to the development of the concept of the large city (*Großstadt*), in which engineering, architecture and urbanism are combined to create the urban landscape. At the same time, the districts of the old town that had been destroyed by the war were reconstructed, and the public edifices were rebuilt in identical form, with the exception of the Temple Neuf church.

The construction of the *Neustadt*, for which huge resources were made available, tripled the area of the city, and doubled its housing capacity. The administrative centre, consisting of a group of buildings centring on the *Kaiserplatz* (today the Place de la République) – the Emperor's palace, the ministries, the imperial library and the regional parliament – was linked along the imperial axis to the University Palace. All these buildings and urban areas are included in the proposed extension. The university, designed in the mid-1870s, is one of the major poles of attraction of the new town.

Visual continuity in the architecture of the initial property and the proposed extension was made possible by the genesis, after 1870, of a local regionalist movement represented by a group of architects and the emergence of an "Alsatian Renaissance". This was reflected in the protection of the monuments and the defence of regional building and craft traditions. Buildings inspired by this movement, such as the present-day Lycée des Pontonniers and the Municipal Baths, enabled a transition between the old and new towns by creating fine transitional connections while reinforcing the characteristic traits of the urban landscape of Strasbourg.

After World War I, Strasbourg again became part of France. The town not only retained the same Building Regulations (adopted in 1892), and continued the same social housing policy, but also continued the sanitation and urban renewal work in the historic centre already under way, and

committed itself to preserving the buildings, elements and characteristics of German urbanism that had been introduced in Strasbourg.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The extension proposal dossier provides a comparative analysis of the property as a whole (the nominated property and the proposed extension), based on comparisons with some fifteen cities which have or have not undergone an urban extension. The State Party refers to cities that are comparable with Strasbourg, either because of their historic urban landscape, or the presence of foreign influences or simply the urban extensions. In the case of cities with urban extensions, the comparative analysis is based on a comparison of objectives and the period in which the extensions were built.

The point of departure of the analysis is that the urban extension of Strasbourg (the *Neustadt*) has sought both to preserve the spirit of the Medieval town, and to ensure that the two urban components (old and new) relate to each other in visual terms.

The State Party's comparison with Edinburgh shows that the two cities have undergone a sizeable extension based on coherent plans, that the extensions have similar names (*Neustadt* and New Town), and that in both cases great care was taken with regard to the extension's impact on the urban landscape and its relationship with the old town. However, the extension of Edinburgh took place one century earlier, and in a context of cultural continuity, whereas Strasbourg's extension was carried out under the influence of another culture.

In the comparison with the city of Vienna, the State Party demonstrates that the Austrian city underwent an extension in the early 18<sup>th</sup> century of a first new town, situated outside the existing walls, and that the new extension in the second half of the 19<sup>th</sup> century consisted in fact of altering the fortifications themselves. The urbanistic issues are therefore different from the case of Strasbourg, where the extension was intended to create a new town that embodied continuity with the old town.

The urban extension of Cologne, whose size was sufficiently large, unfortunately suffered large-scale destruction during World War II, making visibility of the city's history today very problematic. Furthermore, the extension of Cologne was not intended to create a centre of government, which was the case in Strasbourg.

The comparison with the city of Lille, whose history and military functions are similar to those of Strasbourg, shows that its extension in 1858 probably served as a blueprint for that of Strasbourg. A number of principles of urban composition are common to both: the use of a monumental square to connect the old town with the extension; the construction of dual carriageways on the

site of the former fortifications; and the use of radiating streets to connect the new districts with the new gates of the old town. The extension in Lille differs however from Strasbourg because of its relative lack of monuments, and above all the cultural continuity of its urbanistic references.

Rabat, the Moroccan city where an urban extension was built in the early 20<sup>th</sup> century under the French protectorate, is also compared to the proposed extension. Like Strasbourg, Rabat's extension was created under the influence of a foreign culture, and it has other similarities with the French city: creation of an administrative centre, juxtaposition with the old town, production of refined architecture, and the intention of developing modern urbanism and using the site and certain ancient monuments to give the new town a picturesque dimension. The differences between the two are the slightly later date of the Rabat extension (the 1920s) and the better functional integration in Strasbourg between the old and modern towns.

ICOMOS notes that the comparison with the Polish city of Poznan, which underwent a German urban extension in the same period, deserves its place in the analysis. The comparison shows that Poznan has undergone two extensions on the initiative of the Germanic authorities, compared with only one for Strasbourg. The first was conducted by the Prussian authorities and began towards the end of the 17<sup>th</sup> century, affecting the western outskirts of the town and resulting in the demolition of the old fortifications. The city still has some streets dating from this period. The second extension was contemporary with that of Strasbourg, and took place after 1871. As in Strasbourg, the second extension in Poznan consisted of the construction of an imperial palace, an opera, and the seat of the royal academy, which today is a university. To set against these similarities, the Poznan extension took place in two phases, with almost a century between them. Furthermore, the two Poznan extensions combined cannot provide an overview of modern European urbanism theories in the way that Strasbourg does.

ICOMOS considers that the comparative analysis shows that the city of Strasbourg and the proposed extension are distinctive as a result of the spirit of multicultural synthesis they embody in terms of urbanism and architecture. The proposed extension, which corresponds to one of the first urbanistic projects of the German empire, is an extremely ambitious illustration of a remarkable political and cultural determination to assert a new kind of modernity. However, although the product of a synthesis of Austro-German urbanistic theories of the time, the proposed extension remains directly influenced by French urbanism thought and practices, and particularly those of Baron Haussmann.

This singular situation has given rise to a synthesis of ancient and modern in which the old and new towns generate a complementarity that was deliberately intended from the design stage onwards.

Lastly, ICOMOS notes that Strasbourg's state of conservation is better than those of the German cities, which underwent major extensions at the same period, and that Strasbourg has almost totally preserved this heritage.

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ICOMOS considers that the comparative analysis justifies consideration of the proposed extension for the World Heritage List.

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#### **Justification of Outstanding Universal Value**

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

- The proposed extension, the *Neustadt*, is harmoniously linked to the old town by axes of communication and fine perspectives. It has enabled the creation of a specific urban landscape in Strasbourg, in that Germanic and French influences have enabled the composition of an urban space that combines constructions representing significant periods in European history. They form a built ensemble that expresses unity and continuity, independently of changes in the nation to which it belongs.
- Taking its inspiration from the stylistic principles of the Renaissance, and of German historicism, the proposed extension, the *Neustadt*, is consistent with the architectural spirit of the property, which bears the imprint of major historic periods and of historicist and eclectic architecture of regionalist inspiration.
- By achieving a successful synthesis of Austro-German and French urban theories, the proposed extension has enabled the city of Strasbourg to make a significant contribution to the history of European urbanism.

ICOMOS considers that this justification is appropriate, and that it reinforces the justification for the original inscription nomination. The justification of the initially inscribed property hardly mentioned certain elements forming part of the property, in particular the Grande Percée (with the integration of department stores and new amenities such as cinemas, hotels, etc.), and the construction of bridges and buildings that provide transitional connections between the old town and the *Neustadt*. In fact, the need for a full understanding of the structure of the initially inscribed property, which consists of indissociable old and modern parts, made this proposed extension necessary.

ICOMOS also notes that "Strasbourg – Grande île " was inscribed on the World Heritage List in 1988, on the basis of criteria (i), (ii) and (iv) and that criterion (i) was specifically linked to the cathedral as a unique achievement, even though the property was identified as an urban centre. ICOMOS considers that criterion (i) does not apply to the whole of the inscribed property or to its

extension, as only the cathedral can be considered to "represent a masterpiece of human creative genius".

### **Integrity and authenticity**

#### **Integrity**

All the attributes of the various chronological stages that contribute to the Outstanding Universal Value of the property and its extension are present in the boundaries of the nominated property. The Cathedral of Strasbourg is well preserved, and continues to dominate the urban landscape, as it did when it was first built.

In the Grande-Île the Medieval urban fabric is preserved in the land parcels. This characteristic has not been changed by the destruction resulting from the wars between 1870 and 1944, as most of the rebuilding has been in keeping with the urban fabric and with the volumes of the local area. Furthermore, the proposed extension was constructed concomitantly with the modernisation and sanitation of the old town in a way that was jointly beneficial.

The new town, or *Neustadt* was conceived in a spirit of functional complementarity and landscape continuity with the historic centre. Accordingly, its construction enabled the preservation of the historic built structure, and led to a harmonious relationship between the two components, modern and ancient. Built as it was in one piece, it is outstanding for its urbanistic qualities and powerfully linked to the old town by spatial relationships and street layout. Its state of conservation is satisfactory, as the 80 hectare area covered by the extension proposal has remained unchanged, and 95% of its original buildings have been preserved. The rehabilitation of the Campus currently under way seems to be respectful of the property's heritage values.

The proposed extension includes the most significant elements of the new town that have a visual and landscape relationship with the historic centre, but it does not include the eastern parts of the *Neustadt* that have lost their authenticity because of large-scale intervention during the 20<sup>th</sup> century.

Over the last few decades the initially inscribed property has seen its population diminish, but municipal policies – preservation, restoration, facade renovation, and urban renewal – seem to be proving effective in containing the decline in population and revitalising the city centre.

ICOMOS notes however that there have been inappropriate interventions, in earlier periods and even recently, adversely affecting the integrity of the property and its extension. This is the case of the Printemps department store. To rectify this situation, ICOMOS recommended in its Interim Report the introduction of appropriate measures, including the creation of a committee of experts tasked with preventing this kind of problem from arising inside the property boundaries. In its reply in February 2017, the State Party informed ICOMOS

that a Committee of Experts of the type recommended was currently being set up, under the auspices of the Mayor of Strasbourg.

Furthermore, ICOMOS in the same report had asked the State Party to consider including all buildings with a facade that is visible from the riverbanks of the Grande-Île. In its reply, the State Party also informed ICOMOS of the inclusion of the said buildings in the boundaries of the proposed extension.

#### **Authenticity**

The State Party considers that the built heritage inside the property boundaries has been preserved in terms of its physical state, as contemporary interventions have respected, and ensured continuity with, the existing built structure. The characteristic traits of the urban landscape have been preserved.

All the edifices that embody the Outstanding Universal Value of the Grande-Île and the proposed extension, whether monuments or privately-owned buildings, are in a good state of conservation.

ICOMOS considers that the general appearance of the Grande-Île, its plan and its form have remained unchanged for centuries. The land parcels have also remained largely unchanged and the public spaces still have the same general form. Over the last few years they have been upgraded as a result of a policy aimed at providing greater access for pedestrians, which has led to alterations for rehabilitation purposes. Districts favoured by tourists, such as the Place Benjamin Zix alongside the River Ill, form part of this town of Medieval appearance with buildings that have remained intact.

Today the public and private buildings are on the whole in a good condition in terms of authenticity and conservation. The large public buildings damaged by bombardment in 1870 and World War II (e.g. Palais Rohan, the former customs house, the Aubette and the Opera) have been rebuilt, maintaining the original volumes and the general appearance of the facades.

In the Grande-Île, facade restoration programmes from the 1960s to the 1980s involving thorough cleaning led to some losses of surface finish, although care was taken with regard to details and particularly to the choice of colours.

The major public edifices of the *Neustadt* are also in a good state of authenticity. With the exception of some large-scale interventions, as with the Bibliothèque nationale et universitaire (BNU), the original substance has been respected, and alterations made in recent decades such as repainting are now gradually being eliminated. In certain specific cases, evidence of past destruction is left visible, as in the Salle des fêtes of the Palais du Rhin.

ICOMOS notes however that there is a problem maintaining the conditions of authenticity in the case of privately-owned buildings. Behind the facades, some modernisation and renovation interventions have failed to comply with authorisations, which has an impact on the property's authenticity. The regulations applying to the protected sector, and above all policing and control capabilities, do not seem to be adequate to ensure that restoration work is compliant in terms of respecting original materials and how they are applied. Furthermore, the use of unsuitable colours may have a disconcerting effect. ICOMOS therefore strongly recommends that the training of the municipal construction police service should be reinforced.

ICOMOS also notes that the preservation of its heritage has not prevented the City of Strasbourg from holding on to its customary values. While the city as a whole is a dynamic regional capital and a pole of attraction for tertiary activities and commerce, the old town and the *Neustadt* have remained districts that are used by local people in their everyday lives. They are quite densely inhabited and used by shops and by the service sector.

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

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

The extension is nominated for inscription on the basis of criteria (i), (ii) et (iv). The same criteria are thus proposed for the extension and for the existing world heritage property.

*Criterion (i): represent a masterpiece of human creative genius;*

This criterion is justified by the State Party on the grounds that the Gothic cathedral of Strasbourg, with its 142-metre spire, is a unique edifice, whose structure remained a technically unequalled achievement until the 19<sup>th</sup> century. The plan for the urban extension of the *Neustadt* of 1880 constitutes an innovative monumental composition combining an orthogonal layout, axes of monumental compositions, and perspectives of the cathedral and other urban landmarks, which together result in successful visual integration and functional complementarity with the old town. The curved trace of the Grande-Percée, in the Grande-Île, completes this process of integration while introducing elements of modernisation and hygiene in the historic centre.

ICOMOS considers that criterion (i) cannot be applied to the whole of the inscribed property and its extension, which, with the exception of the cathedral, cannot be considered to "represent a masterpiece of human creative genius". The proposed extension includes a set of interesting edifices, all forming an integral part of a monumental urban composition, but neither the edifices, nor the urban composition of the *Neustadt*, which are comparable with other examples of the same period, can be considered as a "masterpiece of human creative genius". Furthermore, a statement covering only the

cathedral for criterion (i) would not be in line with current World Heritage practice for Statements of Outstanding Universal Value.

In its reply in February 2017, the State Party emphasised that the technical and decorative design of the tower and the spire were historically unprecedented, and that in 1988 also the ICOMOS recommendation concerning the application of criterion (i) did not correspond to the coherent practice of world heritage concepts, as at the time this criterion did not apply to the whole property, but to only one element of the property. On the basis of this point, and the quality of the urban composition of Strasbourg, whose structure has constantly preserved the centrality of the cathedral spire through perspectives, and which can as a result be considered a masterpiece, the State Party submitted a new justification for criterion (i) in the documentation provided in February 2017 as follows:

Since the completion of the northern spire of the cathedral in 1439, the urban skyline of Strasbourg has been inseparable from this unique architectural achievement. The change in urban traces, and the development of perspectives and new districts have, right up to the 20<sup>th</sup> century, composed a unique ensemble, indissociable from the federating signal it constitutes, which is exemplary of human creative genius applied to the edification of cities.

ICOMOS considers that, despite the new justification proposed for criterion (i) by the State Party, it remains difficult to contemplate granting the status of "masterpiece of human creative genius" to the urban composition of the City of Strasbourg, and considers that criterion (i) has not been demonstrated.

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ICOMOS considers that it has not been demonstrated that the proposed extension reinforces this criterion.

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

This criterion is justified by the State Party on the grounds that the Grande-Île and the *Neustadt* provide a setting which expresses a hybrid architectural and urbanistic culture generated by the influence of the French and Germanic cultures.

The *Neustadt* takes the inspiration for its urban composition from the Haussmannian model, while adopting a Germanic architectural vocabulary for its edifices. Moreover, by drawing on the urban theories developed by German architects and by the Austrian Camillo Sitte, it achieves a distinctive synthesis of European identity.

ICOMOS approves the justification, as the proposed extension does indeed reflect an important interchange of human values between French and German cultures in town-planning and the creation of a distinctive urban



landscape during the period of German administration of the city of Strasbourg.

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ICOMOS considers that it has been shown that the proposed extension reinforces this criterion.

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

This criterion is justified by the State Party on the grounds that the city of Strasbourg, which unites the Grande-Île with the *Neustadt*, is a typical example of a city of Rhineland Europe, and has the particular characteristic of having become a European capital.

The Medieval urban fabric, which itself forms part of the original ancient layout of the town, is still preserved, and provides a setting for a unique ensemble of domestic Rhineland architecture built between the 15<sup>th</sup> and 17<sup>th</sup> centuries. The characteristic features of the architecture in the historic centre are stepped gables, half-timbering, oriel windows on facades, and Dutch gables.

Typified by the Palais Rohan, designed by the king's architect Robert de Cotte, the *hôtels particuliers* bear witness to the introduction of French classical architecture in the 18<sup>th</sup> century. This style, expressive of royal power, is particularly present in and around the Place Broglie and the Rue Brûlée. Finally, in the Rue du Dôme, the *hôtels particuliers* make references to local building traditions, which combine the Régence style with the Germanic tradition.

The urban extension of 1871-1918 led to the genesis of a modern and functional city which combines technical progress with the hygienist thinking that came to the fore from the end of the 19<sup>th</sup> century. The *Neustadt* includes institutional buildings and religious monuments in and around the modern-day Place de la République (*Kaiserplatz*) and the imperial axis leading up to the university, with the new residential districts that are still well preserved.

ICOMOS considers that by being incorporated in the fabric of the old town through well-designed perspectives and transitional connections, the proposed extension has enabled the preservation and enrichment of Strasbourg's architectural and urban heritage, while enhancing it with a modern and distinctive group of monumental buildings. Moreover, through the synthesis of Austro-German and French urbanistic theories that the proposed extension embodies, it has enabled the preservation, development and extension of a singular urban landscape bearing the imprint of the strong presence of water, and the creation of an urban composition that is typical of Rhineland Europe.

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ICOMOS considers that it has been shown that the proposed extension reinforces this criterion.

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In conclusion, ICOMOS considers that the proposed extension meets the conditions of integrity of authenticity, and reinforces criteria (ii) and (iv), but does not reinforce criterion (i).

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#### **Description of the attributes**

The elements or attributes of the Outstanding Universal Value of the inscribed property and the proposed extension are the Grande-Île and the well preserved parts of the *Neustadt*. The Grande-Île is presented as a model of continuous and organic development with some elements of concerted urbanism (Place Kléber, on the site of the unfinished 18<sup>th</sup> century Place d'Armes; the Grande Percée of the early 20<sup>th</sup> century). This illustration of the history of Strasbourg, particularly from the Middle Ages to the 18<sup>th</sup> century, is characterised by chronological diversity, of which the cathedral provides a condensed view, and by typological diversity, ranging from urban houses to the public edifices and the cathedral. The Grande-Île includes prestigious religious buildings (Cathedral and St. Paul's Church) and large 18<sup>th</sup> century *hôtels particuliers* and palaces, such as the Palais Rohan. In this ensemble, the Petite France district and the Ponts-Couverts site, both of which bear witness to water-related economic activities dating back to the Middle Ages, have a landscape dominated by the defensive character of the four 13<sup>th</sup> century towers that stand at the entrance to the town. On the other hand, inside this historic ensemble – marked by a well-preserved Medieval fabric – it is important to note the streets corresponding to the Grande Percée, with its wave-like trace, bearing the imprint of the modernisation that was introduced in the early 20<sup>th</sup> century.

The Grande-Île is linked to the proposed extension by some twenty bridges, including the Ponts-Couverts, and the Pont Saint-Thomas (a "Polonceau" bridge). The Place Broglie, formerly the municipal heart of the old town, is connected to the *Kaiserplatz*, the monumental square of the *Neustadt*, by a bridge. From the Rue de la Paix in the *Neustadt* a perspective of the cathedral spire provides a visual link between the old town and the new town.

The proposed extension includes the still well-preserved edifices and districts of the new town, that is the administrative centre, centring on the monumental *Kaiserplatz* (today the Place de la République), and the University Palace with the Observatory and the Botanical Institute and Gardens, together with the residential districts surrounding the campus. The two groups of buildings, that is the administrative centre and the campus, are connected by the imperial axis.

The proposed extension contains 41 protected buildings with historic monument status. When added to the 129 protected buildings in the Grande-Île, this makes a total of 170. The proposed buffer zone contains 48 protected buildings.

## 4 Factors affecting the property

Real estate, land and social pressures on the city centre of Strasbourg are relatively high. ICOMOS notes that a long-term strategy has led to a new balance in the uses of public space, by reducing the proportion assigned to cars and encouraging public transport, more environment-friendly means of transport and above all pedestrians. A transport network has been built with five tramway lines passing through the city centre (a sixth line is planned). Substantial investments have been made to facilitate the use of bicycles (560 km of cycle lanes), and at present one-quarter of journeys in the city centre are made by bicycle. Several important squares and streets in the old town have been converted into pedestrian areas.

The danger of city centre depopulation is being successfully tackled. Population in this area had been declining up to 1982, but since then it has increased. City-centre housing is being encouraged by a number of measures, and owners are supported in maintaining and modernising their apartments. The city is also looking to strike a balance between the various uses of the city: local residency, tourism and nightlife. A nightlife charter has attenuated the conflicts between these different uses.

However, ICOMOS has noted that economic pressures are sufficiently strong to bring about the construction of buildings such as the 15-storey Valentin-Sorg Tower, which has challenged the exclusive visual dominance of the cathedral. ICOMOS has therefore encouraged the State Party to consider setting up a committee of experts to examine any major project inside the boundaries of the nominated property, so as to support the Architecte des bâtiments de France (ABF), and to consider stepping up the training of the municipal construction police service so as to better control interior alterations for all restoration projects.

In its response in February 2017, the State Party informed ICOMOS that a Committee of Experts was currently being set up, to assist the Mayor of Strasbourg in this task. The committee will be officially set up by the municipal council in the second half of 2017, and its first meeting should take place at the start of 2018.

As for the municipal construction police service, the State Party highlights two problems. The first is the inadequacy of regular monitoring of work when in progress, and the second the lack of sanctions if rules are infringed. The State Party stresses that several measures have been taken to rectify these problems. Firstly three actions are scheduled in the management plan: action sheet 9, "Advise and facilitate formalities and access to information"; action sheet 10, "Train the professionals who intervene on the ancient heritage"; and action sheet 11, "Reinforce the expertise of the local authority to conserve built structure authenticity". It should be noted that heritage conservation training for construction police service instructors and controllers forms part of this programme. Furthermore, the departments of the City of

Strasbourg have scheduled a meeting with the Public Prosecutor to raise awareness in the Justice services about the challenges of heritage preservation.

In its Interim Report, ICOMOS noted that fire was one of the major risks for the historic centre. The city has specific intervention plans for listed establishments and for sensitive amenities, but not for the blocks of the historic heart of the city. In its reply, the State Party notes that action sheet 13 in the Management plan – "Creating a cartographic tool to enable firefighters to access the heart of the blocks" – is a response to this issue. It indicates that horizontal fire propagation risks have already been mapped, and that a solution for determining volumes per block, and a tool to provide accessibility to all street facades for a ladder truck are currently being developed. The whole system should be operational by 2018.

According to the State Party, the 1996 flood risk prevention plan for the Strasbourg conurbation showed that there is no risk of flooding of the property, and that this conclusion is still valid.

Problems of excessive frequentation arise only on certain specific weekends in December, when the Christmas markets are held. Tourist visits in the *Neustadt* are basically limited to the Place de la République, and it seems that the extension of the inscription will not significantly change the number of tourists.

Nevertheless, tourism pressure is visible in the garish appearance of some tourist facilities (a tendency the city is managing to limit fairly well), and in the extent to which apartments are being transformed into clandestine tourist accommodation. The City and Eurometropolis of Strasbourg has taken exemplary measures to combat this trend. Each owner is allowed to rent only one apartment through Airbnb, the apartment has to be reconverted into a "normal" residential apartment after seven years, and stringent controls are in place to identify private accommodation that is rented out on a commercial basis, to ensure that taxes are paid, and to make sure safety standards are applied.

ICOMOS notes that, as explained in the nomination dossier, there is a lack of tools for regular and specific monitoring and evaluation of tourism activity in the central area of the property.

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ICOMOS considers that the main threats to the property are fire risk, and the economic pressures resulting from urban development and tourism.

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## 5 Protection, conservation and management

### Boundaries of the nominated property and buffer zone

The boundaries of the property and the proposed extension have been determined by including the central

districts of the city of Strasbourg that embody the claims of Outstanding Universal Value. This choice is systematically based on the land parcel subdivisions set out in the cadastral plan of 2013-2014. The urban ensemble thus delineated, organised around the cathedral, is coherent and has landscape qualities that have been demonstrated. It contains in concentrated form all the significant examples of the city's cultural heritage, and has a strong historic identity.

The buffer zone covers an area of 709 hectares around the boundary of the property.

In its Interim Report, ICOMOS noted that the principle of including all buildings with a facade visible from the riverbanks was adequate in order to delineate the boundaries of the property. It pointed out however that, in the case of streets opening out into junctions and thus deepening the visible space, this principle had not been fully complied with, and asked the State Party to resolve this issue by including all buildings whose facades are visible from the riverbanks of the Grande-Île. In its response, the State Party agreed to this request and took action to correct this omission. As a result, the area of the whole listed property and the proposed extension has risen from 182 to 183 hectares.

With regard to the *Neustadt*, the eastern part (whose integrity has been adversely affected by intervention on a massive scale) has quite correctly not been included in the nominated property.

ICOMOS considers that the boundaries of the property and of the proposed extension are well defined, and that they now contain all the elements needed to express the property's Outstanding Universal Value, and also those which, thanks to research, could help in arriving at a better understanding of these values in the future. The property and the proposed extension are almost entirely covered by the historic monuments protection perimeters (500 metres around each one). Furthermore, the whole of the property, including the proposed extension, is included in the safeguarded sector of 1974, for which a revision-extension procedure has been under way since 2011, and whose new designation will be "outstanding heritage sector".

The boundaries of the buffer zone, which contains 48 protected buildings and the corresponding protection area, seem satisfactory. However, the non-inclusion of the adjacent land, and the land beyond the eastern and southern basins, may represent a risk for the future. The same is true for the areas to the north and north-west, where the buffer zone does not go far enough.

In its Interim Report, ICOMOS recommended that consideration should be given to extending the buffer zone to the south, east, north and north-west.

In its response, the State Party argues that the buffer zone boundaries were delineated in a morphologically, physically and historically coherent way, corresponding to

the trace of the fortifications of 1880 (i.e. the city limits in 1878). The boundary also corresponds to physical limit-markers: to the west the ditch of the ramparts, and to the north-west the canal between the Marne and the Rhine, the Bassin des Remparts and the Bassin Dusuzeau, and the Bassin du Port de l'Hôpital. Its perimeter coincides with the limits of the city centre. Furthermore, the State Party indicates that the spaces ICOMOS proposed to include in the buffer zone consist in fact of land formerly in the military glacis defence zone, which is considered as a space for "natural" extension of the city. The land in question has been considered as metropolitan since the 1920s, and its occupation is well controlled, as it is largely managed by public institutions and local authorities (only 11% of the land is privately owned). The appearance of this land is enhanced by a belt of parks and gardens, and by projects that are structural in their scope (but with substantial restrictions on the floor area of buildings), a policy of controlling the structure of links between the city centre and its outskirts, and a policy of encouraging innovative contemporary architecture.

For all these reasons, the State Party proposes maintaining the buffer zone boundary already proposed, and the creation of a distant perspective zone in the land which ICOMOS proposed including in the buffer zone; this would be in line with the Xi'an Declaration on the Conservation of the Setting of Heritage Structures, Sites and Areas (ICOMOS, 2005). Moreover, the State Party proposes to carry out a "heritage and landscape impact study" of the whole of the distant perspective zone, to be completed by the end of 2018, and to establish a specific "Development and Scheduling Guideline" for the distant perspective, to be completed in 2019. Furthermore, this study will be submitted to the local world heritage committee for assessment, and significant projects affecting the distant perspective zone will be submitted to the Mayor's Committee of Experts.

ICOMOS considers that the arguments put forward by the State Party for conserving the buffer zone boundary are reasonably convincing, and that the creation of a distant perspective zone and the implementation of the measures proposed offer an acceptable level of guarantees for the protection of the proposed property.

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ICOMOS considers that the boundaries of the property and the proposed extension, and those of the buffer zone and the distant perspective zone are adequate.

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#### **Ownership**

The great majority of the area of the property belongs to private owners. The public spaces are the property of the City of Strasbourg. The majority of the public buildings belong to the state, or to the city. The River Ill, which forms part of the state's public domain, is administered by the French waterways authority (*Voies navigables de France*).

#### **Protection**

The property and the proposed extension are covered by several types of legal protection:

- The Heritage Code of 2004, Book VI, and more specifically the provisions concerning historic monuments, sites and protected areas apply to 170 monuments, of which 52 have registered status and 118 have listed status, and which as a result benefit from a cumulative perimeter of visual protection (500 metres around each monument) which is more extensive than the buffer zone.
- The regulations of the safeguarded sector, pursuant to the Urbanism Code of 1954 and the Local Urban Plan (PLU), which covers the management of urban development.
- The Environment Code of 2000, for the protection of registered and listed sites (18 sites), and for flood protection.
- The “Creative liberty, architecture and heritage” law of 7 July 2016, whereby the “safeguarded sector” protection system is superseded by a new system that ensures identical protection in the future for outstanding urban ensembles, under the new designation of “outstanding heritage sector”.

In 1974, a safeguarded sector of 73 hectares was created, covering part of the Grande-Île and part of two districts to the south (Krutenuau and Finkwiller). The regulations state, among other things, that all restoration work must be carried out while respecting the original materials and their application methods. In 2011 a decision was taken to revise and extend the sector safeguarded in 1974, and the implementation of this measure is already under way (2011-2019). The safeguarded sector revision-extension covers the whole of the initially inscribed property and the proposed extension. Furthermore, the revision is also intended to safeguard the urban landscape, and the landscape quality of the rivers and riverbanks. ICOMOS urges the State Party to finalise the revision of the Safeguarding and Enhancement Plan (PSMV).

As part of the overall protection system, all building permits inside the property boundaries and inside almost the whole of the buffer zone require compliance approval from the Architecte des Bâtiments de France (ABF), because of the 500m “co-visibility” rule. Bearing in mind the considerable work this involves, it seems that the departments of the ABF are not adequately staffed to enable the satisfactory examination and monitoring of all projects. In its Interim Report, ICOMOS thus recommended that the State Party should make available to the ABF all the necessary human and material resources. In its reply, the State Party stresses that the application of the heritage regulations requires the expertise of several services which act together in a concerted way. First of all there is the Architecture and Heritage Unit of the Bas-Rhin Department (ABF services), which is tasked with investigating requests for permits to carry out works inside the property boundaries. The Regional Historic Monuments Conservation Unit and the Regional Archaeology Service are competent for protected monuments included in the property. In addition, the Municipal Construction Police Service employs two architects responsible for the protected sector, a consultant architect, and an instructor architect.

The State Party recommends a set of measures to make this system more efficient (training of the Construction Police Service controllers and instructors, raising the awareness of the services of the Justice Ministry, raising the awareness of the owners and prime contractors), and suggests that the future creation of the Centre d'interprétation de l'Architecture et du Patrimoine (Architecture and Heritage Interpretation Centre) constitutes a very useful supplement to this system.

Various legal instruments regulate the interventions and actions that are possible within the boundaries of the property and the buffer zone. The Territorial Cohesion Scheme (SCOT) coordinates spatial effects. The Local Urbanism Plan (PLU) regulates building volumes, with a maximum building height of 20 metres which also applies in the buffer zone. The PLU includes a heritage section. Work is under way in this sector: it will result in detailed data sheets for buildings, complexes, spatial units, green areas, etc.

ICOMOS considers that the protection measures described have been proven to be effective, and also notes the positive links the municipality maintains with the associations that take an interest in the city's historic heritage.

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ICOMOS considers that the legal protection in place is satisfactory. ICOMOS urges the State Party to finalise the revision of the Safeguarding and Enhancement Plan (PSMV).

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### Conservation

ICOMOS notes that abundant archive sources and documentation are available, but that fundamental research into the history of Strasbourg is neither adequate nor systematic. One example is the book on the *Neustadt*, whose two volumes were compiled in around 1980, and which have not been followed up using modern research methods, or on the basis of research about the built structure itself.

A list of the land parcels included in the property has been drawn up, based on the cadastral plan of 2013-2014. In addition, 170 protected monuments are listed and documented by the *Conservation régionale des monuments historiques*. Around one hundred 19<sup>th</sup> century buildings were also documented in descriptive data sheets when the sector protected in 1974 was revised in 2009. The City of Strasbourg is currently completing an inventory of the whole property.

For the proposed extension, that is the *Neustadt*, photographic documentation for all the buildings is currently being carried out by the *Service régional de l'Inventaire et du Patrimoine*. This documentation will be added to the photographic archive of all the facades of the buildings in the Grande-Île compiled at the start of World War II.

The general state of conservation of the protected buildings is satisfactory. In the proposed extension, 95% of the buildings of the period are still preserved today. The

rehabilitation programme of the University Campus, which has been under way since 2008, seems to be carried out with due respect for the property's heritage values. The general state of conservation of the inscribed property and of the proposed extension is therefore satisfactory for the preservation of Outstanding Universal Value.

Regular programmes of facade renovation and residential comfort improvement have been undertaken by the Municipality since the 1960s, and ensure regular maintenance of the buildings in the inscribed property and the proposed extension.

ICOMOS has noted that the restoration and conservation work on the public buildings, and primarily the cathedral, are being carried out in a satisfactory way. However, interventions on privately-owned buildings do not always comply with the rules, particularly in terms of interior alterations. Results of varying quality have been noted. In view of this, the State Party is encouraged to implement as soon as possible the training programmes for the municipal construction police service proposed by the management plan.

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ICOMOS considers that the state of conservation of the proposed extension is adequate.

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## Management

Management structures and processes, including traditional management processes

The management plan covers both the initially inscribed property and the proposed extension. It has been devised with the primary objective of federating the efforts of all the players involved. The plan has been set up by the *Commission locale du patrimoine* (with the decision-making role) and the *Mission patrimoine* (with a coordinating role), with control in the hands of the *Comité national des biens français*. A special body, acting as a Steering Committee, has been created for the cathedral, and meets every three months (the body represents the state, the *Fondation de l'Œuvre Notre-Dame*, and the *Fabrique de la Cathédrale*, and is chaired by the Prefect of the Bas-Rhin Department). These structures are in addition to the parties traditionally involved: the Municipality, the Eurometropolis of Strasbourg, the *Direction régionale des monuments historiques*, and the *Fondation de l'Œuvre Notre-Dame* (which has supervised the construction of the Cathedral since the Middle Ages).

ICOMOS notes however that inappropriate interventions have taken place, both in earlier times and recently, which have adversely affected the integrity of the property and the proposed extension. This is the case of the Printemps department store. To rectify this situation, ICOMOS has recommended in its Interim Report the creation of a Committee of Experts tasked with avoiding this type of problem inside the property boundaries, and with establishing rules to prevent such problems from arising. The State Party has given a positive response to this recommendation.

Moreover, with regard to the non-compliance of the interior alterations in authorised restoration work, ICOMOS – as indicated above – strongly recommends the reinforcement of the training of the municipal construction police service.

ICOMOS considers that the management plan and the consensual working approaches of the various parties concerned enable satisfactory monitoring both of the maintenance and conservation of the property and its risk protection.

Policy framework: management plans and arrangements, including visitor management and presentation

The State Party has established a management plan which allows for transversality and the coordination of the intervening parties. Based on the four objectives set (knowledge, conservation, valorisation and transmission), the plan has identified 14 challenges, and has drawn up 54 action sheets.

Each of the identified actions is defined by a programme, objectives, practical application, specific human and financial resources, and the person responsible in each case, who is clearly identified. Many of these actions have already been carried out, are under way, or are scheduled.

ICOMOS considers that all the management plan actions, and their completion schedule, and the competencies of the intervening parties, and their human and financial resources, are clearly defined, and satisfactory to ensure the control and application of the plan established for the coming years. Furthermore, the actions intended to encourage tourism and visitors to the property are satisfactory.

Involvement of the local communities

ICOMOS notes that a significant proportion of the population is attached to the city, and is aware of its architectural value. One important sign of this interest is the large number of actively involved private associations in the city. The municipality maintains strong links with these associations, whose influence on conservation policy is by no means negligible.

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ICOMOS considers that the management plan for the property and the proposed extension is adequate.

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## 6 Monitoring

The State Party revised the monitoring indicators when the extension proposal was made. The indicators are linked to the action sheets and the action plan challenges. They are either quantitative or qualitative and are monitored at regular intervals.

For protected monuments included in the 2014 list, the studies that document each building may be used as a comparison base for each report. In the case of the cathedral, work has been documented in great detail since the second half of the 20<sup>th</sup> century, and a check-up report is compiled every 10 years.

ICOMOS considers that the monitoring indicators, together with the photographic documentation that exists or is being compiled, constitute an adequate means of monitoring the state of conservation of the property.

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ICOMOS considers that the monitoring indicators are adequate.

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## 7 Conclusions

The initial property consists of the Grande-Île, the historic centre of the city of Strasbourg. Its Medieval urban trace has been preserved almost intact, and it contains a set of monuments that is representative of the domestic architecture of the Rhineland from the 14<sup>th</sup> to the 18<sup>th</sup> century, surrounding the Cathedral, considered as a masterpiece of Gothic architecture. However certain urban elements, which are important for a vision of the urban development of the Grande-Île, were not included in the description when Strasbourg – Grande île was inscribed (on the basis of criteria (i), (ii) and (iv)) in 1988. The monuments not included in the description, even though they form part of the property, date from the end of the 18<sup>th</sup> century up to the mid-20<sup>th</sup> century.

The proposed extension, the *Neustadt*, a new town constructed under the German administration (1871-1918), was designed in a spirit of functional complementarity and landscape continuity with the old town. It thereby preserved and reinforced the multi-cultural nature of the city.

Contrary to the situation with the initially inscribed property, the requested extension results in the inclusion of all the elements necessary for expressing the property's values. With the extension, the property now constitutes an eloquent representation of an urban landscape in Rhineland Europe, illustrating a synthesis of French and Germanic cultures. With the proposed extension, the property features all significant examples of the city's cultural heritage, and has a strong historic identity. It also includes the most significant elements of the new town (*Neustadt*) which have a visual and landscape relationship with the old town.

ICOMOS considers that criterion (i) cannot be applied to the whole of the proposed property, as, with the exception of the cathedral, it cannot be considered to represent "a masterpiece of human creative genius".

ICOMOS considers that the proposed extension fulfils the conditions of integrity and authenticity, and reinforces criteria (ii) and (iv).

Furthermore, the property and the proposed extension benefit from adequate protection and management measures, guaranteed by its status in a safeguarded sector, referred to by the new designation of "outstanding heritage sector", and by the regulations on historic monuments.

The management plan, which is based on four objectives (knowledge, conservation, valorisation and transmission) has identified 14 challenges, and drawn up 54 action sheets. It is considered to be adequate. The municipal policies as regards preservation, facade renovation programmes, and urban renewal, seem to be effective in containing the decline in population and revitalising the historic centre of the city.

Risk prevention is satisfactory overall, and the major risk to be prevented is fire in the blocks of the old town centre.

The whole of the property and the proposed extension benefits from continuous attentiveness in terms of observation and of support for private individuals intervening on the built structure. The variety and visual quality of the urban landscape of the proposed property also benefit from the protection and action of the municipal, regional and state organisations aimed at ensuring their preservation.

The property name has been modified by the State Party at the request of ICOMOS to remove the reference to European urban scenography.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the proposal for the extension of Strasbourg – Grande île to include the *Neustadt* and thus become Strasbourg, Grande-Île and *Neustadt*, France, be approved on the basis of **criteria (ii) and (iv)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

The Grande-Île and the *Neustadt* form an urban ensemble that is characteristic of Rhineland Europe, with a structure that centres on the cathedral, a major masterpiece of Gothic art. Its distinctive silhouette dominates the ancient riverbed of the Rhine and its man-made waterways. Perspectives created around the cathedral give rise to a unified urban space and shape a distinctive landscape around the rivers and canals.

The French and Germanic influences have enabled the composition of a specific urban space combining constructions reflecting major significant periods of European history: Roman Antiquity, the Middle Ages and the Rhineland Renaissance, French 18<sup>th</sup> century classicism, and then the 19<sup>th</sup> and early 20<sup>th</sup> centuries

which saw the emergence of a modern city, the capital and symbol of the new German state.

**Criterion (ii):** French and Germanic influences have shaped the Grande-Île and *Neustadt*. They have enabled the emergence of a unique expression based on the two cultures, which is particularly striking in the fields of architecture and urbanism. The cathedral, influenced by the Romanesque art of the East and the Gothic art of the kingdom of France, is also inspired by Prague, particularly for the construction of the spire. It is a model that acted as a vector of Gothic art to the east. The *Neustadt*, a modern city forged by Haussmannian influences, and a model of urbanism, also embodies the theories of Camillo Sitte.

**Criterion (iv):** The Grande-Île and the *Neustadt* in Strasbourg constitute a characteristic example of a European Rhineland city. Integrated into a Medieval urban fabric in a way which respects the ancient pattern, the Renaissance-style private residences built between the 15<sup>th</sup> century and the late 17<sup>th</sup> century form a unique ensemble of domestic Rhineland architecture, which is indissociable from the outstanding Gothic cathedral. In the 18<sup>th</sup> century, French classical architecture came into its own, as exemplified by the Palais Rohan, built by the king's architect, Robert de Cotte. From 1871 onwards, the face of the town was profoundly modified by the construction of an ambitious urbanistic project, leading to the emergence of a modern, functional city, emblematic of the technical advances and hygienistic policies that were emerging at the turn of the 19<sup>th</sup> and 20<sup>th</sup> centuries. The private and public buildings of the urban ensemble bear witness to political, social and cultural change, with the town's status changing from a free city of the Holy Roman Empire to a free city of the Kingdom of France, before it became a regional capital.

#### Integrity

The distinctive landscape of Strasbourg, dominated by the silhouette of the cathedral, has been preserved up to the present day. The cathedral is well preserved and integrated in an intact Medieval parcel system. It continues to dominate the urban landscape just as it did when it was first built. Down the centuries, the renewal of the built structure in Grande-Île has respected the early land parcel system, while inserting public and private buildings that represent a synthesis of French and Germanic influences, bearing witness to the evolution of architecture from the 15<sup>th</sup> century to the present day.

The siege in 1870 and the bombardments of 1944 gave rise to partial reconstructions, which were however carried out while respecting the urban fabric and existing volumes. Only the Grande Percée, linking the new station to the Port d'Austerlitz in the first half of the 20<sup>th</sup> century, involved a deliberate restructuring of the urban fabric. The modernisation and sanitation of the historic centre were carried out in a spirit of continuity and respect for the urban qualities of the site. The *Neustadt* was designed in a spirit of functional complementarity and landscape continuity with the historic centre. The property as a whole

has preserved all the attributes of the various chronological stages that contribute to its Outstanding Universal Value.

#### Authenticity

The urban ensemble of the Grande-Île and the *Neustadt* has been well preserved, in a material condition that is close to its original state, and its urban landscape has largely conserved its characteristics. The facades of the Place du Château have retained their original appearance, and the Place de la République and the imperial axis their monumental character. The major public buildings of the *Neustadt* have retained their original size, their physical quality and their materials.

The great majority of the modern buildings have been introduced while respecting the ancient urban fabric. Close to the Vauban dam, the 20<sup>th</sup> century structures, such as the Conseil Général building and the Modern and Contemporary Art Museum, have little impact on the urban landscape. Meanwhile, the recent urban development projects inside the boundaries of the property have enabled its preservation and valorisation, while facilitating its adaptation to new use values. The uses of the buildings in the property have been well conserved, particularly as regards amenities, shops and housing. In the *Neustadt*, the restructuring and rehabilitation work on major amenities (National and university library, Palais de Justice, and Palais des Fêtes) comply with current building standards, while respecting the heritage value of the edifices. The urbanism documents, established with remarkable continuity since the 19<sup>th</sup> century, have facilitated the conservation of the buildings inside the property's boundaries, and led to outstanding continuity in the urban landscape.

#### Management and protection requirements

The cathedral has been protected by historic monument status since 1862, and its upkeep is covered by an agreement between the French state and the Fondation de l'Œuvre Notre-Dame. In the property area, 170 other edifices or parts of edifices are protected by historic monument status, and thus benefit from the control of the French state's heritage services.

The safeguarded sector created in 1974 has been undergoing a revision-extension procedure since 2011. It now covers the whole of the extended property, and is focused on the preservation of the built structure, the urban landscape, and the landscape quality of the river and riverbanks. The protection of the property is largely dependent on the safeguarding and valorisation plan for the safeguarded sector.

The property has a management system whose main partners are the State, the City of Strasbourg and the Eurometropolis. The system, whose funding is shared, is based on French legislation, and particularly the Heritage, Urbanism and Environment Codes.

The management plan for the Grande-Île approved by the Municipal Council in 2013 covers all aspects of urban management: knowledge, conservation, valorisation and transmission. The local housing plan is intended to maintain social diversity and limit the amount of non-occupied housing inside the nominated property. The urban transport plan limits the importance accorded to cars, and seeks to encourage pedestrians and cyclists. Since 1989, the introduction of a tramway network has been carried out in conjunction with the restructuring of public space and the introduction of pedestrian streets. The terraces charter, the regulations on occupation of public areas, and the local advertising regulations, reflect efforts to achieve harmonious use of public space.

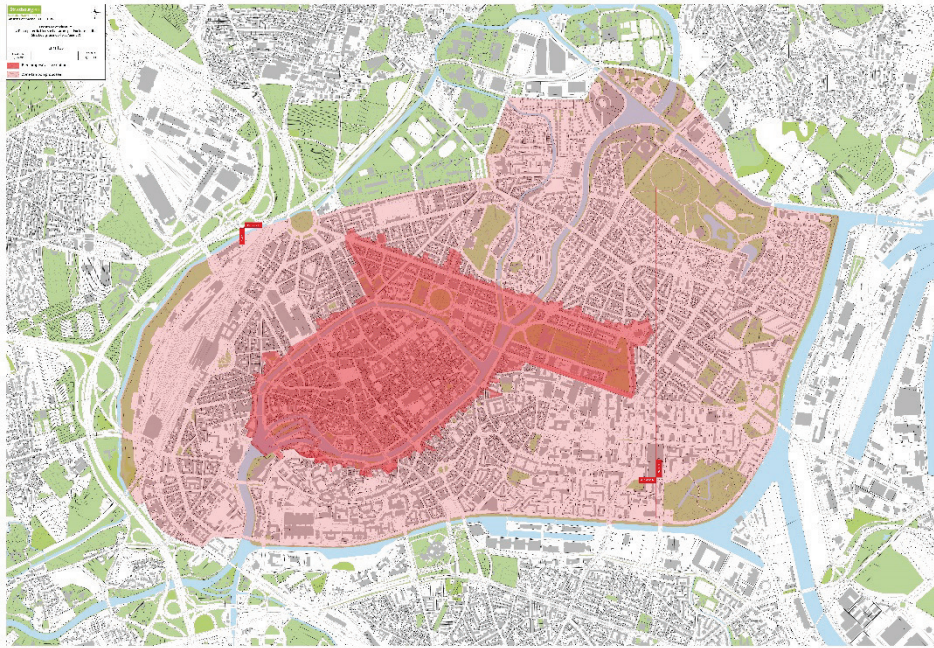
Finally, in accordance with the action plan for Grande-Île and the *Neustadt*, various actions have been started up to improve the appropriation of the Outstanding Universal Value by everyone, by developing mediation tools, particularly as part of the “Ville d’art et d’histoire” label scheme, and by improving accessibility for everyone.

#### **Additional recommendations**

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

- a) Continue the actions put in place to reinforce the training of the municipal construction police service to ensure better control of interior alterations in all restoration projects.
- b) Finalise the revision of the safeguarding and enhancement plan (PSMV),
- c) Finalise the setting up of a distant perspective zone,
- d) Set up as soon as possible the fire risk protection plan for the blocks of the historic centre,
- e) Set up the Committee of Experts as announced;





Map showing the revised boundaries of the property and the proposed extension



Overall view of the Neustadt with the Grande-Ile in the background



The *Kaiserplatz* (nowadays Place de la République)



Entrance of the Grande Percée



St Etienne bridge and the lycée des Pontonniers



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## The Bauhaus and its Sites (Germany) No 729bis

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### Official name as proposed by the State Party

The Bauhaus and its Sites in Weimar, Dessau and Bernau

### Location

Dessau-Roßlau, Federal State of Saxony-Anhalt  
Bernau bei Berlin, Federal State of Brandenburg  
Germany

### Brief description

Following on from the *Former Art School* and the *Applied Art School* in Weimar, built by Henry van de Velde, the *Haus Am Horn* also in Weimar, the *Bauhaus Building* and the group of seven *Masters' Houses* in Dessau were all built under Walter Gropius, the first Bauhaus School director until 1928. The extension of the property to include the *Houses with Balcony Access* in Dessau and the *ADGB Trade Union School* in Bernau, built under Hannes Meyer, his successor until 1930, reflects the contribution of the Bauhaus building department to plain design, strict technology, functional philosophy and social reform. It is through these works that the Bauhaus had a major impact on shaping the architecture of the post-World War II period.

### Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is an extension of two *groups of buildings and monuments* to the five *groups of buildings and monuments* already inscribed.

## 1 Basic data

### Included in the Tentative List

15 January 2015

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

15 January 2016

### Background

This is a proposed extension of the property "The Bauhaus and its Sites in Weimar and Dessau" (Germany) which was inscribed on the World Heritage List on the basis of criteria (ii), (iv) and (vi) at the 20<sup>th</sup> session of the World Heritage Committee (20 COM, 1996).

### Consultations

ICOMOS consulted its International Scientific Committee on 20<sup>th</sup> Century Heritage and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 26 to 30 September 2016.

### Additional information received by ICOMOS

A letter was sent by ICOMOS to the State Party on 21 October 2016 to request further information about the comparative analysis, the restoration programme for buildings, and the management.

The State Party replied on 18 November 2016, sending additional information, which has been taken into account in this evaluation.

An interim report including a request for additional information was sent by ICOMOS to the State Party on 19 December 2016 regarding the proposed statement of Outstanding Universal Value, the boundaries, and the interpretation of the property. On 23 February 2017, the State Party sent the requested additional information, which has also been taken into account in this evaluation.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

The sites, which were nominated in Weimar and Dessau in 1996, cover 3.75 ha, while their buffer zone covers 19.39 ha. The two proposed extensions in Dessau and Bernau bei Berlin cover 4.41 ha, while their buffer zone covers 42.27 ha. Including these extensions, the total area of the nominated property covers 8.16 ha and the total area of the buffer zone covers 61.66 ha.

The inscribed property includes five groups of buildings and monuments. The *Former School of Art* (component 1) and the *Former School of Applied Art* (component 2), 1904-1911, both in Weimar, proved to be the first sites of a cultural development within Modernism. The second is an original achievement of Henry van de Velde (1863-1957), one of the most famous precursors of modernity in architecture.

The *House am Horn* (component 3), designed in 1923 by Georg Muehe (1895-1987), is the only architectural remnant of the School in Weimar. It embodies the typology of a modern one-family house where new technologies were tried out.

The *Bauhaus Building* (component 4), in Dessau, designed by Walter Gropius (1883-1969), the first Bauhaus director (1919-1928), is a central work of modern art in Europe, as it reflected the creative principles of functionalism and strove to develop the appropriate

primary forms for that purpose, using the materials of industry (reinforced concrete, glass, iron) and standard methods (skeleton construction, glass façade).

The seven *Masters' Houses* (component 5) - three pairs of semi-detached homes and the director's detached dwelling - were commissioned in 1925 by the city of Dessau to stand in a park. Both their architectural and social principles are of significance, since they managed to give individuality to identical ground plans, which had to respect typical forms due to financial reasons in the housing shortage following World War I.

### Proposed extension

After the "white modernism" promoted by Gropius, Hannes Meyer (1889-1954), the second Bauhaus director (1928-1930), continued developing "classical modernism", adopted by Mies van der Rohe (1886-1969), in charge after Meyer (1930-1933). Meyer had a more radical policy, still trying to produce modernity with a human face, but pushing function at the same time as controlling cost. His intellectual influence and his willingness to base architecture on scientific principles were essential for the success of the Bauhaus ideas on social reform.

The five *Houses with Balcony Access* (component 6) were built in 1930 in the southwest of Dessau-Roßlau by the Bauhaus building department under Hannes Meyer. Each of them includes eighteen flats, measuring 47 m<sup>2</sup>, which low-income residents have continuously occupied since their construction. Meyer and his students built three-storey brick blocks with flat roofs along two main streets running from east to west, Peterholzstraße (n° 40, 48 and 56) and Mittelbreite (n° 6 and 14). On their north-facing side, the plain cubic buildings had projecting staircase towers, lit by vertical format windows, and mesh balcony walkways, while large windows (with steel or wood frames) faced the gardens to the south. This distinctive structure, only punctuated by red brickwork and concrete ceiling slabs, retains today its full minimalist appearance. On the inside, the double return stairs made of grey artificial stone alongside brick walls and the banisters made of steel wire mesh and red-painted handrail enhance Meyer's severe economical design and the Bauhaus' meticulous attention to detail and exposed materials. A flat with original furnishings and fittings is open to visitors in the block at Peterholzstraße 40. Its plan demonstrates the philosophical goal of the Bauhaus to provide affordable social housing by optimising living space. To the rear of each house were a washhouse and a garden. Still at Peterholzstraße 40, the historic washhouse found on the southwest edge of the plot features the original façade, room layout, windows and doors. A catslide roof forms a lean-to over an entrance and drying area.

The *ADGB Trade Union School* (component 7) stands in a wooded area on the northwest of Bernau bei Berlin. It includes the long school and dormitory building, the separate row of teachers' residences, and a small transformer hut. This group of edifices with yellow brick

façades is organised in echelons, according to the lie of the landscape and to the strict rule of function: a different building per type of usage. The entrance, modified since then, is in a cubic head-end building (including a vestibule, foyer, auditorium, canteen and the offices area), from which a corridor with a glass façade leads to the five dormitory blocks and, from there, to the two-storey school complex.

### History and development

Together with the expansion of the Dessau-Törten Estate sketched by Gropius in 1926, the *Houses with Balcony Access* were the first construction project "collectively designed" by the Bauhaus building department. Meyer was called upon to set up this department in 1927 and he made it part of an inclusive educational system that combined scientific and artistic knowledge with productive work and fund raising. To this purpose, he created "vertical brigades" where inexperienced students worked together on training projects with senior fellows supervised by teachers. The idea was to create a social mix in a new residential area where "white collar workers [would live] in one-storey flat-roof buildings [and] blue collar workers in three-storey houses with balcony access". The five houses were completed in July 1930, following other variants of the same type. They pushed the type to its highest level of requirement, reaching a high living standard through optimised floor plans, minimised access areas, advanced technical facilities, wooden prototype furniture, a sober aesthetic and minimal design.

The houses survived World War II mostly intact, although shrapnel damaged the glass facade of the staircases, which were bricked in around 1951. In 1987, the Dessau-Törten Estate, originally designed by Gropius, was listed on the monuments register of the city of Dessau. In 1993, a new set of windows retained the original design and division of panes. In 1994, a "design statute" was drafted for the houses, which protects the appearance of their façades (base, eaves, exposed fabric). From 1996 to 1998, a comprehensive renovation was carried out, which restored the mesh railings to their original design and implemented modern adjustments, which respected the spirit of the Bauhaus. The original glazing was reinstated on the staircase of the house at Peterholzstraße 40.

Hannes Meyer was assisted by Hans Wittwer (1894-1952) when he built the teaching complex and dormitory of the *ADGB Trade Union School* in Bernau from 1928 to 1930, with the help of the Bauhaus building department. It was dedicated to the training and further education of trade unionists, due to act as workers' representatives on behalf of the Weimar Republic's new constitution. The competition entries won in 1927 by the Bauhaus required it to attempt to integrate several functional components such as classrooms, residences for teachers and students, and recreational facilities, in one cohesively structured building. Meyer and Wittwer respected the design canon of a strict geometric outline that this programme implied, but managed to propose an open arrangement of the components and a close connection with the landscape. They based their design on the newly

expressed model of progressive education in small groups: the structure of the complex is derived from the dimensions of the dormitories where students were grouped in twelve units of ten each. This figure determines the dimension of all other spaces and fittings, from the seminar rooms to the tables in the canteen.

In 1933, the Nazis confiscated the School. Briefly used by the Red Army as a hospital in 1945, it was returned in 1946 to the East German trade unions, which used it as a university-like institution after the architect Georg Waterstradt (1915-1990) extended it, from 1950 to 1954, erecting a new wing for offices, another teaching building linked to the old one, four dormitory blocks, and an institute unit. Apart from the entrance area that was radically reorganised inside and outside, this considerable rearrangement did not undermine the overall composition of the School.

The *ADGB Trade Union School* was listed in 1977, but was poorly protected as a heritage venue, and continued to be extended and used as an education facility until 1990. Its ownership was then transferred to the city of Bernau and, as per the leasehold agreement, to the Federal State of Brandenburg, which used it as a university of Applied Science for public management, from 1992 to 1998. In 2001, the leasehold for the school and dormitory buildings was transferred to the Berlin Chamber of Crafts, while the Federal State of Brandenburg retained the leasehold of the teachers' residences. The original layout and substance of the School was restored from 2002 to 2008 in line with heritage conservation principles. The main entrance was relocated to its original position. The interior of the foyer was also redesigned. The auditorium regained its original structure. The canteen regained its raw appearance of reinforced concrete frames and glass brick roof cut into sections. Northeast of the canteen, the small quadrant conservatory regained its red steel and glass structure. The internal walls of the dormitories were given back their original colours: blue, yellow, green and red. The staircase of the teaching area going up to the seminar rooms regained its spectacular trapeze-shaped windows. The seminar rooms on the upper floor were equipped with "butterfly ceilings" (i.e. sloping down towards the room's middle axis to prevent shadows) and ribbon windows. The gymnasium kept its reinforced concrete girders and supports, and its exposed yellow brickwork. Revived in this way, the School reveals the engineering and technical know-how of its builders, as do the four teachers' residences and two semi-detached bungalows, set at an angle to the main unit. The adjustment to the terrain (with a 6 metre drop), the clever use of windows creating a connection between outdoors and indoors, the strength of the materials, the exposed load bearing structures and the calculated proportions are typical of an art of building specific to the era of Meyer.

After an agreement with the State Office for the Preservation of Monuments, the Chamber has run the school as its Training and Innovation Centre since 2008.

### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The State Party has built an extensive comparative analysis on the grounds of typology (housing and teaching facilities), chronology (early 20<sup>th</sup> century), geography (Europe) and themes (social and political background, modern design methods), which compares properties inscribed on the World Heritage List and the Tentative Lists as well as iconic edifices not represented on any of those lists. This method of reasoning underscores the social role of architecture and the importance of modern design as an integral and pivotal way of teaching about and rethinking the world. It reveals that no other listed item is comparable on account of typology, social goals, date of construction, design concept or teaching background. The only conceivable reference would be Frank Lloyd Wright's School of Architecture in Taliesin (Spring Green, Wisconsin, USA) and Taliesin West (Scottsdale, Arizona), which also pursued a productive education ("learning by doing"), but was not an official school and did not have either a similar social, mass-orientated objective.

The type of the *ADGB Trade Union School* is more difficult to define properly. It was a kind of boarding school, which pursued progressive education, improving living and learning conditions, developing the fields of hygiene, psychology, teaching research and sports. It embodied a vast ideal of social reform, which no longer welcomed the traditional classroom. From 1927 to 1935, Max Taut (1884-1967) realised a comparable, but much more formal, large-scale school complex in Berlin-Lichtenberg. In France, the Karl Marx Middle School in Villejuif, built by André Lurçat (1894-1970) in 1933, and the Open Air School in Suresnes, designed by Eugène Beaudouin (1898-1983) and Marcel Lods (1891-1978) in 1931-1935, both develop the purpose of education guided by good health, light, air and sun. But, the arrangement of pavilions and, again, the choice of "white modernism" differ from the *ADGB Trade Union School*. The analytical design, pedagogical concept, functional thinking and economic method that were developed in this complex reinforced the Bauhaus approach and made it a unique and inimitable type of school building.

The proposed extension reflects the concerns of the Bauhaus' second generation, which revolutionized the practice of architecture for decades, through context analysis, economic research, functional standards, progressive teaching and social objectives. It enables a complete and coherent view of the methodology and the built heritage left by the Bauhaus. Indeed, even if the architects connected with the Bauhaus have built various other works, under their own names, no other example is known to have been the product of the institution itself, so that with these two components the series is deemed to be closed.

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ICOMOS considers that the comparative analysis justifies consideration of this extension to the already inscribed property on the World Heritage List.

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### **Justification of Outstanding Universal Value**

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

- The Bauhaus cannot be understood as a whole without addressing the work of its second director, Hannes Meyer, who founded and led its building department.
- Since he promoted an idea of architecture based on function, cost and scientific analysis, Meyer was radically innovative.
- The extended property reveals the way a rational and austere modernism emerged in the 1930s, foreshadowing post-war reconstruction.
- The *Houses with Balcony Access* in Dessau exhibit the students' eminent contribution to the interwar social housing movement.
- The *ADGB Trade Union School* in Bernau shows the way the Bauhaus designed complex programmes and managed to integrate them in the surrounding landscape harmoniously.

ICOMOS considers that this justification is appropriate because the proposed extension reveals the way the Bauhaus acted as a co-operative learning institution and completed real building projects, which integrated the latest developments in psychology, sociology, economics, engineering and design all at once. It enables a panoramic overview of the Bauhaus during the full duration of its activity.

### **Integrity and authenticity**

#### **Integrity**

The *Houses with Balcony Access* in Dessau were placed in an urban development, which is still visible today. Their spatial and formal attributes are intact. From the outside, this rational construction is undamaged. From the inside, the functional scheme remains clear. Since they have been continuously inhabited by low-income residents and managed by a co-operative institution, these houses prove that the Bauhaus' social ideals were fulfilled in their own time and remain alive today.

In spite of the 1950's extensions, the original layout of the *ADGB Trade Union School*, with its classrooms, residences, recreational and sports facilities, was overall preserved through time. It is a community institution based on independence, self-reliance and autonomy, something that the architects expressed via individual buildings organically linked, with few hierarchical structures.

ICOMOS considers that the general level of integrity is satisfactory. It proves to be as good as the original series. The physical fabric of the proposed extension is in good

condition. Important restorations and sometimes genuine restructuring has taken place, in particular in the entrance lobby of the *ADGB Trade Union School*, which was severely modified during the communist era and had to receive a deliberately new treatment, in relation to its current function, during the 2002-2008 campaign of restoration (extended in 2010 to the teachers' residences). This work was completed in a way that ensures a comprehensive representation of the original features and processes, which convey the property's significance. The landscaping is being restored as closely as possible to Meyer's wishes. Four of the *Houses with Balcony Access* lost the glass façades of their "avant-corps" staircases in the 1950's. One of them has been fully restored since, whilst the wire mesh parapets of the walkways have also been reinstated in their full integrity in the five blocks.

#### **Authenticity**

The State Party specifies that the proposed extension "largely preserves its original state in terms of form, design, materials and substance". Therefore, the two components provide an "impressive testimony" of the architectural legacy of the Bauhaus building department.

Although they do not totally respect the original layout, adaptations to the *Houses with Balcony Access* to meet modern comfort requirements were done with care. After a comprehensive campaign of restoration, the buildings still firmly display Meyer's motto (fulfil "the need of the people, instead of the need for luxury"). At Peterholzstraße 40, a model flat is maintained in its original condition as a museum piece.

The *ADGB Trade Union School* in Bernau is also exemplary for its preserved layout, façades and details. Apart from Waterstradt's aisle adjacent to the foyer, the comprehensive removal of later annexes gave back the complex its full significance and appearance, although not retaining all the strata of its history. The renovation benefited from the remarkable standard of the Bauhaus construction. The entrance location was restored and the rearrangements of the head-end building that took place under the communist regime were removed.

ICOMOS considers that the authenticity of architectural forms, structural elements and materials is undeniable. The usage of the places in respect of the Bauhaus achievements and ideals gives them a specific quality. Restoration programs have proven to be of the highest quality.

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ICOMOS considers that the conditions of integrity and authenticity for the whole series and for the individual components have been justified.

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

The extension is nominated on the basis of cultural criteria (ii), (iv) and (vi). The same criteria are justified for the proposed extension as for the existing World Heritage property.



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

This criterion is justified by the State Party on the grounds that, following Walter Gropius's directorship, the *Houses with Balcony Access* and the *ADGB Trade Union School*, realised under Hannes Meyer, still contribute to the avant-garde modernism, but from a slightly different perspective based on function, austere design, and economical and scientific analysis.

ICOMOS considers that, from Henry van de Velde to Mies van der Rohe, the successive contributions of the Weimar and Dessau Bauhaus artists and architects to 20<sup>th</sup> century modernism are all bundled together as one. Among them, the Swiss architect Hannes Meyer organised the school and expressed strong principles for the design of buildings. He also closely associated the students and his fellow architects to this design in the Bauhaus building department, which he created and led for three years. The proposed extension reflects the transition between Gropius' heroic "white modernism" and a more utilitarian architecture, which may look stern at first glance, but was concerned to resolve the matter of social housing and public facilities.

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ICOMOS considers that the proposed extension has been demonstrated to reinforce this criterion.

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

This criterion is justified by the State Party on the grounds that "the Bauhaus itself and the other buildings designed by the masters of the Bauhaus are fundamental representatives of Classical Modernism and as such are essential components of the image of their period of the 20<sup>th</sup> century". The *Houses with Balcony Access* are an example of rational and collective architecture, which prevailed during the pioneer phase of social housing construction in the European inter-war period. The *ADGB Trade Union School* is an example of progressive education in connection with workers organisations. Both embody the new image of humanity and the effort to improve the living conditions of the poor, which emerged after World War I.

ICOMOS considers that both works early on and decisively took part in the birth of a new aesthetic, architecture and worldview, as did the previously nominated buildings of the Bauhaus. Their designers did not simply work on pure and asymmetrical geometry; they thoroughly adapted old typologies (block of flats, school) to the needs of the society of their time. Providing low-income families with good housing and the progressive education movement with an ambitious complex, they proved that a building does not have to be moulded into a given form, but that the architect has to comply with the

requirements of users. They invented a "new design of life processes", thanks to personal methodology, topical research and systematic implementation of new materials. The two buildings are landmarks for understanding the technical, social and aesthetic evolution of modern architecture in the 1930s.

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ICOMOS considers that the proposed extension has been demonstrated to reinforce this criterion.

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Criterion (vi): *be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that "the Bauhaus architectural School was the foundation of the Modern Movement, which was to revolutionize artistic and architectural thinking and practice in the 20<sup>th</sup> century". The *Houses with Balcony Access* and the *ADGB Trade Union School* translate the ideals of the Bauhaus, which aimed at changing both the individual and society, and finally sought to improve social conditions. They imply an irreversible break with tradition. Convinced that this break was a necessity, Hannes Meyer proclaimed the unity of theory and practice in training and the primacy of science in the design process. From this specific methodology a distinct aesthetic was to emerge.

ICOMOS considers that the Modern Movement was a compact movement during which a great number of schools of thought cohabited and even competed. The same applies to the Bauhaus, whose diversity and creativity was spectacular. The *Houses with Balcony Access* and the *ADGB Trade Union School* show one of these art families at work. They both indicate the way architecture absorbs the outside world and the way it modifies it in return. Combining scientific and artistic knowledge with practical and productive work, associating students' and teachers' input, the Bauhaus foreshadowed the world after 1945.

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ICOMOS considers that the proposed extension has been demonstrated to reinforce this criterion.

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ICOMOS considers that the serial approach has been justified.

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In conclusion, ICOMOS considers that the condition of integrity for the whole series and for the individual components has been justified; that the condition of authenticity for the whole series and for the individual components has been justified; and that the proposed extension to the serial property has been demonstrated to reinforce criteria (ii), (iv) and (vi).

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#### **Description of the attributes**

The extended property includes a set of five *Houses with Balcony Access* in Dessau and the complex of the *ADGB Trade Union School* in Bernau, built by the Bauhaus building department between 1928 and 1930. The

*Houses with Balcony Access* belong to a residential area which largely kept its geometric shape and layout, set out in the 1920s. Their simple cubic structures are made of red brickwork and exposed concrete beams and lintels, while the arrangement of the windows, balcony walkways and “avant-corps” staircases express strict minimalism and functional planning. The house at Peterholzstraße 40 contains a flat retaining a significant part of its original built-in furniture and fittings, designed in the Bauhaus workshops. The slightly inclined monopitch roof covering both the block and the staircase, the exposed materials, colours and surface structures, redefined the typology of social housing, as conceived by the Modern Movement in the 1930's.

The yellow brick façades of the *ADGB Trade Union School* with concrete load-bearing structures remain fixed in the sloping grounds of their surrounding landscape, as they were at the time of the Bauhaus. The School has a cubic entrance, redeveloped in the 1950's, made up of a vestibule, foyer, auditorium, canteen with adjoining kitchen and conservatory, and offices. From there a glazed corridor leads to five dormitory blocks, a single-storey flat-roofed library, a gymnasium, and a two-storey complex of classrooms. A glazed staircase with steel-frame pivot windows gives access to the seminar area with “butterfly” ceilings on the first floor of this complex. At an angle to it, four teachers' residences and two semi-detached bungalows with yellow brickwork and concrete girders are raised on stilts at the rear, due to the slope of the terrain. A small transformer hut is set next to the residences. Dedicated to progressive education for workers' representatives, the School embodies the fully rationalised project, rigorous construction, functional logic and skilled craftsmanship, which characterized the Bauhaus architecture.

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

The *Houses with Balcony Access* are managed by the Housing Co-operative of Dessau in connection with the Land heritage authorities and the Bauhaus Dessau Foundation. In the process of carrying out maintenance, the Co-operative wishes to reduce energy losses but rules out external insulation. In this area of multi- and single-family dwellings, nothing has changed much since the Bauhaus planned the Houses and no change is going to affect their residential use, based on long-term letting.

The *ADGB Trade Union School* presently houses the Training and Innovation Centre of the Berlin Chamber of Crafts, specializing in apprenticeship training and adult education. This usage ensures stable running and conservation. Similarly, the Federal State of Brandenburg lets the teachers' residences. However, steady development near the property has been a challenge since the 1950's, when communal uses, such as an auditorium, were admitted to the northwest of the site. In 2013, a Master Plan for the outdoor facilities was drafted on behalf of the “Baudenkmal Bundesschule Bernau” foundation, in co-operation with the city of Bernau and the

heritage conservation authorities. The purpose was to re-establish the original open space plan as an area of natural beauty for sports and leisure, whilst still satisfying the new usage requirements.

The Bauhaus Dessau Foundation does guided tours of the Dessau-Törten estate that include a visit to the *House with Balcony Access* in Peterholzstraße 40. These tours are respectful of the residents and allow only small groups to enter the museum flat. No conflict has been noted so far. The number of visitors to the estate is expected to grow, but this will not affect any of the five houses.

At present, visitors can only access the outside premises of the *ADGB Trade Union School*, although some guided tours of the interior are on offer, on behalf of the “Baudenkmal Bundesschule Bernau” foundation. When the boarding students of the Chamber of Crafts stay on site during their training courses, full opening is not possible. Consequently, there is a limit to an increase in the number of visitors. ICOMOS agrees that, considering that the current usage is a guarantee for the future of the site, it is necessary to put up with fewer occasional visits. A permanent exhibition is installed in one of the teachers' houses. In 2013, the landscape-planning concept envisaged a visitor centre and a parking space in the location of the vacant refectory building.

There are no environmental pressures threatening the proposed extension.

No natural disasters are to be expected in the Dessau-Törten estate. No risk of flooding or fire is known in this area of large avenues and easy-access streets. The same applies to the Bernau region. There is a very low seismic risk in Weimar (level 1), and no risk at all in Dessau or Berlin (below 1).

No effect of climate change is likely to threaten the proposed extension.

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ICOMOS considers that there is no real threat to the proposed extension. The protection of the *ADGB Trade Union School* surroundings will have to be controlled in accordance with the “Statutes for the Protection of the Monumental Area ‘Bauhaus Bernau’”.

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#### **5 Protection, conservation and management**

##### **Boundaries of the nominated property and buffer zone**

The nominated extension and its buffer zone are as follows:

*Houses with Balcony Access* (component 6):  
Total of the nominated component: 0.97 ha.  
Buffer zone: 25.03 ha;

*ADGB Trade Union School* (component 7):  
Total of the nominated component: 3.44 ha.  
Buffer zone: 17.24 ha.

The *Houses with Balcony Access* contain a total of ninety two- to three-room flats, currently housing one hundred and three residents. In the *ADGB Trade Union School*, the teachers' residences currently house fifteen inhabitants.

In the case of the *Houses with Balcony Access*, the boundaries of the buffer zone were initially too narrow because they were confined to the buildings facing their fronts on either side of the street and to the adjacent plots on the rear façade. The plot of land on which each of the houses was built is included and well-delineated either by the street or by other buildings. The buffer zone, at ICOMOS's request, has been extended to include the area of the urban plan drawn by the Bauhaus building department, in which multi-storey and low-rise buildings were intended to co-exist, with the streets that served them. To the north, the buffer zone is connected to Walter Gropius' previous housing development. To the west, it stops along the terraced buildings that were planned and built by Richard Paulick, who was Gropius' assistant. The other limits are adjusted to the streets and plots of Hannes Meyer's comprehensive plan.

In the case of the *ADGB Trade Union School*, the boundaries of the nominated extension were originally confined only to the perimeter of the buildings inherited from the Bauhaus period and to the entrance element. In addition to the school complex, the teachers' residences and the transformer hut, the outdoor elements of the *ADGB Trade Union School* now includes, at ICOMOS's request, the driveway roundabout in front of the main building, the historic forest edge, the land levelled by the Bauhaus and the water pond surrounded by trees to the rear, and the free spaces around the built structures to the east and north. The buffer zone includes the 1950s extensions and, more globally, all the buildings belonging to the Hannes-Meyer Campus. The Fritz-Heckert-Straße that leads to its main entrance is also included, which ensures a protected view from a short distance (around 0.5 km).

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ICOMOS considers that the boundaries of the proposed serial extension and its buffer zone are adequate.

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#### **Ownership**

The "Housing Cooperative Dessau eG" owns the *Houses with Balcony Access*. This is a mutual association providing its members with residential accommodation, *i.e.* renting out to tenants who have been accepted as members and pay a mandatory stake.

The landowner of the *ADGB Trade Union School* is the city of Bernau, which has to approve any substantial change to the edifices. The Federal State of Brandenburg represented by its Agency for Properties and Construction owns the historical buildings (school, teachers' residences, transformer hut). The subsidiary building right

holder (or leaseholder) of the School building is the Berlin Chamber of Crafts.

#### **Protection**

After the fall of the German Democratic Republic, the *Houses with Balcony Access* were designated in 1994 as an architectural monument according to the Monuments Protection Act of Saxony-Anhalt (article 18, October 1991, amended by the Third Investment Relief Act, December 2005). In September 1994, the "Conservation and Design Statutes of the city of Dessau for the preservation of the city's singular urban planning and for the protection of the appearance of the estate and houses of the Bauhaus housing estate in Dessau-Törten, including the *Houses with Balcony Access* in Peterholzstraße and Mittelbreite and the L. Fischer houses in Großring" entered into force. These Statutes regulate structure monitoring and maintenance of the proposed extension. In 2015, they were integrated in the Federal Building Code and in the Building Law of Saxony-Anhalt. The buffer zone benefits from environmental protection within the Monuments Protection Act of Saxony-Anhalt, cited above.

Similarly, the *ADGB Trade Union School* was listed in 1991 as an architectural monument on the register of monuments of the State of Brandenburg, on behalf of the Monuments Protection Act (July 1991, last revised in May 2004). The buffer zone is also covered as a monumental area by the same law. The Statutes for the Protection of the monumental Area "Bauhaus Monument: ADGB Trade Union School Bernau" were established in November 2014. They protect the urban planning context whose outer limits coincide with the property's buffer zone, determine targets for the protection of the different parts of the School, and organize an integrative maintenance. Laws at national, regional and municipal levels regulate the protection of the proposed extension.

At national level, the Federal Building Code, the Federal Regional Planning Act and the Federal Land Use ordinance combine to give the Federal Republic of Germany its main framework for urban development and building projects. Within this framework, monuments protection is organised by the laws of the Federated States, Monuments Protection Act of Saxony-Anhalt (October 1991) and Monuments Protection Act of Brandenburg (July 1991), which incorporate the latest provisions on conservation. Both States have services to implement these provisions: State Office for Heritage Management and Archaeology (in charge of the rules), Superior Monument Protection Authority (in charge of the technical supervision), on behalf of the minister of Education and Cultural Affairs, in Saxony-Anhalt; State Office for the Preservation of Monuments and the Archaeological Museums, in Brandenburg, on behalf of the minister of Science, Research and Cultural Affairs. Finally, the Bauhaus City Master Plan (Dessau) and the Monumental Area Statutes (Bernau) have drafted local regulations in both cases, applicable to the boundaries and buffer zones of the proposed extension.

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ICOMOS considers that the legal protection in place for the proposed serial extension and the buffer zones are appropriate.

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### Conservation

The Bauhaus Dessau Foundation has access to the archives left by the Bauhaus institution and masters. Several inventories of the *Houses with Balcony Access* have been made since 1989 (by the Weimar School of Architecture), especially in relation to the procedures of renovation. The last record dates back to September 2015. The Brandenburg State Office made a complete assessment of the *ADGB Trade Union School* in May 2007. In November 1998 Winfried Brenne Architekten made a review of the building history, followed by a conservation survey and catalogue of measures in November 2006. The nomination dossier provides substantial evidence of these resources, knowledge and work.

In addition, several research and operational instruments are available. In Dessau, the Bauhaus City Master Plan came into force in June 2012. The objectives consist of realising a Bauhaus Museum as an exhibition centre for the Bauhaus Dessau Foundation's collection (to be opened in 2019). In Bernau, a preparatory land-use plan was drawn up in November 2007, applied in September 2008 and updated since. In this plan, the grounds of the former *ADGB Trade Union School* are classified as institutional building land with educational use.

ICOMOS considers that, both in Dessau and Bernau, the knowledge of the property's components is good and the operational tools well documented.

The State Party considers that the state of conservation of the property is good. The volumes of the *Houses with Balcony Access* are unchanged, the façades retain their original appearance, and the supporting structures (hollow-core slabs, in-fill brickwork) are intact. The extensive glazing of the staircases was blown out by accident just after World War II and has so far been reconstructed on just one of the five houses. In 1993, all the windows were replaced with thicker frames and double glazing for better insulation, meaning that there is some difference in width and colour to the original frames. In 1994, the roof membranes were renewed on all the buildings. The five houses were comprehensively renovated from 1996 to 1998, after a detailed analysis of their existing condition and research in the Bauhaus archives.

In a similar way, the *ADGB Trade Union School* has never been vacant and has always been used for educational purposes, despite significant variations over time. A conservation Master Plan was drafted in 1998. It relied both on a detailed analysis of the condition, structure and materials of the complex, and on the Bauhaus' original plans. It identified the areas worthy of refurbishment and the damaged areas to be returned to their original state, and it suggested solutions for the more recent changes.

The plan was carried out from 2001 to 2008 in the school and up to 2010 in the teachers' residences.

ICOMOS acknowledges the maintenance effort that helped keep the *Houses with Balcony Access* in a good state of conservation. The outward form of the blocks is fine, while the apartments have resisted significant alterations. The active conservation measures fit into the global approach decided in 1996 and the maintenance appears to be regular and carried out by technical experts. Similarly, as far as it's been possible since the heavy modifications of the 1950's, the *ADGB Trade Union School* is in a good state of conservation, based on thorough research.

There is on-going maintenance of the five *Houses with Balcony Access*. Any decision is preceded by expert analysis and the Superior Monument Protection Authority of Saxony-Anhalt supervises the planned measures. The *ADGB Trade Union School* benefits also from on-going maintenance, led by the Brandenburg State Agency for Properties and Construction and by the Berlin Chamber of Crafts.

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ICOMOS considers that the conservation measures of the proposed serial extension are effectively planned and organised. ICOMOS suggests that the glazing of the staircases on four of the *Houses with Balcony Access* be restored, when the opportunity arises, and that special attention continues to be paid to the *ADGB Trade Union School's* surrounding landscape.

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### Management

Management structures and processes, including traditional management processes

The locations of the original and extended property are spread across three of Germany's Federated States and managed by five owners, while being coordinated on the basis of heritage values by the Bauhaus Dessau Foundation. The management system was set up in 1996, when the first five sites were designated.

This system, which will also be used for the extended property's benefit, relies first on dependable use, either identical (housing in Dessau) or adaptable (training centre in Bernau). It relies secondly on a robust network, which gathers together owners, users or tenants, institutions and heritage authorities. This network is coordinated and chaired by the Bauhaus Dessau Foundation, which is responsible for site management, cross-cutting issues, communication, protection policy and research (in connection with the Universities in Berlin, Potsdam, Frankfurt and Cottbus). As a last resort, in the event of a conflict, the city of Dessau and the administrative district of Barnim would decide about permits under the urban planning legislation, while monument authorities of the Federated States would enforce protection laws. The combined effect of Federal laws and regional town planning guarantees the protection of the property's surroundings. Supervised by the Bauhaus Dessau

Foundation, a Steering Group with representatives of the authorities (ministries responsible for the protection and maintenance of monuments and heritage offices of the participating Federated States) and owners is in charge of the communication and coordinates all activities in relation to research and presentation of the property and of the proposed extension.

Under the Monuments Protection Act of Saxony-Anhalt, the “Housing Cooperative Dessau” is responsible for the maintenance of the *Houses with Balcony Access*. The city and the State provide the appropriate personnel for any backup operation.

Under the Monuments Protection Act of Brandenburg, the State of Brandenburg is responsible for the maintenance of the *ADGB Trade Union School*. In 2005, during the restoration campaign completed in 2010, the tenant (Berlin Chamber of Crafts) drafted a maintenance plan for the next ten years, while both partners shared the funding. In July 2015, the Federal Ministry for the Environment granted 1.2 million Euros, and the city of Bernau 600,000 Euros, for the development of the School.

Policy framework: management plans and arrangements, including visitor management and presentation

A long-term plan for the *Houses with Balcony Access* exists within the general heritage conservation plan of Saxony-Anhalt. Specific investment, renovation and building maintenance are planned on this basis, using the extensive documentation and records produced over the course of the 1998 renovation campaign. Guided tours, exhibitions, and press releases are regularly organised by the Bauhaus Dessau Foundation, according to its own 2012 master plan, which aims to promote the World Heritage sites to the general public.

In 2005, the city of Bernau, Federated State of Brandenburg, Berlin Chamber of Crafts and Bauhaus Dessau Foundation drew up a maintenance plan for the *ADGB Trade Union School*. Since 2014 the “Statutes for the protection of the Bauhaus Monumental Area” safeguard the integrity of the grounds within the buffer zone. Pursuant to the Statutes, a master plan for the outdoor area was drawn up in 2014, aimed at reviving the original natural landscape of the complex. The “Baudenkmal Bundesschule Bernau” foundation organises guided tours (on five dates per year and on the basis of individual agreements) and promotes special events such as the Heritage Open Days.

ICOMOS notes the efforts made by the State Party to elaborate on the presentation of the Bauhaus and its sites as a whole to the general public, and particularly to provide more material written in English.

Involvement of the local communities

The local “Housing Cooperative Dessau eG” encourages broad-minded attitudes among the residents of the *Houses with Balcony Access*, in relation to the specifics

of heritage conservation. Their co-operation is a cornerstone of the management policy.

The “Baudenkmal Bundesschule Bernau” association is highly committed to safeguarding and promoting the *ADGB Trade Union School*. It was founded in 1990 and, from that year onwards, its members dedicated themselves to rescuing the complex. In 2011, a foundation was set up on behalf of the association to help promote and restore the School. Its members include representatives of the city of Bernau, the Berlin Chamber of Crafts, the administrative district of Barnim, and its sponsor, the bank Sparkasse Barnim. The foundation has set up a website, placed panels outside various buildings, published brochures and made a documentary film.

ICOMOS considers that the management system has proven itself, allowing long-term preservation of the *Houses with Balcony Access* and careful restoration of the *ADGB Trade Union School*. ICOMOS considers that the cross-cutting management system, co-ordinated by the Bauhaus Dessau Foundation, is adequate. The owners, leaseholders and users are directly involved in the maintenance and upkeep of the property. The local community takes an active part in this effort. Expertise is abundant from all public and private partners in all fields.

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ICOMOS considers that the management system is adequate.

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## 6 Monitoring

Since the Bauhaus and its sites were first listed on the World Heritage List (1996), monitoring has been carried out several times by the Federated States of Thuringia (Weimar) and Saxony-Anhalt (Dessau).

The “Housing Cooperative Dessau” undertakes regular inspection of the *Houses with Balcony Access*, paying special attention to cubature, structure, material and façade surfaces. Cracks to the reinforced concrete sections of the access balconies were, for instance, detected and repaired.

The Federated State of Brandenburg and the Berlin Chamber of Crafts undertake regular inspection of the *ADGB Trade Union School*, paying special attention to the fabric of Meyer’s historic building, particularly the façades, roofs, design of interior spaces and fittings. They detected and fixed localised damp spots in the cellar and cracks in the floor slab of the foyer.

ICOMOS considers that the monitoring of buildings, open spaces and work in the proposed extension are fully documented, adequate and regularly carried out *in situ* by competent inspectors. Nevertheless, ICOMOS considers that the indicators could be slightly more detailed. Such indicators as “staff resources” or “events” are a bit vague and do not provide real information about the monitoring policy, even if the proposed extension is not to be widely opened to tourism due to its current use.

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ICOMOS considers that the monitoring measures for the property are adequate in regards to building maintenance and landscape survey. ICOMOS recommends that the monitoring indicators be more looked into and detailed.

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## 7 Conclusions

ICOMOS considers that the *Houses with Balcony Access* in Dessau and the *ADGB Trade Union School* in Bernau complement the serial property of the “Bauhaus and its Sites in Weimar and Dessau”, which honoured the contribution of the Weimar *Art Schools* to the birth of the Modern Movement, and highlighted the *Bauhaus Building* in Dessau as a star of “white modernism”, under the leadership of Walter Gropius. The extension celebrates the work realised by the Bauhaus building department in the 1930s. It epitomizes collective and pedagogic work in architecture, and reflects a method based on science, function, economy and social dedication. Carefully designed, austere but dynamic and organic, Hannes Meyer’s buildings openly display structure and material. They help the understanding of the long-lasting influence of the Bauhaus on 20<sup>th</sup> century world architecture.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that the proposed extension of the Bauhaus and its Sites in Weimar and Dessau, to include the Houses with Balcony Access in Dessau and the ADGB Trade Union School in Bernau and to become The Bauhaus and its Sites in Weimar, Dessau and Bernau Germany, be approved on the basis of **criteria (ii), (iv) and (vi)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

Between 1919 and 1933, the Bauhaus School, based first in Weimar and then in Dessau, revolutionized architectural and aesthetic concepts and practices. The buildings created and decorated by the School’s professors (Henry van de Velde, Walter Gropius, Hannes Meyer, Laszlo Moholy-Nagy and Wassily Kandinsky) launched the Modern Movement, which shaped much of the architecture of the 20<sup>th</sup> century and beyond. Component parts of the property are the *Former Art School*, the *Applied Art School* and the *Haus am Horn* in Weimar, the *Bauhaus Building*, the group of seven *Masters’ Houses* and the *Houses with Balcony Access* in Dessau, and the *ADGB Trade Union School* in Bernau. The Bauhaus represents the desire to develop a modern architecture using the new materials of the time (reinforced concrete, glass, steel) and construction methods (skeleton construction, glass facades). Based on the principle of function, the form of the buildings rejects the traditional, historical symbols of representation. In a

severely abstract process, the architectural forms – both the subdivided building structure and the individual structural elements – are reduced to their primary, basic forms; they derive their expression, characteristic of Modernist architecture, from a composition of interconnecting cubes in suggestive spatial transparency.

The Bauhaus was a centre for new ideas and consequently attracted progressive architects and artists. The Bauhaus School has become the symbol of modern architecture, both for its educational theory and its buildings, throughout the world, and is inseparable from the name of Walter Gropius. Hannes Meyer, his successor as director of the Bauhaus, realized the idea of collective work on a building project within the framework of training in the Bauhaus’s building department. These buildings stand for an architectural quality that derives from the scientifically-based design methodology and the functional-economic design with social objectives. The Bauhaus itself and the other buildings designed by the masters of the Bauhaus are fundamental representatives of Classical Modernism and as such are essential components, which represent the 20<sup>th</sup> century. Their consistent artistic grandeur is a reminder of the still-uncompleted project for “modernity with a human face”, which sought to use the technical and intellectual resources at its disposal not in a destructive way but to create a living environment worthy of human aspirations.

For this reason, they are important monuments not only for art and culture, but also for the historic ideas of the 20<sup>th</sup> century. Even though the Bauhaus philosophy of social reform turned out to be little more than wishful thinking, its utopian ideal became reality through the form of its architecture. Its direct accessibility still has the power to fascinate and belongs to the people of all nations as their cultural heritage.

**Criterion (ii):** The Bauhaus buildings in Weimar, Dessau and Bernau are central works of European modern art, embodying an avant-garde conception directed towards a radical renewal of architecture and design in a unique and widely influential way. They testify to the cultural blossoming of Modernism, which began here, and has had an effect worldwide.

**Criterion (iv):** The Bauhaus itself and the other buildings designed by the masters of the Bauhaus are fundamental representatives of Classical Modernism and as such are essential components which represent the 20<sup>th</sup> century. The *Houses with Balcony Access* in Dessau and the *ADGB Trade Union School* are unique products of the Bauhaus’s goal of unity of practice and teaching.

**Criterion (vi):** The Bauhaus architectural school was the foundation of the Modern Movement which was to revolutionise artistic and architectural thinking and practice in the 20<sup>th</sup> century.

## Integrity

The Bauhaus and its Sites in Weimar, Dessau and Bernau includes all elements necessary to express the Outstanding Universal Value of the property, reflecting the development of Modernism, which was to have worldwide influence in the visual arts, applied art, architecture, and urban planning. The seven component parts are of adequate size to ensure protection of the features and processes which convey the significance of the property.

## Authenticity

Although the three buildings in Weimar have undergone several alterations and partial reconstructions, their authenticity is attested (apart from the reconstructed murals in the two Schools). Similarly, despite the level of reconstruction, the *Bauhaus Building* in Dessau preserves its original appearance and atmosphere, largely thanks to the major restoration work carried out in 1976. As for the *Masters' Houses*, the restoration work carried out was based on thorough research and may be judged to meet the test of authenticity. The *Houses with Balcony Access* and the *ADGB Trade Union School* largely preserve their original state in terms of form, design, material and substance and thereby provide authentic evidence of the sole architectural legacies of the Bauhaus building department.

## Management and protection requirements

The two former *Art Schools*, the *Applied Art School* and the *Haus am Horn* in Weimar are protected by listing in the Register of Historical Monuments of the Free State of Thuringia as unique historical monuments under the provisions of the Thuringian Protection of Historic Monuments Act of 7 January 1992. The Bauhaus, the *Masters' Houses* and the *Houses with Balcony Access* are listed in the equivalent Register of the State of Saxony-Anhalt (Protection of Historical Monuments Act of 21 October 1991). The *ADGB Trade Union School* is registered on the monuments list of the Federal State of Brandenburg and is therefore protected by its law for the protection and conservation of historical monuments of 22 July 1991. The *Bauhaus Building* and the *Masters' Houses* are used by the Bauhaus Dessau Foundation, a public foundation. In Weimar, Dessau and Bernau the status of registered historic monuments guarantees that the requirements for monument protection will be taken into account in any regional development plans. There is also a buffer zone, reflecting a monument zone, for the protection of the World Heritage property.

Overall responsibility for protection of the Weimar monuments is with the State Chancellery of the Free State of Thuringia, for those in Dessau with the Ministry of Culture of the State of Saxony-Anhalt, and in Bernau with the Ministry of Science, Research and Culture of the State of Brandenburg, in all cases operating through their respective State Offices for the Preservation of Historical Monuments.

Direct management is assigned to the appropriate State and municipal authorities, operating under their respective protection regulations. In Dessau, the site of the *Bauhaus* itself and the *Masters' Houses* are managed by the Foundation Bauhaus Dessau (Stiftung Bauhaus Dessau). The respective monument protection acts of the Federal States ensure the conservation and maintenance of the objects and clarify areas and means of action. The largely identical aims, regulations and principles of these acts establish a uniform legislative basis for the management of the components at the different sites. A steering group with representatives of the owners and the authorities involved acts as a communication platform and coordinates overarching activities concerning compliance with the World Heritage Convention or the research into and the presentation of World Heritage.

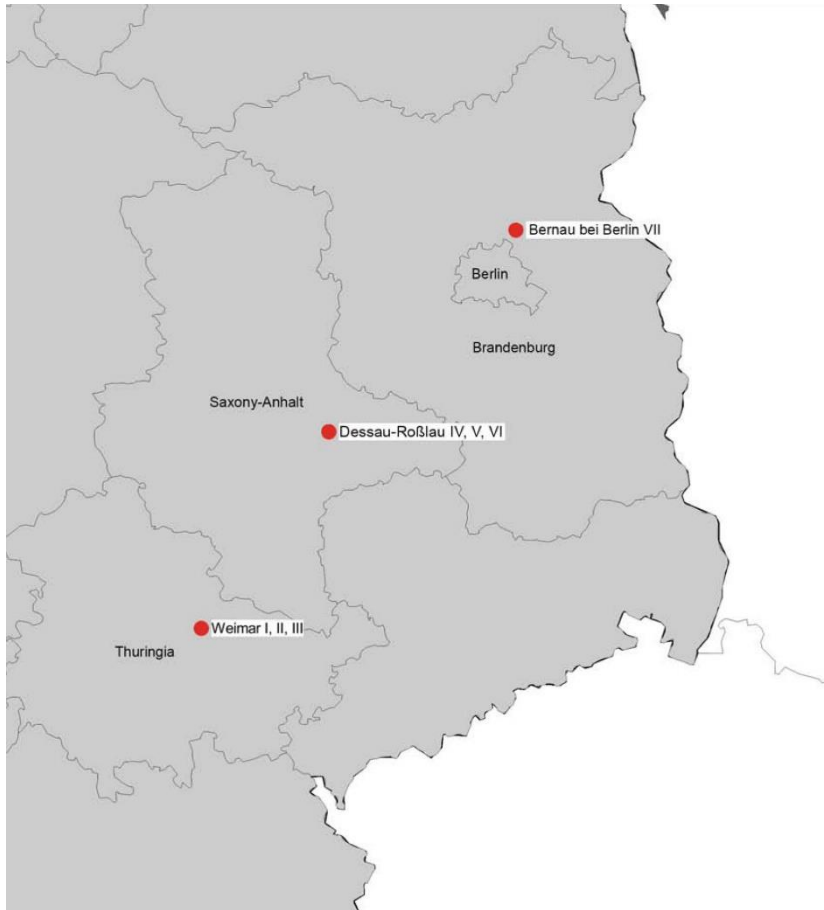
## Additional recommendations

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

- a) Considering the restoration of the glazing of the staircases on four of the *Houses with Balcony Access*,
- b) Giving special attention to the *ADGB Trade Union School's* surrounding landscape,
- c) Detailing the monitoring indicators;







Map showing the location of the nominated properties



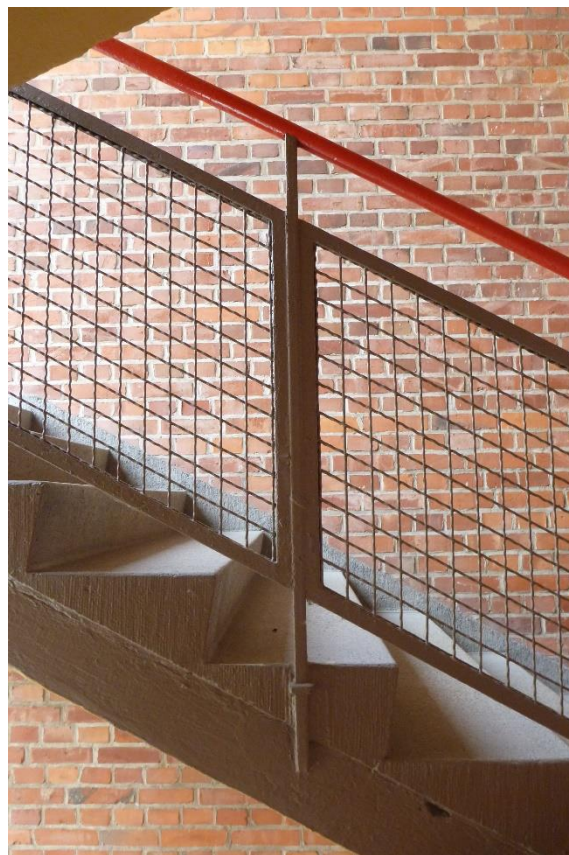
Overall view of the ADGB Trade Union School



Canteen – ADGB Trade Union School



Houses with Balcony Access



Detail of interior staircase



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## Luther sites (Germany) No 783bis

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### Official name as proposed by the State Party

Luther Sites in Central Germany

### Location

Saxony-Anhalt: Lutherstadt Eisleben, Mansfeld,  
Lutherstadt Wittenberg

Saxony: Torgau

Bavaria: Coburg

Thuringia: Erfurt

Federal Republic of Germany

### Brief description

The nomination presents 12 additional components to be added to the six forming the series of the Luther Memorials in Eisleben and Wittenberg, inscribed on the World Heritage List in 1996 under criteria (iv) and (vi). The twelve proposed components include: the Church of St. Peter and Paul which is known as Luther's baptismal church, St. Anne's Church and Monastery, founded by Luther, St. Andrew's Church, where Luther preached his last four sermons, all in Lutherstadt Eisleben; Wittenberg Castle, attached to the Castle Church, the Collegium Augusteum, built in the former Augustinian Monastery 20 years after Luther's death, the Bugenhagen House, Wittenberg parish parsonage, the Cranach houses, all in Lutherstadt Wittenberg; Luther's parental home and St. George's Church in Mansfeld, the parish church attended by Luther in his childhood; Hartenfels Castle in Torgau; Veste Coburg, where Luther stayed during the Diet of Augsburg; and the Augustinian Monastery in Erfurt, where Luther began his life as a monk.

### Category of property

In terms of categories of cultural property set out in Article I of the 1972 World Heritage Convention, this is an extension of 12 *monuments* to the 6 *monuments* already inscribed.

## 1 Basic data

### Included in the Tentative List

15 January 2015

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

22 January 2016

## Background

This is a proposed extension of the serial property Luther's Memorials in Eisleben and Wittenberg, inscribed on the World Heritage List in 1996 under criteria (iv) and (vi).

The nomination dossier states also that the original property is proposed for re-nomination under the same criteria as the inscribed property.

ICOMOS notes that, according to the *Operational Guidelines*, re-nomination is a process, which applies when inscribed properties are proposed for additional or fewer criteria under which they were originally inscribed or when a significant boundary modification is proposed. In this case, no additional criteria are proposed to the ones under which the property was inscribed, therefore ICOMOS has assessed this property as an extension.

## Consultations

ICOMOS has consulted several independent experts.

## Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 20 to 24 September 2016.

## Additional information received by ICOMOS

ICOMOS sent a letter to the State Party on 20 October 2016 requesting additional information on the rationale for the selection of the components forming the extension and on the extent of the restoration works carried out at the components. The State Party responded on 18 November 2016 and the information provided is integrated in the relevant sections of this report.

Following the ICOMOS Panel meeting of November 2016 and the meeting organised with the States Parties during this session, the State Party submitted additional information on 6 December 2016 regarding the sources of justification for the extension and of the expanded Statement of Outstanding Universal Value, for the rationale and for the justification of the selection of the components.

On 16 January 2017, ICOMOS sent an Interim Report to the State Party and the State Party answered on 23 February 2017. The additional information submitted has been incorporated in the relevant sections of this report.

## Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

The nominated serial property proposes to extend the World Heritage Property "Luther memorials in Eisleben and Wittenberg" by adding 12 additional components which are said to be associated in different ways to key figures who initiated or contributed to the early stages of

the Reformation, namely Luther's colleagues, allies and supporters, and which held early appreciation and appeal for the believers. They are also said to illustrate through their architectural and artistic qualities – mainly late Gothic and Renaissance – the history of the Reformation.

The twelve proposed components are described below.

**The Church of St. Peter and Paul, Lutherstadt Eisleben**  
The church preserves the baptismal basin from Luther's time; however the specific site of Martin Luther's baptism is not known and the nomination dossier reports that it could have taken place in the earlier church building not far from today's structure, as this was under construction at the time, with only the chapel tower completed by 1474. In 2011-2012, the ensemble was reconstructed into a Baptism Centre.

**St. Anne's Church and Monastery, Lutherstadt Eisleben**  
The monastery church of St. Anne possesses a late Gothic and Renaissance interior, with stuccowork, a carved wooden altar and a crucifix, both dating from around 1510-1515, a choir stall frontage, and stained glass windows. The church houses the tombs of the Counts of Mansfeld-Hinterort, who supported the Reformation. The Augustinian hermitage adjoins perpendicularly the nave of St. Anne's Church on its south side: it includes structures dating to the 15<sup>th</sup>, 16<sup>th</sup>, 17<sup>th</sup> and 19<sup>th</sup> centuries.

**St. Andrew's Church, Lutherstadt Eisleben**  
St. Andrew's Church was built on the western side of the historic centre of Eisleben, between the 13<sup>th</sup> and the 17<sup>th</sup> centuries. Externally it maintains an austere character. Its interior preserves a late Gothic winged altar, a pulpit, from which Luther preached his last four sermons, and a sculptural group of the coronation of the Virgin Mary. The church was the workplace of reformatory preacher and superintendent, Kaspar Güttel, and the burial place of the Counts of Mansfeld.

**Wittenberg Castle, Lutherstadt Wittenberg**  
The castle was built by the Wettin Electors from 1423 onwards according to new architectural forms, although not much survives from this date (see history and development section). The large and imposing construction preserves regular façades with dormer windows, an imposing residential tower, vaulted loggias and staircases. The adjoining Castle Church, added later to the castle, is already part of the inscribed property. The nomination dossier reports that Melancthon was involved in the arrangement of the castle and its library and that, although no records remain regarding Luther's presence at the castle, it is likely that he used the library.

**The former Collegium Augusteum, Lutherstadt Wittenberg**  
The Collegium was built in 1565 in the former Augustinian monastery, as an educational institution under the court's sponsorship. It is a long rectangular building with two perpendicular wings, regular façades and a steep roof. The central part housed a university library, previously in Wittenberg Castle. The current

appearance of the Collegium is the result of transformations which occurred over the centuries. The Collegium is said to be one of three surviving college buildings from the 16<sup>th</sup> century and still performing educational functions.

**Bugenhagen House, Lutherstadt Wittenberg**  
The building, named after Johannes Bugenhagen, supporter of the Reformation and pastor in Wittenberg, is a long two-storey building, incorporating elements dating back to the early 16<sup>th</sup> century but mainly resulting from transformations occurring in the late 16<sup>th</sup>, 17<sup>th</sup>, 18<sup>th</sup> and 20<sup>th</sup> centuries. It is said to have served as the first surviving Protestant pastor's house and continued to be used as a parsonage for the Protestant town parish for more than 500 years, until the end of the 20<sup>th</sup> century. Today the building serves as a parish meeting place as well as for religious or cultural events.

**Cranach houses, Lutherstadt Wittenberg**  
The building blocks at Markt 4 and Schlosstraße 1 are associated with Lucas Cranach the Elder and his son, Lucas Cranach the Younger, who contributed to the spread of the Reformation message through their art. The actual buildings are the result of repeated subsequent rebuilding in later periods. The artists' workshop is known to be located at this block, although substantial transformations prevent identification of the functions and appearance of the spaces of that time. Luther's translation of the New Testament is said to have been printed at this site. The block at Schlosstraße 1 comprises a house at the front and six outbuildings enclosing a courtyard. The house was reconstructed in Renaissance style in the 19<sup>th</sup> century and the other buildings also underwent modifications. The nomination dossier states that it may have served as a dwelling in the 16<sup>th</sup> century and as the artists' studio.

**Luther's parental home, Mansfeld**  
Luther lived here with his family between 1484 and 1497. It became the museum of Luther's family in the late 19<sup>th</sup> century, although recent research has proved that less than one third is original. The site is said to attest to the high status of the family. Archaeological research conducted on-site has revealed information on the lifestyle of Luther's family.

**St. George's Church, Mansfeld**  
The church is comprised of four buildings dating back to the 15<sup>th</sup> century. The exterior exhibits a sober appearance of late Gothic tone, with unplastered stone walls and a west tower completed by an octagonal bell tower. Internally it preserves a carved wood retable and other artistic works. The nomination dossier explains that Martin Luther might have got his first impression of the religious life in this church.

**Hartenfels Castle, Torgau**  
The castle is a large towered building complex located on a hill along the left bank of the Elbe River at the eastern side of Torgau. Buildings of different sizes and eras, dating from the late Middle Ages, remodeled in

subsequent centuries, encircle a large irregular courtyard. It was the Residence of the Electors of Saxony. The castle chapel was conceived according to Reformation principles and consecrated by Luther in 1544. The castle suffered substantial alterations in the subsequent centuries (see historic development section below).

#### Veste Coburg, Erfurt

The Veste dominates the landscape with its towers, the steep roof of the armoury and the powerful fortifications. Luther is said to have stayed at the Castle during the Diet of Augsburg (April-October 1530): testimonies to this are the Luther Room and Chapel, the latter the result of 19<sup>th</sup> – 20<sup>th</sup> century interventions.

#### Augustinian Monastery, Erfurt

The monastic complex, located in the northern part of the city, exhibits the structure of a medieval monastery, with the church oriented from west to east and the cloister adjoining the church to the south. Original surviving artistic works include stained glass windows, an altar table and a gravestone. From 1505 to 1511, Luther spent seven years in the monastery, at the beginning of his religious life. The veneration of his cell is already documented as a memorial site in 1651. The original was damaged by a fire in 1872 but rebuilt, historically modelled on the original. An air-raid in 1945 destroyed much of the monastery.

#### Luther's memorials in Wittenberg and Eisleben inscribed property

The original inscribed property comprises six components related to the lives of Martin Luther and Philip Melancthon, namely, Melancthon's house in Wittenberg, Luther's birthplace (1483) and the house where he died (1546), both in Eisleben, Luther's Halle in Wittenberg, where he spent most of his life and carried out much of his theological work, the Town Church, and the Castle Church, where tradition tells that Luther posted his famous ninety-five Theses in October 1517, which is seen as the first act of the launching of the Reformation.

### History and development

#### Church of St. Peter and Paul, Lutherstadt Eisleben

The construction of this church began in 1447 and seems to have been completed in all its parts in 1513-1518. The church was renovated several times through the 18<sup>th</sup>, 19<sup>th</sup>, and 20<sup>th</sup> centuries. Substantial interventions date back to 1834-1837, when several architectural and artistic late-Gothic, Renaissance and Baroque features were removed. By the end of the 19<sup>th</sup> century, the west tower was assumed to be Luther's place of baptism, and in the early 21<sup>st</sup> century its interior was reconstructed to evoke this event

#### St. Anne's Church and Monastery, Lutherstadt Eisleben

The construction of the church began in 1514 and in 1516 the choir was consecrated. The construction of the church was resumed only between 1585 and 1608, forty years after Luther's death. Restoration was carried out in 1846-1856 and throughout the 20<sup>th</sup> century. The monastery was

founded by Martin Luther in 1515, and by 1520, the monastery was functioning. With the Reformation, it was deserted after 1523 and was then used as the residence of St. Anne's deacons until 1808.

#### St. Andrew's Church, Lutherstadt Eisleben

The church was rebuilt in the 15<sup>th</sup> century on the site of an earlier church, of which only parts of the foundations survive. Interventions were carried out in the 17<sup>th</sup> and 18<sup>th</sup> centuries to repair the roof and to remodel the interior. In 1876-1877, restoration interventions removed the Baroque additions.

#### Wittenberg Castle, Lutherstadt Wittenberg

The complex was initiated in 1500 by Elector Friedrich III of Saxony. The castle included princely dwelling quarters, official meeting rooms and the court-collegiate church and service buildings, of which archaeological remains survive. The castle lost its importance from the mid-16<sup>th</sup> century and in 1760 it was destroyed by fire. From 1765, it was reconstructed as a granary and a church. Following the Napoleonic wars, its west and south wings were used as defenses (1820) and as an accommodation barrack (1878). Much of the medieval interior structure was removed in these reconstruction phases.

#### The former Collegium Augusteum, Lutherstadt Wittenberg

It was built in 1565 to house Wittenberg University – the Leucorea – to which it belonged until 1816 when the University was closed. It was then used as a college by the theological seminary. Since 2015, the Collegium Augusteum has been used as a museum and exhibition space. The main phases of remodeling date back to 1581-1582, when the frontage building was erected, and to the 18<sup>th</sup> century, when the building acquired its current appearance. In the 19<sup>th</sup> century, substantial works were carried out at the Augusteum, based on plans for the modification and standardization of the structure.

#### Bugenhagen House, Lutherstadt Wittenberg

The construction of the building complex began in 1521-1522 and its layout and structures had undergone several adaptations already by the 16<sup>th</sup> century. Between the 17<sup>th</sup> and 20<sup>th</sup> centuries the vicarage was subject to several modifications. In 1910, a major reconstruction gave the house its current appearance.

#### Cranach houses, Lutherstadt Wittenberg

The Markt 4 block buildings were built in subsequent phases in the 16<sup>th</sup> century and then substantially reshaped in the 17<sup>th</sup>, 19<sup>th</sup> and 20<sup>th</sup> centuries to the extent that it is difficult to reconstruct the appearance and functions of the various buildings.

The Schloßstraße 1 plot existed already in the Middle Ages. However, the built property encompasses various buildings resulting from several construction and reconstruction phases dating to the 16<sup>th</sup>, and early and late 19<sup>th</sup> centuries.

Luther's parental home, Mansfeld

The house was extended in 1510 by Martin Luther's father and works were completed by 1530. The building suffered major alterations and partial demolition in the early 19<sup>th</sup> century. What survived of the house was protected in 1840 for its historic value and, in 1885-1887, a memorial to Luther was established in the attic storey. The house was restored in 2014 and a new building was added, to expand the exhibition, as the house operates as a museum dedicated to Luther.

St. George's Church, Mansfeld

The church was under construction when Martin Luther lived in Mansfeld. It was consecrated in 1497 and extended in 1518 (sanctuary) and 1548 (upper floor of the tower). Renovation works were done in the 17<sup>th</sup> century, and restoration carried out in the 19<sup>th</sup> and again in the 20<sup>th</sup> centuries.

Hartenfels Castle, Torgau

The earlier fortress was converted into a castle beginning in the 15<sup>th</sup> century and fully completed in the 16<sup>th</sup> century, under the Ernestine Electorate of Saxony. The chapel inside the castle was modelled to meet the ideas and requirements of the reformed Church. The castle was completed in the first quarter of the 17<sup>th</sup> century but it was badly damaged during the Thirty Years' War and repaired in 1660. In the late 18<sup>th</sup> century the castle was abandoned and, in the 19<sup>th</sup> century, was converted into a military barracks until 1913. Extensive renovation was carried out between 1927 and 1932 according to heritage conservation principles, to house the Prussian justice administration. The chapel was also substantially restored on various occasions related to the celebration of Luther's and Reformation anniversaries.

Veste Coburg, Erfurt

The Veste Coburg was built at the turn of the 12<sup>th</sup> – 13<sup>th</sup> century and was substantially transformed and expanded during the time of the Electors of Saxony. The present building is the result of two reconstruction phases carried out in 1837-1860 following historicism principles, to include a Reformer's room, and again in 1906-1923, to renovate the church as Luther's chapel.

Augustinian Monastery, Erfurt

The current buildings are the result of a post-war reconstruction as the previous monastery structures were badly damaged or destroyed during an air-raid in 1945. The reconstructed Augustinian monastery has housed the Evangelical Theological School since 1960. After 1990, several interventions were carried out, including restoration and completion of buildings.

### **3 Justification for inscription, integrity and authenticity**

#### **Comparative analysis**

The rationale for the comparative analysis of the serial proposed extension considers different factors that engendered change in religious movements and their

pioneers, as well as the properties associated with these changes. The nomination dossier explores Judaism and the Essene community, Buddhism and the Gelug School, Confucianism and Qufu, and Christianity and Heretical and poverty movements in the Middle Ages. Several properties have been considered as relevant comparators for their association with religious reformist movements.

ICOMOS considers that the analysis carried out by the State Party on different religious movements and the factors that stimulated the development of movements for change is extremely interesting and refined. However, it should be noted that the World Heritage Convention is a property-based convention; therefore, movements or ideas are not the object of inscription. ICOMOS does not assess or compare religions, beliefs or ideas, but rather the direct and tangible associations that the property conveys with ideas or beliefs. On the other hand, the World Heritage Committee had already recognized the world significance of the inscribed serial property in relation to its historic and memorial significance in relation to Luther's and Melanchthon's roles as fathers of the Reformation.

The nomination dossier states the rationale for the proposed serial extension, explaining that it aims at emphasizing the significance of the birth of the Reformation as a central period in the history of humanity and to increase the integrity of the inscribed property, whilst respecting the original approach of the early nomination and inscribed property, which focused on Luther as the initiator of the Reformation. It then discusses the reasons for choosing each component, for some of which comparison with potential alternative candidates is provided.

On 20 October 2016, ICOMOS requested additional information with regard to the rationale for the selection of the additional components and how they amplify the Outstanding Universal Value of the inscribed property in a specific and original manner.

The State Party replied on 18 November 2016, explaining that the attributes of the proposed components would complete and strengthen the different facets of the inscribed property, namely the stations of Luther's life, the origins of the Reformation in Central Germany, exemplifying the network of the Reformation and its political and social milieu, and commemorate Martin Luther and the reformatory message. Specific explanations for each component were also summarized in tables.

In February 2017, the State Party provided further additional arguments to justify the selection of the proposed components to respond to ICOMOS's Interim Report.

Despite the explanations provided in the additional information, ICOMOS considers that the proposed series as it has been conceived is problematic because the components cannot be said to reflect the association



with Luther in relation to his actions as the founder/initiator of the Reformation and the broader scope that the extension declares to be willing to develop, vis à vis the components selected for the extension. On the one hand, they do not appear to provide specific and original contributions to the components of the inscribed property; on the other hand, they also do not appear to complement or amplify the attributes and the Outstanding Universal Value of the property already inscribed, nor be able to expand the scope of the original nomination to reflect the Reformation movement.

Many additional components appear to focus on the biographical dimension of Luther's life (Luther's Parental Home, Church of St. Peter and Paul, St. George's Church, the Augustinian Monastery in Erfurt) which is already well represented in the series by Luther's birth-place and place of death, as well as the place where he spent much of his life and conducted much of his work. They do not add significant facets to illustrate Luther's role as the initiator of the Reformation, or the early memorialisation of Luther's activity at specific places, which is already well-reflected in the inscribed component sites.

Some of the newly-proposed components do not exhibit sufficient levels of authenticity and integrity (see relevant section of this report) to be considered able to add or amplify the attributes or the Outstanding Universal Value of the inscribed property and cannot be considered memorial sites to Luther as the founder of the Reformation.

With regards to St. Anne's Church and Monastery, Luther's involvement in the foundation of the church appears peripheral, when its historic development is closely considered, while the monastery was founded as an Augustinian monastery, as a pre-Reformation institution, which was dissolved in 1523. Therefore, in ICOMOS's view, it does not appear to substantially contribute to illustrating Luther's work as a Reformer or to reflect authentic settings of the early Reformation period.

The additional information provided has clarified that St. Andrew's Church in Eisleben was not the church where Luther used to carry out his pastoral service, and just happened to be the place where he delivered his sermons in the last two months of his life, in 1546. ICOMOS therefore cannot consider this event sufficient for this church to amplify or complement the attributes and the associations expressed by the components of the already-inscribed property.

ICOMOS notes that the Collegium Augusteum was founded 20 years after Luther's death, and then substantially altered in subsequent eras; therefore, it cannot reflect a powerful and strong association with the Reformer, express an authentic setting of the early Reformation movement, or represent an early memorial site to Luther and his reforming work.

With regard to the purported undividable unity between the Collegium Augusteum and Luther's House, ICOMOS notes that the Augusteum is the result of substantial rebuilding in the 18<sup>th</sup> century of the former Augustinian Monastery and that the side building of the Augusteum was joined for the first time to Luther's house only in the second half of the 19<sup>th</sup> century.

Wittenberg Castle is said to have been the working place for Martin Luther and Georg Spalatin but no tangible evidence of the preservation of their working spaces is reported or described in the nomination dossier, the role of memorial for Luther's actions and the Reformation being fully conveyed by the Castle Church, already inscribed on the World Heritage List. In ICOMOS's view Wittenberg Castle cannot be seen as an essential additional attribute to the series.

ICOMOS has found that the reflection of the social milieu that favoured the emergence of the Reformation and then the representation of the ordinary people and believers is poorly represented in this proposed extension, which focuses much more on places representing the powerful Electors of Saxony.

In the additional information provided in November 2016, December 2016 and February 2017, the State Party argues that the social aspect is reflected by Luther's Parental Home, and by the buffer zones encircling the components in Wittenberg, Eisleben and Mansfeld.

ICOMOS considers that Luther's Parental Home speaks about Luther's biographical aspects, which are already represented by inscribed components, and the archaeological remains appear insufficient to reflect the socio-cultural aspects of the Reformation movement. ICOMOS does not consider that this component sufficiently addresses the social, urban and community aspects of the Reformation.

Veste Coburg is said to be the place where Luther resided for six months during the Diet of Augsburg and where he composed doctrinal texts. ICOMOS considers that, in this regard, a much stronger comparator and therefore a potentially more convincing candidate component of the expanded series is Wartburg Castle, Germany (World Heritage List, 1999, criteria (iii) and (vi)) where Luther resided for two years (1521-1522), immediately after the Diet of Worms, and where he translated the New Testament from Greek into German, a key act in the Reformation message. The justification of inscription on the World Heritage List for this property includes clear reference to Luther and this event.

ICOMOS considers that Wartburg Castle clearly and powerfully illustrates a facet of Luther's actions and role as a Reformer that is not well represented in the currently-inscribed series and that none of the other additional components would be able to convey so directly, tangibly and powerfully.

In its additional information submitted in February 2017, the State Party reiterates that Wartburg Castle was not included in order not to reduce its multifaceted significance just to its association with Luther and argues that, when Wartburg Castle was nominated, ICOMOS did not suggest including it in the already-inscribed property of Luther's Memorials.

In this regard, ICOMOS explains that the inclusion of Wartburg Castle in the proposed extension does not reduce or confine its significance only to its association with Luther, in that the different facets of Wartburg Castle's Outstanding Universal Value have already been recognized, both by ICOMOS at the time of its evaluation and by the World Heritage Committee in 1999, and this would not be changed, but rather completed by inclusion in this extension.

In other cases, properties have been inscribed on the World Heritage List and then included in serial nominations and this has not changed their status as individual World Heritage properties conveying their specific Outstanding Universal Value, e.g., the Persian Garden (Iran, 2011, criteria (i), (ii), (iii), (iv) and (vi)), or the Camino Real de Tierra Adentro (Mexico, 2010, criteria (ii) and (iv)).

ICOMOS considers that, despite the careful articulation of the comparative analysis, the selection of the components is not consistent with the stated objective of the extension and does not contribute to exemplifying, extending, complementing or amplifying the attributes and the Outstanding Universal Value of the inscribed property.

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ICOMOS considers that the comparative analysis does not justify consideration of the proposed extension to the original inscribed property.

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#### **Justification of Outstanding Universal Value**

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

- Its components are associated with the Reformation, one of the most significant events in the religious and political history of the world;
- As authentic settings of decisive events in the Reformation and in the life of Martin Luther, they exhibit outstanding significance for the political, cultural and spiritual life of the Western world.

The nomination dossier explains that the proposed serial extension, which includes the inscribed serial property, is limited to properties located in Central Germany, which is seen as the heartland of the Reformation.

While ICOMOS considers, in principle, the State Party's effort to be commendable, it also notes that the proposed justification and expansion of significance is problematic in relation to the proposed additional components, because the stated scope that this

extension aims at, that is to say, expanding beyond Luther to the Reformation movement and how this has been perceived up until today, is not adequately reflected in the additional proposed components. Such a broader scope should have considered how and where it spread outside the area where the Reformation first developed. The proposed components, on the contrary, appear to reflect the same scope and the same aspects as the inscribed property, and this raises issues in relation to the new requirements of the *Operational Guidelines* for serial properties.

ICOMOS has found that Luther's biographical dimension is already represented in the already-inscribed serial property. Since paragraph 137 of the *Operational Guidelines* today requires that each component of a serial nomination must demonstrate why it should be included in order to avoid duplication, ICOMOS considers that the additional components presented with this extension that are related to Luther's life (the Church of St. Peter and Paul, Luther's parental home, St. George's Church and the Augustinian Monastery in Erfurt) do not appear to substantially contribute to further illustrating the Outstanding Universal Value of the series as stations in Luther's life.

In the additional information provided in February 2017, the State Party argues that the event of the baptism is more important than Luther's birth. ICOMOS considers that in the 16<sup>th</sup> century in this part of Europe, the baptism of a newborn was the rule, not a choice, and in fact the nomination dossier informs that Luther was baptized one day after his birth. ICOMOS therefore considers that birth and baptism were closely associated with one another and therefore the baptism site does not add any new dimension to the representation of Luther's biography than his birthplace does. In the present context of an extension, in which all original components of the series are confirmed, careful consideration should be given to how originally and specifically each component amplifies the existing series.

No tangible evidence is reported to survive at Wittenberg Castle of Luther's and Spalatin's working spaces in the castle, which also suffered substantial later alteration, therefore ICOMOS does not consider that the castle can complement or amplify the significance and associations conveyed by the Castle Church.

The Collegium Augusteum was built in the former Augustinian monastery 20 years after Luther's death and it appears that not much survives of the monastery where Luther and Melancthon worked. Therefore, the Augusteum cannot be said to convey a vivid picture of the early Reformation period.

The Bugenhagen House in Wittenberg and the Cranach houses were substantially remodeled in later periods; so, in the first case, the house does not seem to be able to complement, expand or amplify the attributes and Outstanding Universal Value of the inscribed property. In the second instance, no tangible evidence survives

indicating the working spaces of the artists and it appears insufficient to refer to the plot sites as being authentic settings of decisive events.

Hartenfels Castle cannot be considered an authentic setting of decisive events of the Reformation, because it suffered many alterations over the centuries, or considered to be strongly associated with the movement.

Veste Coburg has revealed issues in relation to the selection of the components (see comparative analysis section).

ICOMOS examined more closely the potential of two components of the extended series to amplify the attributes of the original series: St. Anne's Church and Monastery, and St. Andrew's Church in Eisleben. However, ICOMOS found that St. Anne's Church and the monastery were founded before Luther initiated the Reformation, therefore when he still was part of the Catholic Church. The church remained largely uncompleted until 1585, while the monastery was already dissolved by 1523. St. Andrew's Church, where Luther preached his last four sermons, does not appear to reflect significant events in relation to the Reformation, of Luther's role in its initiation, or to complement or amplify the attributes of the already-inscribed property in conveying the Outstanding Universal Value of the inscribed property.

In the additional information provided in February 2017, the State Party reiterates the arguments proposed in the nomination dossier and rejects the possibility of including in the proposed extended series Wartburg Castle, arguing that this would reduce its multi-layered significance.

In this regard, ICOMOS explains that the inclusion of Wartburg Castle in the proposed extension does not reduce or confine its significance only to its association with Luther, as the State Party seems to suggest in the response provided in February 2017, in that the different facets of Wartburg Castle's Outstanding Universal Value have already been recognized, both by ICOMOS at the time of its evaluation and by the World Heritage Committee in 1999, and this would not be changed, but rather completed by inclusion in this extension.

In summary, ICOMOS does not consider that any of the proposed components can justify consideration for the extension of the inscribed serial property.

#### **Integrity and authenticity**

The nomination dossier holds that the integrity and authenticity of the nominated series needs to be assessed taking into account how the components and their attributes also reflect the reception of the Reformation and cannot just be confined to what they convey about the period when the Reformation emerged in the region.

ICOMOS considers that the considerations above may apply to some of the components but not to all, as not all

of them reflect the memorialization of Luther or of the early period of the Reformation.

#### **Integrity**

The nomination dossier then examines the conditions of integrity of the series and of each component, examining whether they encompass all elements necessary to express the Outstanding Universal Value, the level of intactness of each component, and the absence of threats. The nomination dossier concludes that all three aspects of integrity are satisfied, both as the series being a 'window in time' on the Reformation and as a testimony to the reception of the Reformation.

ICOMOS considers that the integrity of the proposed series for extension of the inscribed serial property is severely undermined by the absence from the proposal of Wartburg Castle, which is the most relevant and still-surviving monument which exhibits fundamental associations with Luther's role and actions in the Reformation not already reflected in any of the components of the inscribed series nor in any of the sites proposed for the extension.

As clarified in the comparative analysis section, the proposed components do not contribute in an original and specific manner to the illustration of facets of the Outstanding Universal Value which are not reflected by the already-inscribed serial property and do not contribute to exemplifying, amplifying and extending the attributes and Outstanding Universal Value of Luther's Memorials in Wittenberg and Eisleben.

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ICOMOS considers that the conditions of integrity of the whole series have not been justified; and that the integrity of the individual components that comprise the series has not been demonstrated.

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#### **Authenticity**

The nomination dossier states that for all proposed components, studies have established that locations of the components are authentic and associated with historical milestones. It then considers the relevant tangible and intangible dimensions of authenticity. The analysis is carried out for each component part of the proposed extension and statements have been provided for each component.

ICOMOS notes that the preliminary methodological considerations on the way to consider integrity and authenticity with regard to the reception and memorialization of the first phases of the Reformation cannot apply to each and every component of the proposed extension, as not all components exhibit this memorial dimension (differently from the original nomination and inscribed property).

ICOMOS also considers that the assessment of the conditions of authenticity needs to ascertain whether the serial nominated extension as a whole and its

components reflect in a credible manner the proposed justification for inscription.

In ICOMOS's view, many of the components are problematic regarding authenticity for different reasons. For instance, Wittenberg Castle, the Cranach houses and the Bugenhagen House have all undergone substantial modifications and changes that prevent them from credibly conveying a vivid picture of the Reformation era. Additionally, in the case of Wittenberg Castle and of the Cranach houses, no decisive evidence has been provided of the spaces where, respectively, Luther, Spalatin and the Cranach's worked. In ICOMOS's view, simply the location with much altered fabric and spaces is not sufficient to convey in a credible manner the purported significance of the serial property and justify the criteria.

The Augustinian Monastery in Erfurt is said to have suffered a complete break in its history during World War II and that all its buildings and the church were reconstructed over a long period of time. Therefore, ICOMOS considers that what survives today cannot be said either to reflect an authentic setting of events related to the Reformation, or to illustrate the early memorialization of Luther's work.

Hartenfels Castle cannot be considered an authentic setting of decisive events of the Reformation, and it has suffered many alterations over the centuries. It cannot be said to illustrate an example of early memorialization of Luther's work that can be comparable with and contribute to the components of the already-inscribed series.

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ICOMOS considers that the conditions of authenticity of the whole series have not been justified; and that the authenticity of the individual components that comprise the series has not been demonstrated.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity for the whole series and for the individual components have not been justified.

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

The extension is nominated on the basis of cultural criteria (iv) and (vi). The same criteria are justified for the proposed extension as for the existing World Heritage property.

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

This criterion is justified by the State Party on the grounds that the serial nominated property would be an outstanding example of an architectural ensemble illustrating the Reformation and composed of artistic monuments of high quality conveying a vivid picture of an era having historic and ecclesiastical importance.

ICOMOS considers that the justification of the criterion above cannot be applied to the components of the proposed extension in that they are not able either to be considered artistic monuments of high quality nor able to convey a vivid picture of the era of the early Reformation because of issues related to their actual substance, their historic development, integrity and authenticity.

In summary, the additional proposed components are not able to expand, amplify or complement the attributes of the inscribed serial property to convey its Outstanding Universal Value.

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ICOMOS considers that the proposed extension has not been demonstrated to reinforce this criterion.

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Criterion (vi): *be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that the nominated serial property is directly associated with the Reformation and historic events of epochal world significance, and the works of significant figures in the emergence of the Reformation. As authentic sites associated with Luther, they would be associated with his biographical events; additionally, these sites would be related to important reformatory events and ideas.

ICOMOS considers that the above justification does not apply to the additional sites proposed for the extension of the existing World Heritage property: they do not exhibit attributes as well as conditions of integrity and authenticity that could support the justification of this criterion in the context of an extension of a serial World Heritage property, which includes components reflecting in a much stronger way the associative facets of the property.

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ICOMOS considers that the proposed extension has not been demonstrated to reinforce this criterion.

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In conclusion, ICOMOS considers that none of the components exhibits attributes that can convey the Outstanding Universal Value of the inscribed property under criterion (iv) and criterion (vi) and that the proposed extension has not been demonstrated to reinforce criteria (iv) and (vi) for the inscribed property.

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

According to the nomination dossier the property does not suffer from any developmental pressure which may derive from transportation infrastructure, development plans or from environmental threats, disasters or excessive tourism flow, which is regulated based on the capacity of the property components.

The location of the components located close to or on steep slopes in Eisleben and Torgau exposes them to landslides, particularly during heavy rains.

The detailed analysis of the factors for each component clarifies that the most likely threat may derive from fire. In this regard, ICOMOS recommends that fire alarm systems are established where they are not already in place and that Risk Preparedness Plans are set up where they do not already exist.

ICOMOS notes that in the smaller centres, as in Mansfeld, increased visitation may result in increased traffic or in development pressures.

Some components suffer from graffiti. In this regard, ICOMOS considers that only proactive social measures may reduce this problem.

In ICOMOS's view, the main risk resides in the tendency to continue to reinterpret through additions or alterations previous and now historicized interventions, which may result in works with a lower quality level than before or in an uneven and uncoordinated approach to conservation or restoration, particularly when considering that the components are spread over different states and therefore subject to different authorities and legislation.

In considering climate change, extreme and unexpected meteorological events may need to be considered.

ICOMOS considers that the main threats to the property are a tendency to over-restoration and uneven and uncoordinated conservation approaches, fire and potential extreme meteorological events. In this regard, Risk Preparedness and emergency plans, as well as fire alarm systems where there are none in place, need to be developed.

## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The total area of the already-inscribed property is 2.65 ha, with a buffer zone of 124.70 ha, and the proposed serial extension is 13.17 ha, with a buffer zone of 2,024.56 ha.

ICOMOS considers that the boundaries of the proposed components for extension may be considered overall adequate for the protection of each and every component, but not in relation to the overall proposed extension, as the components do not appear to reflect the criteria and meet the conditions of authenticity and integrity.

ICOMOS considers it acceptable that the historic cores of Wittenberg and Eisleben become the buffer zones for

the already-inscribed components located in these towns.

In conclusion, ICOMOS considers that the boundaries of the components of the nominated serial extension are not adequate for the purpose of the extension. The proposed boundaries for the buffer zones of the already-inscribed components located in Wittenberg and Eisleben may be considered adequate.

### **Ownership**

The ownership of the twelve additional components is diversified. Owners include parishes of the Evangelical Church of Central Germany, the Luther Memorials Foundation in Saxony-Anhalt, State of Saxony-Anhalt, Town of Wittenberg, administrative district of North-Saxony, State of Bavaria, Erfurt Evangelical Parish.

### **Protection**

The nominated component parts are effectively protected at the Federal level (German Federal Building Code, 1906, amended 2014; the Regional Planning Act, 2008, amended 2009; and the Federal Nature Conservation Act, 1976, amended 2013, which also covers landscape protection) and at State level by the respective state regulations.

The States (Länder) are responsible for the preservation of monuments. The highest authority for heritage preservation within the States is a designated Ministry (or Senate department) with supervisory control tasks. Regional Offices for the Preservation of Monuments are assigned an advisory role for territorial administrations and the owners of monuments. They also report on issues related to the protection and preservation of historic monuments.

The valuable buildings in the buffer zones are registered, classified and protected by the Local Urban Plans and are also protected in Urban Integrated Land Use Plans and/or preservation plans and/or preservation statutes. In case of a planned intervention the project has to be approved by the Local Heritage Protection Authority in consultation with the State Authority for Cultural Heritage and (in case the church is the owner) the District Evangelical Church Authority.

There exist municipal plans and local plans providing for the necessary regulation and desirable interventions. The local plans cover the part of the towns where the nominated components are situated and have clear regulatory provisions.

The Municipal Plan and Statutes of these urban areas regulates the height of buildings surrounding the site and the roads leading up to it as well as the urban development in surrounding areas.

In all cases except Coburg, the Local Plan covers the buffer zones, which are also, in most cases, the historic urban centre or original town plan.

Within the boundaries of the component parts and in their buffer zones, all construction and development measures require authorisation by the locally responsible Cultural Heritage Protection officials. Administrative structures at local level assure their protection and their conservation (urban development planning, upkeep plans and framework plans).

ICOMOS notes that different legal, regulatory and planning protection systems overlap each other and can be considered to provide for a functional system ensuring that the nominated serial property is effectively protected and the buffer zones provide an effective layer of additional protection.

The structures and the organization of restoration work appear to be well defined and regulated to implement effective protection. Interventions need a building permit and special permits according to the planning acts.

ICOMOS, however, notes that the methods of conservation are not laid down in detail for each building, building type or site, and are not coordinated between the sites located in different states, therefore a risk may arise that decisions may not be consistent and cause unforeseen results for the building substance as well as an uneven approach to conservation or restoration among the different components.

In this regard, ICOMOS notes that specific guidelines based on consistent principles may help to achieve a consistent approach to conservation.

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In conclusion, ICOMOS considers that the legal protection in place is adequate. ICOMOS considers that the protective measures for the property are adequate although they may benefit from explicit guidelines based on a common conservation approach.

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### **Conservation**

Research is taken care of by the several museums and academic institutions in the area and in Germany. Internationally-oriented research on the Reformation culture and building tradition is ongoing. Important information is contained in documents in the local archives and archives of the Evangelical Church of Central Germany, which have been accessed for research.

Exteriors and interiors of all the nominated properties have been surveyed during the last 20 years. They have all been restored several times, which has made available a good knowledge base for restoration decisions. Any restoration carried out during the last 10 years appears to have been documented with drawings and photos.

All the buildings are today in a good state of conservation. At some components, the restorations are ongoing (churches of St Andrew's and St Anne's with Monastery, Collegium Augusteum and Wittenberg

Castle). Most of the components, however, have been recently restored.

The buildings within the buffer zone have exteriors in good condition and many of them have been subject to restoration recently. Streets, squares and parks in these towns are generally in good condition and have been improved recently.

Restorations are implemented by the property owners, with financial and technical support from the State. The recent and ongoing restoration activities are carried out according to contemporary methodology and ideology.

ICOMOS only notes that there is a tendency to return to conservation and restoration works continuously, changing the substance of the sites. This means that authentic historical layers may be removed or altered in order to add new ones as long as it is the result of an interpretation process in relation to Luther or the Reformation. This opens the risk that the authenticity of the built fabric and the cultural historical value of different layers are not sufficiently cared for.

ICOMOS considers that this process of materialization of conceptual interpretation of the memory of the Reformation should be handled carefully and according to precautionary principles, so as to ensure that historic layers, maybe not the result of the faith or memorial cult, be preserved and not subject to this ongoing change.

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ICOMOS considers that the nominated serial extension is well studied and in a good state of conservation, although there is a need to adopt a more cautious approach in restoration works to avoid the loss of historic layers of fabric, which is nevertheless an important aspect of these historic monuments.

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### **Management**

Management structures and processes, including traditional management processes

A Management structure has been recently established for the whole serial property and appears to be implemented. As the nominated property is the shared responsibility of several authorities and owners, the system has three levels: the "Luther sites in Central Germany" Steering Committee includes the Local Area (Municipal) Working Group which, in turn, encompasses property owners and Local Authorities and other stakeholders. A secretariat has been established in the Collegium Augusteum in Wittenberg. Each management level is responsible for coordination, presentation, research and education.

The Steering Group decides on projects within the budget and external funding. The local Working Groups make available personnel and other intangible resources. The resources for practical implementation have so far been efficient and available from state grants

and the municipalities are allocating funds earmarked for basic improvements to their local nominated properties.

ICOMOS considers that the management system described in the nomination dossier can be seen as sufficient for an effective implementation of the management methodology and objectives according to contemporary sustainable principles, although coordinating instruments need to be conceived and integrated into the operational management tools existing at the level of each component, to ensure that a common approach is adopted for conservation, interpretation and promotion of the components as part of a series.

Policy framework: management plans and arrangements, including visitor management and presentation

The management system of the Luther Sites of Central Germany relies on the organizational structure and a vertical division of responsibilities. All the nominated sites have their own maintenance plan, which includes objectives and indicators.

Planning instruments at the municipal level ensure both conditions and provisions for protection and management.

The management system coordinates the management of functional use, of renovations and of information. It is not compiled in one physical document, a "Management plan".

ICOMOS in this regard notes that coordinated conservation guidelines and a visitor and promotion management plan should be developed, in order to ensure coordinated action when it comes to conservation approaches and interventions, and the management of visitors and of the communication of the values of the ensemble.

Involvement of the local communities

Consultation meetings for the local and nearby citizens have been held and will continue and it is reported that a large number of inhabitants have participated actively. The local inhabitants are aware of the potential touristic advantages created by cultural heritage preservation. The members of the protestant parishes and congregations are particularly active and bear the responsibility of maintaining the churches and connected activities.

ICOMOS considers that the management system for the whole serial property seems to be adequate and equipped with sufficient management instruments. ICOMOS, however, suggests that guidelines to orient the conservation works of each component be developed according to agreed and common principles that take into account the historic substance of these monuments. Furthermore, ICOMOS recommends that a

comprehensive visitor and communication plan be developed.

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## 6 Monitoring

Key indicators have been identified and defined for all component parts and regular monitoring is carried out and data stored at identified locations. Selected indicators include urban development context; structural and technical installation conditions, including fire safety, lightning protection and electrical installations; outdoor facilities; fittings - moveable art property; tourism and visitor development; climate control; financial resources; and personnel resources.

ICOMOS considers that the monitoring system outlined by the nomination dossier is a good basis for effective monitoring although it would be advisable that indicators be developed to assess the implementation of common actions envisaged by the overarching management system for the property as a whole.

ICOMOS considers that the monitoring system would benefit from additional indicators able to assess the level of efficiency and effectiveness of the overarching management system.

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## 7 Conclusions

The present proposed extension to and re-nomination of the Luther memorials in Wittenberg and Eisleben to become the Luther sites in Central Germany presents twelve monuments located in Saxony-Anhalt, Saxony, Bavaria and Thuringia to be added to the inscribed World Heritage series formed by six monuments. They include: the Church of St. Peter and Paul which is known as Luther's baptismal church, St. Anne's Church and Monastery, founded by Luther, St. Andrew's Church, where Luther preached his last four sermons, all in Lutherstadt Eisleben; Wittenberg Castle, attached to the Castle Church, the Collegium Augusteum, built in the former Augustinian Monastery 20 years after Luther's death, the Bugenhagen House, Wittenberg parish parsonage, the Cranach houses, all in Lutherstadt Wittenberg; Luther's parental home and St. George's Church in Mansfeld, the parish church attended by Luther in his childhood; Hartenfels Castle in Torgau; Veste Coburg, where Luther stayed during the Diet of Augsburg; and the Augustinian Monastery in Erfurt, where Luther began his life as a monk.

ICOMOS appreciates the intention expressed by the State Party with this proposed extension to enlarge the scope of the original nomination through an extension dossier, which is elegantly presented, informative and well-illustrated.

However, ICOMOS has found that this proposal for extension raises some fundamental questions with regard to compliance with the new requirements of the *Operational Guidelines* for serial properties and to the ability of each selected component to be a direct, legible and original contribution to the series already inscribed in the List in complementing and reinforcing the Outstanding Universal Value, vis à vis with other potential components that have not been considered for inclusion, namely Wartburg Castle.

ICOMOS has carefully considered the arguments put forward for the nominated serial extension and for the selection of the series, and has come to the conclusion that the proposed components do not contribute in a convincing manner to expand, complement and strengthen the Outstanding Universal Value of the already-inscribed serial property, or to complement and amplify its attributes.

ICOMOS does not find that the components of the proposed extension may be deemed as authentic settings of decisive events in the Reformation and in Martin Luther's life, in relation to his actions as the founder of the Reformation, or monuments of high artistic qualities that, with their furnishings, complement the inscribed series in conveying a vivid picture of an historic era of world or ecclesiastical importance, or unique testimony to the Reformation.

ICOMOS considers that Luther's biographical dimension is already well represented by his birthplace and house where he died, while the place he lived in Wittenberg illustrates his life and work as founder of the Reformation. Therefore, Luther's baptismal church, Luther's parental house, Saint George's Church in Mansfeld, and the Augustinian Monastery in Erfurt do not appear to substantially contribute to originally complement or amplify the Outstanding Universal Value of the inscribed series as stations in Luther's life.

Wittenberg Castle is said to have been the working place for Martin Luther and Georg Spalatin but no tangible evidence of the preservation of their working spaces is reported in the nomination dossier.

The Collegium Augusteum was built 20 years after Luther's death in the former Augustinian Monastery: the description and explanations in the dossier do not clarify whether anything, or what, survives of the former structure, which was indeed the place where Luther and Melancthon lectured, and do not provide direct and substantial evidence that what survives today of this building conveys a vivid picture of the early Reformation period.

The Bugenhagen House appears to have been substantially remodelled in subsequent eras and does not seem to be able to complement and to expand the Outstanding Universal Value of the inscribed property.

The same can be said for the Cranach houses, for which the nomination dossier does not provide decisive evidence of surviving spaces that were actually used by the two Cranach's.

Hartenfels Castle in Torgau and Veste Coburg cannot be considered authentic settings of decisive events of the Reformation and the life of Luther or to convey a vivid picture of the birth and affirmation of the Reformation movement, which indeed is an historic moment of world and ecclesiastical importance.

Luther's involvement in the foundation of the church St. Anne appears peripheral, whilst the monastery was founded as an Augustinian house, therefore as a pre-Reformation institution, and it was dissolved already by 1523. Therefore, in ICOMOS's view, it does not appear to substantially contribute to illustrating Luther's work as a Reformer or to reflect an authentic setting of the early Reformation period.

St. Andrew's Church in Eisleben was not the church where Luther used to carry out his pastoral service and just happened to be the place where he delivered his sermons in the last two months of his life, in 1546. ICOMOS therefore cannot consider this occurrence sufficient for this church to amplify or complement the attributes and the associations expressed by the components of the already-inscribed property.

ICOMOS further notes that Wartburg Castle, already inscribed in the World Heritage List under criterion (iii) and (vi), also for having been the place where Martin Luther carried out his most important work for the purposes of the Reformation, the translation of the New Testament into German, has not been proposed for inclusion in the nominated serial extension.

ICOMOS considers that the absence from the proposed series of Wartburg Castle undermines the credibility and strength of the whole proposal. In its additional information submitted in February 2017, the State Party rejected the idea of including Wartburg Castle, stating that this would reduce the multifaceted significance of the castle. ICOMOS notes that there is no risk that this could happen since the wider significance of the Castle has already been recognised by the World Heritage Committee in 1999. Therefore, it will maintain its Outstanding Universal Value as an individual property, so its inclusion in the extended series would only mutually strengthen the Outstanding Universal Value of Luther's Memorial sites and that of Wartburg Castle through an extension.

In ICOMOS's view, the proposed components of the series to extend the already-inscribed property do not appear to substantially and significantly expand or strengthen the illustration of the Outstanding Universal Value of the inscribed property, nor to reflect original significant facets of the Outstanding Universal Value. Overall, they appear to reflect weaker associations than those expressed by the components of the already-



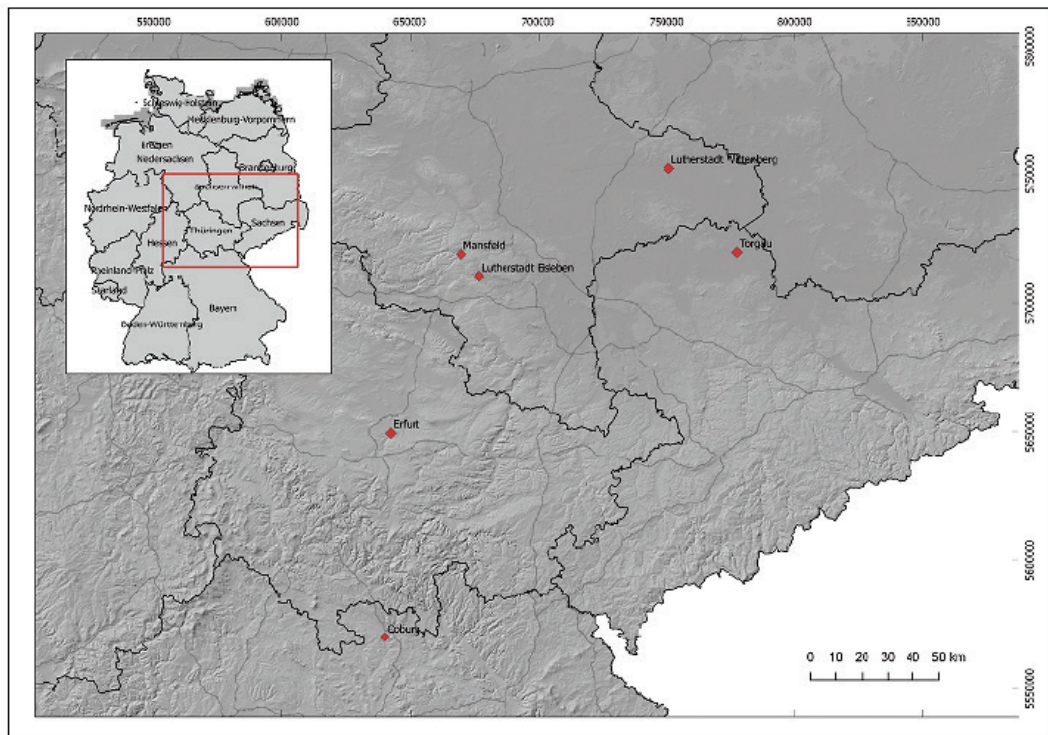
inscribed property. ICOMOS therefore cannot support the proposed extension.

## **8 Recommendations**

### **Recommendations with respect to inscription**

ICOMOS recommends that the proposed extension of Luther Memorials in Eisleben and Wittenberg to become Luther Sites in Central Germany, Germany, should **not be approved**.





Map showing the location of the nominated properties



Luther's parental home



St Anne's Church and Monastery



Hartenfels Castle



Collegium Augusteum



## **IV Cultural properties**

### **A Africa**

New nominations

### **B Arab States**

Nominations deferred by previous sessions  
of the World Heritage Committee

### **C Asia – Pacific**

New nominations

### **D Europe – North America**

New nominations

Extensions

Nominations deferred by previous sessions  
of the World Heritage Committee

### **E Latin America - Caribbean**

New nominations





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# Naumburg Cathedral and related sites in the Cultural Landscape of the Rivers Saale and Unstrut (Germany) No 1470 rev

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## Official name as proposed by the State Party

Naumburg Cathedral and related sites in the Cultural Landscape of the Rivers Saale and Unstrut

## Location

State of Saxony-Anhalt  
Germany

## Brief description

Located in the eastern part of the Thuringian Basin, a high density of monuments from the High Middle Ages is found in the area formed by the confluence of the Saale and Unstrut Rivers. Three selected components, out of 11 originally proposed, represent the historical developments and landscape patterns, and include the Naumburg Cathedral within the Old Town; Neuenburg Castle atop the town of Freyburg; and the Schulpforte monastery. Together these components provide a testimony to some of the historical processes of settlement and exchanges in this former borderland between western and eastern (Slavic) cultures in the High Middle Ages. The three components contain the area's most notable architectural and artistic monuments within the wider area of the confluence of the Saale and Unstrut Rivers.

## Category of property

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

In terms of the *Operational Guidelines for the Implementation of the World Heritage Convention* (July 2015) paragraph 47, it has also been nominated as *cultural landscape*.

## 1 Basic data

### Included in the Tentative List

20 September 1999

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

22 January 2016

## Background

This nomination is a revision of a previous nomination titled 'Naumburg Cathedral and the Landscape of the Rivers Saale and Unstrut – Territories of Power in the High Middle Ages' which was considered by the 39<sup>th</sup> session of the World Heritage Committee (2015, Bonn):

*Decision: 39 COM 8B.26*

*The World Heritage Committee,*

1. *Having examined Documents WHC-15/39.COM/8B and WHC-15/39.COM/INF.8B1,*
2. *Defers the examination of the nomination of The Naumburg Cathedral and the Landscape of the Rivers Saale and Unstrut – Territories of Power in the High Middle Ages, Germany, to the World Heritage List in order to allow the State Party to:*
  - a) *further explore the relationship between the Naumburg Cathedral and the surrounding landscape;*
  - b) *strengthen the representativeness of the territorial and urban organization for the period of the High Middle Ages and the significance of the related monuments;*
  - c) *redefine the boundaries of the site taking into account the concerns put forward by ICOMOS so as to ensure adequate protection;*
  - d) *submit – on the basis of the above-mentioned recommendations – a significantly revised nomination, which will require an expert mission to the site;*
3. *Suggests that the State Party consider inviting ICOMOS to offer advice and guidance.*

In October 2015, an Advisory Meeting was held at ICOMOS Headquarters; and ICOMOS provided some notes regarding the possible reformulation of the nomination. The discussions included the strengthening of the comparative analysis; the possibility of focusing the nomination on locations where there were more evident 'clusters' of attributes associated with the High Middle Ages; and consideration of the ways in which the cultural landscape potentially demonstrates the historical settlement processes of 'Landesausbau'.

The nomination received and evaluated by ICOMOS during 2016 was comprised of eleven components within a single, large and encompassing buffer zone. However, following discussions with ICOMOS in November 2016, the State Party advised that the serial nomination had been reduced to three components only; and minor changes were made to the title of the nomination (from 'Naumburg Cathedral and the High Medieval Cultural Landscape of the Rivers Saale and Unstrut'). This evaluation is based on the revisions made by the State Party in November 2016.

## Consultations

ICOMOS has consulted several independent experts.

## Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 13 to 16 August 2016.

## Additional information received by ICOMOS

During the ICOMOS World Heritage Panel, discussions with the State Party occurred on 24 November 2016. ICOMOS representatives indicated that the reformulation

of the nomination as a serial proposal of eleven components created the necessity to explain the rationale for the selection of the components; and to demonstrate that the proposed criteria could apply to full spectrum of selected components. The ICOMOS representatives indicated that, for these reasons, the case for justifying Outstanding Universal Value was proving a challenge for this nomination, and indicated that the Interim Report would outline these matters in more detail.

Following these discussions, correspondence was received on 28 November 2016 advising that the State Party had decided to withdraw all but three of the nominated components (retaining those originally numbered 1, 4 and 9); with an unchanged delineation of the buffer zone. The State Party also confirmed its proposal of criteria (i), (ii) and (iv); and suggested a revised title for the nomination.

An Interim Report was provided to the State Party in January 2017 responding to these proposals, and summarising the issues identified by the ICOMOS World Heritage Panel.

**Date of ICOMOS approval of this report**  
10 March 2017

## 2 The property

### Description

A combination of characteristics of the natural environment and climate during the High Middle Ages made the area of the confluence of the Saale and Unstrut Rivers suitable for farming and wine growing, facilitating the processes of settlement of this borderland region.

The rivers provided trade routes, frontiers and water resources. Located at a contact point between German and Slav cultures, the area was connected to other European regions by two major historical routes linking western and eastern Europe - the Via Regia; as well as the 'Regensburg Road' and one branch of the route to the Santiago de Compostela.

The State Party proposed an initial selection of eleven components (which was later revised to three) in a large area near the confluence of the Saale and Unstrut Rivers. These components are the nucleus of the settlement and colonisation processes of the High Middle Ages. The State Party argues that taken together they convey the importance of a larger cultural landscape of this important historical period. The three components are briefly summarised in this section of the report. The numbering of the components (1, 4 and 9) reflects the text of the nomination documents, and the revised mapping received in November 2016.

#### 1. Naumburg (51.74 ha)

Located south of the Saale River and its confluence with the Unstrut River, the Cathedral, together with its Precinct

and Immunity, is the central point of reference in this the serial property. The Cathedral is described in detail. It has a Romanesque structure flanked by two Gothic choirs, demonstrating a transitional style between Late Romanesque and Early Gothic. It is well-known for its architectural quality and works of art; particularly the two well-preserved choir screen structures from the first half of the 13<sup>th</sup> century. In the west choir, pillars supporting the vault merge with twelve life-sized sculptures of the founders (aristocratic men and women of the Thuringian-Saxon nobility), considered to be unique within European medieval sculpture. The workshop organisation of sculptors and stone masons from the 13<sup>th</sup> century is known as the 'Naumburg Master'.

This component comprises the Cathedral and its precincts (with a number of buildings and other elements dated to the High Middle Ages), the Augustine Monastery of St Moritz, and the old town of Naumburg. The town was planned by the bishops and is described by the State Party as exhibiting typical features of a medieval European town. The component includes clear sightlines to and from the Cathedral along the river valleys.

#### 4. Freyburg (105.02 ha)

This component includes Neuenburg Castle, the old town of Freyburg, Schweigenberg vineyard and the Zscheiplitz Monastery, east of the lower Unstrut River. In the proposal to reduce the number of included components, this is referred to as 'Neuenburg Castle atop Freyburg', but the mapped boundary is unchanged, so it is assumed that the entire of this component is still to be included. These are associated with the powerful noble family of Ludowinger from 1080 onwards. The large Neuenburg Castle dates from 1090, with new elements added from that time until the 13<sup>th</sup> century. It features a unique double chapel, a residence tower for the ducal family, a castle keep and vast fortification structures. The planned city of Freyburg beneath the Neuenburg Castle was commissioned by the Landgraves of Thuringia at the end of the 12<sup>th</sup> century. An early stretch of the Via Regia intersected here. Freyburg features the early gothic church of St Mary, large parts of the city walls and the layout of the market square and streets. The Schweigenberg terraced vineyards border the city walls and have been in continuous use since the High Middle Ages. Nearby is the Benedictine nunnery of Zscheiplitz, with an intact church. The line of sight along the Unstrut River from Zscheiplitz to the Schweigenberg and Freyburg and Neuenburg Castle remains intact from the High Middle Ages.

#### 9. Pforta (230.58 ha)

Located in the flood plain of the Saale River, the Pforta Cistercian Monastery complex (also known as Schulpforte) represents the transregional network of this order and the influences of western Europe into eastern regions. The Gothic choir of the minster is an impressive example of the transfer of French Gothic design to central Germany. Also located in this component are the canal and weir of Kleine Saale, created by the Cistercians for water and land management, including powering grain mills; the terraced vineyards of Saalhäuser and

Köppelberg, bearing witness to the oldest wine-growing on steep hills in Europe in the 13<sup>th</sup> century; and the Romanesque House (grange), representing Cistercian land development strategies.

In addition to these three components, the State Party had initially submitted its proposal with a further eight components (which again, reflect the numbering used in the nomination dossier). These are briefly summarised below.

#### 2. Schönburg (1.98 ha)

This component includes the ruins of the 12<sup>th</sup> century Schönburg Castle, which served the bishops of Naumburg as a border fortress along the Saale River. It is a visual landmark, with surviving curtain walls, and is part of important sight lines to other nominated components. It has a distinctive round castle keep.

#### 3. Goseck (57.88 ha)

Located across the valley of the Saale River from Naumburg, this component consists of Goseck Castle and its minster, and the vineyard of Dechantenberg. A border castle from 800 AD, the castle's name is drawn from an aristocratic family of the 10<sup>th</sup> and 11<sup>th</sup> centuries. The crypt and choir of the monastery church display Salian architecture, built to be visible from afar. The vineyard dates from 1093, and is the oldest continuously cultivated terraced complex in this area.

#### 5. and 6. Schleberoda Village (9.41 ha) and Ebersroda Village (10.04 ha)

These villages were developed on the territory of the bishop of Bamberg and served to strengthen his influence in the border region. 'Roda' in these names illustrates their origins through land clearance and intensive land development in the High Middle Ages. They are located north of the Unstrut River on an adjoining plateau, and have been selected to form part of the nominated property because they have best retained their original structure. The villages demonstrate the interactions between Frankish and Slav settlers. The oval form of the villages, with farms, moats and hedges have been preserved. The closely bordering local nobles in the area separated their territories using stone boundary markers and other earthworks which are still visible at the historic edges of nearby woods.

#### 7. Rödel (96.47 ha)

This component includes the village of Gross-Wilsdorf and quarry sites of the Rödel plateau, west of the Unstrut Valley. Gross-Wilsdorf demonstrates the cultural exchange of neighbouring settlers in the region that shared the same village church including Sorbs, Thuringians and other groups. The layouts of houses and streets are well preserved and date to the High Middle Ages. Important limestone quarries and associated transport paths are found in this component, supplying the Naumburg Cathedral with building materials and illustrating the construction needs of the region in the High Middle Ages.

#### 8. Kleinjena (0.64 ha)

This small component contains the site of Kleinjena Castle. These archaeologically documented remains of the castle of the Markgraves of Meisen (the Ekkehardines) date from the 10<sup>th</sup> century. The early fortifications of Kleinjena mark the beginning of the eastward movement and settlement period ('Landesausbau') and the dramatic growth of the region in the 12<sup>th</sup> century.

#### 10. Saaleck (14.86 ha)

Saaleck Castle and Rudelsburg Castle served the bishops as border fortresses along the Saale River. Rudelsburg marked the border of the realm of the Naumburg bishops, while Saaleck was built directly opposite to mark the neighbouring territory of Thuringia. The castles, keeps, walls and palas remains date to the High Middle Ages, and embody important steps in fortification techniques. These castles demonstrate the rivalling powers in the region and the main trade routes that added to the wealth of the region in the 12<sup>th</sup> century.

#### 11. Flemmingen Village (18.28 ha)

This village was established through the merging of the Sorbian village of Tribun and a newer settlement of people invited by the Bishop of Flanders to settle in this border region in the 12<sup>th</sup> century. The layouts of both settlements are visible: the typical round form of the Slav settlement, and the rectangular settlement of the Flemish village. The village church of St Lucia preserves high-quality mural paintings from 1200 in its apse.

### History and development

An extensive historical description is provided by the State Party in the nomination dossier, and is briefly summarised here. The human history of this region dates back to the Stone Age (380,000 years before present); and the favourable climate supported dense Neolithic and Bronze Age settlements.

In the early Middle Ages, the area became a borderland. Later, the town of Naumburg became a bishop's seat in 1028. It was moved from Zeitz to Naumburg due to the efforts of the pope and the Ekkehardines. Naumburg already had the status of *civitas* at that time and was granted free trade privileges which encouraged settlement from nearby towns. The family ties of the bishops with the kings and emperors from the Salian and Hohenstaufen dynasties contributed to the enhancement of Naumburg as a centre of commerce and imperial outpost of Christian civilisation.

Naumburg developed around the cathedral, and was the 'high medieval metropolis' of this area, and is the major urban centre today, maintaining strong functional and visual relationships with other components. Freyburg was founded on the Unstrut River as an 'Einlager' place where residence was compulsory until debts were paid.

Due to the active policy of the Bishop of Naumburg to spread the presence of the Cistercian order in the region, Flemish farmers were encouraged through privilege offers to resettle in the Saale-Unstrut region, adapting and

expanding former Slavic settlements in some cases, and establishing villages such as Flemmingen in others.

The foundation of the Cistercian monastery of Pforta in 1137 was an important turning point for the colonisation and shaping of the territory. The monastery pursued a policy of land acquisition and control by establishing granges and boosted the economy of the area. It is in this context that the artificial canal now known as Kleine Saale was built.

To stabilise their control over the region, Naumburg bishops erected the Schönburg and Rudelsburg castles to be permanently occupied by castellans. The 12<sup>th</sup> and 13<sup>th</sup> centuries saw alternating control over the region by the Counts Palatine of Saxony, and the Ludowingers, whose increasingly important status was reflected by castle constructions and patronage of the arts.

The region came under increasing control of the Wettin family from the end of the 10<sup>th</sup> century, largely due to the office of stewardship of the Naumburg Cathedral. From the late 11<sup>th</sup> century there was a Wettin Bishop of Naumburg; and the Wettins were able to consolidate the territory and the wider central German region from the 13<sup>th</sup> century. The continuous stability of the rule of the Wettins lasted for more than 500 years, until 1815.

The advent of the Reformation brought major changes: the Catholic convents and monasteries were suppressed and their possessions passed into the hands of private tenants. Only the Naumburg Cathedral chapter saw its property rights substantially untouched. The city of Naumburg grew in importance until the 17<sup>th</sup> century, when the thirty-year war devastated the region. In the 18<sup>th</sup> century Naumburg and its region experienced economic revitalisation, due to vine-growing and salt extraction.

From the early 19<sup>th</sup> century until 1945, the area became part of Prussia. The opening of the railways Frankfurt-Dresden and Munich-Berlin confirmed the area as a continuing cross roads location. Naumburg became an administrative centre of regional importance.

The area was spared by the destructions of war in the 20<sup>th</sup> century and the transformations that occurred under the socialist regime. However, land reform and the collectivism of farmers brought major changes to the landscape patterns, and agriculture became organised on the basis of larger-scale units.

### **3 Justification for inscription, integrity and authenticity**

#### **Comparative analysis**

In presenting its revised comparative analysis, the State Party argues that the German Empire of the High Middle Ages was shaped by small and fragmented dominions, in contrast to those elsewhere, such as in England and France which had already experienced processes of centralisation. The comparative analysis therefore

concentrates its attention on Western and Central Europe.

The comparative analysis brings in a wide range of potential comparators from the World Heritage List and from regions not included in the World Heritage List. It looks at comparable 'dominion landscapes', sites and architectural monuments of the Middle Ages. Comparative analyses are specifically presented for the Naumburg Cathedral, Pforta Monastery, the Double Chapel at Neuenburg Castle, and for the entire cultural landscape.

Naumburg Cathedral is compared with a number of other cathedrals on the World Heritage List according to their dates, and in terms of their architectural development and sculptures. These include: Bamberg Cathedral as a part of the Town of Bamberg (Germany, 1993 (ii) (iv)); Regensburg Cathedral as part of the Old Town of Regensburg and Stadtamhof (Germany, 2006 (ii) (iii) (iv)); Reims Cathedral, as part of the World Heritage site of the Cathedral of Notre-Dame, former Abbey of Saint-Rémi and Palace of Tau (France, 1991 (i) (ii) (vi)); Sainte Chapelle as part of the World Heritage site of Paris, Banks of the Seine (France, 1991 (i) (ii) (iv)); and Burgos Cathedral (Spain, 1984 (ii) (iv) (vi)). It also considers several other cathedrals that are not within World Heritage properties, such as: Toule Cathedral in Lorraine (France); Mainz Cathedral (Germany); and Meissen Cathedral (Germany). The State Party concludes that the unique architectural and artistic features of Naumburg Cathedral and the importance of the 'Naumburg Master' justify its consideration for inscription in the World Heritage List.

Pforta Monastery is compared with several other monastery complexes in the World Heritage List, such as: Maulbronn Monastery Complex (Germany, 1993 (ii) (iv)); and Walkenried Monastery, part of the World Heritage site of the Mines of Rammelsberg, Historic Town of Goslar and Upper Harz Water Management System (Germany, 1992/2010 (i) (ii) (iii) (iv)). The State Party concludes that while the monastery conforms to traditional French types of Cistercian architecture, it also demonstrates conversion to modern High Gothic forms (or 'Gothicisation') based on the west choir of the Naumburg Cathedral and therefore justifies consideration for the World Heritage List.

The Double Chapel of Neuenburg Castle is one of a number of double-storey castle chapels belonging to high nobility. The special features of this chapel are the capital sculpture and the 'polylobed arches' which the State Party argues as unique in architectural history.

Finally, a range of World Heritage cultural landscapes and Medieval borderlands were examined, including: Upper Middle Rhine Valley (Germany, 2002 (ii) (iv) (v)); Wachau Cultural Landscape (Austria, 2000 (ii) (iv)); The Loire Valley between Sully-sur-Loire and Chalonnes (France, 2000 (i) (ii) (iv)); Portovenere, Cinque Terre, and the Island (Palmaria, Tino and Tinetto) (Italy, 1997

(ii) (iv) (v)); Val d'Orcia (Italy, 2004 (iv) (vi)); Cultural Landscape of the Serra de Tramuntana (Spain, 2011 (ii) (iv) (v)); The Historic Fortified City of Carcassonne (France, 1997 (ii) (iv)); Durham Castle and Cathedral (United Kingdom, 1986 (ii) (iv) (vi)); Castles and Town Walls of King Edward in Gwynedd, Wales (United Kingdom, 1986 (i) (iii) (iv)); Fertő / Neudiedlensee Cultural Landscape (Austria and Hungary, 2001 (v)); Levoča, Spišský Hrad and the Associated Cultural Monuments (Slovakia, 1993/2009 (iv)); Monuments of Oviedo and the Kingdom of the Asturias (Spain, 1985/1998 (i) (ii) (iv)); and the Castle of the Teutonic Order in Malbork (Poland, 1997 (ii) (iii) (iv)).

Several other regions in Europe that were borderlands or transit areas were also briefly discussed, including: Silesia; South Tyrol (Italy); Kent (United Kingdom); Catalonia and western Castile; Susa Valley, Piedmont (Italy); Burgundy around Cluny and the Maconnais (France); and Norman-Hohenstaufen Kingdom on the island of Sicily and mainland Italy.

The State Party concludes that the number of inscribed cultural landscapes from Europe is still relatively small (compared with historic towns); and finds very few landscapes that share the distinctive characteristics of the nominated property. The Wachau Cultural Landscape (Austria, 2000 (ii) (iv)) is perhaps the most comparable, but its values are partly focused on landscape beauty, and the treatment of nature. Also, Val d'Orcia (Italy, 2004 (iv) (vi)) has some similarities, but is significant for its later innovations in agriculture; and the Cultural Landscape of the Serra de Tramuntana on Mallorca (Spain, 2011 (ii) (iv) (v)) has impressive terracing and water supply systems, but lacks the monumental architectural elements of feudal power found in the nominated property; and so on. Landscapes on the Tentative Lists from Italy, France and Austria are also included in the comparative analysis.

The comparative analysis concludes that while there are many World Heritage properties that exhibit important testimony of the historical processes of the High Middle Ages, the nominated property can be understood as distinct amongst them due to its comprehensive and condensed form, and its ability to 'showcase' the High Middle Ages 'in a nutshell'.

ICOMOS considers that Early and High Middle Ages and related historic themes are already well represented on the World Heritage List, including by other German World Heritage properties. The comparative analysis also demonstrates that borderland interchanges in the Middle Ages were commonplace throughout Europe, and are already represented on the World Heritage List through a variety of properties. ICOMOS therefore reiterates its comments made in its earlier evaluation of this landscape. While the comparative analysis is thorough, the justification for Outstanding Universal Value could apply to several European territories. The primary argument made to suggest that the nominated serial property is distinctive when compared to both

World Heritage listed properties and others, is that it is a landscape rather than a monument, site or groups of buildings. However, ICOMOS does not consider this to be established, and the specific reasons for considering it for the World Heritage List are not substantiated by sufficient evidence.

The State Party has explained the rationale for selecting the components of the series, based on the extensive research and documentation work that has occurred for this landscape, and detailed maps have been provided. This has included archaeological surveys, remote sensing and inventories of architectural and urban elements. The State Party also emphasises the importance of place names in understanding the history of the landscape, and its cultural influences. ICOMOS considers that the approach to the justification of the selection of the components is not explicitly oriented around a comparative analysis of the available components; and this gap is compounded by the State Party's late decision to alter the series to a significant degree.

The State Party explains that the selection of components was made based on the identification of a number of 'clusters' of sites from the High Middle Ages. Not only do the components represent the breadth of architectural and landscape elements, but are also nodes of particular density and legibility.

ICOMOS considers that while the comparative analysis is comprehensive, and points to a number of specific points of significance for elements within the nominated property, it does not justify consideration of this property for the World Heritage List as a cultural landscape.

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

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#### **Justification of Outstanding Universal Value**

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

- As a former borderland between the Christian and Slavic cultures of the High Middle Ages, the nominated components comprise a microcosm of the complex processes of land development in Central and Eastern Europe and the successful integration of diverse ethnic cultural groups;
- Monumental elements within the nominated property demonstrate claims to power and exhibit exceptional artistic achievements, particularly through the workshop called the 'Naumburg Master' and the masterpiece of the Naumburg Cathedral;
- Through its tangible remains and sight lines, the nominated property demonstrates the role of Naumburg in the High Middle Ages as a hub for various European trade routes;

- The area of the confluence of the Saale and Unstrut Rivers has an exceptionally high density of monuments and landscape elements from the High Middle Ages.

The serial approach has enabled the State Party to respond to the decision of the World Heritage Committee, focussing more closely on the areas of greatest density of tangible elements associated with the High Middle Ages. However, ICOMOS observes that several areas within Europe can exhibit similar patterns of historical and political development. What is asserted to be exceptional in the nominated area is likely to be commonplace in Europe.

In revising the components in November 2016, the State Party has not revised its justification for Outstanding Universal Value. As discussed below, ICOMOS does not consider that any of the components can be considered exceptional in their own right. ICOMOS therefore strongly questions the rationale in terms of the ability of the three components – relying primarily on religious monumental buildings – provide enough support to represent a cultural landscape that exhibits these complex historical and political processes.

For these reasons, ICOMOS considers that the justification proposed by the State Party does not support consideration of the nominated property for the World Heritage List.

### **Integrity and authenticity**

#### **Integrity**

The integrity of the serial property is based on the inclusion of all the most prominent monuments as well as a diversity of other elements that can demonstrate the patterning and operation of the landscape in the High Middle Ages in the original nomination of eleven components (reduced to three components). The visual integrity has been analysed and mapped for the entire area (delineated by the buffer zone), although this is less comprehensive for the individual components and elements.

The State Party explained that the landscape demonstrates functional integrity through continuing agricultural uses; but the towns and village buildings are more variable in this respect. However, the relevance of this argument is not clear to ICOMOS following the State Party's decision to reduce the number of components. The three remaining components exhibit a good state of conservation, and pressures are mostly well controlled.

At the site level, ICOMOS concurs that each of the three components is of adequate size and contains attributes related to the historical significance of the nominated property. However, ICOMOS does not consider that these three components – oriented around architectural monuments – can adequately represent the proposed cultural landscape of the High Middle Ages.

As noted above, the initial proposal of eleven components was formulated on the basis of detailed landscape research and documentation. ICOMOS appreciates the rigorous research that has been done. However, the selection of the components is not explicitly justified in terms of the criteria presented. Therefore, the integrity of the nominated serial property has not been met.

#### **Authenticity**

The State Party considers that the attributes of the nominated property exhibit an exceptional degree of authenticity, including: castles, churches, monasteries, sight lines and other features. In the State Party's view, the tangible outcomes of the dynamics which took place within the area in the High Middle Ages have been preserved.

ICOMOS considers that the conditions of authenticity are fulfilled for some of the primary architectural monuments that now comprise the serial nomination. Naumburg Cathedral exhibits a high degree of authenticity to the High Middle Ages; but for other surviving architectural features, the fabric dating back to the High Middle Ages is sometimes limited or variable. For example, Neuenburg Castle was substantially rebuilt a few decades ago; significant amounts of modern reconstruction have occurred at a number of the castles and monasteries; and the old towns of Naumburg and Freyburg have experienced some renewal and renovation of urban areas and buildings. While many of the historical sight lines remain intact, others have been impaired by intrusions of modern infrastructure.

ICOMOS considers that the requirement of authenticity is satisfactory, but variable amongst the three components remaining in the serial nomination. As for the evaluation of integrity, a further problem is posed by the inability of several small parcels to represent the proposed cultural landscape.

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In conclusion, ICOMOS considers that the conditions of integrity and authenticity have not been met in relation to the proposed Outstanding Universal Value for this serial property.

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

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

*Criterion (i): represent a masterpiece of human creative genius;*

This criterion is justified by the State Party on the basis of the artistic and architectural qualities of Naumburg Cathedral, particularly its double choir structure, and life-sized founder sculptures. The choir screens from the first half of the 13<sup>th</sup> century reflect changes in religious practice, and the inclusion of science and nature in the figurative arts. The workshop organisation of sculptors and stone masons referred to as the 'Naumburg Master', and the artistic significance of the quality of the works at

Naumburg Cathedral, Neuenburg Chapel and the minster of Pforta Monastery are considered by the State Party to demonstrate Outstanding Universal Value in relation to criterion (i) due to their ability to offer insight into the arts, architecture, and technology of their specific era.

ICOMOS notes that most of the arguments for this criterion focus on the specific artistic and architectural characteristics of the Naumburg Cathedral, and less so for the other components. ICOMOS does not consider that the significance of the Cathedral is sufficient to justify criterion (i), and that the focus on the Cathedral is problematic for the serial approach. Furthermore, while each of the three components of this nomination exhibit artistic and architectural qualities, ICOMOS does not consider that any of them can be considered as masterpieces of human creative genius, especially within this particular period of human history which is relatively well represented in the World Heritage List.

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ICOMOS considers that this criterion has not been justified.

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

This criterion is justified by the State Party on the grounds that during the High Middle Ages, this area was a trading hub, with flows of interchanges between German Christian and Slavic cultures. Initially, a range of landscape elements were nominated - from planned towns, to villages, to religious complexes to rural lands - exhibiting traces of these interchanges through Slavic characteristics (such as the round-shaped settlement patterns) and place names. In the material received from the State Party withdrawing most of these components from the nomination, the State Party asserts that this criterion is demonstrated.

ICOMOS considers that the reduction of the number of components by the State Party leaves the argument for this criterion difficult to understand. ICOMOS also considers that, like many Medieval border regions, this area experienced interchanges between different cultural groups (in this case, German Christians and Slavic cultures). However, to meet the requirements of the World Heritage Convention, this interchange must be demonstrated by the selected serial components that comprise the nomination, and must do so in an outstanding manner. It is the view of ICOMOS that the three components of this nomination do not clearly achieve this through any of its three components.

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ICOMOS considers that this criterion has not been demonstrated.

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*Criterion (iv): be an outstanding example of a type of building, architectural or technological ensemble or*

*landscape which illustrates (a) significant stage(s) in human history;*

This criterion was initially justified by the State Party on the grounds that the eleven nominated components comprised the entire range of built and landscape features created during the High Middle Ages, a period when eastward expansion of agrarian activities and populations led to power struggles and conquests. The State Party argued that these are demonstrated by the exceptional density of High Medieval monuments and features in this area, and specific attributes such as the fortresses, monasteries and castles. The State Party argues that the high artistic achievements of the three remaining components are integral to these historical processes.

While the arguments for this criterion are straightforward in relation to the period of human history, ICOMOS considers that it is less obvious to see how the three components comprise an identifiable type of landscape which can be considered outstanding. ICOMOS considers that only individual elements, which cannot be considered exceptional in themselves, bear witness to some aspects of land-use or settlement. These are partial and have undergone significant subsequent transformations.

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ICOMOS considers that this criterion has not been demonstrated.

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ICOMOS considers that, in general, the serial approach is justified in order to attempt to represent a High Middle Ages landscape. However, ICOMOS does not believe that the three selected components can represent the cultural landscape. ICOMOS does not consider that the criteria have been justified for the serial property.

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

The State Party discusses a range of factors affecting the property, including: traffic, renewable energy production, population decline, agricultural changes, environmental pressures (including climate change), natural disasters (fire) and tourism. For each of these, protective measures and risk prevention are outlined.

Modern long distance and local traffic routes cut through the area of the confluence of the two rivers. For example, the road construction project (B87 Bad Kösen by-pass road) has been the subject of exchanges with ICOMOS since 2014. This project is in the planning stages, although local authorities have a high degree of commitment to the project. The current alignment of B87 runs east through the buffer zone, through the city of Naumburg and then west to the Saale River and Bad Kösen. The bypass is promoted as beneficial to the nominated property and buffer zone, as it will divert heavy traffic, avoiding the nominated components and the buffer zone (including important sight lines).

ICOMOS has had strong concerns about this project previously, due to the disruption of the view from the Saaleck and the Rudelsburg Castles. Despite the reformulation of the nomination, and the reduction of the components, it is nevertheless a highly sensitive project. ICOMOS urges the State Party to ensure that Heritage Impact Assessments are fully implemented before it proceeds.

Within the large buffer zone, there are a range of factors that can impact on the heritage values of the larger landscape. Industrial areas and large facilities for agriculture, communication and energy infrastructure can impact on or fragment the surviving elements from the High Middle Ages. Future plans for new urban areas (such as those south of Naumburg) and energy infrastructure (roads, wind farms, etc) may have impacts on the landscapes in the buffer zone. Industrial agriculture impacts on the historical rural elements by changing the sizes and orientation of farming lots. There is a need to regularly implement Heritage Impact Assessment processes due to the number and diversity of industrial and infrastructure projects proposed within (or just outside) the proposed buffer zone.

According to the State Party, the area of the confluence of the Saale and Unstrut Rivers attracts approximately 1.25 million visitors each year. Visitor numbers have been provided for Naumburg Cathedral (245,608 per year), Neuenburg Castle (62,000 per year) and Saaleck Castle (within the buffer zone) (10-12,000 per year). Visitor numbers for other components have not been provided, and the impacts of visitors are given superficial attention.

ICOMOS considers that tourism and associated visitor pressures are not well articulated; and encourages the State Party to collect more detailed tourism data and to include visitor data and pressures in the monitoring arrangements (as discussed below).

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ICOMOS considers that the main threats to the property are infrastructure and development projects.

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## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

Together the three nominated components have an area of 387.34 ha; and the large buffer zone has an area of 16,870 ha. The boundaries are well-delineated, and according to the State Party they are variously based on topography, visual qualities and historical evidence about the High Middle Ages. The State Party has developed its 'Cultural Landscape Cadaster' based on substantial research over several years.

ICOMOS considers that the boundaries of the components are not always aligned with the attributes that are clearly associated with the proposed Outstanding

Universal Value. Furthermore, the changes to reduce the number of components by the State Party in November 2016 raise questions about the rationale for the boundaries of the remaining three components. For example, is the large boundary proposed for the Freyburg component needed if it is asserted that the Neuenburg Castle is the primary attribute relevant to the proposed Outstanding Universal Value? In this case, the relevance of the town is not apparent. Similar concerns can be addressed to each of the other two components.

The buffer zone is very large and encompasses all 11 of the originally nominated components (now three), as well as the confluence of the two river valleys. The State Party argues that this all-encompassing buffer zone ensures adequate protection for the nominated components and their visual settings (including important view lines).

ICOMOS strongly questions the need and rationale for such a large buffer zone, especially given the State Party's decision to reduce the series to only three components. The proposed buffer zone is not optimal in terms of the practical coordination and management needs for the proposed property. The management of the property would be more workable to provide buffer zones for each of the three components.

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ICOMOS considers that the boundaries and buffer zone are not appropriate. The three components cannot represent the cultural landscape of the High Middle Ages, and the rationale for their boundaries is unclear. In the case of the buffer zone, ICOMOS considers that it is overly generous in size, creating potential challenges for the coordination of management and implementation of legal protection.

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### **Ownership**

The State of Saxony-Anhalt maintains a register of land ownership of the components of the nominated property. The property is comprised of a range of private and public ownership arrangements. Public foundations own some of the components: Naumburg Cathedral and Naumburg Immunity (*Vereinigte Domstifter zu Merseburg und Naumburg und des Kollegiatstifts Zeitz*); Neuenburg Castle (Cathedral and Castle Foundation of Saxony-Anhalt); and Cistercian Monastery of Pforta (Schulpforta Foundation). While the State Party identifies population decline as a possible factor affecting the property, demographic information provided to the ICOMOS mission suggests that the population levels area relatively stable throughout this area.

### **Protection**

The three components and their settings are protected as 'monumental ensemble' by the Act for the Protection of Historic Monuments and Buildings of the State of Saxony-Anhalt. This is the highest level of protection available, according to the State Party, and establishes the management system.

In addition, German legal regulations for town and country planning, together with the Building Law of the State of



Saxony-Anhalt contribute to the legal protection of the nominated components, including views and sight lines. The State Ministry of Culture of Saxony-Anhalt and the County of Burgenland are responsible for the regulation of building conservation and archaeological works.

The large area of the buffer zone has been designated as a 'monumental landscape' by the Act for the Protection of Historic Monuments and Buildings of the State of Saxony-Anhalt. The 2010 State Development Plan of Saxony-Anhalt identifies the protection of the cultural landscape as one of its objectives in the context of regional development; and the general principles in the Regional Development Plan for the planning region of Halle also recognise the importance of the cultural landscape.

Naumburg and Freyburg each have Rehabilitation Charters and Preservation Charters in place; and land development plans support the conservation of monuments and archaeological sites.

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ICOMOS considers that the legal protection in place is satisfactory.

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### **Conservation**

A detailed multi-disciplinary inventory has been compiled across a large area which includes the buffer zone and components of the nominated property. More than 3000 features and items related to the High Middle Ages have been identified.

Naumburg Cathedral and Neuenburg Castle have been subject to conservation projects and have museum exhibitions explaining their history.

ICOMOS considers that the components are well-documented and demonstrate a good state of conservation. There are good plans and photographic documentation to support the monitoring processes (particularly for Naumburg Cathedral).

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ICOMOS considers that the nominated components demonstrate a good state of conservation; and ongoing documentation and conservation processes are commendable.

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### **Management**

Management structures and processes, including traditional management processes

The management structure for the nominated property is grounded on the institutional structures of the federal, state, district and municipal levels of government.

In order to ensure coordination and internal monitoring a Working Group World Heritage Saale and Unstrut has been established, and acts as an official forum for coordination, supported by an Advisory Committee. The State Party advises that this Working Group will come into effect once the property is inscribed in the World Heritage List.

The nomination dossier clearly outlines the responsibilities of the different government authorities, and provides flow charts that explain the various approvals procedures. Significant financial resources have been provided for research and conservation works throughout the nominated property since 1990. A continuous budget of €400,000 per year is available for the Naumburg Cathedral and for Pforta Monastery; and the owners of Neuenburg Castle provide significant funding for maintenance and conservation. The Evangelical Church in Central Germany provides funds for churches in the region.

Because of the diverse ownership arrangements throughout the three components, financial and human resources are provided by various sources, including governments, church organisations, civil society and owners. While public financial resources are dependent on annual budget processes, the needed finances for the conservation needs of the property seem secure, and specific project and works funding is also available. Similarly, no particular issues have been identified in relation to staffing and expertise, which is augmented further by community volunteers.

The Förderverein Welterbe an Saale und Unstrut e.V., a registered association comprised of the State of Saxony-Anhalt, civil society, private entities and owners of historic cultural properties implement promotion and coordination tasks for the management of the nominated property. This association has permanent staff, supported by a Scientific Advisory Board and various working groups. Salaries are funded by the District Administration of Burgenland, the city of Naumburg and the United Chapter Foundation of Naumburg. Other staff and professional resources available are associated with the City administrations in Naumburg and Freyburg, the Cathedral and the churches.

Several of the elements within the nominated property have their own specialised architects and craftspeople for ongoing conservation works. For example, at Naumburg Cathedral, an architect is employed for this purpose and has the title of 'Cathedral Master Builder' (*Dombaumeisterin*). Similar arrangements are in place for the Pforta complex.

ICOMOS considers that while the mechanism for coordination across the three components and buffer zone is satisfactorily envisaged, more work is needed to create the overall management objectives and framework.

Policy framework: management plans and arrangements, including visitor management and presentation

The management of the nominated property relies on existing protection designations as well as spatial and sectorial plans. These range from European to municipal scales and cover a wide range of natural and cultural heritage matters.

The Management Plan provided by the State Party is unchanged from the version drafted for the nomination presented in 2014. The State Party advises that this Management Plan is in the process of review and adaptation to this revised nomination, but that the earlier one serves as a baseline for information, evaluation and consultation.

The Management Plan is very general. Most of the text is descriptive, and only general guidelines are provided. The Management Plan is not envisaged as a programme of action, but as a result, the overview of actions, activities and budgets for implementation are not evident.

The basis of the Management Plan is the 'Cultural Landscape Cadastre' which has been extensively researched and underpins the nomination as a whole. It maps more than 3000 elements dating to the High Middle Ages within the buffer zone (including archaeological elements below the ground surface, but determined through laser scanning techniques). It also includes several dozen historical sightlines within the river valleys that are protected by the Act for the Protection of Historic Monuments and Buildings of the State of Saxony-Anhalt.

Although internal procedures for approval for the development of new projects seem to be well established by the existing authorities, the lack of a specific and effective management tool or system is a source of concern.

Plans for individual elements within the nominated property are developed in collaboration with the Förderverein Welterbe an Saale und Unstrut e.V. and implemented by their owners in many cases. However, ICOMOS observes that these plans vary in their level of detail and their timeframes, and notes that there are efforts to integrate these. ICOMOS considers that this is essential to achieve a clear and consistent conservation and management approach across the components and elements of the nominated property.

The area of the confluence of the Saale and Unstrut Rivers is an attractive one for visitors, mostly from Germany. The State of Saxony-Anhalt supports tourism activities, and there are some well-known tourism 'brands' such as the 'Romanesque Road', the 'Saale-Unstrut Wine Route', 'Blue Ribbon' and 'Garden Dreams'; and annual festivals (such as the Freyburg wine festival) and exhibitions also attract visitors. The area has a well-developed hotel network. The existing tourist offices promote visits to the nominated components and provide interpretation materials.

ICOMOS considers that the numbers of visitors provided by the State Party suggest the need both for a carrying capacity assessment and a more structured tourism strategy. In the view of ICOMOS, the impacts of tourism have not been assessed adequately given that there is a high potential for future growth in tourism numbers. Furthermore, ICOMOS notes that the Management Plan is

vague on these issues, without clear objectives or actions with timeframes.

#### Involvement of the local communities

This aspect of the nomination process appears to be exemplary. Local communities appear very much involved and engaged in the nomination, and many local organisations, business, owners and other citizens have supported the nomination process. As noted earlier, the nomination coordinating body Förderverein Welterbe an Saale und Unstrut e.V. is an association made up many interests and stakeholders, including civil society organisations and owners of historic heritage properties.

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ICOMOS considers that the management system is overly dependent on the implementation of the legal protection arrangements, and that the proactive management system is still being established and is not yet fully effective. The Management Plan requires substantial revision in order to become a tool for ensuring the needed coordination and decision making to prioritise the proposed Outstanding Universal Value of the nominated property. ICOMOS considers that the lack of further revision of the Management Plan since 2014 is unfortunate because there are new requirements that apply to a serial property and its large buffer zone, and these have not been explicitly provided for. Urgent attention is needed in the areas of setting clear and over-arching conservation and management objectives for the three components, coordination of development decision-making processes, and tourism management. Effective processes for assessing the impacts of development projects are urgently needed.

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## 6 Monitoring

Indicators for monitoring have been established for single buildings (castles, churches and monasteries) and urban areas (Naumburg and Freyburg). A very detailed program is planned, focused mostly on encroachments and interventions and the benchmarks established through the detailed cultural landscape inventories. Clear indications of responsibilities and periodicity have been provided. Monitoring roles are proposed for specialists, and others can be undertaken by members of the Förderverein Welterbe through their voluntary commitment to the nominated property.

ICOMOS considers that this system of monitoring is complex, but is likely to be effective in monitoring the state of conservation of the components. However, issues such as visitor pressure are not yet included, and should be, particularly for buildings and areas that are heavily visited.

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ICOMOS considers that the proposed monitoring system is satisfactory, although it could be further improved through the development of specific indicators for visitor levels and pressures.

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## 7 Conclusions

Based on the decision of the World Heritage Committee (39 COM 8B.26), the State Party has reconfigured this nomination by expanding the comparative analysis; selecting 'clusters' which convey the tangible expressions of the High Middle Ages; moving from a single large property to a serial nomination of three components; and by selecting different criteria to propose Outstanding Universal Value. However, the proposed justification for Outstanding Universal Value has not sufficiently changed since the first evaluation of this property; and the possibilities for further consideration of the historical settlement processes known as 'Landesausbau' in the reconfiguration of the nomination have not been included by the State Party.

The work by the State Party to research and document this landscape is thorough and commendable; however, the method used has not enabled any of the three cultural criteria to be met. ICOMOS considers that the comparative analysis does not justify consideration of this property for the World Heritage List, especially given that this historical period is relatively well represented in the World Heritage List.

ICOMOS considers that inability of the three components to represent a cultural landscape of the High Middle Ages is a particular weakness in this nomination. This small collection of sites, surrounded by a single, large and encompassing buffer zone is unconvincing as a cultural landscape, and cannot meet the arguments made by the State Party for the Outstanding Universal Value of the property. ICOMOS considers that the conditions of integrity and authenticity have not been met in relation to the proposed Outstanding Universal Value for this serial property.

While the serial approach seems justified as a means of focusing on the ability of the property to represent the landscape of the High Middle Ages, none of the proposed criteria (i), (ii) and (iv) have been met, and Outstanding Universal Value is not demonstrated. ICOMOS has concluded that the selected components and their wider landscape context are of regional significance.

It seems clear that the most significant and well-conserved component is the Naumburg Cathedral and its immediate setting, due in particular to its double-choir structure and other features which are considered highly significant by art historians. However, ICOMOS does not consider that the significance of the Cathedral is sufficient to justify any of the proposed criteria (especially considering that this site type is already relatively well represented in the World Heritage List), and the strong focus on Naumburg Cathedral poses problems for the serial nomination of three components.

ICOMOS considers that the legal protection for this property is satisfactory; and that the three components have a good state of conservation. There are a number of infrastructure and development projects occurring within

or near to the proposed buffer zone which pose pressures for the nominated property and require strong and timely Heritage Impact Assessment processes.

ICOMOS considers that the boundaries and buffer zone are not appropriate. The three components cannot represent the cultural landscape of the High Middle Ages, and the rationale for their boundaries is unclear. In the case of the buffer zone, ICOMOS considers that it is overly generous in size, creating potential challenges for the coordination of management and implementation of legal protection. ICOMOS considers that it is an ambitious undertaking to present a cultural landscape that can be representative of the High Middle Ages in this manner. The management system is still developing and is heavily dependent on the implementation of the legal protection arrangements. The Management Plan requires substantial revision and further development in order to become a more dynamic and useful tool.

The State Party has now nominated Naumburg Cathedral and the landscape of the confluence of the Saale and Unstrut Rivers in two different formulations; both of them proposing a cultural landscape shaped by the importance of this area in the High Middle Ages. Unfortunately, the present formulation – with featuring the Cathedral and two other associated components within the larger landscape - does not result in a strengthening of the possibilities for demonstrating Outstanding Universal Value.

ICOMOS appreciates that the decision taken by the State Party in November 2016 to reduce the number of components from eleven and three was intended to further improve the focus of the nomination following the discussions with representatives of the ICOMOS World Heritage Panel. However, ICOMOS notes that nominations are complex and are finely tuned constructions that cannot be hastily revised around a different configuration of components in this manner. Overall, ICOMOS considers that the reduction of components has raised new questions without improving the case for Outstanding Universal Value.

Despite the well-articulated local and regional significance of these sites, and their good documentation and state of conservation, ICOMOS concludes that there is insufficient basis for their inclusion in the World Heritage List.

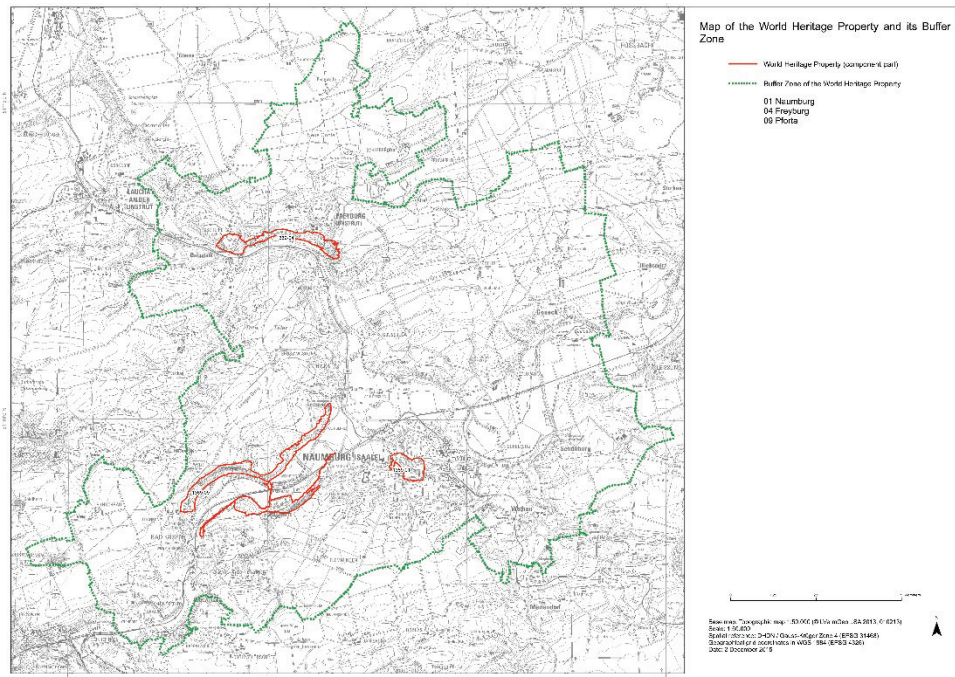
## 8 Recommendations

### Recommendations with respect to inscription

While ICOMOS and the State Party have entered into the process of reformulating this nomination with good intentions, in this case the additional work undertaken has not resulted in a nomination that ICOMOS can support for inscription.

ICOMOS therefore recommends that Naumburg Cathedral and related sites in the Cultural Landscape of the Rivers Saale and Unstrut, Germany, should **not be inscribed** on the World Heritage List.





Revised map showing the boundaries of the nominated component sites



Schönburg Castle and view into Saale Valley



Neuenburg Castle



Naumburg Cathedral



Pforta monastery complex





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## The English Lake District (United Kingdom) No 422rev

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### Official name as proposed by the State Party

The English Lake District

### Location

North West England

United Kingdom

### Brief description

Located in North West England, the English Lake District is a distinct mountainous area, which has been modelled into radiating valleys by the movements of glaciers in the Ice Age and subsequently shaped by a long-standing agro-pastoral land-use system which is still practiced today. The combined work of nature and human activities have produced a landscape of harmony and beauty in which the rugged mountains mirrored in clear glacial lakes, the delicate farming pattern of enclosed inbye and intake fields, the broadleaved woodlands and tree groups, and the settlement distribution form an evocative scenery. This landscape came to be appreciated from the 18<sup>th</sup> century onwards by the Picturesque and later the Romantic Movements, which celebrated it in paintings, drawings and words. These ideals were materialised in villas, gardens and parks purposely created to enhance the picturesque and romantic character of this landscape. Its popularity spread amongst the general public through several guidebooks, giving rise to early forms of tourism in England. The beauty of this landscape also inspired an awareness of the importance of beautiful landscapes for personal emotional enrichment and conservation, and triggered early efforts to preserve it that contributed to the formation of the landscape conservation movement.

### Category of property

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

In terms of the *Operational Guidelines for the Implementation of the World Heritage Convention* (July 2015) paragraph 47, it is also a *cultural landscape*.

## 1 Basic data

### Included in the Tentative List

27 January 2012

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

25 January 2016

### Background

The State Party submitted in 1986 the nomination of The Lake District National Park both as a cultural and natural property – a mixed site – for inclusion in the World Heritage List. The proposed area covered 2,280 square kilometres in the north-west of England. It was proposed under the following cultural criteria: (ii), (iv), (v) and (vi), as well as natural criteria (ii), (iii) and (iv).

The ICOMOS evaluation in 1987 recommended the property for inscription under the cultural criteria.

At its 11<sup>th</sup> session (CONF 005 VII.B.b., Paris, 1987), the World Heritage Committee adopted the following decision:

*The Committee wished to leave open its decision on this nomination until it had further clarified its position regarding the inscription of cultural landscapes.*

In 1989, the State Party submitted the revised nomination on the basis of cultural criteria (ii), (iii) and (v), and ICOMOS in its evaluation recommended that the property be inscribed on the basis of criterion (iii) only.

At its 14<sup>th</sup> session (CONF 004 VII. D, Banff, 1990), the World Heritage Committee adopted the following decision:

*At the request of the authorities of the United Kingdom, the Committee re-examined the nomination of the Lake District to the World Heritage List as a cultural property, based on a recommendation by ICOMOS that it be so included. The Committee discussed this case in detail and, although many members showed great interest in including this property, no consensus could be reached. The Committee felt that it did not have sufficiently clear criteria to allow it to rule on this type of property. It was recalled that the lack of appropriate criteria for the examination of cultural landscapes had been a concern of the Committee for several years. The Committee therefore asked the Secretariat to develop such a criterion or criteria and to submit this proposal to the Bureau at its fifteenth session. This will enable the Committee to consider adopting this criterion or criteria at its next session and to examine the nomination of this property.*

In 2016, the State Party presented a new nomination for the property, as a cultural landscape, on the basis of criteria (ii), (v) and (vi). This nomination is the object of the present evaluation report.

### Consultations

ICOMOS has consulted its International Scientific Committee on Cultural Landscapes and several independent experts.

Comments about the evaluation of this property were received from IUCN in November 2016. ICOMOS has carefully examined this information to arrive at its final decision and its March 2017 recommendation; IUCN also reviewed the presentation of its comments included in this

ICOMOS report. IUCN's will include the full comments as provided to ICOMOS in its evaluation book 41COM.INF.8B2.

### **Technical Evaluation Mission**

An ICOMOS technical evaluation mission visited the property from 3 to 8 October 2016.

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

ICOMOS sent a letter to the State Party on 17 October 2016 requesting additional information on infrastructure projects and particularly on a new high-voltage power line (NWCC).

The State Party responded on 11 November 2016 and the information provided is integrated into the relevant sections of this report.

Following the ICOMOS World Heritage Panel, an Interim Report was sent to the State Party on 16 January 2017, explaining the findings of the ICOMOS Panel and requesting further elaboration on criteria (ii) and (vi) and additional information on the development of the new nuclear power station at Moorside, on the NWCC planned for construction on the western edge of the property, on the protection measures of the setting of the nominated property, and on strategies to address tourism and conservation.

The State Party responded on 27 February 2017 and the additional information provided is integrated into this report.

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

10 March 2017

## **2 The property**

### **Description**

The English Lake District (2,292 sq km) is a distinct mountainous area in North West England. Despite its complex geology, the region exhibits a unifying morphology. The District comprises 13 narrow valleys radiating "like spokes from the nave of a wheel", as William Wordsworth described it, from the highest elevations at the centre of the region, hills and uplands, known as fells in the region, separating one valley from the other, and 16 lakes of glacial origin in the bottoms of the valleys.

A number of factors have been identified in the nomination dossier as responsible for the present character and values of the District. These are outlined below.

#### **Natural factors**

The topography and morphology of the English Lake District owe much to its geological history.

Most of the rocks forming the mountains of the Lake District are extremely ancient, dating back to 420–500 million years ago; they have withstood multiple folding,

faulting, shaping and erosion processes, the most significant for the present geomorphology of the region being the ice advance and retreat of glacial and interglacial periods within the Quaternary Age. Particularly, the late Devensian period (26,000–10,000 BP, with a peak at 22,000 BP) is responsible for shaping the current topography of the District and its valleys.

A number of features in the English Lake District clearly illustrate the landscape-shaping forces of the ice: glacier-scoured U-shaped valleys, upland corries (small rounded hollows; approximately 150 are found in the Lake District), arêtes (sharp, narrow mountain ridges or spurs) and craggy outcrops. The high and abrupt peaks, the uplands, are covered with low vegetation, while the lowlands present a much denser arboreal vegetation.

The climate of the region is rather wet, with one of the highest rainfalls in Britain; winters are milder and summers cooler than usual at this latitude.

Beside the lakes, which are the featuring elements of the District, tarns and pools are also found in the uplands, as well as rivers, streams and falls. Many of these bodies of water are home to important and rare species.

Geological and topographical variations, different orientation and exposition, as well as human activity, have contributed to shaping the particular character of each of the 13 valleys and to give rise to different ecological zones and a considerable diversity of landscape forms.

#### **Landscape forms**

Twelve landscape character types have been identified in the region. They are briefly described below, before a description is provided of the 13 valleys forming the property. These include: Estuary and marsh, Coastal margins, Coastal limestone, Lowland Coastal sandstone, Volcanic high fell, Slate high fell, Upland limestone farmland, High fell fringe, Low fell, Low fell fringe, and Lowland valley.

These landscape types can be encountered in zones exhibiting specific geological and geographical features throughout the District and are not necessarily confined to one or other valley, although some of them may be found only in confined areas. They form the basis for the monitoring of the conditions of the landscape of the nominated property.

#### **The agro-pastoral landscape**

The most defining feature of the region, which has deeply shaped the cultural landscape, is a long-standing and continuing agro-pastoral tradition. The nomination dossier documents the early settlement of the area and the traces of the medieval agro-pastoral system that has continued until today. The farm pattern explains how the different features of the land were used and how the farming and grazing system developed over the centuries.

Pivotal to this agro-pastoral system are the communal grazing management of the uplands and the sheep breeds: the Herdwick, the Swaledale and the Rough Fell Sheep. All are well adapted to the local conditions, the most resistant among the three breeds being the Herdwicks, which also exhibit the instinct of keeping to a specific area (heft), thus making possible grazing over extensive areas without the need for fences or shepherds.

The rules of the agro-pastoral system have also distinctively shaped the physical environment.

A clear distinction between the valley floors, which were used for cultivating crops, hay and winter grazing, from the open grazing of the uplands, is still perceivable. Many stone walls divide the fields, known as 'inbye', in the valley bottoms, probably originating from the medieval ring garth – the walls separating the common fields at the bottom of the valley from the open grazing land on the hillsides. Land was progressively enclosed also on the slopes, developing a pattern of enclosures devoted to grazing, known as 'intakes', which are a key feature of the pastoral landscape of the Lake District.

The dry stone walls separate the enclosed from the common land, help control the movements of the sheep flocks, and provide shelters for them.

Traditional farmsteads usually encompass a farmhouse often directly connected to the cow house, above which a granary or hay loft was positioned; the pig sty was annexed to the complex at the furthest end of the cow house. Separate from the dwelling, other outbuildings included a threshing barn, a storage barn or granary and a two-storey multipurpose bank barn, which is a peculiar feature of the English Lake District farmsteads. Depending on exposure and location, the farmstead layouts may exhibit several variations.

Other functional structures that can be found in the fields include peat storage huts, hogg houses for sheltering young sheep and fodder, and vaccaries (cattle farms), which combine cow sheltering and dairy processing.

The uplands comprise the areas –largely moorland, heath, bog and rough grassland –beyond the limits of the enclosed farmland, which were used for communal grazing. The commons are a key element of the natural scenic beauty; they collect water in catchments, are important for wildlife, and are an archaeological repository.

To avoid overexploitation of the common land and unsustainable practices, a system of grazing rights has developed through the centuries, based on the grazing capacity of the inbye linked to the farms: these rights were associated with the farm holding and not to the farmer, so as to ensure the continuity of the system.

The picturesque and romantic appreciation of the landscape

From the mid 18<sup>th</sup> century onwards the English Lake District came to be highly appreciated by the Picturesque

and Romantic Movements for its distinctive dramatic views over a landscape shaped by natural forces and subsequently by pastoralism. This appreciation generated tourism, artistic interpretations and efforts to reinforce this character through a number of modifications, including the construction of villas with their own parks (Rydal Hall being a very early example) in different styles, often to the designs of renowned architects (e.g. the Art and Crafts Movement), of protected viewing stations, and the landscaping of notable features or areas.

The valleys are Langdale, Windermere, Coniston, Duddon, Eskdale, Wasdale, Ennerdale, Buttermere, Borrowdale and Bassenthwaite, Thirlmere, Ullswater, Haweswater, and Grasmere, Rydal and Ambleside. The specific features of each of them is described in detail in the nomination dossier and for each an explanation is provided on how they contribute to supporting and expressing the proposed justification for inscription.

#### Langdale

It is located in the central part of the nominated property. It is a classic example of a U-shaped valley; its steep sides and the rough aspects of the crags and rock outcrops provide a vivid contrast with the valley bottom, which features a smooth and green farming pattern. This is the only valley where the details of the chronology of the development of the farming landscape could be established thanks to the abundance of documents and field research. Early recognition of its qualities led to active conservation.

#### Windermere

It is located in the south east of the Lake District and the area includes the largest natural lake in England and a series of smaller valleys. Here, sharp contrasts can be found between the busy tourist town of Bowness-on-Windermere and the quiet and little-changed pastoral areas to the east, exhibiting a variety of farming landscape features and settlement patterns, including villas and designed landscapes and gardens. The valley represents the cradle of the conservation movement.

#### Coniston

It is located in the south of the Lake District running north-south and is dominated by the rugged glacial mountain landscape, including the linear homonymous lake. The traces of past mining and quarrying, of woodland industries and farming activities, provide a sense of a working landscape. Farming activity can be traced back to the Middle Ages, and open fields prevail here in contrast to the other valleys.

#### Duddon

The valley runs from the centre of the region towards the south, south west. The upper part of the valley is narrow, with high fells and little traces of frequentation, which altogether provide a sense of remoteness; the southern part is densely vegetated. The settlement pattern is sparse with only isolated farms and small hamlets. An agro-pastoral landscape character prevails. The stone

circles near Swinside are evidence of Neolithic occupation.

#### Eskdale

The valley is located in the western part of the region and is set apart by its rugged topography and isolation, combined with the impacts of agro-pastoralism since the Middle Ages. The pattern of stone-walled enclosures is still evident and several early farm buildings survive here. The valley is noted for Herdwick sheep farming. Evidence of pre-medieval activity includes the remains of the Hardknott and Ravenglass Roman fortifications as well as prehistoric sites. The absence of a lake reduced its attractiveness for general visitors but the valley was much appreciated by artists and writers.

#### Wasdale

Oriented from the centre of the Lake District towards the west, the valley is one of the most renowned for its spectacular lake landscape with mountains mirrored in Wastwater. The valley bears evident witness to the agro-pastoral system in the distinct pattern of walled inbye fields. Despite its beauty, this valley remained outside the main 18<sup>th</sup> and 19<sup>th</sup> century visitor routes, although it was celebrated by artists and writers.

#### Ennerdale

The valley is decidedly oriented from east to west and mainly rural in nature, with no major settlements. Large parts of the valley are occupied by upland grazing used by Herdwick and Swaledale sheep flocks. Landscape farming patterns include inbye land and intakes. Rich evidence of prehistoric occupation survives in this valley as well as of medieval facilities, e.g. the vaccary at Gillerthwaite. Due to its difficult access, the valley was not part of the 18<sup>th</sup> and 19<sup>th</sup> century itineraries, although it was well known to artists and writers of the time. Early conservation efforts were addressed to this valley against projects for the creation of a railway and afforestation schemes that reduced grazing areas.

#### Buttermere

The valley is located in the north-west part of the Lake District, running south-east to north-west. It is a typical U-shaped glacial valley containing two lakes: Crummock and Buttermere. The valley has been shaped by agro-pastoral activities for centuries, as attested by the well-developed patterns of inbye and intake enclosed fields. The scenic beauty of this agro-pastoral landscape attracted early visitors as well as artists, writers and intellectuals. This valley too witnessed early conservation actions under Wordsworth's influence.

#### Borrowdale and Bassenthwaite

This valley lies to the very north of the Lake District, its orientation being from the centre of the region to the north. The glacial lake of Derwent Water formed at the end of the valley, which features a strong agro-pastoral character in the evident pattern of inbye and intake fields and a field system that developed from the medieval ring garths. The valley is noted for the Swaledale sheep breed. Traces of Neolithic, Roman and medieval occupation are found. The

valley enjoyed early aesthetic appreciation and efforts for the conservation of its landscape qualities (battles against tree felling, railway construction).

#### Thirlmere

The valley took its name from the Thirlmere reservoir that was created there, leading to strong opposition and thus contributing to strengthening the conservation movement. It is located in the northern part of the Lake District with a south-north orientation. The valley still bears witness to the agro-pastoral system with its pattern of walled inbye and intake fields. Neolithic occupation is attested to by the famous stone circle of Castlerigg. The valley was particularly important for the Romantic Movement and became key for the development of a wider consciousness of the need for conservation of the landscape.

#### Ullswater

This valley is located in the north-east part of the region, with a curved orientation from the south-east to the north-east. The valley is dominated by the large lake and still exhibits the agro-pastoral pattern of inbye and intake fields. Neolithic and Roman remains survive in the valley, as well as medieval churches and traces of lead mining operations (ceased 1961). The sinuous lake was a major source of inspiration from the early Picturesque period and this stimulated the construction of several villas and parks. It also attests to early conservation and protection efforts.

#### Haweswater

This valley is located in the eastern side of the Lake District. In addition, this valley witnessed the creation of a reservoir, in 1935. Much of the agro-pastoral landscape was lost in the flooding; however, what survives represents strong evidence of the pattern of evolution of the farming landscape from the medieval period, which is the best represented period in this valley. Due to its remote location, the valley remained relatively little visited and no villas or parks were created here. The creation of the reservoir triggered subsequent campaigns to stop other similar projects in the region.

#### Grasmere, Rydal and Ambleside

The valley is located in the central part of the Lake District and displays attributes of the agro-pastoral landscape in the field walls, enclosures, and farmhouses. Traces of woodland use survive in the coppiced woodlands, as well as former industries. The valley also bears witness to early visitor appreciation and the efforts to improve the landscape to meet Picturesque or Romantic standards. The valley also attests to the early conservation movement through successful battles against the creation of the railway.

## History and development

The landscape owes its current aspect to the living agro-pastoral traditions that have shaped the territory over the last millennium. However, earlier traces of human occupation survive, dating back to the Late Upper Palaeolithic period (11,000 BC).

During the Neolithic (4,000–2,500 BC) domesticated crops and animals were introduced, although settlements remained sparse and temporary. It is only with the Bronze Age (2,500–1,000 BC) that permanent settlement and agriculture grew in importance, with woodland and stone clearance.

Roman occupation is attested to by remains of forts and civilian settlements (at Ravenglass, Hardknott, Ambleside, Troutbeck).

The post-Roman era is not well documented but evidence suggests that human occupation did continue.

In the 10<sup>th</sup> century, Scandinavian settlers arrived in the Lake District, leaving important traces of their presence in place-names and language and possibly in pastoralism.

The Normans took control over the region in 1092 and the land was subdivided amongst members of the aristocracy, and large tracts of land were also given to monasteries, and the wool trade and the mining industry developed from this period onwards. A system of open fields was established, with the valley bottoms encircled by ring garths to separate these from the common grazing land. The current settlement pattern began to develop in this period.

The establishment of tenant-rights over formerly forested areas at the end of the 16<sup>th</sup> century, and the opportunity to pass them down as inheritance, after carrying out military service on the Scottish border, set the foundations for the establishment of generations of yeoman farmers, many of whom subsequently acquired prominent positions within a strongly independent community.

At the end of the 18<sup>th</sup> century, a small-scale farming economy had developed, based on sheep grazing on the open fells and on cultivation in the fields in the valley bottoms. Open grazing fields progressively disappeared with the creation of walled intakes outside the ring garth, and this led to the enclosure of the fields within the ring garth with the creation of inbye fields.

Major changes to the landscape occurred in the 19<sup>th</sup> century, following the Parliamentary general enclosure Acts, which led to the enclosure of large areas of the upland common land.

The improved economic and social conditions of the yeoman farmers brought in new architectural models and an improvement to infrastructure, as well as the development of the wool trade and of more efficient industries.

From the 18<sup>th</sup> century onward, this dramatic mountainous landscape and the people who created it attracted the attention of travellers, and Picturesque and Romantic artists, poets and writers were inspired by the region's majesty. They depicted in paintings and words the qualities of this landscape and the emotions evoked by its enjoyment. Early guidebooks directed visitors to specific spots to enjoy the vistas of mountains and lakes.

The fame of the region stimulated the creation of villas with gardens and parks, aimed at enhancing the picturesque and romantic qualities of this landscape, especially in the most accessible areas.

The beauty of the landscape, the understanding of the role of the shepherd community in maintaining the qualities of the landscape and of its importance for spiritual nurturing, as well as the threats deriving from development initiatives, including woodland felling, railway construction, and water reservoir creation, induced wealthy and influential people to acquire land to secure it for protection and public enjoyment, ultimately leading to the development of the National Trust movement, and to support battles for establishing forms of landscape protection and conservation. Protection efforts went beyond the visual and aesthetic qualities of the landscape, extending to the agro-pastoralism, threatened by afforestation projects in the early 20<sup>th</sup> century: land was purchased with the specific aim of reserving it for traditional farming practices.

The conservation movement which began in the 19<sup>th</sup> century and continued in the early 20<sup>th</sup> century, led to the creation of the Lake District National Park in 1951, through which conservation efforts have continued until today and will do so in the future.

## 3 Justification for inscription, integrity and authenticity

### Comparative analysis

The nomination dossier has developed the comparative analysis around other cultural landscapes, which can be compared to the English Lake District, that exhibit a similar combination of qualities.

The identified qualities to be compared correspond to the three intertwined themes around which the proposed justification for inscription has been developed: a landscape of exceptional beauty that has been shaped by persistent agro-pastoral traditions, that has inspired artistic and literary movements, generating ideas of global influence about the notion of landscape that have left physical marks, and a landscape that catalysed the development of landscape protection at the national and international levels.

The identified geo-cultural region is Europe, although a number of properties outside this region have also been compared with the English Lake District, namely West Lake Cultural Landscape of Hangzhou (China, 2011,

criteria (ii), (iii) and (vi)); Banff within the World Heritage property Canadian Rocky Mountain Parks (Canada, 1984, 1990, criteria (vii) and (viii)), Yellowstone National Park (United States of America, 1978, criteria (vii), (viii), (ix) and (x)), Yosemite National Park (United States of America, 1984, criteria (vii) and (viii)) as well as the Hudson Valley in the United States of America and Georgian Bay in Canada, both associated with painting schools. In Europe, 15 World Heritage properties, a further 11 properties – out of which four are in the Alps –, and finally 8 properties located in the British Isles have been examined. The nomination dossier concludes that, although a number of properties exhibit similarities with the English Lake District in terms of being the source of artistic or literary inspiration, only some, i.e. national parks in North America, have also inspired ideas about conservation of pristine nature. Sites in Europe and in the British Isles exhibit similarities under one aspect or another, but none is able to convey similarly intertwined values and qualities.

ICOMOS considers that, though the comparative analysis has been constructed to underline the uniqueness of the nominated property, the arguments presented are solidly grounded and demonstrate that the nominated property stands out among its comparators.

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

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#### **Justification of Outstanding Universal Value**

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

- A landscape of glacial origins, which has been shaped by persistent and distinctive agro-pastoral traditions which give it special character and exceptional beauty;
- A landscape which has inspired artistic and literary movements and has generated new thinking and ideas about landscapes that have had global influence and have also left their physical mark on it;
- A landscape, which has been the catalyst for key developments in the national and international protection of landscapes.

ICOMOS considers that the nomination dossier presents a convincing case for all three threads of the proposed justification, although with some reservations on the aspect of World Heritage working methods, further detailed in the discussion of the criteria.

#### **Integrity and authenticity**

##### **Integrity**

The nomination dossier holds that the distinctive topography and the associated cultural attributes and features supporting key processes expressing the value of the site are all included within the boundaries of the nominated property. These include the composite agro-

pastoral landscape, the historic sites, gardens and parks associated with the Picturesque and Romantic Movements, and the rich heritage of the conservation initiatives and campaigns to preserve its qualities and sense of place.

These attributes exhibit a remarkable intactness and have been maintained through a combination of tradition, practices and conscious conservation efforts. In general, the nominated property is well maintained although there are identified vulnerabilities for which counteracting measures have been set up: extreme weather events and climate change, economic pressures and disease, can seriously threaten the agro-pastoral system. Further vulnerabilities may derive from the reduction or removal of grant schemes. Traditional buildings may suffer from deterioration, especially if not used, whilst archaeological sites are prone to erosion. The tourism industry may cause development pressures on certain areas.

ICOMOS generally concurs with the view of the State Party but highlights that the maintenance of the English Lake District's visual qualities is highly dependent on the sustainability of some 200 shepherding farm families and their herds of "hefted" Herdwick sheep. The system has to face crucial challenges of shifts in global markets, changing agricultural subsidies and schemes, particularly given the exit from the European Union, introduced diseases, and climate change.

##### **Authenticity**

The nomination dossier identifies as key attributes of this evolving cultural landscape the natural landscape, which has been profoundly and persistently shaped by a traditional form of agro-pastoralism, local industries and settlement patterns, which gave rise to an exceptionally scenic landscape, which has been further enriched by distinguished villas, gardens and designed landscapes influenced by the Picturesque and Romantic Movements. The resulting harmonious beauty has been a stimulus for artistic creativity, early ideas about landscape, early conservation efforts, and the tourism industry: the property encompasses a number of attributes bearing witness to the proposed Outstanding Universal Value.

ICOMOS considers that arguments presented to support authenticity are pertinent and supported by attributes that convey credibly the proposed Outstanding Universal Value in its strands.

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

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### Criteria under which inscription is proposed

The property is nominated on the basis of cultural criteria (ii), (v) and (vi).

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

The nomination dossier holds that the harmonious beauty of the English Lake District lies in the vital interaction between an agro-pastoral system and the spectacular ice-shaped natural landscape. The qualities of this landscape were recognised and celebrated by the Picturesque Movement (18<sup>th</sup> cent.), rooted in aesthetic rules related to both Italian and Northern European landscape painting styles. These ideas were materialised in the form of villas and designed features intended to further augment the beauty of the English Lake District. The Picturesque appreciation of landscape was transformed into a deeper understanding of its significance and linkage with local society and place by the Romantic Movement. This inspired the development of powerful ideas, i.e. a new relationship between humans and landscape rooted in emotional engagement, and the value of scenic and cultural landscapes, which transcends normal property rights.

ICOMOS noted that the justification of this criterion could have been expanded by considering how the ideas developed about landscape in the Lake District were reflected in North American artistic movements and thinking. In its Interim Report, ICOMOS suggested the State Party further elaborate on this topic.

The State Party responded on 27 February 2017, providing additional arguments explaining how the Romantic idea of the capacity of scenic landscape to inspire and restore the human spirit underpinned the impetus for recreational experience in rural landscapes such as the English Lake District and urban parks, both in the United Kingdom and elsewhere. The interchange of ideas which resulted from this includes the concepts of protected areas, the value of outdoor recreation and the promotion, especially by Frederick Law Olmsted Sr. in North America, and others, of more democratic access to recreational experience. The State Party has also provided an updated version of the justification for this criterion.

ICOMOS concurs with the justification proposed by the State Party and considers that this criterion is justified.

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ICOMOS considers that this criterion has been justified.

Criterion (v): *be an outstanding example of a traditional human settlement, land-use, or sea-use which is representative of a culture (or cultures), or human interaction with the environment especially when it has become vulnerable under the impact of irreversible change;*

This criterion is justified by the State Party on the grounds that the English Lake District is an unrivalled example of a landscape shaped by a northern European upland agro-pastoral system based on the rearing of cattle and native breeds of sheep, adapted for over 1,000 years to their mountain environment. This land use continues today despite social, economic and environmental pressures. From the late 18<sup>th</sup> century and throughout the 19<sup>th</sup> century, a new land use developed in parts of the Lake District, aiming to augment its aesthetic qualities through the addition of villas and designed landscapes. Conservation land management in the Lake District developed directly from the early initiatives of the 18<sup>th</sup> and 19<sup>th</sup> centuries that were based on the early appreciation of the Arcadian and Romantic character of this landscape.

ICOMOS concurs with the justification proposed by the State Party and considers that this criterion is justified.

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ICOMOS considers that this criterion has been justified.

Criterion (vi): *be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that many ideas of universal significance are directly and tangibly associated with the English Lake District: the recognition of the aesthetic qualities of this harmonious pastoral landscape through the Picturesque Movement; a new relationship between humans and landscape revolving around an emotional response to it, developed initially from Romantic engagement; landscape possesses a regenerating value and everyone has a right to appreciate and enjoy it and this landscape needs to be protected and managed. Three conservation models of international significance for the establishment of the international conservation movement have developed in the Lake District and are conveyed by tangible and intangible attributes: the origin of the National Trust Movement; the origin of the concept of legally-protected cultural landscapes including national parks; and influence on the creation of the World Heritage cultural landscape category.

ICOMOS considers that the outstanding association with the Picturesque and the Romantic Movements is demonstrated.

On the other hand, ICOMOS found that the statement that the idea of legally protecting cultural landscapes originated in response to the qualities of the English Lake District may hold true for English-speaking

countries but not necessarily for other countries based on different languages, cultural and rights traditions (e.g., particularly those based on Roman rights). Additionally, the reference in the justification for inscription to the development of the cultural landscape category within the World Heritage realm is not fully appropriate.

In its response to the ICOMOS Interim Report, the State Party provided additional arguments to support the role played by the nomination of the English Lake District as a pioneer test case and a model for the development of the cultural landscape category within the World Heritage system, although it is acknowledged that the debate on cultural landscapes was fed by several contributions. The State Party also provided a revised wording for the justification of this criterion.

ICOMOS is grateful for the clarifications submitted by the State Party. However, ICOMOS considers that the working methods and the debates within the Committee and the advancements on the application of the World Heritage Convention, although important within this realm, cannot be considered ideas of outstanding universal significance. In particular, ideas related to cultural landscapes and the need for their protection were already well developed outside the World Heritage Convention, as many legal systems in place within the State Party at that time clearly show.

Therefore, ICOMOS considers that this criterion appears justified with regard to the association with literary and artistic works and with the development of the early landscape conservation and protection movement that gave rise to the National Trust movement. However, ICOMOS also notes that other protection models exist in different cultural contexts, based on the idea that the public interest prevails over private rights, e.g. those systems rooted in Roman rights.

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ICOMOS considers that this criterion has been justified for the association with the Picturesque and Romantic Movements, the development of the landscape conservation movement and of the National Trust. On the other hand, ICOMOS does not consider that the integration of the notion of cultural landscapes within the World Heritage Convention and its procedures can be considered an idea of outstanding universal significance.

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ICOMOS considers that the nominated property meets criteria (ii), (v) and (vi) and conditions of authenticity and integrity.

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#### **Description of the attributes**

The major attributes conveying the Outstanding Universal Value of the English Lake District include the agro-pastoral system with all related tangible and intangible aspects, traditional local industries, the settlement patterns of farms, hamlets, villages and towns, early tourism-related facilities, villas, gardens and formal landscapes, sites and collections associated with the Picturesque and

Romantic Movements, and sites associated with the early conservation movement.

The nomination dossier and volume 2 of its Annexes provide an extensive account of the attributes supporting the Outstanding Universal Value of the property and represent, therefore, key baseline documents that need to be referred to whenever it is necessary to assess the state of conservation of the English Lake District.

In this regard, ICOMOS clarifies that it does not consider contemporary quarrying and mining sites as attributes of the Outstanding Universal Value, especially when they are on a large scale and under intensive exploitation. On the contrary, these activities may have negative impacts on the qualities of the landscape not limited to visual aspects but extending to hydrogeological processes.

## **4 Factors affecting the property**

The property is prone to several factors that are outlined below.

An ageing farming population, tenancy changes, the changing nature of subsidies and the withdrawal of Common Agricultural Policy (CAP) funds from the European Union will have unknown subsidiary effects on how farming manages the cultural landscape, as subsidies have remained farmers' main income basis.

The Lake District accounts for about 17 million visitors a year. This huge number of visitors has an impact on the property. Although new management measures and strategies are being implemented, the effects of tourism pressure can already be noticed. Most importantly, the rising prices of housing and land may prevent locals from acquiring their own residences. This might induce depopulation in the area.

The values and beauty of the Lake District are a very strong attraction for new development. This can severely affect the attributes of the Outstanding Universal Value, where about 40,000 local residents compete with millions of tourists.

Flood risk is a permanent factor in the Lake District. Storm Desmond, in December 2015, caused great damage and was a challenge to the defence systems that proved to be insufficiently effective and the whole area was severely affected. Climate change is likely to increase the frequency of these extreme weather events.

Other threats may derive also from energy and communications supplies that are being implemented in the territory. New sources of energy are needed for sustainability, with the development of wind turbines and hydro-electric installations. Careful measures have been taken in order to avoid or reduce their negative impacts. However, two large-scale projects may negatively affect the nominated property: the new Moorside Nuclear Power Station, which will replace the decommissioned Sellafield



power station, and the high voltage power line to link the power station with the national electricity grid (North West Coast Connections - NWCC).

ICOMOS requested additional information in this regard in October 2016 and January 2017.

The State Party provided details on a number of large-scale projects authorized or planned within the nominated property.

In relation to the NWCC, the State Party explained the status and timeframe for the application as well as the planning consent procedure and informed that the National Grid intended to bury the power line underground and to remove 26 high pylons in place since 1950. An Heritage Impact Assessment (HIA) is planned to be developed, the scope agreed with the Lake District National Park Authority (LDNPA).

Updated information was provided in February 2017 on both Moorside and NWCC. The location of the new power station was chosen following a carefully controlled procedure, and is planned to be adjacent to Sellafield. The location has been chosen, taking into consideration professional opinions from Historic England and the LDNPA. The planning is at an early stage of implementation and the applicant will carry out an HIA, which will inform the details of the proposal.

The NWCC proposal, including the burying of the cables, was the object of a public consultation, which ended in January 2017. The submitted HIA was considered deficient and a new one has been planned based on a revised scoping. The results of this HIA are expected by April 2017 and will inform the details of the Development Consent Order (DCO) for the project.

ICOMOS welcomes the new information on both Moorside and the NWCC. The updated results of the HIA for NWCC and how they will be integrated into the DCO should be submitted for consideration by the World Heritage Committee. The same should be done in due course for Moorside.

In the past, overgrazing and other farming management practices threatened the environmental and natural values of the property. Although these practices have been corrected, there seems to be a certain imbalance in the consideration of the natural values favoured over the cultural values of farming practices. In the future, measures should be adopted that consider also the cultural values and benefits of the farming activities.

ICOMOS requested some additional information about quarrying activity within the nominated property in its Interim Report. The State Party provided detailed information on active quarries, their size and expiration dates of their concessions: out of 15 active quarries, two are more than 60ha, three are between 10-30ha, and the others are less than 6ha. However, ICOMOS notes that for two of them no size is given.

Although the region has traditionally played a role in quarrying, being rich in stone-types useful to the construction industry, ICOMOS considers that a progressive reduction of this activity within the nominated property needs to be considered by the State Party and limited to the extraction of materials that may be needed to ensure the maintenance of the attribute-related features within the property.

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ICOMOS considers that the main threats to the property are tourism and vulnerability of the agro-pastoral system versus global economic trends and the disappearance of subsidies, flooding, and infrastructure development. Some rebalancing between environmental and cultural value considerations seems necessary to support the farming community. Impacts from large-scale energy projects seem at this stage to be under control. However, ICOMOS considers that updated information on the results of the HIA and how they will inform planning or development consent for NWCC and Moorside should be submitted for consideration by the World Heritage Centre and the Advisory Bodies. Progressive reduction of quarrying activity should also be considered.

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## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The boundary of the proposed World Heritage nomination coincides with the boundary of the English Lake District National Park, which was established in 1951. About 40% of the park's boundary line follows Parish boundaries and the other boundary demarcations are roads, railroads, rivers, and coastlines.

The boundary of the Lake District National Park is drawn around the distinctive topography of the region's high fells, narrow valleys, lakes, and the agro-pastoral farming landscape, in full coherence with the rationale underlying the nomination of the English Lake District.

A buffer zone is not proposed for the property. The nomination dossier states that when the boundaries for the Park were established, they were of sufficient size to serve as a buffer zone. As a National Park, the Lake District is provided with additional statutory protection under the Environment Act of 1995. This requires adjoining local authorities to consider the impact on the National Park when making any land use decisions. Additionally, some of the landscapes adjacent to the Park or in the Park's view-shed have been designated as Areas of Outstanding Natural Beauty. This designation brings additional protective requirements, thus protecting the setting of the Lake District.

In its Interim Report, ICOMOS requested additional clarification with regard to the absence of a buffer zone. The State Party replied on 27 February 2017, providing

details about planning policies and mechanisms in place through local plans and the current legal framework that guarantee that local authorities in the vicinity of the property develop planning objectives and provisions consistent with the protection of the property and its setting.

ICOMOS considers that the explanations provided by the State Party as to why no buffer zone is proposed are satisfactory and in line with the requirements of paragraph 106 of the *Operational Guidelines*.

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In conclusion, ICOMOS considers that the boundaries of the nominated property are adequate, and the reasons given by the State Party to explain why no buffer zone is provided are satisfactory.

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### **Ownership**

Considering the size of the property, there is a wide range of both public and private ownership. Almost 40% is owned by members of the 25 organisations forming the Lake District Partnership, 20% is owned by the National Trust, most of which is considered inalienable, and a significant proportion of the land that is held in private/other ownership is owned by estates, conservation bodies and trusts. Some 28% of property is Common Land, that is, its use is subject to the rights over it of commoners. Its primary purpose is to be used as communal grazing.

### **Protection**

Several laws, acts and policies are in place to ensure the protection and the legal basis for proper management conditions. Below, only the key ones are mentioned; however, the nomination dossier and its annexes provide the baseline data also with regard to the legal, planning and policy frameworks for the protection and management of the property.

The National Trust Act (1907) allows the Trust to make its land inalienable and for entering into covenants to protect land owned by others. The Commons Act (2006) and the Commons Registration Act (1965) protect the rights of commoners and reconfirm the protection of agro-pastoral farming systems, protected since the 19<sup>th</sup> century (Commons Act 1876). The Ancient Monuments and Archaeological Areas Act (1979 - as amended) ensures the protection of designated cultural heritage. The National Parks and Access to the Countryside Act (1949) made possible the designation of the Lake District National Park in 1951.

Also, several international designations intervene in the property, providing further protection levels and instruments (see nomination dossier for details).

There are several key legal instruments for planning.

The Environment Act (1995) gives a statutory obligation to local authorities to pay regard to the purposes of National Park designation when exercising or performing any functions in relation to, or so as to affect, land in the

National Park: in case of conflict of purposes, preference should be given to conservation.

The Planning and Compulsory Purchase Act (2004) provides for the elaboration of local development schemes that need to set out local policies to preserve the quality of the built environment and its features.

The Planning Act (2008) makes the National Park Authorities statutory consultees for nationally-significant infrastructure projects as well as for national policy statements.

The Localism Act (2011) provides for communities to draw up neighbourhood plans, which may establish additional planning policies for a community area; when approved, they become part of the Local Plan.

Further to legal acts, there are national planning policy and guidance, recently consolidated into two documents, the National Planning Policy Framework (2012) and the Planning Practice Guidance (2014).

The Planning Practice Guidance states that each Local Planning Authority, which includes the Lake District National Park Authority and neighbouring District and County Councils, are required to produce a Local Plan, which sets out local planning policies and identifies how land is used. Development should be consistent with the National Planning Policy Framework. As such, each Local Plan that lies within a World Heritage Site, or may affect the setting of a World Heritage property, should apply the principles outlined in the National Planning Policy and the Planning Practice Guidance in order to be approved by the Planning Inspectorate.

The Lake District National Park Authority (LDNPA) has statutory responsibility for land-use planning, preparing planning policies, and determining planning applications for development proposals, including mineral workings, mining and quarrying. In addition to the Management Plan, the LDNPA prepares a National Park Local Plan which contains a set of documents including planning policies, guidance and land use. Policies address several issues and are consistent with the aim of transmitting the Lake District, its value and supporting attributes, to future generations.

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In conclusion, ICOMOS considers that the legal and planning protection in place is adequate. ICOMOS considers that the protective measures for the property are adequate.

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### **Conservation**

Inventoring and recording are ongoing activities, but much research has already been done on the key attributes of the property and their historic development, as well as on the Landscape Character Types.

Although conservation in general is quite satisfactory, ICOMOS considers that more attention should be paid to conservation of landscape, defining features such as land-use patterns, structures such as shelters, dry stone walls,

hedgerows; to vernacular architecture in general, and Victorian buildings in the urban areas, and more effective control of architectural details, not only in designated Conservation Areas but in the whole property.

Moreover, active conservation measures are ongoing after Storm Desmond hit the eastern coast of the country in 2015.

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In conclusion, ICOMOS considers that more attention should be paid to the proper conservation of the landscape's defining features and to architectural details.

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## Management

Management structures and processes, including traditional management processes

The key body of the management structure is the Lake District National Park Partnership (LDNPP), established in 2006 by the LDNPA. 25 bodies from public, private, community, and voluntary sectors, including bodies with statutory responsibilities, adhere to the Partnership, which operates under a Memorandum of Understanding agreed by all members. Its responsibilities include the development and implementation of the Management Plan. Four partnership subgroups, a World Heritage Coordinator, a coordination and a monitoring team complete the management structure. Since 2015, the LDNPP has taken over management responsibilities.

Policy framework: management plans and arrangements, including visitor management and presentation

The key instrument for the management of the property is the Lake District Partnership's plan. This has been informed by a strategic Heritage Impact Assessment. This plan builds upon the competencies of different managing bodies and instruments and takes into account the role of other planning instruments.

The 2010-2015 Management Plan was produced by the LDNPP and was adopted by the LDNPA. The second cycle of management planning covers the period 2015–2020 and integrates the World Heritage and the National Park Management Plans. The Plan for the National Park identifies its Special Qualities which should steer decision making: these qualities cover also many attributes of the Outstanding Universal Value. The 2015–2020 National Park Management Plan is a statutory document.

It is based on strategies that follow on from objectives related to the key attributes of the property. These are identified in a detailed manner in the nomination dossier annexes.

Despite the system in place to cope with disasters, the effects of recent storms made clear the need to strengthen the risk management strategies and responses.

Due to the sheer numbers of visitors, in its Interim Report, ICOMOS requested additional information on tourism management. The State Party responded in February 2017, explaining that the nominated property receives 13 million day visits and some 4 million staying overnight visits. Considering the size of the property, a study on carrying capacity was not seen as necessary; however, the seasonal pattern of visitation has been examined. Actions have been undertaken for managing visitors in the most frequented locations and to encourage transportation systems as an alternative to private vehicles. Key to this process are the review process of the Local Plan and the Access and Travel Main Issues Paper, which will form the basis for the Plan policy revision.

ICOMOS considers the response satisfactory; however, ICOMOS recommends that mechanisms are set up to ensure that economic benefits from tourism are increasingly shared also with shepherds and farmers, recognizing the important ecosystem and management services they provide in maintaining the landscape.

While several activities promoting visitation opportunities in the nominated property exist, ICOMOS notes that a proper interpretive planning for the Lake District that is based on its cultural values is missing. While this does not affect visitation numbers, without an interpretive plan, the National Park and its partners are missing an opportunity to educate visitors about the Lake District's World Heritage values and build support for their future conservation.

IUCN raised concern over tourism pressure and potential adverse impacts from tourism that may affect the balance of culture-nature in the Lake District, in particular erosion produced by heavily impacted walking trails in forested areas. IUCN reinforced the need for the State Party to implement long-term monitoring of tourism impacts (among other threats to the cultural landscape and specifically its natural components).

Involvement of the local communities

Local communities seem to have been involved for a long time in the management of the property, as demonstrated by the Lake District National Park Partnership. The State Party provided additional information in February 2017 explaining the initiatives undertaken to involve inhabitants and visitors in the nomination process over many years.

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In conclusion, ICOMOS considers that the management system for the property is overall adequate; however, special attention is needed to ensure that impacts of tourism are reduced, and economic benefits from tourism go more directly to the agro-pastoral sector. Strategies and funding schemes to support shepherds and farming remain crucial to ensuring that the agro-pastoral system is sustained and does not decline further under global economic trends and competing activities, primarily tourism. The management system should be expanded to develop strategies that prevent

depopulation, including affordable housing, neighbourhood shops and promotion of local products, strengthen the disaster risk strategies and incorporate into them local knowledge, and develop interpretive plans based on the Outstanding Universal Value of the property so as to assist visitors' understanding.

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## 6 Monitoring

The LDNPA has monitored the nominated property through its State of the Park Report, which collects several data every five years, amongst which many are relevant also for the conditions of a number of attributes. The 2008 Landscape Character Assessment (LCA) records the conditions of various landscape types in the nominated property. The Management Plan foresees for the review of this assessment. Other monitoring programmes exist that can provide information on the nominated property's attributes. The Management Plan identifies a series of indicators, both already measured and new ones, to monitor the conditions of the property. These have been conceived so as to allow comparisons with the results of the LCA.

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In conclusion, ICOMOS considers that the monitoring system appears adequate for its purpose.

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## 7 Conclusions

ICOMOS welcomes the submission of the nomination of the English Lake District. This nomination has a long history as the property has already been presented several times, and it has been at the centre of important debates such as the establishment of the cultural landscapes category in the *Operational Guidelines*. Many years of nomination history have proved to be useful in many respects: this is a very solid nomination in all of its aspects, thanks to the collaboration of a multiplicity of experts in different fields; and in the sense of the involvement of all stakeholders, who are now entirely in favour of and committed to the nomination.

The Lake District forms a huge mountainous region with 13 different valleys within which a strong community of farmers has practiced most aspects of the traditional agro-pastoral system, including the hefting of heritage breeds of sheep in the common uplands. This activity has shaped the evocative natural environment through the centuries into an exceptionally beautiful landscape: both Picturesque and Romantic Movements were attracted by it and prominent artists and writers settled in the region, and landowners built gardens and villas to improve the aesthetic qualities of the landscape. The result is an extraordinarily beautiful and harmonious landscape that inspired some of the most important ideas in the conservation movement, such as the creation of National Parks and the National Trust or the Lake District Friends and has attracted tourists and nature lovers since the 19<sup>th</sup> century.

The community is strongly committed to its traditions and supported by the local, regional and national authorities.

However, despite consciousness of the challenges and all efforts put in place, the key issues are how they will manage such a complex property in the face of changes to and reduction of the currently available agricultural subsidies in the future, climate change and environmental issues, and tourism pressure. The size and complexity of the landscape subjects the region to many risk factors; however, the commitment of the managing agencies and, most importantly, the people who live there to conserving the landscape offer opportunities to develop new and innovative responses to the threats that many cultural landscapes around the world have to face.

The Lake District National Park Partnership has already begun its first steps, perhaps the most difficult ones, but has started on the path towards strong cooperation and understanding amongst the different interests and perspectives involved in caring for the property. Its work should be enhanced and fostered by the National Park Authority as well as by other government organisations. The English Lake District is an exceptional example of ancient but living traditional agro-pastoral practices with added values such as appreciation of landscape, early tourism, and the formation of the conservation movement, and deserves inscription on the World Heritage List, also for the long-lasting efforts to preserve its beauty and the processes that support it.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that The English Lake District, United Kingdom, be inscribed on the World Heritage List, as a cultural landscape, on the basis of **criteria (ii), (v) and (vi)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

The English Lake District is a self-contained mountainous area in North West England of some 2,292 square kilometres. Its narrow, glaciated valleys radiating from the central massif with their steep hillsides and slender lakes exhibit an extraordinary beauty and harmony. This is the result of the Lake District's continuing distinctive agro-pastoral traditions based on local breeds of sheep including the Herdwick, on common fell-grazing and relatively independent farmers. These traditions have evolved under the influence of the physical constraints of its mountain setting. The stone-walled fields and rugged farm buildings in their spectacular natural backdrop, form an harmonious beauty that has attracted visitors from the 18<sup>th</sup> century onwards. Picturesque and Romantic interest stimulated globally-significant social and cultural forces to appreciate and protect scenic landscapes. Distinguished villas, gardens and formal landscapes were added to

augment its picturesque beauty. The Romantic engagement with the English Lake District generated new ideas about the relationship between humanity and its environment, including the recognition of harmonious landscape beauty and the validity of emotional response by people to their landscapes. A third key development was the idea that landscape has a value, and that everyone has a right to appreciate and enjoy it. These ideas underpin the global movement of protected areas and the development of recreational experience within them. The development in the English Lake District of the idea of the universal value of scenic landscape, both in itself and in its capacity to nurture and uplift imagination, creativity and spirit, along with threats to the area, led directly to the development of a conservation movement and the establishment of the National Trust movement, which spread to many countries, and contributed to the formation of the modern concept of legally-protected landscapes.

**Criterion (ii):** The harmonious beauty of the English Lake District is rooted in the vital interaction between an agro-pastoral land use system and the spectacular natural landscape of mountains, valleys and lakes of glacial origins. In the 18<sup>th</sup> century, the quality of the landscape was recognised and celebrated by the Picturesque Movement, based on ideas related to both Italian and Northern European styles of landscape painting. These ideas were applied to the English Lake District in the form of villas and designed features intended to further augment its beauty. The Picturesque values of landscape appreciation were subsequently transformed by Romantic engagement with the English Lake District into a deeper and more balanced appreciation of the significance of landscape, local society and place. This inspired the development of a number of powerful ideas and values including a new relationship between humans and landscape based on emotional engagement; the value of the landscape for inspiring and restoring the human spirit; and the universal value of scenic and cultural landscapes, which transcends traditional property rights. In the English Lake District these values led directly to practical conservation initiatives to protect its scenic and cultural qualities and to the development of recreational activities to experience the landscape, all of which continue today. These values and initiatives, including the concept of protected areas, have been widely adopted and have had global impact as an important stimulus for landscape conservation and enjoyment. Landscape architects in North America were similarly influenced, directly or indirectly, by British practice, including Frederick Law Olmsted, one of the most influential American landscape architects of the 19<sup>th</sup> century.

**Criterion (v):** Land use in the English Lake District derives from a long history of agro-pastoralism. This landscape is an unrivalled example of a northern European upland agro-pastoral system based on the rearing of cattle and native breeds of sheep, shaped and adapted for over 1,000 years to its spectacular mountain environment. This land use continues today in the face

of social, economic and environmental pressures. From the late 18<sup>th</sup> century, a new land use developed in parts of the Lake District, designed to augment its beauty through the addition of villas and designed landscapes. Conservation land management in the Lake District developed directly from the early conservation initiatives of the 18<sup>th</sup> and 19<sup>th</sup> centuries. The primary aims in the Lake District have traditionally been, and continue to be, to maintain the scenic and harmonious beauty of the cultural landscape; to support and maintain traditional agro-pastoral farming; and to provide access and opportunities for people to enjoy the special qualities of the area, and have developed in recent times to include enhancement and resilience of the natural environment. Together these surviving attributes of land use form a distinctive cultural landscape which is outstanding in its harmonious beauty, quality, integrity and on-going utility and its demonstration of human interaction with the environment. The Lake District and its current land use and management exemplify the practical application of the powerful ideas about the value of landscape which originated here and which directly stimulated a landscape conservation movement of global importance.

**Criterion (vi):** A number of ideas of universal significance are directly and tangibly associated with the English Lake District. These are the recognition of harmonious landscape beauty through the Picturesque Movement; a new relationship between people and landscape built around an emotional response to it, derived initially from Romantic engagement; the idea that landscape has a value and that everyone has a right to appreciate and enjoy it; and the need to protect and manage landscape, which led to the development of the National Trust movement, which spread across many countries with a similar rights system. All these ideas that have derived from the interaction between people and landscape are manifest in the English Lake District today and many of them have left their physical mark, contributing to the harmonious beauty of a natural landscape modified by: a persisting agro-pastoral system (and supported in many cases by conservation initiatives); villas and Picturesque and later landscape improvements; the extent of, and quality of land management within, the National Trust property; the absence of railways and other modern industrial developments as a result of the success of the conservation movement.

#### Integrity

The English Lake District World Heritage property is a single, discrete, mountainous area. All the radiating valleys of the English Lake District are contained within it. The property is of sufficient size to contain all the attributes of Outstanding Universal Value needed to demonstrate the processes that make this a unique and globally-significant property. The boundary of the property is the English Lake District National Park boundary as designated in 1951 and is established on the basis of both topographic features and local government boundaries. The attributes of Outstanding

Universal Value are in generally good condition. Risks affecting the site include the impact of long-term climate change, economic pressures on the system of traditional agro-pastoral farming, changing schemes for subsidies, and development pressures from tourism. These risks are managed through established systems of land management overseen by members of the English Lake District National Park Partnership and through a comprehensive system of development management administered by the National Park Authority.

#### Authenticity

As an evolving cultural landscape, the English Lake District conveys its Outstanding Universal Value not only through individual attributes but also in the pattern of their distribution amongst the 13 constituent valleys and their combination to produce an over-arching pattern and system of land use. The key attributes relate to a unique natural landscape which has been shaped by a distinctive and persistent system of agro-pastoral agriculture and local industries, with the later overlay of distinguished villas, gardens and formal landscapes influenced by the Picturesque Movement; the resulting harmonious beauty of the landscape; the stimulus of the Lake District for artistic creativity and globally influential ideas about landscape; the early origins and ongoing influence of the tourism industry and outdoor movement; and the physical legacy of the conservation movement that developed to protect the Lake District.

#### Protection and management requirements

As a National Park, designated under the 'National Parks and Access to the Countryside Act 1949' and subsequent legislation, the English Lake District has the highest level of landscape protection afforded under United Kingdom law. Over 20 per cent of the site is owned and managed by the National Trust, which also has influence over a further two per cent of the site through legal covenants. The National Park Authority owns around four per cent of the site, and other members of the English Lake District National Park Partnership, including the Forestry Commission and United Utilities Ltd, own a further 16 per cent. A substantial number of individual cultural and natural sites within the English Lake District are designated and have legal protection. The Lake District National Park Partnership has adopted the bid for World Heritage nomination. This provides long-term assurance of management through a World Heritage Forum (formally a sub-group of the Partnership). The National Park Authority has created a post of World Heritage Coordinator and will manage and monitor implementation of the Management Plan on behalf of the Partnership. The Management Plan will be reviewed every five years. A communications plan has been developed in order to inform residents and visitors of the World Heritage bid and this will be developed and extended.

The Management Plan seeks to address the long-term challenges faced by the property including threats faced by climate change, development pressures, changing agricultural practices and diseases, and tourism.

#### Additional recommendations

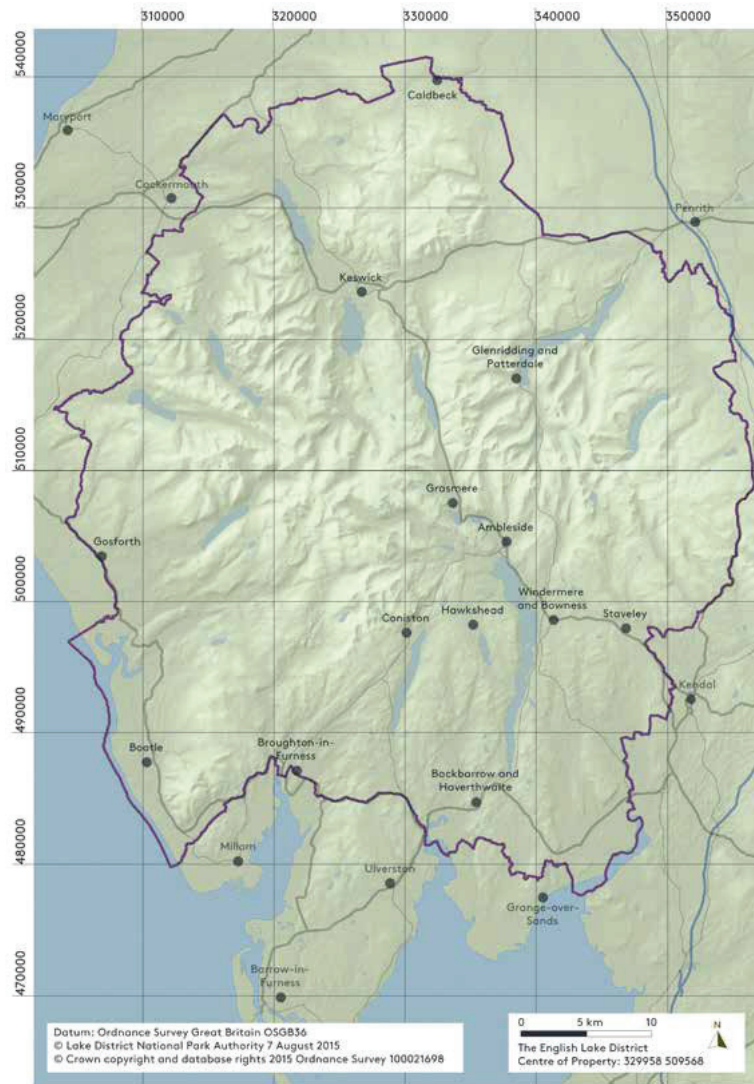
ICOMOS recommends that the State Party gives consideration to the following:

- a) Providing assurances that quarrying activities within the property will be progressively downsized and extraction volumes limited to what is needed for carrying out conservation of the assets supporting the attributes of the property,
- b) Formally committing to avoiding any negative impact on the Outstanding Universal Value and related attributes of the property from the NWCC energy transportation facility being currently planned; and informing the World Heritage Centre about the results of the Heritage Impact Assessment, and how these will be integrated into the planning consent and in the development consent order (DCO),
- c) Informing about the timeframe of the integration of World Heritage consideration into the local plans and policies,
- d) Developing proactive strategies, including alternative national farm-supporting policies, with the farming community, to address the issues that threaten the viability of the shepherding tradition that maintains many of the landscape's significant attributes; recognising and financially compensating farmers for their heritage services in caring for the cultural landscape, as well as values such as genetic diversity of herds and food security,
- e) Rebalancing programs and funding dedicated to improving natural resources with the need to conserve the valuable cultural landscape that the Lake District is by acting on its key attributes and factors,
- f) Strengthening risk preparedness strategies for floods and other disasters that incorporate local knowledge on how to cope with recurrent disastrous natural events,
- g) Developing convincing programs to prevent depopulation, including:
  - a) develop affordable housing for new households and for local retirees,
  - b) ensure that communities have a mix of commercial outlets that serve the local community,
  - c) further develop and market local products that benefit residents and local farmers,

- h) Developing an interpretation strategy at the landscape level which communicates the different strands of the Outstanding Universal Value by using the documents put together for the nomination dossier,
- i) Ensuring that careful attention is paid to conservation of landscape-defining features such as land-use patterns, structures such as shelters, dry stone walls, hedgerows, and also to vernacular architecture and Victorian buildings, not only in designated Conservation Areas, but in the whole property,
- j) Submit by 1<sup>st</sup> December 2018 a report on the implementation of the above recommendations to the World Heritage Centre and to ICOMOS;







■ Nominated Property boundary

Map showing the boundaries of the nominated property



Wast Water and Wasdale Head



Bowness and Lake Windermere



Herdwick sheep in Great Langdale



Thomas Smith of Derby, *A View of Derwent Water &c from Crow Park*,  
coloured engraving, 1767, Finland, Helsinki, British Embassy



## **IV Cultural properties**

- A Africa**  
New nominations
  
- B Arab States**  
Nominations deferred by previous sessions of the World Heritage Committee
  
- C Asia – Pacific**  
New nominations
  
- D Europe – North America**  
New nominations  
Extensions  
Nomination deferred or referred back by previous sessions of the World Heritage Committee
  
- E Latin America - Caribbean**  
New nomination



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## Valongo Wharf (Brazil) No 1548

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### Official name as proposed by the State Party

Valongo Wharf Archaeological Site

### Location

Rio de Janeiro  
Federal Republic of Brazil

### Brief description

Valongo Wharf Archaeological Site is located on Jornal do Comércio Square in central Rio de Janeiro. The site demarcates the location of the ancient wharf built for the landing of enslaved Africans from 1811 onwards, which was the point of arrival for about a quarter of all enslaved Africans reaching the South American continent. In physical terms the site is composed of several archaeological layers the lowest of which illustrates floor pavings in *pé de moleque* style attributed to the original Valongo Wharf. Later, more dominant layers relate to the Empress' Wharf, constructed in 1843 for the reception of the Neapolitan princess Tereza Cristina de Bourbon.

### Category of property

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

## 1 Basic data

### Included in the Tentative List

31 January 2014

### International Assistance from the World Heritage Fund for preparing the Nomination

None

### Date received by the World Heritage Centre

1 February 2016

### Background

This is a new nomination.

### Consultations

ICOMOS has consulted its International Scientific Committee on Archaeological Heritage Management and several independent experts.

### Technical Evaluation Mission

An ICOMOS technical evaluation mission visited the property from 19 to 23 September 2016.

### Additional information received by ICOMOS

On 19 December 2016 ICOMOS sent its interim report to the State Party which contained several questions, including a request to focus the justification of Outstanding Universal Values towards those aspects which can be represented by the tangible evidence on site, to further augment the Comparative Analysis with a specific focus on Valongo Wharf as a landing point (debarkation) of African enslaved people into the Americas and to consider the integrity of the site, in particular its relation to the seafront and propose measures to strengthen this relationship. ICOMOS also requested the protection status to be strengthened to more explicitly cover underground archaeological remains within the buffer zone.

The State Party submitted a revised nomination dossier as well as further additional materials in audio-video format on 28 February 2017. The additional material received is integrated in the respective sections below.

### Date of ICOMOS approval of this report

10 March 2017

## 2 The property

### Description

Valongo Wharf Archaeological Site is located in central Rio de Janeiro at a public square named Jornal do Comércio. The property encompasses the complete square except for the road corridors. The location is the former harbour region of Rio de Janeiro in which from 1811 onwards the old stone wharf was built. The stone wharf was built over by the Empress' Wharf, a landing jetty constructed in 1843 for the wife of Emperor Don Pedro II, which now physically dominates the archaeological records. Starting from 1904 a new harbour was built based on land reclamation processes and land infills on top of both earlier wharfs leading to their removal from the contemporary seafront by 344 metres.

The site is a strong symbolic reminder of the arrival of African enslaved labour on the South American continent. Following historical records, more than 900,000 enslaved persons arrived at this destination in the final decades of the transatlantic slave trade. The physical remains of this arrival have been discovered during excavations in 2010 and are today kept exposed to the public. The deepest layer of the archaeological site, located towards its north and away from the seafront, shows fragmented remains of an irregular cut stone pavement set directly into levelled sandy soil. These pavement remains were found at depth of 1.2 to 1.8 metres when compared to the contemporary street level in this area.

The pavement remains integrate fragments of a ditch towards the west, which drained water coming down the hill as well as the road leading to Valongo Wharf. At the edge of the wharfs pavement towards the sea one finds an area covering 2.1 times 0.8 metres with evidence of two steps of cobblestones assumed to be the steps or ramp onto which passengers would have disembarked. This kind of jetty

may have had a walkway of rectangular flagstones of which only a few isolated flagstones remain. The archaeologists further identified areas of compressed soil next to these, which are assumed the locations of previous sheds or built structures. However, the only direct evidence of architectural structures at Valongo Wharf is a row of four wooden poles; however, this evidence does not allow for more than vague speculations as to its nature and function. Relics of paving stones show the likely edge of the wharf.

In 1843, these evidences were earthed over by 0.6 metres during the construction of the physically more dominant Empress' Wharf, designed by the military Engineer Grandjean de Montigny. It is constructed of fine granite flagstones of various sizes making up a wall and a pier, while the paving is made of regular, parallel cobble stones. Only a few patches of this parallel cobble stone paving survived although the Empress' Wharf must have covered a much larger surface. Most was likely damaged by the introduction of water pipes, drains, gas ducts, rain water drains as well as phone and optic cables. The around 180 flagstones preserved at the pier indicate an arrangement of a lower ramp, situated at a depth of about 2.8 metres with three steps and an upper ramp. On the side of this ramp, the excavation permits a view into remains of a large building constructed of ornamented masonry in eight layers. At present, these appear as drystone walls with occasional remnants of earth sediments. No visible evidence points towards a mortar that may have been used in construction, though its use is assumed likely by the archaeological team. There are a small number of anchorage rings embedded in the flagstones, some of which retain remains of vegetable fibre used to tie something to them.

The Valongo Wharf is not only understood as an archaeological site but as an open-air memorial of the transatlantic trade of enslaved people and as such has been fully appropriated by the public. Commercial, cultural and religious activities take place on site including the symbolic Washing of the Wharf, a ritual initiated by the excavating archaeologist, who invited priestesses of traditional African spiritual communities to see the site and who in response created a ritual of cleaning and purification to pay tribute to the spirits of their ancestors who reached this entry port in captivity. The ritual is now repeated annually on the second Saturday of July.

### **History and development**

Rio de Janeiro was a central market and gateway for a large number of enslaved people arriving in the Americas. In the 18<sup>th</sup> century, disembarkation took place at another site at Direita Street in the city's commercial and administrative centre. Constant complaints from the city's elites who frequented this area prompted the city councillors to propose the transfer of this human marketplace in 1759. However, the merchants were strongly opposed, which created a conflict only solved by intervention of the Viceroy who confirmed the transfer in to Valongo in the city's suburbs in 1774.

A market complex for the enslaved with warehouses, storerooms and outhouses developed at the new location. After arrival in Brazil of the Portuguese Prince Regent and his Court in 1808, the African trade of enslaved people intensified. The construction works for Valongo Stone Wharf commenced in 1811 and were completed around 1817. With the transfer of the African's landing, the cemetery was also transferred to facilitate the burial of those who did not survive the hardship of the passage or died upon arrival. The New Black's cemetery, also referred to as Valongo Cemetery was established near the beach and is considered the biggest slave cemetery in the Americas with approximately 20,000 to 30,000 burials. Disused in 1831, the cemetery was covered over by urban structures and only rediscovered in 1996 in the course of restoration works at house number 36 in Rua Pedro Ernesto. It was subsequently listed as an archaeological site.

The crown also motivated the traders to establish a new lazaretto in the Valongo area. However, this was demolished with the city's transformations and its exact location can no longer be defined. When the transatlantic trade of enslaved Africans was outlawed in 1831, the interprovincial trade continued to fuel the arrival of people at Valongo. In 1842 the authorities launched a new wharf project in the Valongo area dedicated to the arrival of Emperor Pedro II's wife, which occurred in 1843. Constructed on top of the old Valongo Wharf, the new representative and monumental Empress' Wharf foreshadowed a new concept of use. Trade of enslaved people rapidly declined and was substituted by coffee export.

The abolition of slavery in Brazil in 1888 did not end the long connection of Valongo Wharf with African people and culture. Several communal spaces and houses of worship were established in its vicinity and when, in the 20<sup>th</sup> century, samba groups emerged to express resistance and affirmation of black culture in Brazil, the area became a central location. Even the Carnival Association of Rio de Janeiro emerged at Morro da Conceição, a hill which marks one of the former limits of Valongo Beach. In the early 20<sup>th</sup> century the Valongo Wharf region was completely altered by urban transformations. Streets were widened, modern avenues opened and a garden project implemented in the vicinity.

In 2010, when the municipal authorities initiated urban interventions for the Porto Maravilha project in Praça Jornal de Comércio, archaeological researches were undertaken. In the local community memory, the location was linked to the unloading of ships and bringing captives from Africa, but only the excavations in 2011 brought to light the modest tangible testimony of these activities. The size of the excavations covered areas adjacent to the now visible window which exposes about two thirds of the archaeological material found.



### 3 Justification for inscription, integrity and authenticity

#### Comparative analysis

The comparative analysis aims at highlighting the global significance of the somewhat modest tangible remains of Valongo Wharf. To this end, the authors compare two different groups of sites: sites related to the history of enslaved people, such as trade routes or entry and exit points, as well as sensitive heritage sites, which symbolically evoke pains and fears of a people, who passed through these places in history. The initial comparative analysis was focused exclusively on sites already inscribed on the World Heritage List, which neglected several other sites, which may be comparable at a regional level.

Among the group of sites related to the history of enslaved people globally, the authors discuss sites such as the Forts and Castles, Volta, Greater Accra, Central and Western Regions, Ghana (1979, (vi)), the Island of Gorée, Senegal (1978, (vi)), the Stone Town of Zanzibar, Tanzania (2000, (ii), (iii) and (vi)), or the Le Morne Cultural Landscape, Mauritius, (2008, (iii) and (vi)). The authors also draw on sites in Latin America and the Caribbean with historic relations to the trade or presence of enslaved people, including Historic Bridgetown and its Garrison, Barbados (2011, (ii), (iii) and (iv)), and National History Park – Citadel, Sans Souci, Ramiers, Haiti, (1982, (iv) and (vi)). The second analysis focused on sites of conscience includes sites like Auschwitz Birkenau, German Nazi Concentration and Extermination Camp (1940-1945), Poland (1979, (vi)), Robben Island, South Africa (1999, (iii) and (vi)), or Apravasi Ghat, Mauritius (2006, (vi)).

In comparing this variety of exceptional sites of conscience, both in relation to the history of enslaved people and beyond, the authors concluded that Valongo Wharf presents the only physical remains of an arrival point for African enslaved labour in the Americas and is hence unique and without comparators on the UNESCO World Heritage List.

ICOMOS in response considered and expressed in its interim report that the Comparative Analysis was too limited by the exclusive focus on World Heritage Sites, which prevented the authors from investigating other remains of wharfs of slave arrival in the Americas. The claim for uniqueness was only seen correct in so far as presently Valongo Wharf archaeological site was the only known stone wharf through which the enslaved people stepped onto the continent.

ICOMOS in its interim report requested the State Party to augment the initial comparative analysis presented to further focus on arrival points of enslaved persons in the Americas as well as auxiliary functions, which were established around these debarkation points. In its additional information submitted on 28 February 2017, the State Party augmented the comparative analysis towards sites documenting the arrival and suppression of African enslaved people in the Americas focusing initially on other

archaeological sites in Brazil and later expanding this analysis towards all sites related to enslaved Africans in the Americas. The comparative analysis now explicitly covers the site, which ICOMOS identified as the most relevant comparator in its review process, which is Gadsden's Wharf in South Carolina. By comparison of both the preserved archaeological remains and the historic data in terms of arrival numbers and significance in contemporary references, Valongo Wharf seems to be well suited to illustrate Outstanding Universal Value in its own right, which could eventually be augmented in the future by other archaeological records of arrival points on the American continent, such as Gadsden's Wharf, Charleston, South Carolina.

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ICOMOS considers that the augmented comparative analysis demonstrates the exceptional international status of the seemingly modest archaeological remains of Valongo Wharf as well as its global importance as a memory marker for one the largest forced migration movements in human history.

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#### Justification of Outstanding Universal Value

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

- Valongo Wharf was the arrival point of about a quarter of all African American enslaved people to the Americas and can be regarded as the biggest slave harbour in human history;
- It was also linked with other parts of South America and constituted the origin of a vast web of internal distribution routes for the enslaved labours;
- Valongo Wharf constitutes the only site with tangible remains of a landing location at which the incoming Africans made their first step on American land and is therefore of utmost symbolic importance in the history of African Americans.

In its Interim Report, ICOMOS suggested to further focus the justification for inscription to solely the elements which the site can represent within its boundaries by critically reviewing the contribution and inclusion of elements such as the quarantine facilities, store houses, market of enslaved people and New African's cemetery, which only in parts exist as archaeological evidence and are located outside the present property boundaries.

In the additional information submitted on February 2017 at the request of ICOMOS, the State Party specified that Valongo Wharf Archaeological Site is being represented as the globally most significant remains of a landing point of enslaved Africans in the Americas. This is documented in the – though modest – archaeological remains of the Valongo Wharf, the main attributes of which are an area of beach paved with stones, whose design, form, function and materials testify to the time in which enslaved Africans arrived at the South American coast and may constitute the exact stones they stepped on setting foot on American land.

ICOMOS considers that despite the modesty of the archaeological remains, Valongo Wharf presents the most significant physical evidence of an arrival point of African enslaved people to the Americas and therefore carries enormous historical as well as spiritual importance to African Americans. Valongo Wharf can therefore be seen as unique and exceptional both from a material point of view and with regard to the spiritual associations with which it is tangibly related.

### **Integrity and authenticity**

#### **Integrity**

The State Party introduces the proposed statement of integrity highlighting that Valongo Wharf is the part of the slave landing harbour of Rio de Janeiro, which was paved in 1811. This part was later filled with earth and rubble for the construction of the Empress' Wharf in 1843. The State Party further suggests that the portion which is left exposed to the public encompasses almost the whole original stone disembarkation wharf and can be considered intact.

ICOMOS considers that excavations at Valongo Wharf in 2011 rediscovered a fragment of the forming landing site, much of which has been lost or obscured by the urban transformation and development of the area. Several elements explicitly referred to in the initial proposed draft statement of Outstanding Universal Value, the warehouses, quarantine facilities and the lazaretto are lost with their location unknown to date. ICOMOS therefore requested the State Party in its interim report to refocus the proposed Outstanding Universal Value towards exclusively those components which remain until present, which is the exact debarkation point of enslaved Africans onto the American continent.

However, with this revised focus, ICOMOS considers that the important relation between Valongo Wharf and the sea was missing following extensive land reclamations, which hinder the understanding of the site in its historical seaside and harbour setting. Likewise, the relationships between the site and its original suburban surroundings have fully disappeared. ICOMOS therefore requested the State Party in its interim report to propose measures which could assist in reconnecting the sea to the archaeological site for the contemporary visit.

In the additional information provided at the request of ICOMOS, the State Party introduced a revised buffer zone, which now includes the connecting stretch between the property and the current sea front. The difficulty in retaining the visual connection to the seafront lies in the fact that a warehouse building which is in itself recognized as heritage at a local level and functions as a cultural centre was constructed in the direct axis between the site and the seafront. The seafront along the warehouses at present facilitates the arrival of cruises which will allow visitors to explore Valongo Wharf walking towards it from the seafront. ICOMOS recommends that the visual connection is further strengthened through landscaping measures in this area which allow for the perception of relation between

seafront and Valongo Wharf despite the position of the warehouse at Pier Mauá, obstructing a direct sea view.

While the protection and conservation of the fragmented archaeological remains can be controlled to prevent threats of decay or deterioration, the immediate urban setting of the site, which does no longer relate to its original setting, will be further developed in the near future. The intensification of real estate development on both sides of the now designated buffer zone extension towards the sea front will continue to significantly transform the landscape and could have negative impacts on the perception of the property. ICOMOS therefore considers that beyond the direct corridor towards the sea, urban developments in the immediate surrounding of the site need to assist the attempt of reconnecting the seafront via interpretative and landscaping measures. In addition, the development in the area to the south, east and west of the property, may uncover auxiliary functions of the wharf and therefore require detailed archaeological investigations before any project is undertaken. ICOMOS notes with concern that the Special Urban Interest Area of Rio's Porto Region, which lies at a distance of about 50 metres to the site is not included in the buffer zone.

#### **Authenticity**

The State Party highlights the material authenticity of the excavated remains, which form the most important testimony of Rio de Janeiro's slave disembarkation wharf in the 19<sup>th</sup> century. Its earthen cover for the past 168 years has enabled this sensitive site to be preserved with the design of the former disembarkation slipway, drainage system and paving. No reconstruction was undertaken which retains the archaeological remains as an exact reflection of the early 19<sup>th</sup> century.

ICOMOS considers that the remains of Valongo Wharf are indeed authentic in terms of their material, location, workmanship, substance and, as much as can be perceived, design. Self-evidently and gladly, they are no longer authentic in use and function which of course does not weaken authenticity in this case. On the contrary, they are highly authentic in spirit and feeling evoking a memory reference and identity marker for the large Brazilian population of African origin and African Americans beyond the national context. This aspect is further underlined by the creation of religious rituals, such as the Washing of the Wharf, created during the merely five year period that the site has been rediscovered. The single drawback in terms of the site's authenticity is the complete loss of setting, both with regard to the seafront and its urban and infrastructural context.

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In conclusion, ICOMOS considers that while the conditions of integrity although considered somewhat acceptable require to be closely monitored, the conditions of authenticity have been met.

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

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

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

This criterion is justified by the State Party on the grounds that around a quarter of Africans enslaved in the Americas reached the continent via Rio de Janeiro, thus making Valongo Wharf the biggest slave port in history. As of 1774 Africans reaching Rio de Janeiro were disembarked at Valongo Beach, where in 1811 paved stone wharf structures were built. Valongo Wharf is said to constitute the most outstanding tangible remains of slave trade in the Americas.

ICOMOS considers that the tangible remains at Valongo Wharf are the most outstanding physical testimony known testifying to the arrival of enslaved Africans in the Americas. However, ICOMOS considers that despite the enormous symbolic value of the moment of setting foot on the continent it is a very short-lived moment in relation to the overall struggle of African enslaved people during their forced migration and labour.

ICOMOS considers that criterion (iii) is usually applied in reference to the testimonies that cultural traditions or civilizations created over time and left behind as their products and achievements. However, Valongo Wharf was not constructed or sustained by the African enslaved people arriving at the South American shores and hence cannot be described a testimony they brought forth. It is rather a testimony of their despair, hardship and suffering than of the cultural traditions they brought and later revitalized. In this sense, the application of criterion (iii) could be interpreted as recognizing as universal the testimony of their subduers, who constructed Valongo Wharf to facilitate trade of the enslaved. It is exclusively with reference to the concern that its application might lead to a reversed definition of exceptionality focused on facilitation rather than endurance of slave trade that ICOMOS considers that criterion (iii) should not be applied to Valongo Wharf.

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ICOMOS considers that this criterion has not been justified.

Criterion (vi): *be directly or tangibly associated with events or living traditions, with ideas, or with beliefs, with artistic and literary works of outstanding universal significance;*

This criterion is justified by the State Party on the grounds that Valongo Wharf is a site that awakens memories of traumatic historic events and is bound up with aspects of pain and survival in the history of the forefathers of people of African descent, who sum over half of the contemporary Brazilian population.

ICOMOS considers that Valongo Wharf is the most important physical evidence of the arrival of enslaved Africans on the American continent. It is a site of conscience, which illustrates strong and tangible associations to one of the most terrible crimes of

humanity, the enslavement of hundreds of thousands of people, which created the largest forced migration movement in history. As the very location the African stepped onto American soil and with it into their new lives as enslaved labour, the site evokes painful memories, which many African Brazilians can strongly relate to. ICOMOS considers that despite its modest physical remains Valongo Wharf can be said the best example to represent concrete archaeological tangible association to these outstanding tragic events of forced migration to the Americas and enslavement of Africans on the continent. ICOMOS considers that despite the stipulation of article 77 of the *Operational Guidelines* that criterion (vi) should preferably be used in conjunction with other criteria, Valongo Wharf constitutes an exceptional case where the sole use of criterion (vi) would most appropriately capture the values of the property.

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ICOMOS considers that this criterion has been justified.

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In conclusion, ICOMOS considers that criterion (vi) has been justified. ICOMOS also considers that the nominated property meets the condition of authenticity and that the condition of integrity can be considered somewhat acceptable but remains vulnerable and requires attentive monitoring.

#### **Description of the attributes**

The Outstanding Universal Value of Valongo Wharf is expressed in its modest physical remains and the capacity of the location to evoke memories and spiritual associations. The physical remains include fragments of an irregular cut stone pavement set directly into levelled sandy soil, which integrates a ditch to drain water coming down the hill as well as remains of the former road leading to Valongo Wharf.

At the historic sea front edge one finds two steps of cobblestones assumed to be the steps or ramp onto which passengers would have disembarked. These can hence be seen as the most symbolic remains representing the soil onto which the enslaved Africans stepped upon reaching the South American continent. A few isolated flagstones testify to what as likely a jetty and areas of compressed soil next to these were likely the locations of previous sheds or built structures. A row of four wooden poles, however, is the only evidence for additional built structures.

The capacity of the location to evoke memories and spiritual associations is ensured by the transmission of oral traditions and preservation of associated historic finds and documents illustrating the circumstances of the arrival of enslaved Africans to Valongo Wharf.

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

The property is challenged by urban and infrastructure developments planned predominantly towards its north, which pose a risk to further obscure the already highly compromised relationship between the site and the sea.

These include a specific development for Porto Maravilha, which is approved and will develop 90 metres tall tower blocks at approximately 100 metres distance from the property boundary.

Given that the setting is already highly modified a certain amount of development might be acceptable but should be carefully evaluated in terms of Heritage Impact Assessments to prevent further negative impacts on the physical remains. ICOMOS considers that it would be desirable that the State Party consider the integration of an Heritage Impact Assessment approach into the management system, so as to ensure that any programme or project regarding the property be assessed in relation to its impacts on the Outstanding Universal Value and its supporting attributes. ICOMOS in this context appreciates learning about the IRPH (the municipal heritage agency) and IPHAN (the National Historic and Artistic Heritage Institute) initiatives, proposing an ensemble of actions to alleviate the visual and social impact of the new complex, which is being built in the area. ICOMOS recommends that such measures are being documented and agreed upon with UNESCO and ICOMOS before any formal approval is granted to constructions in the Porto Maravilha project.

ICOMOS requests that any nearby development should be combined with archaeological surveys prior to any excavation for new construction as result of the high likelihood to discover further remains of Valongo Wharf's auxiliary structures.

Another key challenge to the site will be its new susceptibility to processes of decay and deterioration caused by water and wind erosion, from which it was protected while it remained buried. The remains, which are already modest and fragmented should be carefully monitored to ensure their state of conservation remains constant. Specific care needs to be taken concerning drainage of rainwater to ensure it does not gather within the archaeological site. At present, a pump is being used to ensure this, which requires regular maintenance to stay functional when needed.

Since the property was excavated in 2011, it has been prepared for visitation through arrangement of slopes and terraces which allow visitors to access elevated platforms from which the historic remains can be seen. However, physical access to the historic remains is only made possible in exceptional circumstances, such as during ICOMOS technical evaluation mission. ICOMOS hence considers that even a considerable increase of visitors does not constitute a significant challenge to the site, as long as access restrictions are continued to be observed.

ICOMOS considers that the main threats to the property are negative impacts of urban development as well as decay and deterioration of the exposed archaeological remains.

## **5 Protection, conservation and management**

### **Boundaries of the nominated property and buffer zone**

The nominated property has a size of 0.3895 ha and is surrounded by a buffer zone of 41.6981 ha; amounting to a total area of 42,0876 ha. The boundaries of the property encompass all the archaeological remains, which were discovered in 2011, including the portion of the finds which was reburied under the view platforms. However, ICOMOS notes that the initially proposed draft Statement of Outstanding Universal Value referred to elements not included in the boundaries, most notably the warehouses, quarantine quarter and the New Black's cemetery. It is known that all these features existed within the immediate surroundings of Valongo Wharf but with exception of the New Blacks Cemetery they were destroyed or obscured by urban developments. ICOMOS considers that the value of the property would be considerably strengthened if some of these elements were to be rediscovered, but at present the boundaries encompass the core area in relation to the arrival of African enslaved people on the American continent.

ICOMOS considers that several historic maps presented in the nomination dossier indicate historic architectural structures near the property. The buffer zone has accordingly been defined to include these structures, in particular the New Blacks Cemetery, which has been located by archaeological excavations under existing houses. ICOMOS considers it important to undertake, wherever possible in the context of new constructions or restorations, additional surveys to investigate whether some of the other auxiliary functions related to the property can be located.

The nomination dossier does not provide an explicit rationale for the definition of the buffer zone. However, it seems to correspond to a Cultural Protected Area at the municipal basis covering the historic urban centres of Saúde, Gamboa and Santo Cristo. Fortunately, this zone also includes the areas in which additional structures related to the arrival of enslaved Africans might be located. The buffer zone is relevant in providing protection to potential additional buried archaeological remains. Such is provided in compliance with Municipal Decree 22872 of 7 May 2003, by which any urban interventions must be accompanied by archaeological research in areas of historical interest, and as such must include historical studies and archaeological research.

In conclusion, ICOMOS considers that the boundaries of the nominated property cover the currently known archaeological resources. The buffer zone includes areas, which in light of future research might enhance and complement the understanding of the property. ICOMOS considers that urban expansion in areas beyond the buffer zone, in particular to the north and east of the property has potential for negative impacts on the property and therefore Heritage Impact Assessments

should be undertaken before any construction is approved.

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### **Ownership**

The archaeological site of Valongo Wharf is owned by the Brazilian state. The Municipality of Rio de Janeiro represents the owner for its management and cooperates with the Instituto do Patrimônio Histórico e Artístico Nacional (IPHAN).

### **Protection**

Valongo Wharf Archaeological Site is listed as an archaeological site at the federal level following its registration on 25 April 2012, with the Instituto do Patrimônio Histórico e Artístico Nacional (IPHAN) mandated to coordinate its protection and management. The buffer zone is protected both by IPHAN directive 135 of 13 March 2013, which sets guidelines for the management of areas around listed federal sites as well as on the municipal level as a cultural protected area. In addition to the protection of architectural remains, Municipal Decree 22872 of 7 May 2003 provides for protection of unknown underground archaeological remains through stipulating that prior to any urban development, archaeological research is to be undertaken.

Since the site is highly cherished by the African-Brazilian society, the community is committed on a daily basis to the site's care and preservation. This is not only expressed in the religious value the site has been attributed and the associated ritual of Washing the Wharf in which the stones are cleaned under supervision of religious leaders. The physical proximity of these actors, and even the fact that a church of the African cult (Iglesia Universal) will be next to the site to organize regular meetings, creates a strong feeling of community guardianship of the property.

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ICOMOS considers that the legal protection in place for the property and buffer zone is adequate. ICOMOS considers that developments beyond the buffer zone need to be analysed in terms of potential negative impacts on the property before any construction approval is granted.

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### **Conservation**

The archaeological site has been documented and inventoried in much detail during its excavation. These reports are in progress of being made accessible to the specialized professional community and the wider public. Following its excavation, the state of conservation seems fair and the archaeological site has been framed by the new square intended to protect it while allowing for public accessibility to view the most essential remains. During this process the archaeological structures have been conserved, not always to the ideal possible but adequate to ensure their transmission. Tricky challenges in terms of conservation are the lack of a rainwater drainage in the lower sections of the archaeological site, which required the installation of rainwater pumps as well as the slopes of the terrace structure, which seem to be exposed to erosion processes. In addition, mortar and ferrous elements seem

very prone to degradation from exposure to atmospheric contaminants and detrimental mechanical erosion processes due to human and natural influences. Both aspects will require regular monitoring and maintenance to ensure future preservation of the site. Regular maintenance of the visited parts of the site is carried out by the municipality and guardian communities under the supervision of IPHAN. A conservation plan was developed and officially approved by IPHAN in 2015 and in the process of being implemented.

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ICOMOS considers that active conservation measures undertaken have been adequate. Regular monitoring and maintenance is needed to ensure protection of the site against erosion and the functionality of the rainwater drainage system via pumps.

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### **Management**

Management structures and processes, including traditional management processes

The management of the property is steered by the Instituto do Patrimônio Histórico e Artístico Nacional (IPHAN). It is not clear whether a site management unit has been established or is foreseen to be established. The nomination refers to a steering committee, which is to be created at a municipal basis, which will be responsible to coordinate action of the different management partners. The steering committee is to be further subdivided into two bodies, a curatorial advisory body and an executive committee. The advisory body will be composed of 13 members mostly representing civil society, while the executive committee unites the concerned governmental institutions. The fact that IPHAN as the responsible management agency is foreseen to be given only one seat on this executive committee in the view of ICOMOS is of concern.

ICOMOS regrets that the plans outlined for the establishment of these management bodies are rather tentative and have not yet been put into place. There is also no envisaged timeline presented as to when the management shall be set up in the anticipated way. No risk management procedures or plan exist despite urgent needs to adapt and mitigate the challenges caused by rain water. ICOMOS recommends to design an adequate management structure and put this into place.

Policy framework: management plans and arrangements, including visitor management and presentation

The nomination foresees the preparation of a management plan, which is still in progress. Presented in the nomination is a tabular summary listing broadly various actions that are envisaged under three different domains related to conservation of archaeology, management of the urban setting and integration of the social and cultural dimension of the site. A clear key management concern at present is the development of the urban surroundings, for example through housing plans, tunnel construction etc., the

mitigation of potential negative impacts towards the property and the establishment of cultural initiatives and presentation formats. ICOMOS recommends finalizing the development of a strategic management plan to guide future management processes, including a dedicated section on risk management.

The present interpretation of the property is not well conceptualized as it does not provide adequate information on the multi-layered nature of the site, providing the wrong impression that the later additions of the Empress Wharf are components of the earlier Valongo Wharf. The recently opened museum provides 3-D models and further information add this missing information. ICOMOS recommends developing a minimalistic interpretation format on site, possibly with means of digital technology, to allow visitors who may not visit the museum a correct understanding of the site.

#### Involvement of the local communities

The community, through African-Brazilian societies, have taken part in the preparation of this nomination. The ICOMOS technical evaluation mission met community representatives and discussed with them the nomination proposal and future management of the site. The various African-Brazilian communities involved are very enthusiastic about and supportive of the proposal. The historical and spiritual value attributed to the site by the local community will ensure their long-term participation.

While more complex management structures are envisaged for the future, at present IPHAN is solely responsible for management with municipal bodies and community representatives acting as partners in daily maintenance and upkeep of the site. ICOMOS considers that in this context management processes are driven from a distance and in response to the current challenges may not be effective. In terms of strategic and planned processes towards the establishment of a well-equipped management system, further steps need to be taken and a management plan prepared.

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In conclusion, ICOMOS considers that the site management unit should be formally established and the management plan, with a special section on risk management, be finalized and adopted.

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## 6 Monitoring

The nomination provides a theoretical concept for monitoring aimed at the development of participative, indicator-driven processes organized in various stages of implementation. Part of this system is a regular survey involving all concerned stakeholder groups to ensure their expectations and concerns are being responded to. ICOMOS considers that while this envisaged participative monitoring approach is commendable at a theoretical level, further attention should also be given to the monitoring of the physical archaeological remains to ensure that processes of decay and degradation are fully controlled.

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ICOMOS supports the envisaged participative approach to monitoring but recommends to also focus on the monitoring of the state of conservation of the archaeological fabric.

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## 7 Conclusions

Valongo Wharf Archaeological Site is very important for the African-Brazilian community but also the African-American community at large. It was in fact the society's demand for the protection and presentation of the site, following its discovery in 2011, which led the authorities to modify agreed upon development plans to fully recover and preserve it. The African-Brazilian communities have since become important partners in the site's maintenance and interpretation.

Although the physical remains of Valongo Wharf appear fragmented, modest and isolated in their current context, ICOMOS confirms that they are the most exceptional physical remnants illustrating the arrival of enslaved Africans on the American continent. It is a site of conscience, which illustrates strong and tangible associations to one of the most terrible crimes of humanity, the enslavement of hundreds of thousands of people, which created the largest forced migration movement in history. At this location, the African stepped onto American soil. The site therefore evokes painful memories, which many African Brazilians and African Americans at large can strongly relate to.

Yet, with the arrival being such a brief moment in the long hardship of enslaved people, the property has limited capacity to convey the cultural traditions and life of Africans on the South American continent as suggested in the justification of criterion (iii). The property illustrates a specific but crucial moment in the lives of African enslaved people, the arrival and physical setting foot on American soil. ICOMOS considers that despite the modest tangible remains at Valongo Wharf, this moment is crucial in symbolizing painful memories for generations of African enslaved and their descendants. ICOMOS therefore considers that Valongo Wharf should be recognized as the best example to represent concrete archaeological tangible associations to these outstanding tragic events of forced migration to the Americas and enslavement of Africans on the continent in line with criterion (vi). ICOMOS considers that despite the fact that the *Operational Guidelines* recommend that criterion (vi) be preferably used in conjunction with other criteria, Valongo Wharf constitutes an exception case for which the sole application of criterion (vi) is recommended.

In terms of integrity, ICOMOS considered that the important relationship between Valongo Wharf and the sea was disturbed or even missing entirely following extensive land reclamations, which at present hinders the physical interpretation and understanding of the site. The State Party in response to ICOMOS' request extended the buffer zone to cover the area between the property and the

seafront and is committed to explore further landscaping measures to reconnect the two elements despite an early 20<sup>th</sup> century warehouse, which was built along this corridor and obstructs a direct sea view.

Likewise, the relationships between the site and its original urban surroundings have largely disappeared. ICOMOS notes with concern that the Special Urban Interest Area of Rio's Porto Region, which lies at a distance of about 50 metres to the site is not included in the buffer zone. Large scale urban developments are envisaged in this area although no concrete plans are presented at this stage. Given that the setting is already highly modified a certain amount of development might be acceptable but should be carefully assessed through Heritage Impact Assessments to prevent further negative impacts on Outstanding Universal Value. ICOMOS in this context appreciates initiatives, proposing an ensemble of actions to alleviate the visual and social impact of these new developments and recommends that such measures are being documented and agreed upon with UNESCO and ICOMOS before any formal approval is granted to constructions in the Porto Maravilha project area.

The remains of Valongo Wharf are authentic in terms of their material, location, workmanship, as well as spirit and feeling evoking memory references and identity markers for the large Brazilian population of African origin.

The key threats to the property are further negative impacts of urban development as well as decay and deterioration of the exposed archaeological remains. ICOMOS considers that the boundaries of the nominated property cover the currently known archaeological resources, while the buffer zone includes areas, which in the future might enhance and complement the understanding of the property. ICOMOS considers that the formally designated buffer zone with its legal requirement to undertake archaeological studies whenever further developments are envisaged, ensures that additional remains which might in the future enhance the value of the property are being protected. ICOMOS considers that active conservation measures undertaken have been adequate. Regular monitoring and maintenance is needed to ensure protection of the site against erosion and the functionality of the rainwater drainage system via pumps.

ICOMOS regrets that the plans outlined for the establishment of site management bodies remain rather tentative and presented without date of foreseen establishment. ICOMOS recommends to formally appoint an adequate management unit and to finalize the strategic management plan to guide future management processes, including a dedicated section on risk management. ICOMOS recommends to install in addition to the museum which has recently been opened to the public, an interpretation approach on site which allows visitors who may not visit the museum to gain a general understanding of the site's multi-layered character. This should be minimalistic and could perhaps make use of information technologies. ICOMOS considers that while the envisaged participative monitoring approach is commendable, further

attention should also be given to the monitoring of the physical archaeological remains.

## 8 Recommendations

### Recommendations with respect to inscription

ICOMOS recommends that Valongo Wharf Archaeological Site, Brazil, be inscribed on the World Heritage List on the basis of **criterion (vi)**.

### Recommended Statement of Outstanding Universal Value

#### Brief synthesis

Valongo Wharf Archaeological Site is situated on Jornal do Comércio Square in the dock area of Rio de Janeiro city. The wharf started being built in 1811 to facilitate the debarkation of enslaved Africans arriving in Brazil. It is estimated that up to 900,000 African captives entered the Americas via Valongo.

In physical terms the property consists of several archaeological layers. The lowest of these with floor pavings in *pé de moleque* style represents the remains of the Valongo Wharf. Later, more dominant layers relate to the Empress' Wharf, constructed in 1843. The property's characteristic is that it is a beach that was covered with extensive paving made of hewn stones of different sizes, forms and functions, with a ramp and steps leading down to the sea. It was built in an apparently simple process, not on a landfill, as was customary, but directly on the sand of the beach, following its natural contours.

Valongo Wharf Archaeological Site is the globally most significant remains of a landing point of enslaved Africans in the Americas and therefore carries enormous historical as well as spiritual importance to African Americans. Valongo Wharf can therefore be seen as unique and exceptional both from a material point of view and with regard to the spiritual associations to which it is tangibly related.

**Criterion (vi):** Valongo Wharf is the most important physical evidence associated with the historic arrival of enslaved Africans on the American continent. It is a site of conscience, which illustrates strong and tangible associations to one of the most terrible crimes of humanity, the enslavement of hundreds of thousands of people creating the largest forced migration movement in history. As the very location the African stepped onto American soil and with it into their new lives as enslaved labour, the site evokes painful memories, which many African Brazilians can strongly relate to. Preserving these memories, the vicinity of Valongo Wharf has become an arena for various manifestations celebrating African heritage on an ongoing basis.

#### Integrity

The modest fragments of Valongo Wharf, which were left exposed to the public after their excavation in 2011,

encompass the complete remains of the original stone disembarkation wharf. The wharf's function was originally related to auxiliary structures, such as warehouses, quarantine facilities, the lazaretto and the New African cemetery. These are either lost or preserved only as underground remains in the buffer zone and are legally protected.

As the debarkation point after long and painful journeys across the Atlantic Ocean, Valongo Wharf and the sea were closely related. Therefore, integrity is presently reduced by the disconnection between the archaeological site and the seafront which is removed as result of land reclamations in the dock area. To ensure legibility of the property, it is essential to undertake measures, which assist in reconnecting the sea to the archaeological site.

The intensification of real estate development on all sides of the property and, in particular, towards the sea front is of concern as it will continue to significantly transform the landscape and could have negative impacts on the perception of the property. As future excavations may uncover further auxiliary functions of the wharf, it is essential that detailed archaeological investigations are conducted before any project is undertaken. While the Special Urban Interest Area of Rio's Porto Region, which lies at a distance of about 50 metres to the site, is not included in the buffer zone, it will be necessary to ensure that developments will not negatively impact of the Outstanding Universal Value of the property.

#### Authenticity

Valongo Wharf Archaeological Site preserves the remains of Rio de Janeiro's slave disembarkation wharf in the 19<sup>th</sup> century. Its earthen cover for the past 168 years has enabled this sensitive site to be preserved with the design of the former disembarkation slipway, drainage system and paving. No reconstruction was undertaken which retains the archaeological remains as an exact fragmented reflection of the early 19<sup>th</sup> century. These remains are authentic in terms of their material, location, workmanship, substance and, as much as can be perceived, design.

In addition, the modest physical remains are highly authentic in spirit and feeling evoking a memory reference and identity marker for the large Brazilian population of African origin and African Americans at large. This aspect is underlined by creation of religious rituals, such as the Washing of the Wharf, during the merely five years period that the site has been rediscovered.

#### Management and protection requirements

The Valongo Wharf Archaeological Site is protected by federal Law number 3924, of 26 July 1961 through its official registration on 25 April 2012. The stipulations of this protection are enforced by the Instituto do Patrimônio Histórico e Artístico Nacional (IPHAN) as the responsible body for its conservation and management.

The property is cherished by the African-Brazilian society, with communities committed on a daily basis to the site's

care and preservation. This is not only expressed in the religious value the site has been attributed but also the associated rituals established. The physical proximity of these actors, and even the fact that a church of the African cult (Iglesia Universal) will be next to the site to organize regular meetings, creates a strong feeling of community guardianship of the property.

The conservation of the site is supervised by IPHAN and supported by the Companhia de Desenvolvimento do Porto of Rio de Janeiro (CDURP). A conservation plan has been adopted to guide these processes. Regular monitoring and maintenance is needed to ensure protection of the site against erosion and the functionality of the rainwater drainage system via pumps. The conservation and management of the site will be overseen by a council instituted by IPHAN and involving civil society and federal, state and municipal institutions committed to the preservation of cultural heritage and/or linked to questions of interest to the population of African origin.

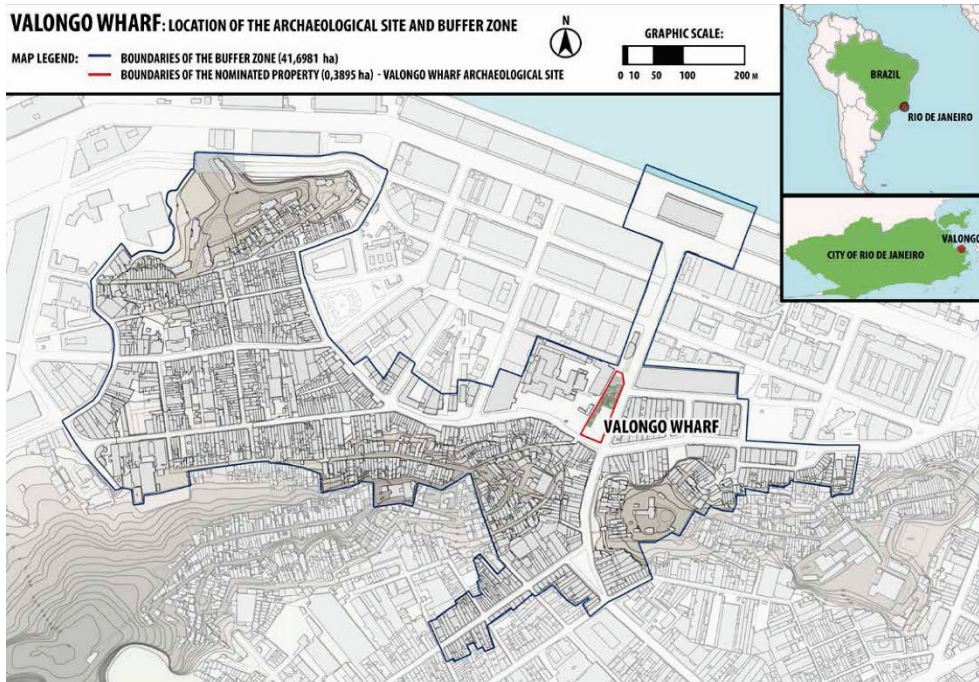
The site management plan requires to be finalized and an adequately resourced site management body needs to be created. Further minimalistic interpretation on site will allow visitors who may not visit the museum to gain a general understanding of the site's multi-layered character. Special attention should be given to evaluating further urban developments in terms of their potential negative impact on the Outstanding Universal Value of the property before any construction approvals are granted as well as measures which aim at re-establishing the relationship between the property and Guanabara Bay.

#### Additional recommendations

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

- a) Swiftly finalizing the strategic management plan, formally adopt it and establish the management unit on site,
- b) Strengthening through landscaping measures the relation between the seafront and Valongo Wharf, despite the fact that the warehouse at Pier Mauá, obstructs a direct sea view,
- c) Undertaking detailed Heritage Impact Assessments (HIAs) before any formal construction approvals are granted in the vicinity of the site, including areas outside the buffer zone, which have a potential to negatively impact the property, especially in the Special Urban Interest Area of Rio's Porto Region,
- d) Giving further attention to the monitoring of the physical archaeological remains and seeking alternative solutions to address the challenge of rain water collection in the archaeological area,
- e) Developing a holistic interpretation concept to communicate the multi-layered character of the site, including to visitors who may not opt to visit the nearby museum;





Map showing the revised boundaries of the nominated property



Aerial view of the property



View of Valongo Wharf



View of Valongo Wharf



Symbolic washing of the Wharf

